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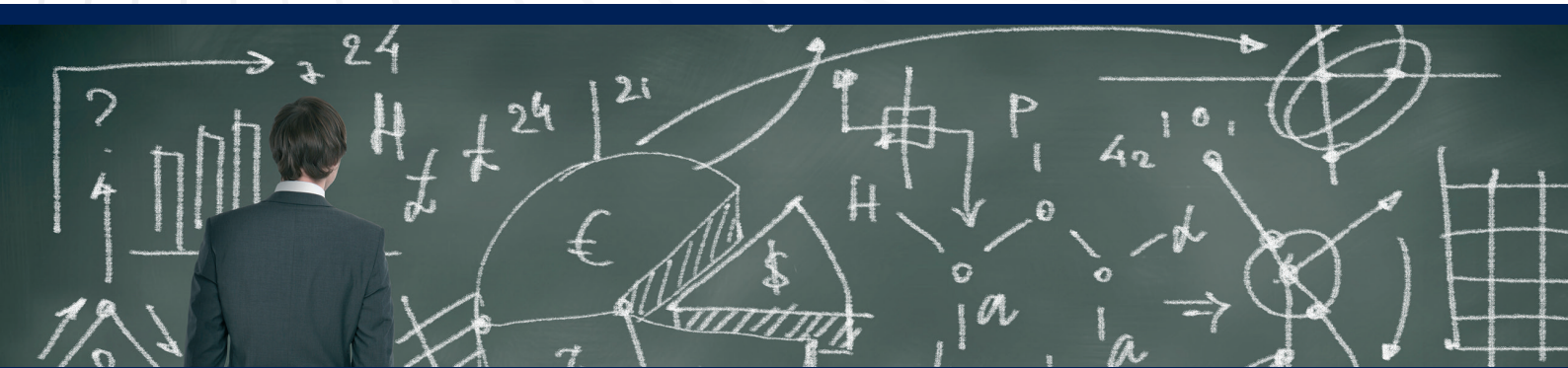
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Interface 3

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# **Benchmarking Analysis of Institutional University Autonomy in Denmark, Lithuania, Romania, Scotland and Sweden**



Romeo V. ȚURCAN, Larisa BUGAIAN



Tempus

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Editors: Romeo V. ȚURCAN, Larisa BUGAIAN

Translators: Tatiana Lucinschi, Stela Guvir

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**Benchmarking Analysis  
of Institutional University Autonomy  
in Denmark, Lithuania, Romania,  
Scotland and Sweden**

## **Benchmarking Analysis of Institutional University Autonomy in Denmark, Lithuania, Romania, Scotland and Sweden**

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## PREFACE

This book presents the Work Package 3 of the EUniAM project. The aim of this work package was to conduct a benchmark, comparative analysis of institutional university autonomy within and across EU project partner countries, namely: Denmark, Lithuania, Romania, Scotland and Sweden. This benchmark analysis was conducted by the Lead Task Force team collected and analysed secondary and primary data in each of these countries and produced four benchmark reports.

For each dimension and interface of institutional university autonomy, the members of the Lead Task Force team identified respective evaluation criteria and searched for similarities and differences in approaches to higher education sectors and respective autonomy regimes in these countries. These are presented in four benchmark reports.

The consolidated report that precedes the benchmark reports summarises the process and key findings from the four benchmark reports. Specifically, it presents (i) the methodology and methods employed for data collection and data analysis; (ii) the comparative analysis of higher education sectors and respective education systems in these countries; and (iii) the executive summaries of the benchmark reports and key emerging patterns.

The findings from the benchmark reports, together with the findings from the evaluation of existing situation of university institutional autonomy in Moldova (as part of Work Package 2 of the project), will contribute to the development of recommendations on how to enhance the institutional university autonomy in Moldova and to make the higher education sector effective and efficient, as well as competitive at the European and international levels (this being the aim of Work Package 4 of the project).

We would like to acknowledge warm welcome and invaluable inputs from the colleagues the EUniAM Lead Task Force team met during their visits to Denmark, Lithuania, Romania, Scotland, and Sweden. Without their firm support, this benchmark analysis would not have been that successful.

We would like to acknowledge warm welcome and invaluable inputs and support received from the colleagues in Denmark, Lithuania, Romania, Scotland, and Sweden whom the EUniAM Lead Task Force team met during their visits.



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# **Benchmark Analysis of Institutional University Autonomy Higher Education Sectors in Denmark, Lithuania, Romania, Scotland and Sweden**

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# 1. INTRODUCTION

This report is part of the Work Package 3 of the EUniAM project. Its aim was to conduct a benchmark analysis of university institutional autonomy within and across EU partner countries, namely: Denmark, Lithuania, Romania, Scotland<sup>1</sup> and Sweden. For this purpose, a Lead Task Force team was formed (Table 1) that collected and analysed secondary and primary data in each of these countries and produced four benchmark reports (Appendix 1-4). To produce these reports (each being over 200 pages in length), the Lead Task Force team reviewed over 6,000 pages of data.

Table 1. *Lead Task Force team*

Name	Affiliation	Responsibility
Larisa Bugaian	Vice-Rector Research, Technical University of Moldova	Team leader, consolidator
Angela Niculita	Vice rector, State University of Moldova	Organizational autonomy
Ala Cotelnic	Vice-Rector, Academy of Economic Studies	Financial autonomy
Daniela Pojar	Head of HR Department, State University ‘Alecu Russo’	HR autonomy
Petru Todos	Vice-Rector, Technical University of Moldova	Academic autonomy
Romeo V. Turcan	Associate Professor, Aalborg University	Methodology, consolidator

This report consolidates the process and the findings from the four benchmark reports. Specifically, it presents (i) the methodology and methods employed for data collection and data analysis; (ii) the comparative analysis of HE sectors and respective education systems in these countries; (iii) the executive summaries of the benchmark reports. Reflections on this benchmark exercise conclude this report.

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<sup>1</sup> Given that the institutional university autonomy in Scotland is closer to EU models, the Lead Task Force team, with the permission from the Agency, traveled to Scotland instead of England to collect data.

## 2. METHODOLOGY

### 2.1. Methodology framework

The framework of university institutional autonomy that was developed at the beginning of the project guided the process of data collection and analysis (Figure 1). The framework brings together, on one side, the traditional, as defined by Lisbon declaration, view of university autonomy that is based on four types of autonomy: organizational, financial, human resource, and academic, and, on the other, a new perspective that takes into account the dynamic and complex relationships a modern university has with its main stakeholders.

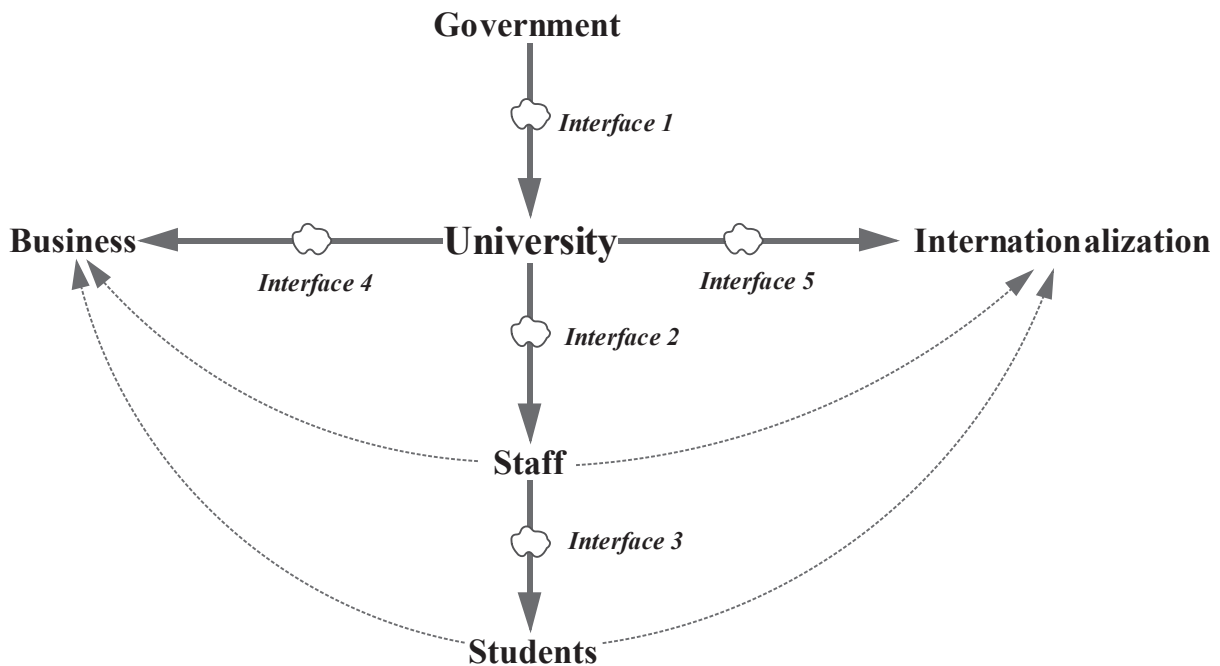


Figure 1. *Institutional university autonomy framework*

By cross-tabulating the 4 types of university autonomy and 5 university interfaces we arrived at a typology of university institutional autonomy, which was the basis for data collection and data analysis (Table 2). As it can be noticed, 20 types of institutional autonomy are defined by this framework. This holistic view of institutional autonomy of universities is based on an iterative relationship between the four autonomy dimensions and interfaces, without preconceived judgements on causal relationships and effects.

These relationships are depicted in the framework (Figure 1) as five interfaces that characterize external and internal points of interaction between modern universities and their key stakeholders. These interfaces are: government – university; university management – university staff; university staff – students; university – businesses; and university – internationalization.

**Table 2. *Typology of university institutional autonomy***

	<b>Organization Autonomy</b>	<b>Financial Autonomy</b>	<b>Staffing Autonomy</b>	<b>Academic Autonomy</b>
<b>Interface I</b> Government–University				
<b>Interface II</b> Management–Staff				
<b>Interface III</b> Staff–Students				
<b>Interface IV</b> University–Businesses				
<b>Interface V</b> University–Internationalization				

*Government – university interface* explores inter alia state policies towards higher-education; role of central and regional governments in issuing regulations for the structure of university governance; governance vs. management: are governance structures fit for purpose, effective, accountable (to whom); advocacy of higher education institutions; need and role of accreditation; models of financing research and teaching; accountability and public responsibility; implications for the mission of an university; understanding the interface vs. practicing the interface; role in the appointment or approval of senior staff; policy on admissions and curriculum; Quality Assurance; establishing appointments/posts, salary and promotion criteria.

*University management – university staff interface* explores inter alia governance and management models of a modern university; power sharing in strategic and operational decision making; implications of top-down, bottom-up or flat organization; incentive and evaluation mechanisms; external vs. internal appointment and promotion policies; staff mobility; research, teaching, and contribution to community vs. university mission; understanding the interface vs. practicing the interface; accountability and public responsibility.

*University staff – students interface* explores inter alia students' role in university governance and management, as well as in learning and teaching with the new learner centred paradigm and research processes; staff as teachers vs. staff as facilitators; changing the mind set about relations with students; models of student admissions (e.g., linked to overall higher-education state policies); students' evaluation models; students' mobility; problem based learning; understanding the interface vs. practicing the interface; accountability and public responsibility.

*University – businesses interface* explores inter alia businesses' role in university governance and management, as well as in teaching and research processes; models of knowledge transfer (e.g., financing, ownership, spin-outs, intellectual property rights) and knowledge sharing (e.g., staff exchange programs, student internships, promoting entrepreneurship); career development, and innovation; life-long learning; role in work placements and work based learning; understanding the interface vs. practicing the interface; accountability and public responsibility.

*University – internationalization interface* explores inter alia university internationalization policies; university strategies for internationalization; staff and student mobility; in-ward and out-ward internationalization modes and models; partnership models and their implication for accreditation related to the process of internationalization; compatibility of internationalization and university autonomy; internationalization and university mission; understanding the interface vs. practicing the interface; accountability and public responsibility.

## 2.2. Data collection

To collect primary and secondary data, the Lead Task Force team visited Lithuania, Scotland, Sweden and Denmark between January and March of 2014 (Table 3); data collection on HE in Romania was based on a desk-top research with inputs from the project partner in Romania, University of Suceava Stefan cel Mare. During each visit, the team met with university management and faculty members, with representatives from the Ministry of Education, research, funding and quality assurance agencies, rectors' council, students and labour unions; the agendas for each visit are presented in Appendix 5-8.

Table 3. *Visiting Missions to the EU Partner Countries*

EU Partner Country	Period	Hosting Institution	Partner representative
Lithuania	Jan 20-24, 2014	Mykolas Romeris University	Birute Mikulskiene
Scotland	Feb 3-7, 2014	Strathclyde University	Caroline Laurie
Sweden	Feb 17-21, 2014	Royal Institute of Technology	Victor Kordas
Denmark	Mar 3-7, 2014	Aalborg University	Romeo V. Turcan

To facilitate the process of data collection and data analysis, data collection templates were developed that were common for each autonomy type and each EU partner country (Tables 4 and 5). The purpose of Table 4 was to (i) identify issues and questions related to various aspects of an autonomy type that could not be clarified from consulting open available sources of data, and (ii) suggest possible sources of data (meetings). Guidelines and examples for each entry in Table 4 were developed. Based on this template, the Lead Task Force team used this template to prepare a list of problems, questions and issues following the review of data openly available on the Internet, and to suggest possible sources of data/meetings (please refer to Appendixes 1-4 in the Benchmark Reports).

Table 4. *Identified issues and questions*

Problem formulation	Material consulted	Unresolved issue, question, gap	Suggested meetings
What are the generic/state and university specific rules in terms of university governance and management?	The Scottish Code of Good HE Governance Use footnotes to record sources of information	State here what is unclear and what issues/questions need to be addressed	<b>Step 1.</b> Ask for additional material that is not available on-line or missed during search

If there are variances across universities, why is that the case?			<b>Step 2.</b> Suggest organization/function within organization whom you would like to meet and discuss these issues
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Table 5. *Data reporting template*

<b>Problem/question formulation</b>	<b>Findings</b>	<b>Memos</b>
What are the generic/state and university specific rules in terms of university governance and management?	Record here what you found in the documents and from interviews (addressing the what, how who, when questions) IMPORTANT: make sure you also always try to get to the route of the problem/question/issue by addressing the ‘why’ questions Use footnotes to record sources of information	Please record here any of your ideas, concepts, relationships between/across the concepts/types, potential impact, potential implications for Moldovan system etc. – it is IMPORTANT to record ALL your thoughts and ideas immediately as you report a finding.

The filled in templates with problems, questions, issues and suggested meetings, were sent to our partners at least one month before the visit so that they could contact respective institutions and organize suggested meetings. At the same time, upon receiving these templates, our partners sent the templates to respective respondents asking them to address the questions and issues identified in the templates. In this way, during the meetings, the team members and the respondents had focused and productive encounters. In many cases, the respondents also provided the feedback to the questions and issues raised in writing.

The purpose of Table 5 was to (i) bring together all the data collected by the team and (ii) start the process of data analysis. That is, data from Table 4 and data collected prior to each mission was put together in this table. Guidelines for data entry in Table 5 were developed. This process was done within a week after each visit. During this process, the Lead Task Force members wrote memos, reflecting on what they have learned during data collection process, focusing on concepts, types, interfaces and their relationships (please refer to Appendixes 5-8 in the Benchmark Reports).

### 2.3. Data analysis

Multiple-case study methodology was employed to analyse the data; each EU partner country is considered as a case. First, the Lead Task Force team conducted a within-case analysis of university institutional autonomy in the respective case country based on criteria, properties and indicators of autonomy types that emerged from the data (please refer to Benchmark Reports). Table 6 presents the template developed for the purpose of developing

respective criteria and indicators; this template was common for all autonomy types (each column represents a context for a within-case analysis and is reported in a separate chapter in a benchmarking report).

Table 6. *Template and guidelines for developing benchmark criteria, properties and indicators*

Lithuania	Scotland/UK	Sweden	Denmark	Romania
<b>Basic funding</b>				
Define, conceptualize, describe, way it is implemented Separate between government and university Identify possible links and relationships with other criteria or autonomy types Position within a university autonomy interface.				

A criterion for a type of autonomy was developed on the basis of the following indicators. Each criterion was defined, conceptualized, and described. A separation line between government and university was identified for each criterion. Possible links and relationships with other criteria or autonomy types were proposed. Each criteria were positioned (where possible) within a university autonomy interface.

The same emergent criteria and indicators were employed to conduct cross-case analysis as presented in the benchmarking template (Table 6). Memos were written during the within-and cross-case analysis, hence recording any ideas, concepts, relationships between the concepts/types, looking for common patterns and variances, as well as highlighting potential impact, potential implications for the Moldovan HE sector. A cross-case analysis is presented as a separate chapter in the respective benchmarking reports.

The Next step in data analysis was to look for common patterns and variations per each autonomy type and related criteria that emerged during the benchmark analysis performed in the above mentioned reports; for this purpose a data reduction template was developed as presented in Table 7. To develop a holistic understanding of the institutional autonomy, data were further analysed by cross-tabulating the autonomy types and university interfaces (see Table 2).

Table 7. *Data reduction template*

	Common Patterns	Variations
Organizational Autonomy		
Criteria 1		
Criteria 2		
Criteria 3		

## **3. BENCHMARKING CONTEXT**

### **3.1. Introduction**

In this Chapter we will discuss the context within which the benchmark analysis was conducted. Specifically, we are interested to understand the context within which university institutional autonomy is embedded in Denmark, Lithuania, Romania, Scotland and Sweden. For this purpose, (i) statistical data was analysed to generate an overview of the size and capacity of the higher education sectors in the partner countries; (ii) HE sectors in these countries were analysed to get a grasp e.g., of how they are structured, who the players are, and how they are related to each other; and (iii) education systems in these countries were analysed. First we present and discuss a number of statistics related to university institutional settings, followed by a discussion of structures of higher education sectors in the EU partner countries, and concluding with a discussion of the education systems in these countries.

### **3.2. Benchmarking context in numbers**

Table 8 below summarises key indicators per country in relation to higher education sectors, such as countries' population, overall GDP and GDP per capita, higher education and research budget as percentage of GDP, number of higher education institutions, private higher education institutions, cycles of education, total number of students and the number of foreign students, number of students per cycle and number of academic staff.

Following the World Economic Forum Global Competitiveness Report (2014) classification of countries' stages of economic development, Romania is seen as an efficiency-driven economy, Lithuania is in transition from an efficiency-driven economy towards an innovation-driven economy, while Denmark, Sweden and Scotland are positioned as innovation-driven economies. It may be observed that the latter countries – Denmark, Sweden and Scotland – have the highest proportion of their GDP used for higher education. At the same time these countries allocate almost half of those funds towards research and development. When it comes to the number of universities (as defined as those with all 3 cycles, doing teaching and research) in these three countries per 1,000,000 population, a ratio of approx. 2 universities per 1,000,000 emerges.

All five of these countries follow the three cycles of higher education: first cycle (Bachelor's degree), second cycle (Master's degree) and third cycle (Doctoral studies). The duration of cycles varies: Sweden and Denmark have 3-year bachelor studies, while Lithuania and Scotland have 4-year bachelor (note: the 'ordinary' BSc degree is three years and the Honours is four years) and in Romania some bachelor degrees also require a 4-year education. In Sweden, there are many study programs which last for 5 years, for example programs in engineering. This means that at the point of application the prospective students apply for five years of study (Amft 2012). Master programs usually last two years, but in Scotland it is only one (12 month, calendar) year, and some programs in Sweden follow a one-year plan. The average duration of doctoral studies is four years.



Table 8. *Benchmarking context in numbers (2013-2014)*

	Denmark	Lithuania	Romania	Scotland	Sweden
Population (000)	5,655	2,956	19,942	5,313	9,593
GDP (€, billion)	249,234	34,601	142,822	170,000	420,088
GDP per capita (€)	44,320	11,510	7,036	30,954	44,763
HE budget (% GDP; €, 000)	2.40 5,982	1.26 436	1.00 1,428	3.40 5,780	2.03 8,528
Research budget (% GDP; €, 000)	0.95 2,368	0.48 166	0.1 142	1.58 2,686	0.92 3,865
Number of universities, university colleges and pro- fessional academies	8+7+9	22+24	125	19+25	17+17+13
of which private	0	18	37 (only 20 accredited)	0	plus 16, of which 3 with 3 cycles
Number of universities per population (1,000,000)	1.4	7.3	6.25	3.6	1.8
Number of students	275,000	175,066	705,333	174,916	463,530
Cycle I	136,745	122,414		115,725	345,500
Cycle II	57,683	49,777	681,515	23,735	
Cycle III	8,915	2,875			3,424
Number of international students	29,708	3,200	19,404	48,000	50,078
Number of faculty	17,884	13,923	28,365	16,735	30, 831
Cycles (years)					
BSc	3	4	3/4	4	3
MSc	2	1.5/2	2	1	1/2
PhD	3	4	3/4	3	2/4

The number of students in these countries corresponds to the size of the population: 275,000 in Denmark, 175,066 in Lithuania, 705,333 in Romania, 463,530 in Sweden, and 174,916 in Scotland (Eurostat 2014). The Number of international students varies significantly. Sweden is receiving the highest number of international students – 50,078 (almost 11% of overall student population), while in Romania international students make only about 3%. The number of academic staff is quite evenly distributed through the countries, Romania being an outlier with only 28,365 academic staff for 705,333 student population, while Sweden, for example, employs 30,831 for 463,530 students.



### **3.3. Higher Education Sector Structures**

Appendices 9-13 depict the structures of Higher Education sectors in Denmark, Lithuania, Romania, Scotland and Sweden. A number of common patterns emerge following the analysis of these sectors. Research and teaching are inseparable parts of universities' mission and vision. The role of Academies of Science (except Romania) is rather to strengthen and promote academic (research and teaching) activities. At political/policy level, the trend is to have a Parliament as a founder of universities. The scope of intervention from the Ministry of Education in these countries varies from country to country, with no evidence of 'true' autonomy. In Denmark, the Ministry intervenes both at the strategic and the operational level. The recent (2014) intervention on the 'scoping' (optimizing) of intake at both cycles is an example of strategic intervention. At times the Ministry in Denmark uses "directives" and at other times, decisions and policy that are negotiable. Thus, if we shall give a name to the Government-university interface or autonomy, it could be "negotiable autonomy".

The tendency in the benchmarked countries is for Ministries of Education to be small, and because of that considerable authority is delegated to agencies. The Lithuanian HE system shows many similarities with the Scandinavian models, the Scottish system is also characterized by considerable simplicity and efficiency.

At the operational level, a Ministry of Education is the main player that coordinates all research and innovation policies and public funding. There are a number of independent agencies (founded by a Ministry of Education) that perform functions of funding bodies for teaching and research (applied/fundamental or strategic/independent) of quality assurance. The operational structure varies significantly between the countries. In the Danish, Swedish and Lithuanian higher education sector, the operational level is represented by a range of Government Agencies (Danish Agency for Science, Technology and Innovation (DK), Swedish Council for Higher Education and Swedish Higher Education Authority; five Main Agencies in Lithuania), that are responsible for the routine work of government administration, giving advice to the Minister about technology and innovation policy and distributing public funds for various types of research and funding of research and innovation. Some entities, which have a status of an Agency, are called "Councils" or "Centres". One can see a division of academic and industrial research functions at ministerial level in some cases; but in others – a close cooperation between them. Lithuania and Sweden demonstrate a dual ministry model, with a division between the Ministries of Education and Research, dealing with research and innovation in the academic sector, and the Ministry of Industry (in Sweden), or Ministry of Economy (in Lithuania), dealing with research and innovation in the private sector, through their respective agencies. Denmark and Scotland realize their innovation strategy through collaboration between the ministry of education and such Ministries as department of health, ministry of business and growth, ministry of defence, department of environment, food and rural affairs.

In Scotland, the Minister for Enterprise, Transport, and Lifelong learning is directly responsible to the Scottish Parliament for the overall higher educational policy development. The policy is administered by the Scottish Executive Enterprise, Transport and Lifelong Learning Department. Funding of higher education and research is exercised through the

Scottish Funding Councils, consisting of the Scottish Further Education Funding Council (responsible for teaching and some research in 46 further education colleges) and the Scottish Higher Education Funding Council (responsible for funding teaching and research in 22 Scottish higher education institutions).<sup>2</sup>

The operational level of the Romanian higher education sector is represented by a multitude of actors, where separate bodies are responsible for the distribution of research funding, advisory funding and policy making. The key player is the Ministry of Education, Research, Youth and Sport and its National Authority for Scientific Research. Besides, there are a number of Consultative, Funding bodies, and other governmental and Coordinating agencies involved in innovation. The Romanian Academy of Science is responsible for coordinating scientific development through a number of research institutes and centres in different areas of knowledge (facilitating networking and stimulating research). The higher education and research sector in Romania controls public R&D organizations and educational institutions, which are the main research performers in the country, since R&D in the private sector is limited.

### **3.4. Education Systems**

The education systems in the countries in focus are usually structured around the seven major levels identified by the international Standard Classification of Education (UNESCO, 1995): ISCED 0 pre-primary education, ISCED 1 primary education, ISCED 2 lower-secondary education, ISCED 3 upper secondary education, ISCED 4 post-secondary education, ISCED 5 tertiary education (including two types: type A for tertiary programs with an academic orientation and type B for tertiary programs with a vocational or professional orientation), ISCED 6 – level of doctoral studies.

Countries' education institutions can be state and non-state (municipal, private or other). The compulsory level of education usually corresponds to the ISCED 2 level – lower secondary education until the age of 14-16. Compulsory schooling starts in the academic year after the child turns five (Scotland), six (Denmark) or seven (Sweden, Romania, Lithuania) years of age. On the parent's request the age of entry can be lowered.

In this analysis we primarily focus on the system of upper secondary education and the transition into the system of post-secondary/tertiary education. Appendices 14-18 contain the structures of the education systems in the countries in focus. Our primary interest is in the common features and peculiarities of the structures, we do not aim to describe them one by one in detail.

The system of upper secondary education gives access to post-secondary and tertiary education or to the labour market. It is generally represented by high schools and vocational schools. High schools (gymnasium level) provide academically oriented upper-secondary general education that directly leads to application for entrance to universities. Vocational types of schools either facilitate early access to the labour market or provide access to post-secondary education with occupational orientation. Vocational programs last from one

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<sup>2</sup> It is important to emphasize here the fact that the UK Research Councils fund project research in Scottish Universities.

to two years; their purpose is to assist a person in the acquisition, change or upgrading of his/her qualification and preparation for participation in the changing labour market. However, having passed an exam confirming their upper secondary level of education in Denmark, Sweden, Scotland and Lithuania, students at vocational schools can also access academic university education.

The upper secondary level of education is completed by a number of school leaving exams that qualify students for admission to higher education in Denmark, Sweden, Scotland and Lithuania. All students taking either academic or occupation-oriented upper secondary education are entitled to pass examinations at this level, because it gives a certificate of upper secondary education.

Romanian students have to pass the National Baccalaureate Exam in a number of subjects, depending on the type of secondary education (in humanities or sciences) taken. After passing these exams, a student gets a certificate of secondary education, which is necessary for entering tertiary level. However, the results of these examinations usually cannot be used for entering higher educational institutions since these institutions have their own admission exams.

Post-secondary/Tertiary level of education is usually represented by three types of institutions: Universities, University Colleges and Vocational higher education schools providing professional degrees and qualifications. University education in the countries in focus are aligned to the European Higher Education Area, that support the Bologna's Process objectives of ensuring more comparable, compatible and coherent systems of higher education in Europe. In 2006 the Framework for Higher Education Qualifications in Scotland was verified as being compatible with the European Higher Education Framework ([www.qaa.ac.uk](http://www.qaa.ac.uk)).

Tertiary education in all these countries can be generally divided into three major levels: First cycle programs (Bachelor's degree), second cycle programs (Master's degree), and third cycle (Doctorate level, e.g., PhD degree). As has been noted in the introduction, the university programs differ in the duration of studies. Undergraduate degrees range from three years (Sweden, Denmark) to four (Lithuania, Scotland, Romania), Master studies take one (Scotland) to two years (Denmark, Romania), in Lithuania and Sweden the length depends on the academic program. Doctorate studies take from three to four years of full-time work.

University colleges grant degrees with a more practical professional orientation. The studies there usually last for three years and the degree awarded in the most of accredited institutions is equivalent to a university Bachelor's degree.

At the post-secondary level vocational education is typically provided by an institute of technology, university, or by a local community college. Vocational Education is often referred as technical education giving procedural knowledge not being supported by a lot of theory and conceptual knowledge. This type of education prepares people for specific trades, crafts and careers at various levels from a trade, a craft, technician, or a professional position in engineering, accountancy, nursing, medicine, pharmacy, law. There are also a variety of short-term vocational programs, lasting from several months to one year, which

qualify students for particular occupations, or become a supplement to the already acquired education and enhance employability.

Vocational education does not fall under the traditional definition of higher education, however, the borders between them are becoming more and more blurred as the labour market is demanding a more highly skilled and qualified workforce, so the level of this type of education is continuously growing. Sweden is an example of the most unified system of the post-secondary education among the studied cases. The reform in 1991 intended to decrease the discrepancy between academic and vocational upper secondary school programs, and reduce the socially uneven recruitment into higher education (Halldén 2008). One of the most important implications of the reform was that all two-year upper secondary school programs were turned into three-year programs with emphasis on more general education and granting the possibility to proceed to higher education. By contrast, in Romania post-secondary education is delivered solely by universities. Vocational educational institutions are referred to as post-secondary non-tertiary education (EC 2013) and students on a vocational track cannot get admitted to a university due to the difference in qualification between exams passed in academic and vocational institutions. In Lithuania, vocational programs at the level of post-secondary education are not provided by the system of tertiary education. However, unlike in Romania, in Lithuania alongside universities there are also colleges at the level of tertiary education.

Most of the countries also support life-long education initiatives that open access to formal and recognise experience and learning in other settings both formal and non-formal post-secondary education to people aged between 25 and 64 years old who achieved upper secondary education. The separate courses are provided by universities, colleges and other types of schools.

In such a way, tertiary level of education is represented by two major directions: academic and vocational. Both of them open full access to the labour market. In Scandinavian countries, as well as in Lithuania and Scotland, these two types are not directly rated as one above each other, and in Sweden they are even explicitly placed at the same level. It is the future area of expertise that makes the students to choose between the options. This is becoming a general tendency at the level of tertiary education in the western world. However, Romanian tertiary education is still dominated by universities as practically the sole actors. Vocational training is put at the upper secondary level and the qualifications it gives are not viewed as very high.

## 4. SUMMARIES OF BENCHMARK ANALYSES

### 4.1. Organizational Autonomy

This report aims to compare organizational autonomy, the level and way of its regulation in universities from European Union member countries, partners in the project: Denmark, Lithuania, Scotland, Sweden and Romania. To achieve the objective of this study, we started from the identification of criteria that would characterize all aspects of organizational autonomy of universities. Following the methodology developed, first, there were collected and analysed data derived from laws and other normative acts regulating components of organizational autonomy in higher education institutions, statutes and other institutional acts of universities in EU, partners in the project. The next step, to form a clear and comprehensive view of national trends, scope and constraints on institutional autonomy visits were made study to EU partner universities.

Analysis of data collected, along with all the existing differences, reveals a number of common trends in terms of organizational autonomy of universities in higher education systems investigated. Thus, it was found that in almost all countries partner in the project there are external regulations, which provide a framework for organizational autonomy of universities, but the number and degree of detail of these regulations varies significantly, in most cases being only guidelines. Another important aspect is the inclusion of external members (outside the institution) in governing bodies of universities. In four of five higher education systems analysed, universities have a governing body – University Board – where the majority is made up of external members, practitioners in real sector of economy and business, and in some countries representatives from education, science or culture. This body is responsible for long-term strategic development of the university.

In some systems, universities are free to appoint external members in their governing bodies, in others they are designated by an external authority, upon the proposal of universities. In three higher education systems, the Senate is the governing body of the university. In the dual system of government (Lithuania and Scotland) the Senate is responsible for the university's academic issues (programs of study and research, promoting teaching and research staff, conferring scientific degrees,), and in the unitary system of government (Romania) it is the governing body which makes strategic decisions on the development of the university, and also manages the academic activity of the institution.

University senates, where they exist, represent the academic community of the institution, with members elected from among academic staff, technical staff and students of the university. Except Romania, universities in the other benchmarked countries have the freedom to decide for themselves on their organizational structure and, within the limits of the legal framework, on the establishment of legal entities.

The experience from visited countries shows that better governance of HEIs is provided by the governing bodies with a small number of members, among which external members form the majority. Usually, external members are representatives of the management of business environment, industry, local government and practitioners from various fields.



They contribute to a more efficient management of the university, particularly in terms of its organization, finance, property and institutional investment

In all higher education systems, the rector is the main executive authority of the university who ensures daily management of the institution and the achievement of the objectives set by the governing body of the university. The process for the appointment of rector appointment varies: by the university governing body based on a public competition (Lithuania, Denmark) or based on own procedure (Scotland); designation by the government on the proposal of the governing body of the university (Sweden); election by the entire university community (Romania).

Virtually all higher education systems have to ensure student representation in institutional governance bodies and their participation in decision making at all levels. In Danish universities students have a major contribution in the management of the educational process, with 50% representation in the respective bodies of university management. It should be noted that the degree of interest and involvement of students in decision making is different in universities. However, in those higher education institutions where students actively participate in the decision making process their input generally is constructive and contributes to a better governance of universities.

It was interesting to observe that adopting corporate type of leadership contributed to a wider autonomy in the universities management and in the determination of their internal structure. Rector (as Chief Executive Officer of university), accountable to the governing body, is selected with the participation of the academic staff of the institution, which ensures support of the academic community in implementing the strategic plan developed. Employment of academic environment representatives in management positions under a public competition, including at international level, allows selection of the most qualified candidates, ensuring a more efficient management of universities.

## **4.2. Financial Autonomy**

The comparative analysis (benchmarking) made with respect to financial autonomy at universities in 5 countries – Lithuania, Scotland, Sweden, Denmark and Romania – has allowed us to highlight some similarities, but also some peculiarities of the manifestation of financial autonomy in individual countries. After studying the legislative acts in the respective countries, some normative acts of Universities, and the existing literature in this area, we established criteria and sub-criteria under which this analysis was performed.

Thus, we found that in all five countries surveyed higher education funding is made from two basic sources: public and private. The ratio between these sources varies. Funding from the state budget in the analysed countries is based on different approaches: in Lithuania public funds are allocated based on global grant, which is divided between different categories of expenditure. In this context, we note, that the university has the freedom to decide where to spend the respective amounts. In other countries (Scotland, Sweden, Denmark and Romania) financing shall take the form of block grants. Both forms are conducted on two funding lines: teaching and research.

The financing of studies is performed based on different criteria: in Lithuania – the number of physical students (voucher system); in Scotland – number of equivalent students (FTE). In Sweden, there are considered both physical students (in the extent of 40%), and their performance by FTE students in the extent of 60%. Denmark considers only the students who have performance. Romania – equivalent students reflecting form and field of study. Research financing in all 5 countries is based on the dual system, which means that part of the expenses are covered by the state and are included either in the amount of the voucher (Lithuania) or basic funding (Scotland, Romania, Denmark) and are intended to cover some operational and maintenance costs of the infrastructure needed for research. The second part is allocated on a competitive basis to projects by the responsible bodies in each country.

Each country has its own methodology for allocating financial resources to universities. It is obvious that some elements are common, others specific to each state. Thus, in Lithuania the allocation of budgetary resources is made based on the principle “money follows the student”. Money from the budget, through Vouchers, goes to those universities that are chosen by the students who came into their possession. In Scotland and Sweden allocations are being made, largely, based on the volume of allocations from previous years and depending on the budget available at the state level, being in constant growth.

In Scotland, the Scottish Funding Council concludes annually a memorandum with each university setting out the conditions. In Sweden the planning of amounts for a period of three years takes place, but with the concretization of this amount each year. Denmark has a system for allocating financial resources based on the outputs. The Ministry allocates resources based on the number of FTE and the cost of a student in the field for: teaching, basic research. Romania allocates resources to universities based on contracts concluded with the Ministry of National Education. There is a methodology, based on calculation formulas, which is reviewed annually.

In each of the five countries analysed there has been established historically their own methodology for calculating the cost (price) of training a student. Its name varies from country to country: Scotland – TRAC (note: TRAC was developed initially to determine casts for research overheads), Sweden, Denmark – Full Costing – but what is common relates to the inclusion in this cost (price) of all costs (direct and indirect) necessary to train a highly qualified specialist. In all countries there is a difference in the cost of training depending on the level of training (bachelor, master, doctorate), the form of education (full-time, part-time), but also the field of study. Therefore, it is determined a conventional field that serves as the basis for calculating other areas usually socio-humanities where the coefficient 1 is used and for the other areas – depending on complexity, each country has different coefficients.

Universities in the 5 countries also enjoy, along with funding from the state budget, funding from private sources. It differs from country to country, both the share of private sources and their structure; there are also large variations between HEIs within a country. Virtually, in every country there are legal provisions regarding private sources that may be attracted to higher education, and how to monitor their use. Private sources are used depending on the strategy adopted by the university. Monitoring the use of resources is carried out by

internal financial audits, but also by external financial audits performed by various control bodies, specific to each country, which verify the use of financial resources according to the destination determined in the university plans. So, the use of revenues from private sources is not specifically monitored and they are used according to the needs of the university and the strategy adopted.

With regard to the right to borrow money from the financial market, we found that in each of the five countries surveyed universities have this right, but with a certain limit to freedom. Thus, in Lithuania there is a general limit of the loan, set by the Act on the approval of financial indicators from the state budget and municipal budgets for that year. In Scotland the university may borrow money from banks only with the reasoning and with the consent of the Scottish Funding Council, taking into account the ration of borrowing and income. In Sweden universities can borrow money from the financial market, only from the bank specified (designated) by the responsible authority. In Denmark universities are allowed to borrow money from the financial market, though a number of restrictions exist, such as 'lack of collateral'. In Romania the legislation allows universities to borrow money.

Universities in all five countries analysed have freedom in determining the size of tuition fees. Even in the countries where there are no taxes for local students and those from the European Union (Scotland, Sweden, Denmark) universities set the size of fees for students from outside the EU, as well as for another category of students, such as those from MBA. The condition which is imposed in all these countries is that the fee takes into account all types of expenditure and is not less than the actual costs for training a student.

In all 5 countries the tuition fee policy for local citizens and those from the European Union is the same. For students coming from countries outside the European Union the university establishes the fee independently. It's usually higher than the tuition fee for the local students and the actual costs of training. In Romania, university senates can set the final size of the fees for foreigners, but not less than the amount set in the Government Ordinance.

It is interesting to compare the existing situation in these countries with respect to cash balances from the end of the year. For example, in Scotland, the Scottish Funding Council audits every three years the use by universities of financial resources aimed at teaching, and if it happens that during that period the number of students is smaller than originally planned, then the amount of funding will be reduced by that amount for the next period. Balances from own sources are kept by the university and can be transferred to the following year. For universities in Sweden, Denmark and Romania unused funds, regardless of their sourcing, remain at the university and can be reported from year to year. In Denmark there is one condition: the cumulative result of income-generating activities cannot be negative for four consecutive years.

When referring to the ownership right over buildings, we find that the situation in this respect is also different. Thus, the universities in Lithuania, Romania, and Denmark can be owners of buildings purchased from their own sources. Those purchased from public funds belong to the state. In Sweden, the universities do not have ownership rights over buildings. They are renting premises from the State through a special state agency In Scotland



the property is only under universities' management. In these situations the behaviour of universities in making investments in the development of infrastructure is different. Thus, only universities in Romania and Lithuania are interested in making investments in real estate. In other countries, these services are outsourced and universities are not involved in this process. In all the countries surveyed there are certain ways to support students. Performance scholarships and social scholarships are granted to students in Lithuania and Romania. In Lithuania students can obtain state-supported loans to cover their study costs, living expenses. In Scotland scholarships are awarded by an independent agency. In Scotland, Sweden and Denmark students benefit from grants and loans under certain conditions. Thus, in Denmark and Scotland loans should be repaid during 15 years after graduation, and in Sweden – during 25 years.

The financial autonomy of universities offers the possibility to manage financial resources and contribute to creating working and study conditions for students and academic staff. This allows the university to differentiate itself from other universities, creating premises to ensure excellence and its competitiveness.

Regarding the distribution of sources within the university in Lithuania it is performed in a centralized way by the administration, while in other countries (Scotland, Sweden, Denmark and Romania) – in a decentralized manner. In Scotland each department, each person has a special account. The faculty pays for the hours worked within the faculty. In Sweden the mechanism for allocating financial resources consists of 2 components – educational and research. Educational resources “follow” the student, stimulating in this way development of new attractive courses and/or improvement of the existing ones in order to attract more students internally. Research funding is allocated according to the projects in which academic staff is involved. Salary of each academic person is a sum of educational and research funding and the percentage of each portion varies from 0 to 100%. Many Danish universities apply the principle of funding under internal allocation of funds identical to that at the country level. The principle is: money follows the activities. In Romania budget funds are allocated to faculties and departments, depending on the number of students, the average annual cost per student, the compliance with quality indicators of the educational process and other criteria established by the Senate. It emerges universities have freedom in deciding the directions for financial resources use, as well as developing internal regulations which detail or reflect certain aspects of financial autonomy along increased responsibility for their entire performed activity, including quality assurance of education. Each country has accepted its model that is most appropriate for the country. Different components of this model are in constant development, so universities (also the state entirely) are looking for some optimizations.

At the same time, we have noticed different degree of autonomy of universities, and also for each separate criterion. Each university, when taking decisions within the boundaries of financial autonomy, is subject to certain risks. In this case, the importance of collective decision, thorough analysis of the situation, and also the internal monitoring of the use of financial resources increases.

### 4.3. Human Resource Autonomy

The purpose of this study is to perform a comparative analysis of human resource autonomy in five European countries, whose experience and best practice will serve as the basis for drafting proposals to amend the existing legal framework in our country.<sup>3</sup> All dimensions of human resources autonomy are examined in the context in the five European countries by analysing a series of normative acts both university documents, as well as others, issued by external authorities.

To ensure clarity and comparability of results and to get a broader picture of national trends, the scope and constraints on institutional autonomy, in the third stage of the project study visits were made to EU project partner universities. The comparative study is developed based on the following criteria and sub-criteria which, in our opinion, characterize in a comprehensive way all aspects of human resource autonomy: (1) Freedom/capacity to decide on recruitment and employment procedures, incl., bodies responsible for recruitment and employment procedures; methods and procedures for recruitment and employment; approval/confirmation of recruitment/employment; types of employment and employment contracts; conditions for appointment to posts in higher education; academic career; staff of the institution; (2) Freedom of institutions to decide on promoting employees, incl., evaluation of employees; role of students in promoting teaching staff; academic mobility of academic staff and internationalization policies; rights and freedoms of academic staff; invited academic staff; awarding of honorary titles; (3) Freedom to decide on workload, including, structure of teaching/academic workload; work time; obligations of staff in higher education institutions; (4) Freedom of the university to decide on the payroll structure and system, including, wage structure; incentives; structures entitled with the right to fix wages; (5) Freedom to decide on the termination of employment contracts, including, reasons for termination of employment contracts specific to higher education institutions; termination of employment contracts of staff with managerial functions.

The analysis of the legal acts in the field from the five EU countries revealed some common points, but also some differences of the autonomy of human resources due to both the specificity of the applicable legal system, as well as economic and social conditions in each country. In Scandinavian countries – Sweden and Denmark, due to a well-developed social security system, a central role in achieving the autonomy of human resources is played by unions, which are a key factor influencing the implementation of all human resources autonomy criteria. Employees in higher education in these two countries are employees of the public sector, but, as in the remaining countries, their employment does not need to be confirmed by an external authority. In all countries, the rector or the principal (Scotland) is the employer who concludes employment contracts, but the selection of staff is conducted by peer structures, called committees for employment, assessing candidates with respect to their compliance with performance criteria established in the institution. Any vacancy shall be made public, both at national and international level, with the exception of Romania

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<sup>3</sup> In the benchmark report we concentrate on academic staff only. But we do realize that autonomous institutions probably have more non-academic staff than academic and that the HR has to address their needs as well and this may produce conflictual relations. This however was outside the scope of this benchmark report.

where the vacancy is announced in the Official Gazette. For appointment, minimum conditions are established by the state and the institutions are entitled to set their own conditions for access to academic career, according to their specificity. In Scotland, each HEI divides its staff into four major categories, so-called JOB FAMILIES. This classification provides assistance for the HEI to group together the jobs that have similar characteristics. This classification is a good support in career development, job description and further information about the position (including academic positions) and takes into account the institutional development and training needs. Also the pay scales are underpinned by the implementation of an institution wide job evaluation scheme (HERA – Higher Education Role Analysis), which harmonises a range of terms and conditions by removing unnecessary distinctions between the staff groups. The objective of the academic career in higher education institutions in the five countries is to recruit people who have obtained a PhD degree, to employ them in higher education institutions and to provide them opportunities for a lasting academic career development, both in teaching and research.

In all countries the employment is initially performed for a fixed period of time, subsequently, if the person meets the criteria set, an employment contract is concluded for an indefinite period. The autonomy of the institution is manifested in the right of the institution to negotiate the employment contract and establish specific duration of contracts for those with a definite period. Except for Romania, the appointment of staff does not require approval from any external authority.

Career promotion<sup>4</sup> of personnel in the universities from the five countries is done according to the internal procedures of evaluation, with certain exceptions in Romania, where the National Education Act regulates these procedures. Promotion in a higher position shall be conducted on a competitive basis after prior verification. Similarly, evaluation of employees is part of the quality management system in force in each institution. It is critical to point out that academic staff also applies for higher level posts in other HEIs, i.e., there an active job market. At the same time, academic mobility has implications for the exercise of HR autonomy. Universities need to be aware of best practice conditions and salary levels in other competitive institutions.

The academic load of academic staff consists of teaching and research, as well as the activities of administrative nature. Remuneration in Denmark and Romania is dominated by the public sector payroll structure and involves limitations imposed by legislation. In Sweden and Scotland, institutions have full autonomy regarding the payroll structure. As for Lithuania, here remuneration is not subject to legislation in the public sector, but there are some limitations, and the institution must meet a minimum guaranteed by the state. The structures setting the wages are peer bodies. The establishment of those peer bodies responsible for academic staff salaries aims to increase the applicability of the transparency principle in the remuneration system. The fact that the payment for the academic activities includes not only teaching but also research activities confers attractiveness to academic

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<sup>4</sup> There is a need to distinguish between “promotions” and “recruiting”. In Denmark, there are no promotion possibilities. You can only move from one level to another by competition, which basically means you are recruited for the next level through a competitive process.

career and can serve as an example of good practice for our country in the light of the new approach of the academic load structure and remuneration system for academic staff.

In the HE sector in all countries staff training is highly developed. The development of the academic staff starts from the early enrolment in doctoral studies. In Scotland, for example, the lecturer (note: the levels tend to be: lecturer, senior lecturer, reader, professor) is assisted for a long period (up to three years) by a mentor, selected among the experienced staff. From the first days of the employment for the new employed is established a probation period which aims to prepare and to develop the young academics. During this period the staff is not tested whether s/he corresponds or not to the position, but is trained for his/her academic career which contributes to professional development. Also it is an example of good practice that can be implemented in our country because it would help for the new employed staff to integrate into the academic community. In Scandinavian countries there's no probation period, but each member of academic staff can benefit from the established professional development and training units that activates in the HEIs. The development and training of HE staff are part of institutional strategy.

The implementation of all those strategies including HR development strategies and the development of HR policies are done by well trained professional HR units in European autonomous institutions. The representatives from HR units participates in the peer bodies responsible for the remuneration system and for the employment and promotion of all kind of staff that activates in HEIs including in the peer bodies responsible for rector and vice rector's selection. Also the representatives from HR units are responsible for introducing new member of Boards to the business of a university (not in Romania).

The employment contracts of staff in higher education institutions in all five countries may cease, as a rule, in connection with the expiration of employment or at the initiative of either party. Higher education institutions have well-developed policies and the grounds for termination are regulated under the general rules of labour law. Staff redundancies are present in all countries, but HEIs are obliged to respect the legal provisions in this matter: notice period and different kind of allowances that should be paid. Also, non-discrimination criteria should be basis for staff redundancies.

Following the analysis of those regulations of the higher education system in the visited countries there were drawn certain conclusions presented below. Ministries of these countries are bodies that develop personnel policies that should be considered and implemented by institutions, taking into account the principle of non-Interference. In four countries the legal frame established by the Government/Parliament involves a recommendation character: the state develops policies and HEI are free to implement according to their objectives and missions. At the same time, the ministries have an advisory role in the work of the institution. The Ministry is an equal partner, not a supervisor and in no case is not a "higher court". Less can be said in Romania, where the role of the ministry is one of the main ones, coordinating and monitoring all activities related to personnel.

Competitions on employment are open and people fulfilling the conditions can participate in the contest, without discrimination, under the law, and the methodology of competition cannot contain discriminatory provisions on candidates based on gender, ethnic or social origin, nationality, religion, and disability, political opinion, social or economic conditions.

Competition methodology cannot refer to seniority in service and cannot contain provisions that disadvantage candidates from outside the institution or from outside the country. The description of the vacant position will be made in comprehensive terms that correspond to the real needs of the higher education institution, taking into account not to limit artificially the number of potential candidates. All vacancies shall be made public. Similarly, no external authority approves the election of the rector (with the exception of Romania, where the rector is confirmed by the Minister of Education and concludes with the senate a management contract which provides managerial performance criteria and indicators, rights and obligations of the parties), HEI being absolutely autonomous in the realization of the right to recruit and elect the executive manager in all countries except Romania. HEI's Council is responsible for the termination of employment of staff with managerial functions. In Romania, HEI is not autonomous in this respect; the Rector can be also revoked by the relevant minister, under the law, after consultation with the University Senate – governing body elected by HEI staff.

Collaboration with business and other stakeholders in all universities visited is part of teaching and research activity. It is highlighted both by the fact that academic staff could be involved in industrial research as well, including supervision of industrial PhDs (note: this may differ from university to university). The mobility of academic staff to achieve teaching activities, but especially for research, is an important criterion in evaluating academics. Critical to this is the market for academic staff which has a significant impact especially in fields where there is a shortage.

The highlighting of similarities and differences across the five systems reveals that there is no perfect model of human resource autonomy, but there are good practices of universities with old traditions that if taken over and adjusted to the socio-economic realities of our country could give good results, would strengthen institutional capacities of higher education and would increase the autonomy of existing human resources management, correlating it with the principle of public accountability of each institution or: university autonomy means freedom with a high level of responsibility.

#### **4.4. Academic Autonomy**

Defining academic autonomy as the capacity of the university to make decisions regarding its vision, mission and academic profile, the introduction or elimination of study programs, choice of language for studies, designing the structure and content of programs, and issues such as the admission of students or ways of ensuring quality of programs and awards, decision on the areas, scope, aims and methods of research have been highlighted in 10 criteria and 37 sub-criteria for the analysis of Academic Autonomy in five EU countries (Lithuania, Scotland, Sweden, Denmark and Romania). The criteria refer to: introduction and liquidation of study programs, admission to studies, recognition of studies, accreditation of study programs, National Qualifications Framework (NQF), organization of studies, employment of graduates, academic staff workload, scientific research and doctoral studies.

In this initial report academic autonomy in each of the countries named is analysed, in the light of these 10 criteria. Then a comparative analysis for all countries is done. On the



foreground there are brought issues of government–university relations. Where appropriate, it is also revealed the relation between management–staff, staff–students, relations with the business world and some aspects of internationalization.

The Parliament and the Government decide on the establishment or liquidation of higher education and research institutions, approving/setting regulations, objectives, guidelines and resource allocation by domains. The Ministry of Education (under various names) is the authority responsible for education and research in higher education institutions; it is the body that decides on permitting the awarding of qualifications by these institutions. A private higher education institutions may lose its license if it does not meet the quality standards (Romania, Lithuania).

Four types of higher education institutions can be found in the 5 countries: trade academies and colleges that offer professional undergraduate programs (short-term higher education, 2-3 years); universities that offer undergraduate and graduate scientific programs (graduate) and PhD; university institutes specializing in arts. Institutions may be state / public or private. In the UK the word “university” in the name of the institution may be used only with the permission of the Privy Council. Private colleges, in order to have the right to bring foreign students to study, need to be accredited by the British Accreditation Council or the British Council and Accreditation Service for International Colleges. They grant the accreditation following the external evaluation of institutions.

The limited number of universities impresses (in Denmark, for example, there are only 8 for a population of 5 million. Universities are established by law or royal act. Colleges (professional) are more numerous and are established by the decision of ME.

Undergraduate programs have duration of 3-4 years (180-240 credits) depending on the profile and the degree obtained at the end (ex. Scotland, Romania). The Ministry of Education determines the general requirements for college study programs, the study programs for cycle 1, integrated studies and masters. New programs for college and undergraduate studies must correspond to the Nomenclature approved by ME. New programs are initiated at the request of the economic environment or when setting new scientific directions (Scotland, Denmark, Sweden). Institutions (the program team) develop the program in accordance with these requirements; they shall be approved by the academic Board (University Senate), then go through an approval process for temporary operation until accreditation.

So, institutions are free to decide on the introduction or liquidation of study programs for cycle I, if they fulfil the rules set by the Ministry.

With regard to cycle II, professional and research masters are practiced with the duration of 60-90-120 credits, depending on the duration and type of the first cycle. A single condition exists – the total duration of the first two cycles is not less than 300 ECTS. Other conditions are formulated by each university and are made public. The Ministry of Education provides the right (authorizes) to conduct masters and doctoral programs only to institutions that carry out research in this area. New master programs must demonstrate originality in application and advancement of knowledge.

New doctoral programs usually occur as a development of research programs. Institutions may grant a PhD in areas where they conduct research and they have established a doctoral school, either independently or in cooperation with other institutions approved by

the ministerial order. The doctoral school must be accredited. The title of PhD is awarded to students who have successfully completed the PhD program and successfully defended the PhD thesis.

In all programs, studies are usually carried out in the national language. In parallel, programs can be set with the use of English, especially at the Masters and PhD at the institution's decision, aiming to attract foreign students to studies and enhance mutual mobility. For example, in Sweden all Master and PhD level programmes are taught in English, PhD thesis is also presented in English.

The Ministry of Education or other state bodies (Council for Higher Education in Sweden, Universities and Colleges Admissions Service in Scotland) coordinate centrally the application process to Bachelor programmes but each institution is responsible for selecting and admitting students – they are not allocated to an institution by external bodies. Typically, enrolment is done online. The student is free to choose programs and institutions in his/her priority order. In Sweden, the Government decides about the amount of funding for educational purposes per each institution; each HEI then decides about a number of students to be enrolled to each programme.

The Government approves the quota for admission to study programs depending on the capacity of university structures to ensure quality education. This capacity can be set in the accreditation process of the program or institution. In Romania, the Ministry of Education draws up a framework methodology each year and each higher education institution shall develop and apply its rules of organization of admission to the study programs offered.

For admission to master studies the contest is based on undergraduate degree obtained at related programs; graduates of colleges shall be admitted after one compensatory year. The specific requirements for admission to the MA and PhD are determined by university at the level of the study program. The Ministry of Education determines only general rules of admission. Admission to the second cycle is the responsibility of the university, which determines its own admission methodologies.

Admission to PhD is based on the Regulation developed by the Research Committee, or a similar structure, which provides grants for PhD directly or through projects on a competitive basis. Admission to doctoral studies is based on master's degrees or integrated studies with 240 credits.

Admission of foreign students is carried out by university's admission committees. The Government influences in various ways quotas for the number of students admitted to the studies. A distinction is made between full time programme students and student exchange. Admission of foreign full programme students (global recruitment) to cycle I and II is done in selected areas and education is offered in English. The recruitment of exchange students within the EU is done by all five universities but in some countries with certain restrictions or financial penalties in case of large imbalances (e.g., in Denmark, the Government penalized the universities for imbalances in the in – and outward flow). Admission requirements for cycle I and II for foreign students are the same as for local students.

Universities are autonomous in the use of different methods of professional guidance. A special role in the fair and objective informing of students rests on centralized admission services (e.g., UCAS in the UK).

Quality assurance of university education and research is an obligation of each institution of higher education. At the national level, there are Quality Assurance Agencies that undertake and provide external evaluation and accreditation of study programmes and higher educational institutions based on clearly defined and transparent procedures and criteria established by the Agency in compliance with the European Standards and Guidelines. The efficiency of the institutional system of quality assurance is a special field in the external evaluation of study programs or institution as a whole. Higher education institutions have the right to provide education only for accredited programs. Study programs in the UK are subject to evaluation once every six years in order to assess if they meet quality standards (note: the review is more concentrated on the quality systems and does not involve evaluation or accreditation of programmes). For the external evaluation and accreditation of study programs a National Quality Assurance is established as an independent public body. The methodology, program external evaluation procedures and criteria of quality and relevance are developed, usually by the Agency and approved by order of the Minister of Education or Government decision. Evaluation is based on several fundamental criteria: the demand of the study program concerned on the labour market; the program is based on research and is in connection with an active environment for high quality research; internal continuous quality assurance of the program. There are subject to evaluation and accreditation also the branches of institutions abroad and subsidiaries of foreign institutions.

The experience of Great Britain is of great interest – evaluation criteria are described very explicitly in the UK Quality Code. Each quality criterion contains detailed instructions and explicit normative documentation the institution must have and present to evaluators. The code is an integrated document that meets the basic requirements for all stages of life cycle of university training process. This Code is developed and maintained by the Quality Assurance Agency of UK.

Universities in some countries are free to choose, for the external evaluation, a Quality Assurance Agency from abroad that is listed in the European Register EQAR. The decision on accreditation remains with the Ministry of Education or another national authority empowered by ME.

A National Qualifications Authority (NQA) is a statutory body awarding and accrediting qualifications. NQA provides qualifications recorded with various types of certificates (for secondary education), diplomas and degrees related to higher education levels. Higher education qualification levels are described in terms of learning outcomes (descriptors) and in terms of credits.

National qualifications frameworks in the countries visited are compliant with EQF and comprise eight levels of qualifications, four of them relate to higher education: professional (5), Bachelor (6), Master (7), and PhD (8) levels. An exception is the QF of Scotland, which provides 12 levels of qualifications, but rules are provided for compatibility with EQF. NQA is under the auspices of the Ministry of Education / Government. NQA also coordinates the development and maintenance of the National Register of Qualifications in Higher Education. Including certificates and degrees / diplomas in the NQF Register is based on an assessment of learning outcomes that individual degrees / certificates document in relation



to the NQF level descriptors. Higher education institutions are required to register in the Register the information regarding the skills they develop through their offer of study.

The qualifications descriptors for higher education, present in the NQF, are used as standards, quality criteria for the development, assessment and accreditation of study programs. In all 5 countries the European Credit Transfer System ECTS is used.

Higher education institutions are responsible for organizing the whole process of studies, design of study programs and courses, current and final assessment procedures. The entire content of study programs must correspond to the objectives and learning outcomes and competencies set out in the NQF that the student must possess at the end of studies. University study programs are designed by research initiative groups usually with good results.

For example, in the UK the design, approval and implementation of programs is carried out in accordance with standards established by the Quality Code, developed by the Agency for Quality Assurance in Higher Education of the UK, including a number of indicators of good practice on program operation, mechanisms that higher education service providers can base on to enhance the quality of the program put into action.

The final evaluation is an act of appreciation of the competencies acquired by the student in relation to the purpose prescribed by the program. Institutional normative acts define the defence procedures and requirements for the content of the paper.

The NQF of Romania, Denmark, Scotland clearly define the correspondence between the qualification levels of the Framework, educational documents to be issued, the type of education and professional training programs that can be acquired at the qualification levels and reference levels of the European Qualifications Framework (EQF).

Given that the rate of employment and career progression is a performance criterion of the study program and of the institution, efforts are made to facilitate this process at all levels, including national level. Program teams, departments keep records of their graduates' employment and career advancement. At the study stage, preparatory training to the employment process is organized.

The Labour Code of the countries examined sets a working week of 35-40 hours per week for academic staff. Institutions, independently, establish internal methodologies for calculating and allocating the teaching and research workload. It is noted that the core activities of universities consist of conducting research and research-based teaching.

In all countries considered, scientific research is an indispensable part of the process of training of specialists with higher education degree. Research is concentrated in thematic departments and is financed from the state budget and projects, and non-budgetary research grants. At the moment, in most universities non-budgetary grants together with the grants from international collaboration are comparable in size to the budgetary ones.

The university is autonomous in creating its own organizational structures and conducting scientific research: centres or laboratories, design units, consulting centres, university clinics, micro-production facilities, other manufacturing and transfer of knowledge and technology entities. To conduct research, a crucial role is played by the collaboration with businesses for the purpose of transfer of technology and innovations. There are also specialized research institutes combining research with the academic process.

Master students are involved in applied research so as in cycle III to develop autonomous valuable scientific research. In Denmark involving students in research is considered a fundamental principle of university education.

In Denmark research excellence of academic staff is encouraged through various financial incentives: additional funding for institutional development, mobility grants for research at other universities in the country or abroad.

The Ministry of Education (Romania, Lithuania, Denmark, Sweden) grants the right to offer doctoral studies to universities alone or together with research institutes. The right is granted based on external evaluation. Doctorate is considered as based on research studies; it lasts 3 years of full time studies, and in engineering – 4 years.

Issues related to the organization of doctoral studies (PhD students' admission, the organization of doctoral program, appointment of the supervisor) are part of university autonomy. The university establishes rules for access to the PhD program.

Doctoral studies are carried out in doctoral schools, which can be organized: by a university, university consortium or with R&D units and doctoral centres. The organization of doctoral schools is determined by a regulation, which is developed by the Research Committee, the specific elements are detailed in institutions' own regulations. Study programs at the third cycle shall be completed with the defence of the thesis. The university decides on the evaluation, grading and defence procedure. The Faculty or School appoints one or two opponents, and a board of examiners of the PhD thesis and defence, where at least one member is from another university. Only the board makes decisions on grading the thesis and awarding the doctoral degree. The degree is confirmed by the University Senate. For example, in Sweden doctoral education is carried out via PhD programmes offered by a university. There are specific rules for establishing a new PhD programme. Enrolment to PhD studies is regulated by internal university documents. Generally, according to the Swedish legislation a PhD student shall be employed by the university for the period of study – 4 years. Consequently, a PhD student can be enrolled to a programme only if respective university department confirms availability of the funding for the entire period of studies.

In Lithuania, Romania and Sweden there is no different degree than the PhD in science or arts. In Scotland, the higher doctorate degree following the PhD, is awarded to a person for valuable research or publications. The title is awarded to persons from education, based on published works, but it does not have a distinctive position in the qualifications and is considered an honorary title. In Denmark the higher degree of doctor (doktorgraden) is awarded which is similar to the degree of doctor habilitate in Moldova, but, in this case, the requirements are much simpler.

Post-doctorate (“postdoc”) is an individual holding a doctoral degree who is engaged in a temporary period of mentored research and/or scholarly training for the purpose of acquiring the professional skills needed to pursue a career path of his or her choosing (<http://www.nationalpostdoc.org/policy-22/what-is-a-postdoc>).

Thus, analysing the legislation in force of the five European countries with respect to their higher education systems, and the representative internal normative acts from five universities in these countries, it can be observed homogeneity in the treatment of the most

important aspects of academic issues. This, in our opinion, is due to the implementation of the baselines of the Bologna process, which aims at harmonizing the education systems, and whose basic components are: academic work and research. Higher education institutions in the EU countries have a well-defined academic autonomy and concrete obligations and responsibilities in front of the central administrative authorities.

Central administration determines policies and development strategies of education, and is responsible for assessing the achievement of these strategies.

Institutions are fully responsible for the quality of the final results being autonomous in the choice of procedures, mechanisms and instruments for the deployment of the educational and research process. The whole process – from planning / program design to the final exam – is focused on providing the intended learning and research outcomes. All partners are involved in these processes: administration of institutions, academic staff, students and technical staff.

In the legislative acts examined in five European countries and the normative acts of the institutions visited it is specified the important role assigned to students in the quality assurance process: students have a strong voice when it comes to the assessment procedure of the course of (questionnaires/surveys that are made compulsorily after completion of each course / module), students are present in the teams of regular self-evaluation and external evaluation of study programs, they participate in governance and management bodies of the institution and its structures.

The autonomy of universities in the development of relations with the economic environment is also an effective mechanism for increasing the quality in education and research, and is widely used by European universities. By mutual applied research, involving specialists from enterprises in teaching and organization of internships, development of Bachelor / Master theses/projects, through effective technology transfer of industrial and management governance to universities (establishment of strategic development councils at university / faculties), it is exploited the synergy of the development potential of the two sides / environments.

European universities are in constant search for new financing mechanisms / ways, broadening of the spectrum of activities and services provided (such as the entrepreneurship, further education) in order to ensure their sustainable development given the fierce competition on the educational services market.

## **4.5. Emerging Patterns**

Tables below summarise key evaluation criteria per autonomy type, common patterns that emerged during the analysis, as well as the emerged variations.

Table 9. *Emerging patterns in organizational autonomy*

<b>Evaluation criteria</b>	<b>Emerging patterns</b>	<b>Variations</b>
University governance	Tendency to have a clear division between governance and management to avoid conflict of interests, to enhance accountability and efficiency	Unitary system vs dual system
	The existence of a governing body (not numerous), which includes external members and provides strategic and efficient activity. In some models the external members of the governing body are appointed by an external authority.	No external members are included in the governing bodies. Introducing a consulting body to the university governance with external members.
University leadership	The tendency to appoint / designate the rector, and not elect him/her. Non-involvement of external authorities in selecting the rector. The rector is responsible for his/her activity to the governing body of the university.	Appointment of the rector by the governing body vs appointment by an external authority. There is also the possibility of electing the rector by the whole academic community.
Managing academic activities	The presence of a collective body, usually the Senate, representing the university community and being responsible for academic issues.	Senate – governing body vs Senate – advisory body.
Freedom of universities to decide on the internal structure	In most of the models universities have the freedom to determine their organizational structure and change it. Changes in the organizational structure, in the respective models, do not require approval by external authorities.	Regulation of the internal structure of universities by the legal act.
Representation of students in university governance bodies and management	Practically in all of the analysed systems students are represented in all decision-making, executive and advisory structures of the university. This is stipulated in institutional regulations, and in the legislative acts of some countries as well.	The governing bodies include only cycle III students, employees of the institution.
University freedom to create legal entities: non-profit and / or commercial	There is a persistent tendency to give universities the freedom and flexibility in creating legal entities: non-profit and / or commercial.	The existence of restrictions on the activities undertaken and the use of proceeds from the activity of these entities

**Table 10. *Emerging patterns in financial autonomy***

<b>Evaluation criteria</b>	<b>Emerging patterns</b>	<b>Variations</b>
Funding models	The reviewed models of university funding cover all university costs	Global funding (grants vs. subventions)
Funding mechanisms in higher education	The funding is made on several lines. In all countries: for studies, research etc.	Taximeter system – Denmark: Romania – the performance is stimulated through a series of indicators and the third component of the funding – the additional funding
The methodology for the allocation of budgetary resources for university funding	Based on a calculation formula. It takes into consideration: the number of students and the cost per student. Varies by study cycle, shape and area of study. It is based on the situation from the previous year. An Agreement for a period of 2-3 years is signed. Depends on the existing budget at state level.	The number of students varies from: the physical ones in Lithuania, FTE (by graduation) – in Scotland, only those who promote – in Denmark, Romania equivalent student (is equivalent depending on the degree and type of education). Sweden: 60% FTE: 40% physical students
Calculation of the cost of a student's training	Including all of the expenses incurred to the institution	Different methodologies: TRAC – Scotland Full Costing: Sweden, Denmark
Forms of private Funding and monitoring	Private funding sources are well determined by various laws and do not essentially differ from country to country. Monitoring of their appliance is undertaken according to strategic decisions made at University level.	Specific, for example, Scotland – Sponsorship of functions
University freedom to borrow money from national and international financial markets	The legislation of all countries allows money borrowing from financial markets	No-restrictions loan (Denmark) Loan with the permission of certain national authorities (Scotland-CSF) and within a certain limit (Lithuania) or from specific banks (Sweden)
The degree of freedom of universities in determining the size of the tuition fee	Universities determine the amount of the tuition fee	The minimum limit: Lithuania has set a minimum tax threshold (the size of the budget allocation for a student). In other countries: provided that they meet the cost of preparing a student

<b>Evaluation criteria</b>	<b>Emerging patterns</b>	<b>Variations</b>
Reporting of the unused funds from one year to another	Next year funding (for teaching and research) is adjusted based on performance in the previous period (1 to 3 years).	Unrestricted reporting (Denmark, Romania), Limitation to a maximum percentage – 10% of the budget (Sweden) Reimbursement of the money left at the end of the year from the state budget with the unconditional reporting of the own sources (Lithuania)
The capacity (freedom) of universities to be the owner of the building	In all countries Universities are responsible for the proper management of the building.	Sweden: Universities cannot be the owner of the building, in other countries – the building purchased from its own sources belongs to the university, the one purchased from the state budget – belongs to the State.
Policy on the tuition fees for foreigners	The same approach for EU citizens as well as for domestic ones; Higher fee for foreigners (non EU) than for domestic ones.	Universities are free to determine the level of fees: Lithuania, Sweden, Scotland Universities are free to set the charges <i>in coordination with an external authority</i> : Denmark Establishing the minimum amount: Romania
Scholarships and other financial assistance/support for students	A certain financial support is given to students.	In Romania and Lithuania universities are free to set the size of the scholarship. In Scotland and Sweden – the service is outsourced to independent agencies at country level. In Sweden and Denmark national students have the right to financial aid.
Allocation of financial resources within the university	The mechanism, mainly, repeats the allocation mechanism at national level.	Centralized: Lithuania Decentralized: Scotland, Sweden, Denmark, and Romania. The principles applied: The money follow the students – Lithuania The money follow the activities – Denmark



**Table 11. *Emerging patterns in HR autonomy***

<b>Evaluation criteria</b>	<b>Emerging patterns</b>	<b>Variations</b>
Freedom to decide on the recruitment/employment procedures	The higher education institution has the right to develop its own procedures, to set its own criteria of employment to the extent that they do not contradict the general rules of labour relations legislation and the principles of non-discrimination and equal opportunities. The legislation sets out general criteria for hiring and recruitment, and the institutions are entitled to develop these procedures.	In this respect, Romania is an exception, as the criterion of human resources autonomy in this country is very limited by the state. The state establishes minimum requirements and the institution has no right to derogate from these, but it can apply more rigorous criteria. A limitation of university autonomy is reflected in the procedure of announcing vacancies and competition development.
Institution's freedom to decide on the criteria for employees' promotion	State intervention in this area is very small, each higher education institution is entitled to establish its own assessment procedures, higher education institutions pledging to ensure the respect of the equal opportunities principle and will not allow any discrimination on grounds of race, nation, ethnic origin, sex or disability, age, religion, sexual orientation or marital status. The State establishes only the general legal framework in the field, and the institutions are entitled to adopt their internal system. At government level the description of occupational standards is performed: e.g.: HERA in Scotland, Memorandum on Job Description in Denmark etc.	The exception is Romania, where a limited autonomy in this area is seen: performance indicators are developed by the institution, but the state maximally monitors the performance of the assessment procedures through the Romanian Agency for Higher Education Accreditation and Certification.
Institution's freedom to decide on the workload	In general, the workload includes teaching and research and administration activities, while the distribution of activities is decided at department level, depending on the potential of human resources of the subdivision.	In Romania, the amount of activities is unified at national level, being regulated by the Law on National Education.

<b>Evaluation criteria</b>	<b>Emerging patterns</b>	<b>Variations</b>
Institution's freedom to decide on the salary system	The law sets the salary system, setting maximum and minimum wage limits, institutions being flexible at establishing award schemes, various salary increases, depending on the complexity and volume of work performed by an employee.	In Romania, the criterion of human resources autonomy is limited by the State, which, by the Framework Law no. 284/2010 regarding the unitary remuneration of staff paid from public funds, aims at establishing a unitary payment system for public sector staff, paid from the general consolidated state budget. Similarly, there are exceptions in Scotland as well, where the higher education institution is free to set its own salary and rewarding system, the State not being involved in any way in this area.
Institution's freedom to decide on the means of labour relations' termination	Regarding the respective criterion, the institutions have developed policies of non-discrimination at termination of employment, and the grounds are generally covered under labour legislation of each country. Dismissal of senior staff is specifically regulated, listing the conditions to be met when applying this ground, the difference being only in the bodies taking the decision: from internal councils in Lithuania, Denmark, Sweden and Scotland to the resort Ministry in Romania.	

Table 12. *Emerging patterns in academic autonomy*

<b>Evaluation criteria</b>	<b>Emerging Patterns</b>	<b>Variations</b>
Introduction and liquidation of study programs	Common types of programs are LMD. Institutions are free to decide on the introduction or liquidation of the study programs cycles I, II, III, if they meet the rules set by the Ministry.	In some countries (Scotland, Denmark) short – term (2.3 years) higher education professional programs are allowed as well.



<b>Evaluation criteria</b>	<b>Emerging Patterns</b>	<b>Variations</b>
Enrolment	The ME or other structure is responsible for the centralized admission on behalf of higher education institutions. [? not in Scotland] The registration is performed online. The studies are free for domestic and EU citizens, foreigners have to pay taxes. The admission to master's and doctoral studies is determined by the university. The ME determines the general rules.	Universities are autonomous in using different methods of vocational guidance. The training of students is fully the responsibility of university structures.
Recognition of studies	The ECTS constitutes the reference element used by universities at recognizing studies or undertaken study periods. The studies performed within motilities are recognized under agreements. A state authority (ex. NARIC in Scotland) is responsible for the recognition of diplomas, access to education and promotion of the profession. [NARIC's role relates to overseas qualification evaluation not the recognition of Scottish qualifications –this needs to be amended]	The rules for the recognition of credits and periods of study performed in another university in the country or abroad are set by the university and are components of curricula.
Quality assurance	HEIs have the right to offer only degree programs accredited by the Independent Accreditation Agency for HE. {Not the case in Scotland} Fundamental criteria: labour market demand; research-based studies; internal continuous quality assurance program. Quality assurance is the obligation of the institution, which draws up its own system.	Participation of foreign agents in the external evaluation of study programs by some countries (Scotland, Denmark) is not accepted. There are various ways of performing the accreditation / non-accreditation decision-making process.
National Qualifications Framework	A National Qualifications Authority is the statutory body awarding and accrediting qualifications. They are registered in the National Register, which is public. The levels of qualification for higher education are described in terms of study finalities (descriptors) and in terms of credits. Four levels of qualification for higher education.	Different number of levels, including for higher education (ex. CNC of Scotland offers 12 levels, 6 for higher education, the CC of the EU and other countries – 8 and 4, accordingly).

Evaluation criteria	Emerging Patterns	Variations
The content and implementation of the study program (organization of studies)	HEIs are responsible for designing programs and courses, current and final assessment procedures. But the program curriculum (objectives, learning outcomes, competences) must comply with CNC legal acts issued by the Ministry or other subordinated entity (ex. Quality Code in Scotland).	Specific for the Danish system is the external examination at both final stages of the study program and at the assessment of semester modules as well. The way of completing the license/bachelor cycle differs (with or without project).
Employment	The rate of employment and career advancement is considered a benchmark of the study program and institution. Departments keep graduates' employment record and their career progression; organize students' training for the employment process.	There is a difference in the involvement of state structures on post diploma course record (records, feedback). In some countries universities are obliged by law to have career guidance structures.
Workload of academic staff	The trend is to distribute the workload between research and teaching (50: 50, or 60:40, 40 R) and account it. Departments / chairs decide. E.g., in Sweden there is no strict recommendation on research/teaching commitments This division is set out on department level depending on current situation.	Different methods of teaching hours', research and community interest activities' accounting.
Scientific university research	Education and research policy is defined and implemented by the ME, the Research Council and the Centre for Quality Assessment (in teaching and research). The research is funded by the state budget and projects. The University is autonomous in creating its own organizational structures and research performance.	Different ways of cooperation with business environment in research areas. This collaboration is often organized as competence centres, associations, partnerships, which are autonomous units.
Doctoral studies	Are considered as research-based studies, have a minimum duration equivalent of, usually, 3 years full time; in engineering – 4 years. The University decides on the curriculum, evaluation, assessment and support procedure.	In Denmark and Scotland there is a Ph.D. education, provided on the basis of published works, but it doesn't have a distinctive position in the qualifications. In the UK, besides the PhD, a professional Ph.D. is also provided.

## 5. CONCLUDING REMARKS

This report summarized the key findings from the four benchmark studies conducted by the EUniAM Lead Task Force team in 2014. The Lead Task Force team conducted a comparative analysis of institutional university autonomy in Denmark, Lithuania, Romania, Scotland, and Sweden. For each type of autonomy, the members of the team identified respective evaluation criteria and searched for similarities and differences in approaches to higher education sectors in these countries.

The organizational dimension is in the centre of changes. An approach to corporatization of universities is emerging, separating governance from management, introducing university Boards where majority of members are elected from outside university. More autonomy and independence from the Ministry brings increased public responsibility and accountability. The experience from visited countries shows that better governance of HEIs is provided by the governing bodies with a small number of members, among which external members form the majority. It was also interesting to observe that adopting corporate type of leadership contributed to a wider autonomy in the universities management and in the determination of their internal structure.

The role of students in university governance and management increases. Students become members of all university bodies – governing as well as managing bodies. Student centred learning is a trend in the university educational system.

The role and tasks of academic staff is changing. Academic staff is no longer a teacher, but a facilitator in the student-centred learning process. Equal share of their time is devoted to research and knowledge transfer for academic staff. Academic staff's governance and administrative responsibilities also increase. The fact that the payment for the academic activities includes not only teaching but also research activities confers attractiveness to academic career and can serve as an example of good practice for our country in the light of the new approach of the academic load structure and remuneration system for academic staff.

At the sector level, the tendency in the benchmarked countries is for Ministries of Education to be small, and because of that considerable authority is delegated to national agencies.

The highlighting of similarities and differences across the five systems reveals that there is no perfect model of human resource autonomy, but there are good practices of universities with old traditions that if taken over and adjusted to the socio-economic realities of our country could give good results, would strengthen institutional capacities of higher education and would increase the autonomy of existing human resources management, correlating it with the principle of public accountability of each institution or: university autonomy means freedom with a high level of responsibility.

A considerable amount of work has gone into this study which demonstrates areas of convergence and divergence under each of the main autonomy headings. The benchmarking process has been an important part of the project allowing colleagues not only to identify good practice under each of the main headings for university autonomy but also to recognise that there are varieties of approach to autonomy which have developed over time and have distinctive cultural features. The benchmarking provides a sound basis both for a deep-

er understanding of aspects of university autonomy and for the preparation of proposals for the development of the higher education sector in Moldova which will be strengthened by international references. It would help critical readers and also provide the platform for the recommendations and proposals for implementation in the final work package of the EU-niAM project.

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## **APPENDIXES**

### **Appendix 1: Benchmark Analysis of Organizational Autonomy**

Project 530740-TEMPUS-1-2012-1-DK-TEMPUS-SMGR  
Enhancing the University Autonomy in Moldova  
(EUniAM)  
[www.euniam.aau.dk](http://www.euniam.aau.dk)

# **Benchmarking Analysis of Organizational Autonomy in Denmark, Lithuania, Romania, Scotland and Sweden**

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Chisinau

## **Appendix 2: Benchmark Analysis of Financial Autonomy**

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Enhancing the University Autonomy in Moldova (EUniAM)  
[www.euniam.aau.dk](http://www.euniam.aau.dk)

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### **Appendix 3: Benchmark Analysis of HR Autonomy**

Project 530740-TEMPUS-1-2012-1-DK-TEMPUS-SMGR  
Enhancing the University Autonomy in Moldova (EUniAM)

[www.euniam.aau.dk](http://www.euniam.aau.dk)

## **Benchmarking Analysis of Human Resource Autonomy in Denmark, Lithuania, Romania, Scotland and Sweden**

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## **Appendix 4: Benchmark Analysis of Academic Autonomy**

Project 530740-TEMPUS-1-2012-1-DK-TEMPUS-SMGR  
Enhancing the University Autonomy in Moldova  
(EUniAM)

[www.euniam.aau.dk](http://www.euniam.aau.dk)

# **Benchmarking Analysis of Academic Autonomy in Denmark, Lithuania, Romania, Scotland and Sweden**

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Revised: October 2014

Final draft: January 2015

Chisinau



## **Appendix 5: Mission Agenda to Lithuania – Jan 20-24, 2014**

### **Monday, January 20**

- 10.00–10.15 Welcome by Romeo V. Turcan and Birute Mikulskiene.  
10.15–11.30 Welcome by the head of administration associate professor Saulius Spurga – presentation and discussions about reforms in MRU.  
13.00–15.30 Working with documents; Round table with B. Mikulskiene, S. Svaikauskiene.

### **Tuesday, January 21**

- 10.00–12.00 Working with documents. Round table with B. Mikulskiene, S. Svaikauskiene.  
13.00–17.00 Working with documents. Round table with A. Stasiukynas, S. Svaikauskiene.

### **Wednesday, January 22**

- 9.00–12.00 Working with documents. Round table with B. Mikulskiene, S. Svaikauskiene.  
13.00–16.45 Working with documents. Round table with A. Stasiukynas, S. Svaikauskiene.  
Mykolas Romeris University, Ateities St. 20, II-230

### **Thursday, January 23**

- 10.00–12.00 Working with documents. Round table with A. Stasiukynas, S. Svaikauskiene.  
13.00–17.00 Working with documents. Round table with A. Stasiukynas, S. Svaikauskiene.

### **Friday, January 24**

- 9.00–12.00 Summary follow-up; team meeting

## **Appendix 6: Mission Agenda to Scotland – Feb 3-7, 2014**

### **Monday, February 3**

09:30 – 11:00 Group meeting, preparing for the week meetings  
11:00 – 12:00 Martin Gregory, Research and Knowledge Exchange Services  
13:00 – 14:30 Summary follow-up group meeting, preparing for the week meetings  
14:30 – 16:00 Caroline Laurie, Hunter Centre for Entrepreneurship

### **Tuesday, February 4**

09:30 – 10:30 Sara Carter, Hunter Centre for Entrepreneurship  
11:00 – 12:00 Head of Governance  
13:30 – 14:30 Eleanor Shaw, Hunter Centre for Entrepreneurship  
14:30 – 16:00 Summary follow-up group meeting, preparing for the week meetings

### **Wednesday, February 5**

09:00 – 12:00 Marin Marinov, University of Gloucestershire  
13:30 – 14:30 Marin Marinov, University of Gloucestershire (cont'd)  
14:30 – 16:00 Summary follow-up group meeting, preparing for the week meetings

### **Thursday, February 6**

Travel to Edinburgh

10:30 – 12:00 Paul Hagan, Director Research and Innovation, Scottish Funding Council  
14:00 – 16:00 Ulrike Peter, Senior Policy Officer, Universities Scotland  
Travel from Edinburgh

### **Friday, February 7**

09:30 – 12:00 Summary follow-up group meeting, preparing for the week meetings  
14:00 – 15:00 Claire Woodward-Nutt, Team Leader, Higher Education and Learner Support Division, Ministry of Education

## **Appendix 7: Mission Agenda to Sweden – Feb 16-22, 2014**

### **Monday, February 17**

- 9:30-11:00 Welcome by Victor Kordas, Royal Institute of Technology (KTH),  
14.00-6.30 University governance. Organizational Structure. Lennart Johansson, Department of Communication and International Relation, former KTH Administrative Director.

### **Tuesday, February 18**

- 9.30-12.00 Administration in the framework of university autonomy in Sweden. Anders Lundgren, Head of University Administration, KTH  
13.00-6.30 Administration in the framework of University Autonomy in Sweden. Lennart Johansson, Department of Communication and International Relation, former KTH Administrative Director

### **Wednesday, February 19**

- 09.30-12.30 Academic component of University Governance. Organizing study process at KTH: planning, programmes, courses, responsibilities of schools, departments and central administration. Margareta Karlsson, Senior Administrative Officer; Carina Kjorling, Senior Administrative Officer, Planning and Evaluation Office, KTH  
14.00-16.30 Personnel/Staffing component of University governance. Anna Thoresson Berg, Human Resource Manager

### **Thursday, February 20**

- 9:30-12:00 System of higher education in Sweden: organization and functioning of the system, key actors: universities, agencies, government. Lennart Stahle, Swedish National Agency for Higher Education  
13:00-14:00 System of higher education in Sweden: organization and functioning of the system, key actors: universities, agencies, government (con't). Lennart Stahle, Swedish National Agency for Higher Education

### **Friday, February 21**

- 9:30-12:00 Planning educational activities at KTH. Margareta Karlsson, Senior Administrative Officer, Planning and Evaluation Office, KTH  
13:00-16:00 Financial component of University Governance. University Funding. Cost per student. Marie Kanlroth, Swedish National Agency for Higher Education

## **Appendix 8: Mission Agenda to Denmark – Mar 3-7, 2014**

### **AALBORG Monday, March 3**

- 09:00-09:30 Welcome by Romeo V. Turcan, project coordinator
- 09:30-12:00 Birgitte Gregersen, Department of Business and Management,
- 13:00-14:30 Meeting students from Moldova
- 15:00-17:00 Summary follow-up, team meeting, preparing for the week meetings,  
Tuesday, March 4
- 10:00-12:00 Olav Jul Sorensen, issues of academic autonomy, Head of IBC research  
Centre
- 13:00-14:30 Ole Garsdal Hansen, issues of financial autonomy, Senior Consultant
- 15:00-16:30 Inger Askehave, Vice-Rector

### **Wednesday, March 5**

- 09:00-10:30 Henrik Find Fladkjær, Head of Study Board, issues of academic autonomy,
- 11:00-12:30 Summary follow-up, team meeting, preparing for the week meetings,
- 13:30-15:00 Erik de Graaff, PBL at Aalborg University
- 17:00 Departure to airport; travel to Copenhagen

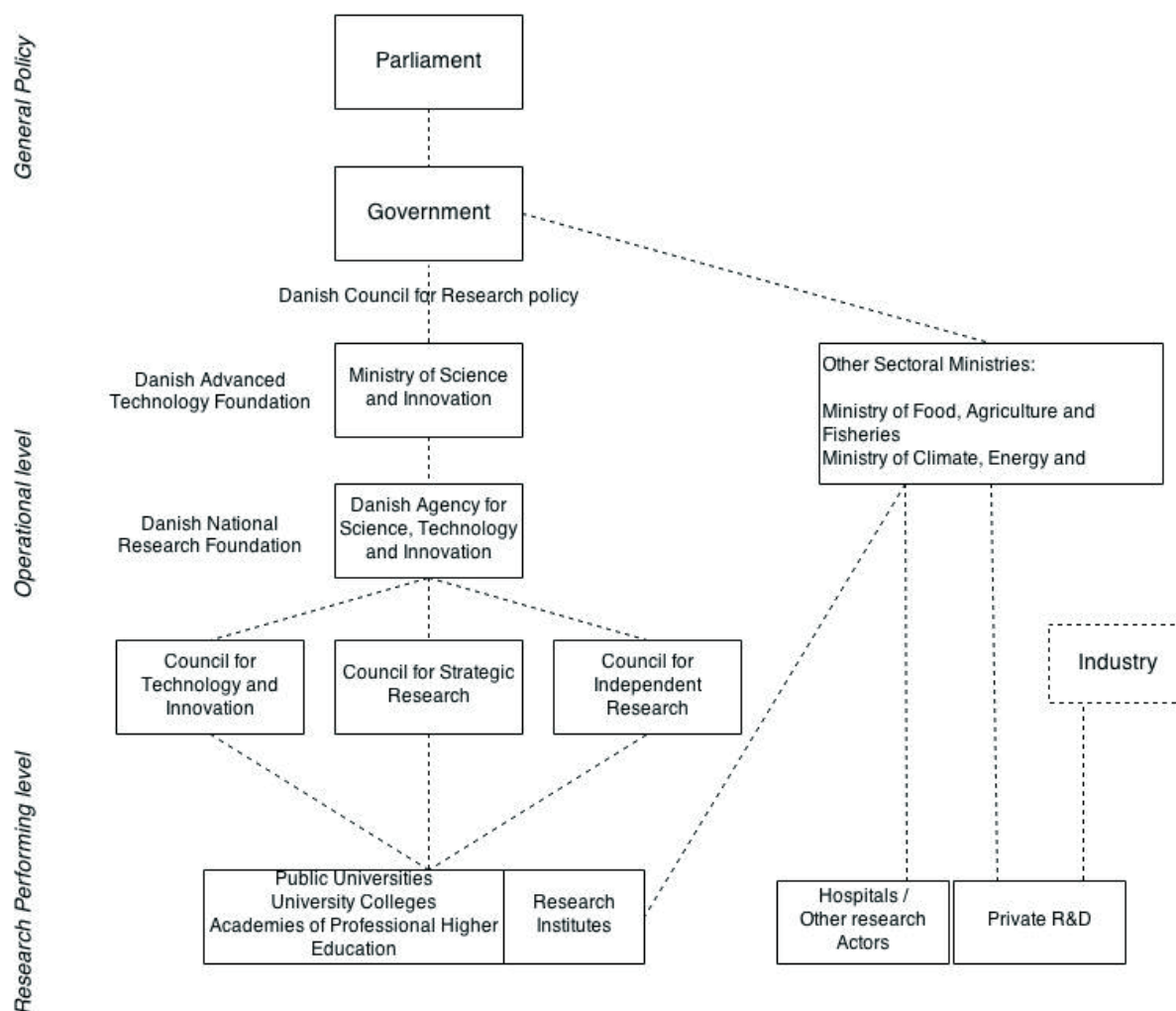
### **COPENHAGEN Thursday, March 6**

- 10:30-12:00 Susanne Bjerregaard, Secretary General, Universities Denmark
- 14:30-16:00 Jette Nielsen, Head of Division, the Danish Agency for Higher Education

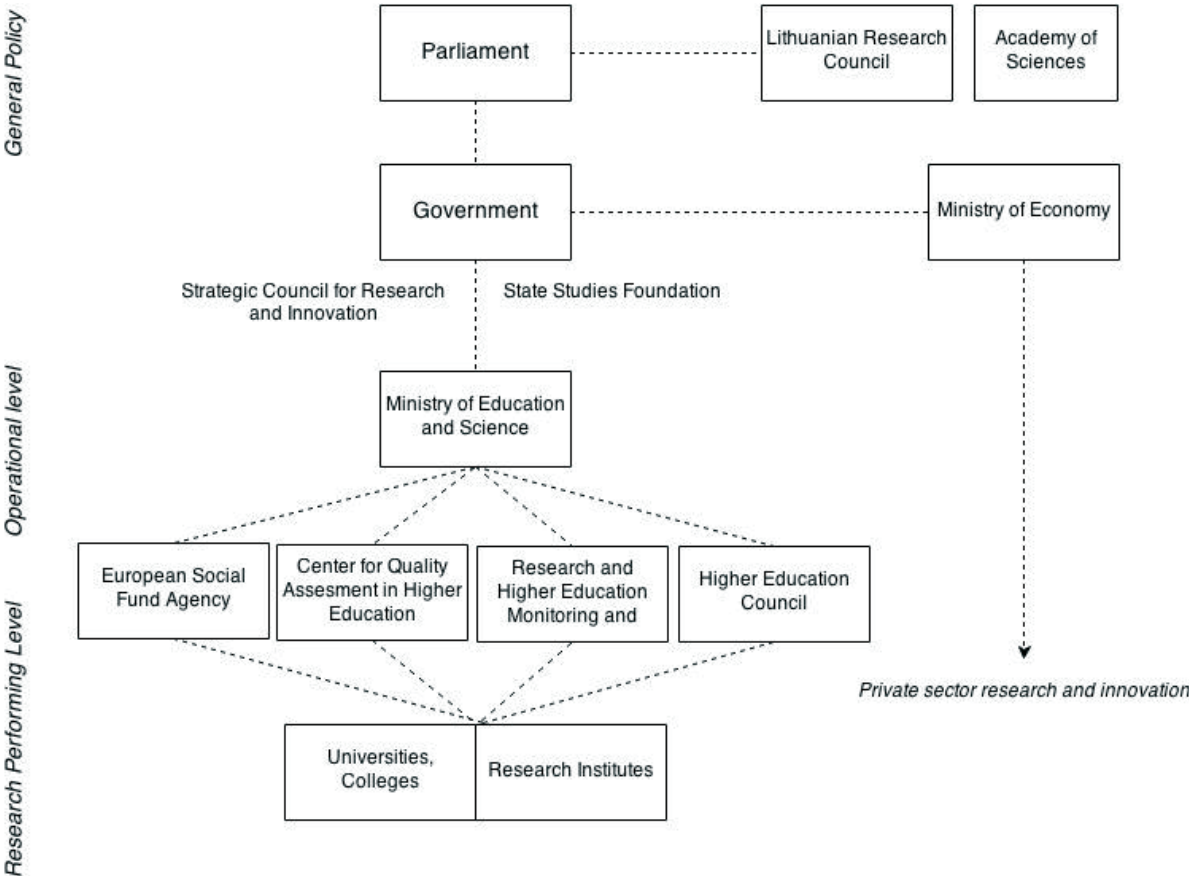
### **Friday, March 7**

- 09:00-12:00 Summary follow-up, team meeting

## Appendix 9: Structure of HE sector in Denmark

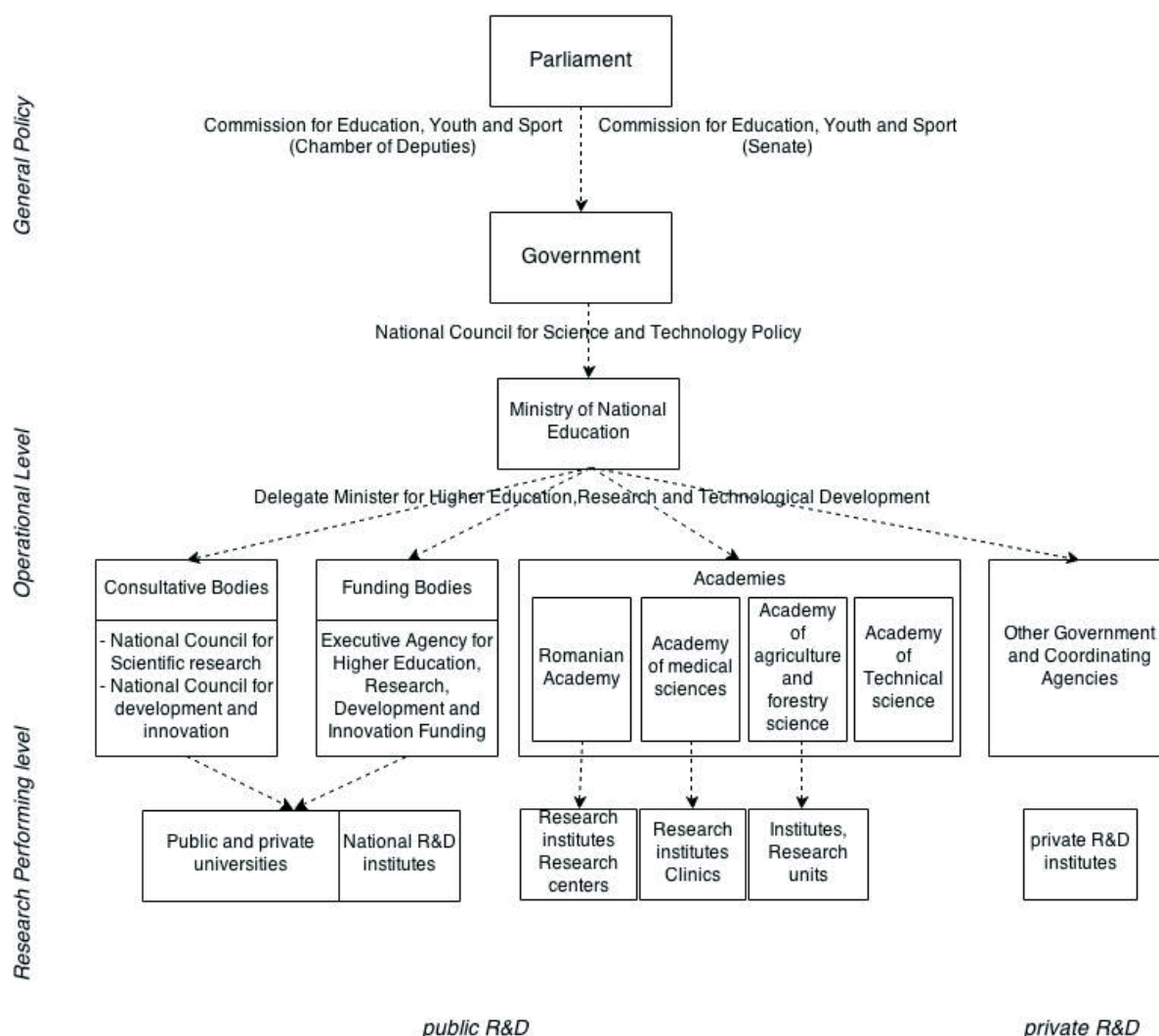


Appendix 10: Structure of HE sector in Lithuania

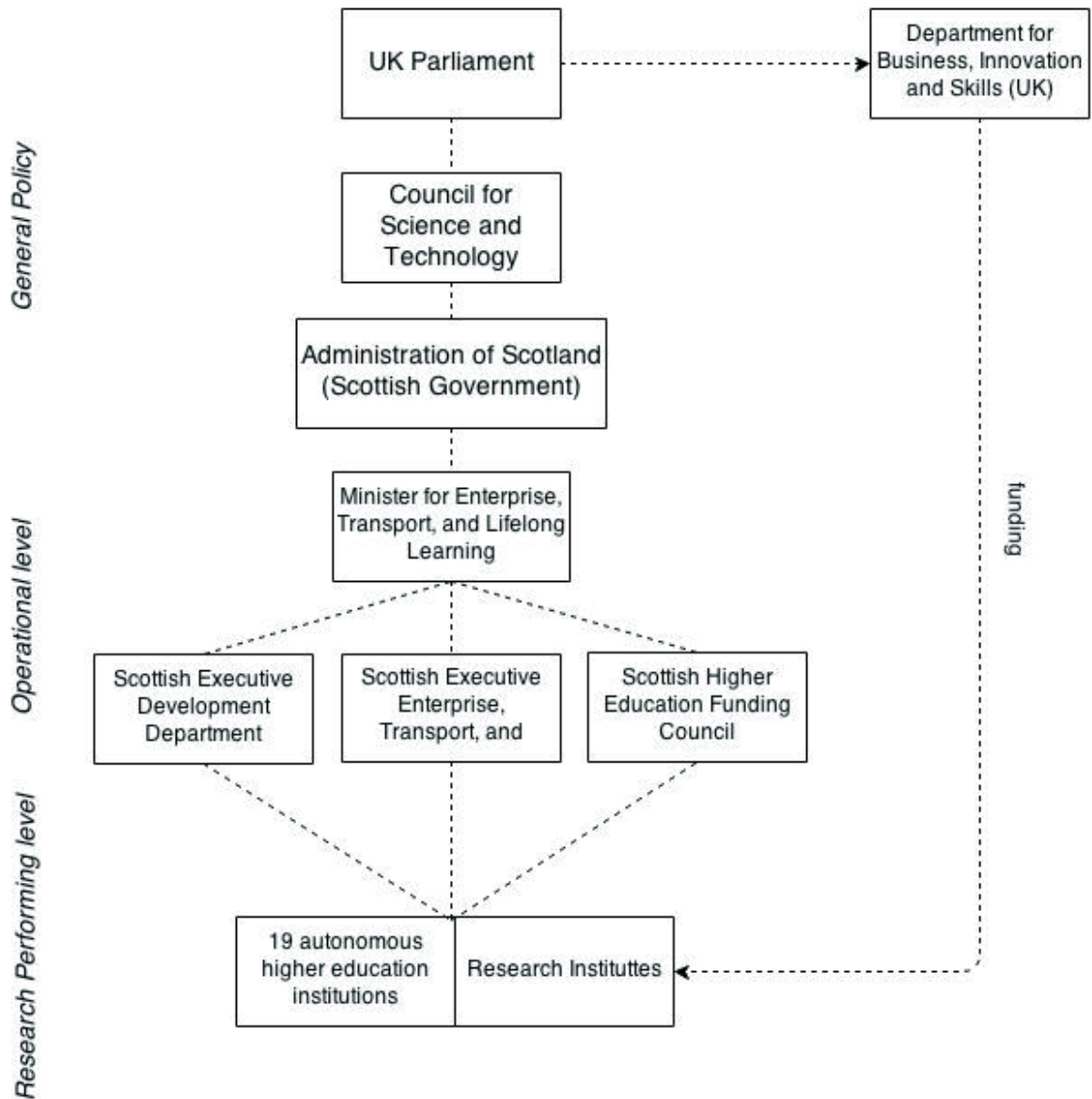




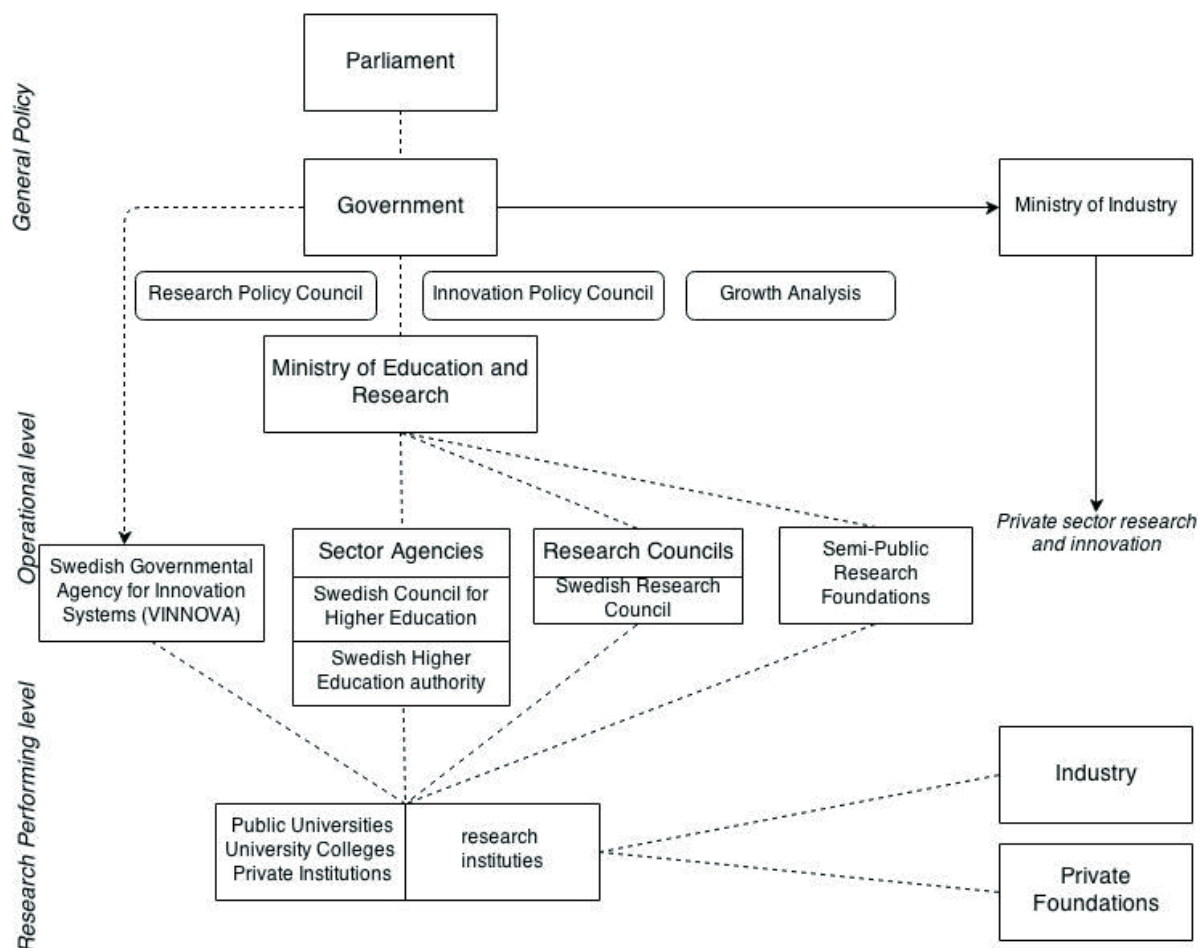
## Appendix 11: Structure of HE sector in Romania



## Appendix 12: Structure of HE sector in Scotland

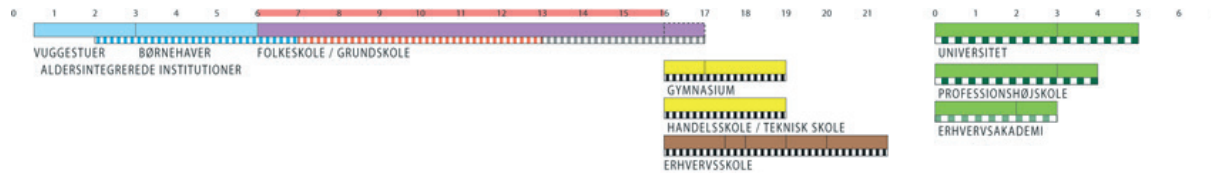


## Appendix 13: Structure of HE sector in Sweden



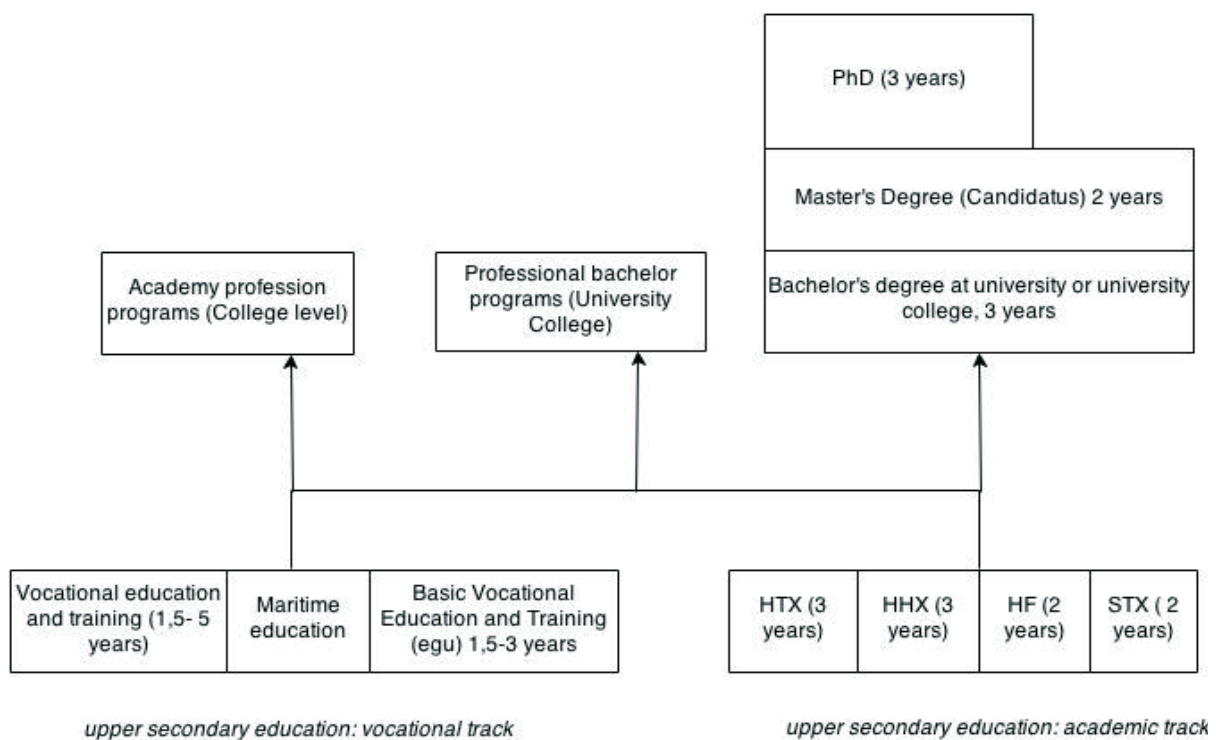
## Appendix 14: Structure of educational system in Denmark

### A. Structure of educational system in Denmark: from primary school to university



Source: The structure of the European education systems 2013/14: schematic diagrams (EC 2013)

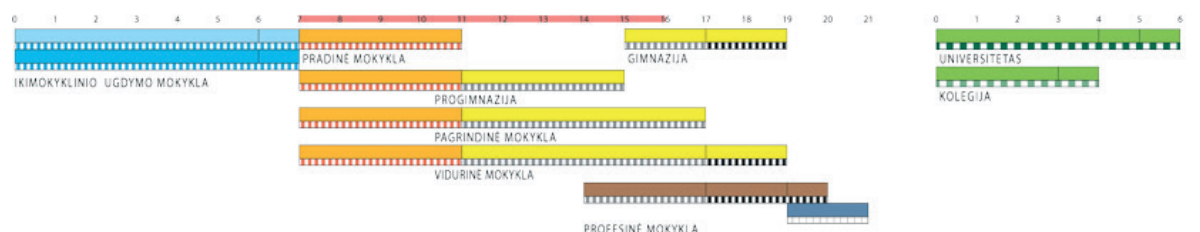
### B. Structure of educational system in Denmark: from upper-secondary to post-secondary education



\* STX (Upper Secondary School Leaving Examination) (three years), HF (Higher Preparatory Examination) (two years), HHX (Higher Commercial Examination) (three years), and HTX (Higher Technical Examination) (three years).

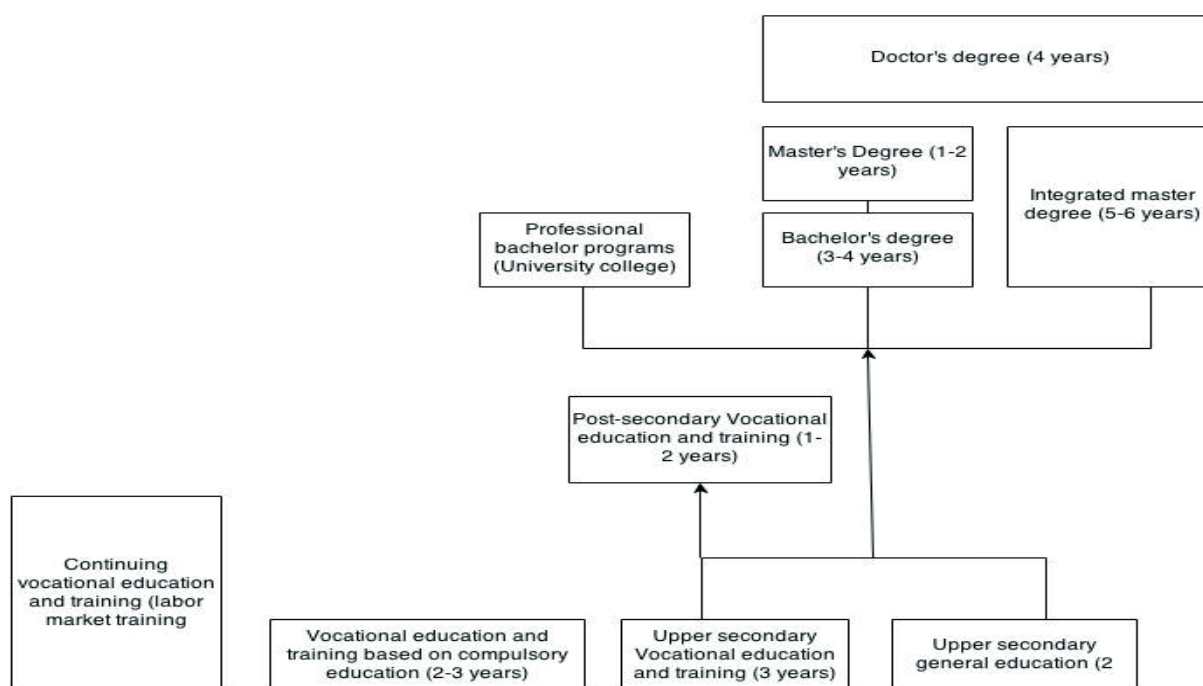
## Appendix 15: Structure of educational system in Lithuania

### A. Structure of educational system in Lithuania: from primary school to university



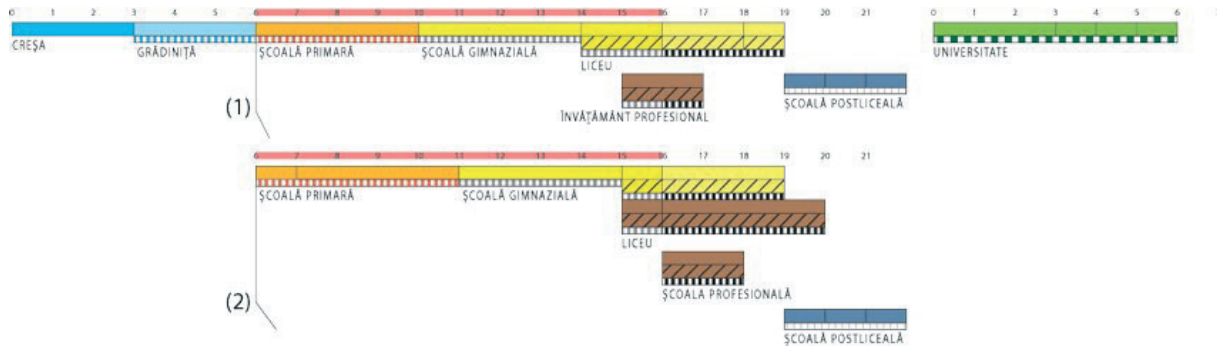
Source: The structure of the European education systems 2013/14: schematic diagrams (EC 2013)

### B. Structure of educational system in Lithuania: from upper-secondary to post-secondary education



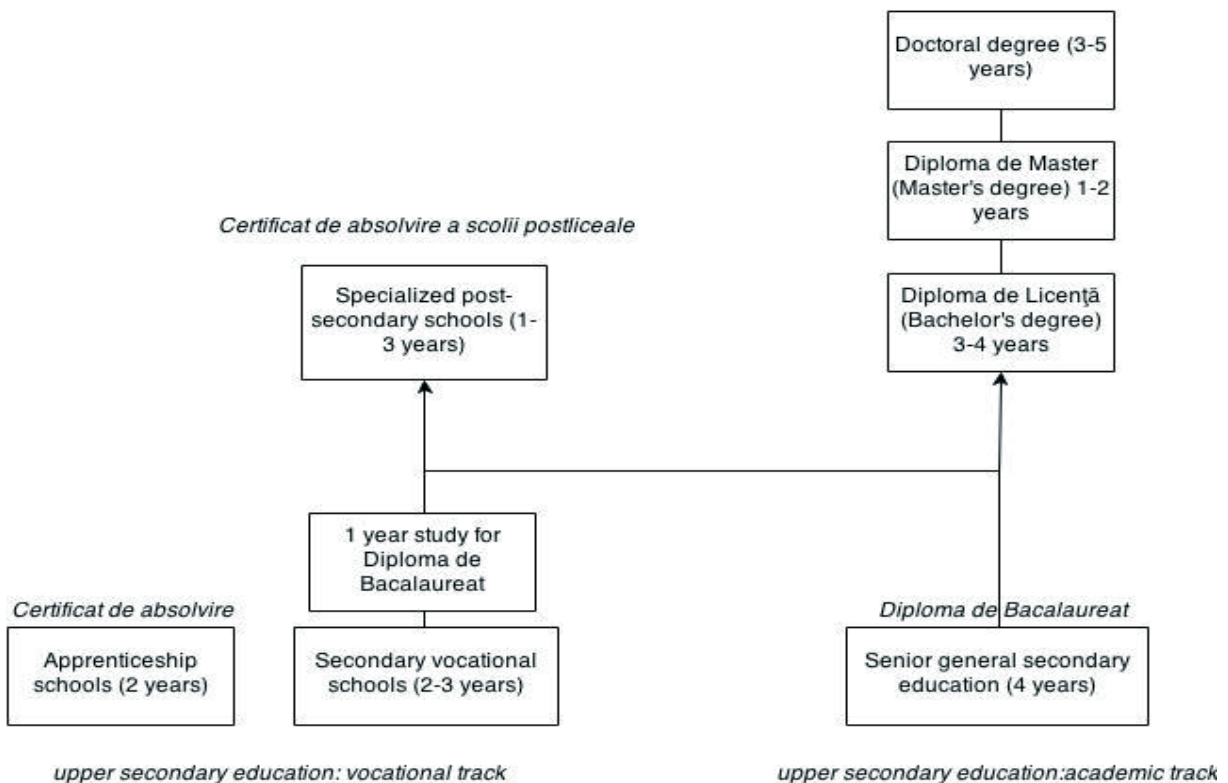
## Appendix 16: Structure of educational system in Romania

### A. Structure of educational system in Romania: from primary school to university



Source: The structure of the European education systems 2013/14: schematic diagrams (EC 2013)

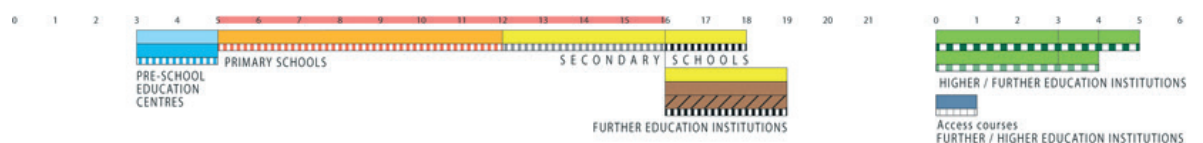
### B. Structure of educational system in Romania: from upper-secondary to post-secondary education





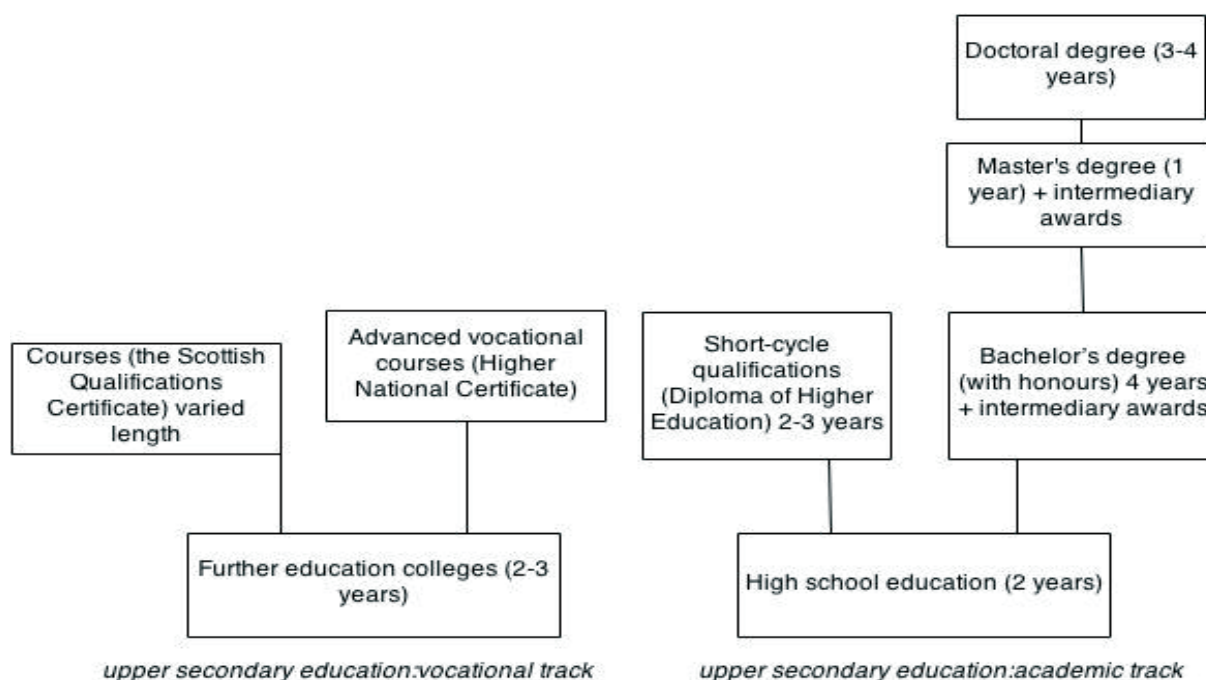
## Appendix 17: Structure of educational system in Scotland

### A. Structure of educational system in Scotland: from primary school to university



Source: The structure of the European education systems 2013/14: schematic diagrams (EC 2013)

### B. Structure of educational system in Scotland: from upper-secondary to post-secondary education



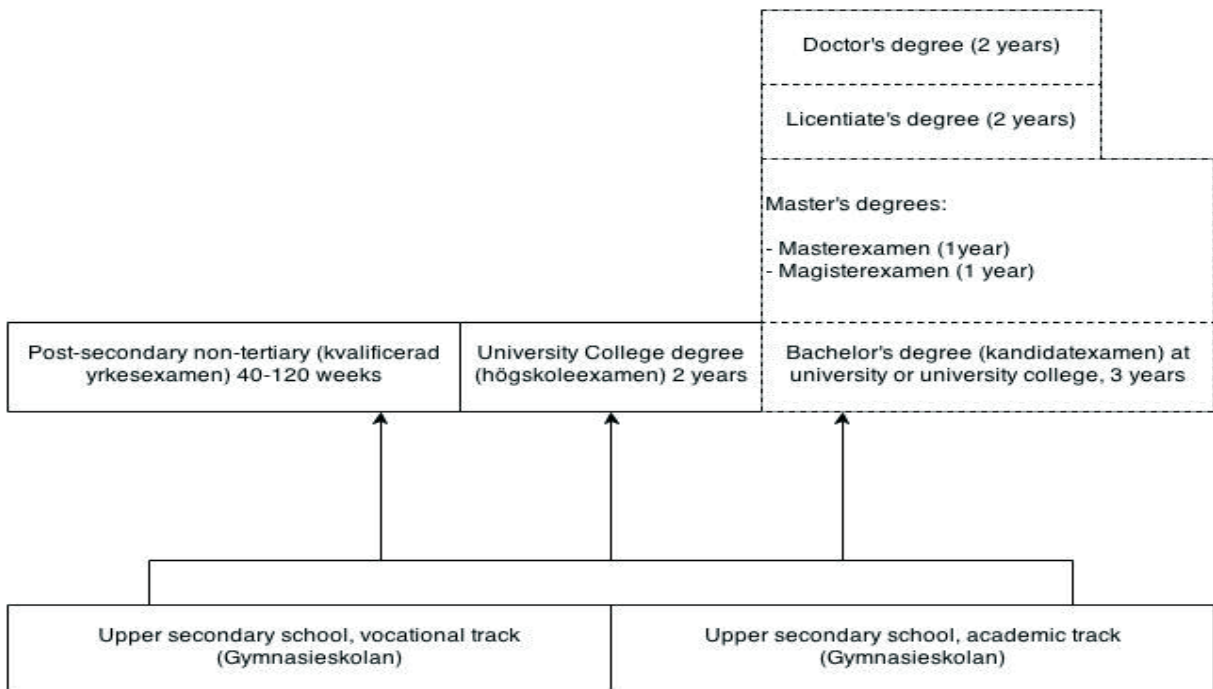
## Appendix 18: Structure of educational system in Sweden

### A. Structure of educational system in Sweden: from primary school to university



Source: The structure of the European education systems 2013/14: schematic diagrams (EC 2013)

### B. Structure of educational system in Sweden: from upper-secondary to post-secondary education



# **Benchmarking Analysis of organizational Autonomy in Lithuania, Scotland, Sweden, Denmark, and Romania**

**Angela Niculiță**

**Moldova State University**

**EUniAM Task Force Mission Team**

Chisinau, 2015



# 1. INTRODUCTION

Universities need consolidated autonomy in order to better serve the society. But, specifically, university autonomy is necessary to ensure a favorable regulatory framework to allow university leaders to create effective internal structures, to select and train university staff, to develop study programs and use financial resources, all this, in accordance with the specific institutional missions and profiles.

University governance and the relationship between the state and higher education institutions are topics that have generated intense discussions in the recent years being considered as important conditions for modernizing universities.

This report aims at conducting a comparative study of the organizational autonomy, its regulatory level and method in the universities of the European Union member countries, partners in the project.

The results of this study may help develop specific proposals for strengthening organizational autonomy, in particular, and university autonomy, in general, of higher education institutions in Moldova.

To be able to reliably compare higher education systems, expression and regulation methods and level of university autonomy, a systemic definition of this notion is necessary.

Therefore, the current study used as a reference point the Lisbon declaration of the European University Association (2007), which defines the organizational autonomy as **the ability of universities to decide on the organizational structure and institutional governance – in particular, the ability to establish structures and governing bodies, university leadership and reporting (subordination) relationships.**

The governance structure of an institution indicates how stakeholders (including the executive management of the institution, staff, students, government bodies etc.) communicate with each other: who and to whom they report, and who is responsible for what.

Increased autonomy and responsibilities have brought many changes to the traditional models of governance of a closed academic community. Today, there are new models of governance that redistribute responsibility, control and decision-making power between external and internal stakeholders.

## 2. METHODOLOGY

To achieve the objective of the present study, first of all, an office research was conducted.

Analyzing existing research on the comparative study of university autonomy in EU countries (University Autonomy in Europe I (2009), Thomas Estermann și Terhi Nokkala; University Autonomy in Europe II, the Scorecard (2012), Thomas Estermann, Terhi Nokkala și Monika Steinell) and based on the experience gained in developing the consolidated report on the current situation aimed at university autonomy in higher education institutions in Moldova, there were identified criteria (and subcriteria) used to describe the organizational autonomy of universities.

The first phase was dedicated to the development and improvement of autonomy indicators and the description of elements which, in terms of higher education institutions, are certain restrictions. As a result of this phase, there was developed Appendix 1\_ Data\_collection\_template – a template for collecting the data needed for the study.

At the second phase, there were collected and analyzed data derived from laws and other normative acts regulating, directly or indirectly, the higher education system, institutional statutes and other documents of universities in EU countries partners in the project.

To ensure clarity and comparability of the results and to get a broader picture of national trends, scope and constraints on institutional autonomy, in the third phase study visits were conducted at EU universities partners in the project. The results of the phases 2 and 3 are shown in Appendices 2\_Data\_collection-analysis\_template – containing analysis of information collected by country.



### 3. ORGANISATIONAL AUTONOMY BY COUNTRY

As mentioned, this comparative study is developed based on the criteria and sub-criteria presented in the table below, which, in our opinion, characterize in a comprehensive way all aspects of the organizational autonomy.

Table 1. *Criteria and sub-criteria of the comparative study of university organizational autonomy*

Criterion	Subcriterion	Explanation / Comments (if any)
<b>1. Organe de guvernare</b>	Tasks	
	Structure	The inclusion of external members and students
	Selection procedure of governing body members	Elections and appointments, who elects / appoints, approval by the external authority
	Criteria (qualification requirements) applied to the selection of members of governing bodies	
	Term of office of governing bodies	
	Revocation of members from governing bodies	The reason and the authority which has the revocation right
<b>2. Executive management</b>	Tasks	
	Selection / appointment procedure of the executive management	Elections and appointments, who elects / appoints, approval by the external authority
	Criteria (qualification requirements) applied to the selection of candidates for executive management	
	Term of office of the executive management	
	Dismissal of the executive management	The reason and the authority which has the revocation right
<b>3. Management of academic activity (teaching, research and knowledge transfer).</b>	Structure(s) of decision. Tasks.	

<b>4. Freedom of the university to decide on the internal structure.</b>	Normative provisions on the internal structure	
	Academic subdivisions and their management bodies	Structure and interaction
	Approval of changes in the structure by the external authority	The need for approval, by which authority
<b>5. Representation of students in university governance and management bodies</b>		
<b>6. Freedom of the university to establish legal entities: non-profit and/or commercial</b>		Including the degree of limitation of activities and use of revenues of entities

### 3.1. Lithuania

#### 3.3.1. University governing bodies

This criterion refers to the provisions of the regulatory framework covering responsibilities, structure, selection procedure for governing bodies of the, qualification requirements for members of management bodies, terms of office, and the degree of involvement in the process of external authorities.

In accordance with the Law of Higher Education and Science of the Republic of Lithuania, universities have a dual structure of government, consisting of two collegial bodies: ***Board and Senate***.

The Law of Higher Education and Science stipulates responsibilities, structure, general criteria and method of appointment, revocation criteria and term of office of governing bodies.

##### 3.1.1.1. Board tasks

The Board is the supreme governing body of the university responsible for:

- approval of the institution's mission and strategic plan;
- approval of the plan of reorganization of the internal structure of the institution;
- establishment of the management procedure, use and distribution of funds and assets of the institution;
- establishment of the procedure for organization of Rector's elections through open competition;
- appointment and dismissal of the Rector of the institution;
- approval of the annual statement of revenue and expenditure of the institution, and the report on the execution of this statement presented by the Rector;
- approval of the annual report on the activities of the institution presented by the Rector, conformity assessment of activities with the strategic plan, of the results obtained and their impact;
- ensuring institution's relations with the public and founders, annual report to the public on the results of implementation of the strategic plan of the institution etc.

### **3.1.1.2. Board structure**

The Board consists of 9 or 11 members, having as members:

- 1 student;
- 2 members, and if the Board consists of 11 members – 3 members, representatives of teachers and researchers of the institution;
- 1 member representing the administrative and auxiliary staff of the institution;
- 1 member selected jointly by the Ministry of Education and Science (MES) and the Senate of the institution;
- 4 members, and if the Board consists of 11 members – 5 external members (who are not employees of the institution).

The Board shall elect the Chairman from among its external members.

### **3.1.1.3. Board selection procedure**

Internal members of the Board are elected according to the procedure laid down in the statutes of universities:

- the student representative is elected by a representative structure of students or by the general assembly of students;
- 2 members (i.e. 3 members, if the Board consists of 11 members) are elected by teachers and researchers of the institution;
- 1 member is elected by the administrative staff and other employees of the institution;
- 1 member is selected jointly by the Ministry of Education and Science and the Senate of the institution.

External members are proposed by individuals and legal entities and are appointed by the Ministry of Education and Science, on the recommendation of the Council for Higher Education – an advisory body of MES for strategic development issues of Higher Education – based on the opinion of the university.

The final decision on the appointment of external members is entitled to the Ministry of Education and Science.

### **3.1.1.4. Board selection criteria**

Board member can be only the person who has a good reputation in the society, held or holds a position of responsibility in the fields of education, science, culture, public activity, or business (not applicable for students), and has knowledge and competences that enable him/her to achieve the objectives and accomplish the mission of the higher education institution. The President of the Republic, members of the Parliament and Government and civil servants can not be members of the University Board.

### **3.1.1.5. Board's term of office**

The term of office of each member of the Board, except the student, is five years. The same person can hold no more than two consecutive terms. The student holds the office of member of the Board during 1 year.

### **3.1.1.6. Revocation of Board members**

The reason for the revocation of a member of the Board is failing to properly perform the tasks laid down in the Statute of the higher education institution and the procedure rules of

the Board. The member concerned shall be revoked by the person(s) who appointed him/her, following the request from the Chairman of the Board.

#### ***3.1.1.7. Senate tasks***

The Senate is the governing body that manages educational and scientific activities of the university, and is responsible for:

- approval of the study and research & development programs, presenting proposals to the Rector on financing these programs and the reorganization of the university structure needed to implement those programs;
- evaluation of research results and the quality and level of all research activities;
- approval of internal quality assurance system of studies;
- approval, in accordance with the principles established for the selection and evaluation of universities, of the qualification requirements for teaching and research positions;
- establishment of the procedure for performance evaluation of teaching and research staff, as well as of the organization of the contest to fill the position; etc.

#### ***3.1.1.8. Senate structure***

Members of the University Senate can be full members of the academic community, administration members and students of the respective university, and also teachers and researchers from other universities and research institutes.

Senate structure is established in the Statutes of universities, based on the criteria stipulated in the Law of Higher Education and Science, namely:

- students constitute at least 20% of the members of the Senate;
- full time teachers who hold positions of professor and head of the research division constitute at least 20 percent of the members of the Senate;
- full time teachers who hold functions of associate professor and main researcher constitute at least 20 percent of the members of the Senate;
- full time teachers who are ex officio members of the Senate, by virtue of their positions, constitute no more than 10 percent of the total members of the Senate.

Employees of other universities and research institutes can also be members of the Senate by virtue of their position.

The Rector of the university is ex officio member of the Senate, but can not be the chairman of this forum.

#### ***3.1.1.9. Senate selection procedure***

Members of the Senate, except ex officio members, shall be elected in accordance with the procedure laid down in the Statute and / or other regulatory acts of the University.

Members of the Senate, except students, are elected at the meeting of teachers and research staff, with basic function at the university concerned.

Student representatives are elected by a representative structure of students or by the general assembly of students.

#### ***3.1.1.10 Senate's term of office***

University Senate's term of office is up to 5 years, exact term being set in the university Statute.

#### **3.1.1.11 Revocation of Senate members**

The reasons and procedure for dismissing members of the Senate are not found in regulations, including institutional ones.

#### **3.1.2. Executive management of the university**

Although the university's executive management involves several key positions within the Institution, this study focuses primarily on the Head of the Executive who is referred to as the **Rector**.

##### **3.1.2.1. Executive management tasks**

The Rector is responsible for

- development and implementation of the strategic plan,
- structural reorganization of the university,
- financial activities of the higher education institution,
- proper management, use and allocation of funds and assets,
- setting fees, hiring staff,
- student admission etc.

The Rector is a member of the Senate, but can not be chairman of this body.

##### **3.1.2.2. Selection / appointment procedure of the executive management of the university**

The Rector is elected and appointed by the Board members based on an open competition. The Rector shall be considered elected if voted by at least 3/5 of the votes of all Board members.

##### **3.1.2.3. Selection criteria of the executive management**

The candidate for the Rector position must have scientific degree and experience in teaching and management.

##### **3.1.2.4. Dismissal of the executive management of the university**

In accordance with the Law of Higher Education and Science, the Rector may be dismissed if the annual report on the activities of the higher education institution or the annual report on the implementation of revenue and expenditure statement presented by the rector of the institution is not approved by the majority of university board members.

##### **3.1.2.5. Authority deciding on dismissal of the executive management**

Rector's dismissal is within the competence of the board.

##### **3.1.2.6. The term of office of the executive management**

Rector's term of office is 5 years. The position of Rector of a HEI can be held by the same person no more than two consecutive terms.

#### **3.1.3. Management of academic activity**

The Senate is the governing body that manages the university's academic activities and is responsible for approving study programs, the internal quality assurance system, the establishment of qualification requirements for teaching and research positions.

The Senate shall be established in accordance with the procedure laid down in the statute of the higher education institution. There are no government / ministerial regulations in this regard.

### **3.1.4. Freedom of the university to decide on the internal structure**

#### ***3.1.4.1. Normative provisions on the internal structure***

There are no legal provisions concerning the organization structure of universities. Universities have the freedom to make their own decisions on this issue. The organizational structure of the university is stipulated in the Statute of the university.

#### ***3.1.4.2. Academic subdivisions and their management bodies***

As a rule, the university consists of faculties, where there are various institutes, departments, laboratories and other subdivisions, as well as administrative units. Administrative units have different fields of activity: research management, education process management, international relations, library, accounting, internal audit, IT center, marketing etc.

The main body governing the faculty is the Faculty Council. The structure and procedure for selection / election of members of the faculty council are stipulated in the internal normative acts of the university.

The Dean represents the executive management of the faculty. Deans are appointed by the Rector and approved by the University Senate. Deputy deans, heads of departments / institutes are appointed by the rector at the proposal of the Dean. The term of office of deans, deputy deans and heads of departments is 5 years.

In the departments / institutes there are academic committees responsible for the preparation, submission for approval and accreditation of study programs.

#### ***3.1.4.3. Approval of changes in the structure by the external authority***

Changing the internal structure of the state university is an internal affair of the university and does not require any approval of the founder (Parliament) or the Ministry of Education and Science.

Proposals for the structural reorganization of the university are addressed to the rector and can be made by the Senate or the Rector of the institution himself/herself. The Rector submits these proposals to the Board for approval.

### **3.1.5. Representation of students in university governance and management bodies**

Student participation in the governing bodies of the higher education institution is provided by the Law of Higher Education and Research. Thus, an internal member of the Board is a student of the university and one of the external members is elected by the representatives of university students; at least 20% of the Senate members are university students. Students have representatives in all management bodies, advisory and dispute resolution structures of the higher education institution.

### **3.1.6. Freedom of the university to establish legal entities: non-profit and commercial**

In accordance with the Law of Higher Education and Research (Chapter II, Art. 7, p. 2:12) universities have the right to carry out economic and commercial activities that are not prohibited by law, and which correspond to the objectives of the HEI.



## **3.2. Scotland**

### **3.2.1. University governing bodies**

Universities in Scotland have a dual structure of government, consisting of University Board (University Court) and the University Senate.

The legislative act governing higher education in Scotland is the Further and Higher Education (Scotland) Act 1992. In this Act it is specified the Court as the governing body of the university, and also its relationship to the Privy Council, the Scottish Funding Council and the State Secretary.

This Act contains provisions on university governing and management bodies, university organizational structure, general criteria and method of appointment of members of university governing bodies.

#### **3.2.1.1. Board tasks**

The Court is responsible for:

- approval of general strategic direction of the University;
- monitoring the performance and development of the University (management and administration of income, property, staff and students);
- implementation of all activities of the university in accordance with its Statute (Statutory Instrument).

Tasks of the Court are set out in detail in the statutes of universities and provide for:

- review, modification, control and prohibition of any act of the Senate, in accordance with the Statute of the institution, must be reported to the Court;
- review and monitoring of the management of the university and its performance;
- establishment, based on the report of the Senate, of the faculties, schools, departments, institutes, centers and councils; determination of their structure and functions, as well as their modification or revision;
- establishment of all university fees after consultation with the Senate;
- managing and regulating finances, accounts, investments, property and all assets of the University;
- investing money belonging to the University;
- hiring and termination of employment of all staff, drafting provisions for retirement schemes, pensions or retirement benefits for all employees of the university.

#### **3.2.1.2. Board structure**

The number of Court members (Governors) varies from one university to another (but does not exceed 25), the structure being the same for all HEIs.

The Court consists of:

- external members, selected from the business environment, industry and practitioners from various fields, which constitute an absolute majority in the Court;
- members – university graduates (alumni);
- ex officio members: the Rector and Vice-Chancellor (the original function name: Principal and Vice-Chancellor), can also be a vice-rector, and president of the Association of Students;
- members elected from among the academic staff;



- members elected from among the non-academic staff;
- members elected from among students.

#### **3.2.1.3. Board selection procedure**

The Court is responsible for organizing and conducting elections of Court members, representatives of the academic staff. After consultation with academic and non-academic staff, the Court establishes the rules under which the elections are made.

The Court is also responsible for selecting external members on a competitive basis in the management body. Candidates submit their applications for the contest, and a panel of the Court examines the applications and makes recommendations to the Court for approval of the selected candidates.

The Court shall elect its Chairman (Convener) from among its members.

#### **3.2.1.4. Board selection criteria**

Universities are free to set their own criteria for selecting Court members.

#### **3.2.1.5. Board's term of office**

The term of office of the Court members varies from one university to another and is stipulated in the Statute of the University.

Thus, the term of office of ex officio members is valid for the whole period of holding their function. The term of office of external members is 3 (4) years and may be reappointed, provided that the maximum period of holding the membership of the Court shall not exceed 9 years; the term of office members from among academic staff is 3 (4) years and may be extended, provided that the maximum period of holding the mandate does not exceed 6 (9) years.

#### **3.2.1.6. Revocation of Board members**

Terms of dismissing members of the Court are set out in the Statute and other normative acts of the University.

According to these acts, a member of the Court may be revoked in the following cases:

- did not participate in meetings of the University Court or commissions or its sub-commissions for six consecutive months;
- lost membership of the Senate, or of academic / non-academic staff (in the case of governors elected from among university staff);
- according to two thirds of the members the University Court, the Court member has been involved in conduct that discredits the governor or University, or
- according to two thirds of the members the University Court, the governor breached the contract between him and the university, or the governor significantly violated one of the University's policies or procedures.

#### **3.2.1.7. Senate tasks**

The Senate is the academic management body of the university and is responsible for all academic issues, including academic standards and quality of studies.

The responsibilities of the Senate include planning, coordinating, developing and supervising teaching and research, and other functions assigned by the University Court. All decisions of the Senate must be approved by the Court.

### **3.2.1.8. Senate structure**

Senate numerical composition varies from one university to another. The number of members and the representation quotas of members of the Senate groups are established by legislation.

The Senate is composed of:

#### *Ex officio members*

- Rector, who is chairman of the Senate,
- Vice-Rectors,
- Deans and heads of academic departments,
- President of the University Student Association.

#### *Elected members*

Academic staff, co-opted members (5 people) and, in some universities, students. The number of elected members and their election procedure shall be proposed by the Senate and approved by the university Court.

### **3.2.1.9. Senate's term of office**

Ex officio members of the Senate hold their mandates while holding their respective positions.

Senate members elected from among the academic staff hold a term of 3-4 years which may be renewed once.

Students are elected for a period of one year, in compliance with the rules established by the Student Association.

Co-opted members hold a term of 3-4 years, and after this period can be co-opted again.

### **3.2.1.10. Revocation of Senate members**

Grounds and the procedure for dismissing members of the Senate are not found in regulations, including the institutional ones.

## **3.2.2. Executive management of the university**

The executive management of the university is represented by the Chancellor and Rector, the latter being the Vice-Chancellor of the university.

The Chancellor is the ceremonial head of the university. He is appointed after consultation with the Senate, by the University Court, which sets out the obligations and rights of the Chancellor's office.

Chancellor's term of office is 4-5 years, but the university Court may establish any other term of office, which could then be renewed.

The Rector is the general academic and executive director of the university.

In his activity, the Rector is assisted by the so-called executive team. This team is responsible for providing guidance on overall strategic direction of the University, examination of important initiatives and resources necessary for their achievement and presentation of these proposals to the Senate and Court for final approval.

The executive team usually consists of:

- Rector, who is the chairman of the executive team,

- Vice-Rectors.
- Executive Deans,
- Head of the Financial Office.

#### ***3.2.2.1. Executive management tasks***

The Rector is responsible for the daily management of the university, appointment and promotion of staff and performs any other functions delegated by the University Court. He also manages all financial activities of the university.

The Rector, assisted by the executive team, is responsible mainly for:

- development of the general strategic direction of the university, taking into account the available resources and the need to ensure sustainability of the university; submits, where appropriate, to the Senate and / or Court proposals in this regard for final approval;
- development of policy proposals on: university budget, priorities for resource allocation, institutional development, staff employment and any other university activities to be subsequently submitted to the Court for approval;
- analysis of policy proposals regarding teaching, research and academic development and academic priorities of the university, to recommend them to the Senate for final approval; etc.

The Rector is the chairman of the Senate and ex officio member of all committees of the Senate.

#### ***3.2.2.2. Selection / appointment procedure of the executive management of the university***

The Rector is appointed by the University Court following a selection process and after consultation with the Senate. The procedure and criteria for selection of the rector and the term of office and contract conditions are determined by the University Court.

No normative document contains provisions on these issues, including the reason and the procedure for dismissal of the rector.

#### ***3.2.3. Management of academic activity***

The Senate is the governing body of the university which is responsible for managing all academic activities. However, any decision of the Senate must be approved by the University Court.

#### ***3.2.4. Freedom of the university to decide on the internal structure***

##### ***3.2.4.1. Normative provisions on the internal structure***

According to the University Statute, the academic organizational structure of the university is determined by the Court, after consultation with the University Senate. The academic structure of the university is stipulated in the University's Ordinances – internal normative document of the higher education institution. The administrative structures of the university are not mentioned in any university normative document.

##### ***3.2.4.2. Academic subdivisions and their management bodies***

In the university Ordinances, there are indicated faculties of the university established by the Court. Within each faculty, there are academic departments / schools. The Universi-

ty Senate determines the study programs for each department / school and which they are responsible for.

The executive Dean is the main management body of the faculty. The Dean is appointed by the Court or by a committee authorized by the Court. The term of office and contract conditions for the position of Dean are determined by the Court or the committee referred to. The Dean is a member of the university management team (the executive team).

The Academic Council of the faculty is the peer executive body which shall consider any questions of the faculty concerned, examine all the subjects proposed by the Senate for consideration and shall inform the Senate on its views. The executive Dean is the chairman of the Academic Council of the faculty.

The structure of the Academic Council of the faculty is established in regulations and includes ex officio members and elected members.

Ex officio members are: the dean, deputy dean (s), heads of departments. The number of elected members, the election procedure varies from university to university and is specified in institutional regulations.

Each university department has a Departmental Committee chaired by the head of the department. The Departmental Committee includes all members of the academic and research staff and trainee teachers in the department.

#### ***3.2.4.3. Approval of changes in the structure by the external authority***

Any change in the organizational structure is approved by the university Court and does not require approval by external authorities.

#### **3.2.5. Representation of students in university governance and management bodies**

Within the University, there is a Student Association which aims at promoting the general interests of students and providing a channel of communication between students and university authorities recognized by the entire university community.

In accordance with the Statute of the university, student representatives are members of the university Court, Senate, and of various university committees.

#### **3.2.6. Freedom of the university to establish legal entities: non-profit and commercial**

The University has the right to establish commercial and non-profit legal entities and use revenues from their activities according to their own needs, without the approval of external authorities.

The external audit, which is conducted periodically, determines the correctness of the use of university revenues.

### **3.3. Sweden**

#### **3.3.1. University governing bodies**

Higher education institutions (HEIs) in Sweden have a unitary structure of government. According to Swedish Higher Education Act, 1992, the governing body of the university is the Governing Board.

Swedish Higher Education Act and Higher Education Ordinance (amended in 2011) states in general terms responsibilities, structure, criteria and procedure for appointing the members of the Governing Board.

#### **3.3.1.1. Board tasks**

The Governing Board is responsible for the effective management and planning of continuous development of the higher education institution. The Board is the only body responsible for all activities of the university. According to the Higher Education Ordinance, the Board shall make decisions on:

- annual reports, financial documents and provide an internal audit system that works effectively;
- measures resulting from audit reports and recommendations made by the Swedish National Audit Office;
- guidelines and internal audit activities and measures resulting from the comments and recommendations received from internal auditors;
- internal resource allocation and monitoring of their use;
- admission procedure;
- institutional normative acts;
- organizational structure of HEI; delegation of the decision-making right; procedure for appointing to positions etc.

#### **3.3.1.2. Board structure**

The Governing Board consists of no more than 15 members and mandatory includes external members (outside the university). The Rector (Vice-Chancellor) of the University is ex officio member of the Board. According to the institutional normative acts of some HEIs, academic staff is represented in the Board by three members, students of the institution – 3 representatives, the rest – 8 members are external representatives. The activity of the Governing Board is led by the President.

#### **3.3.1.3. Board selection procedure**

Board members, representatives of the academic staff, are selected in accordance with the Regulation on the election procedure, drawn by the Governing Board. Student representatives are appointed by the Student Union of the HEI.

External members of the Governing Board are appointed by the Government at the proposal of HEI.

The President is appointed by the Government, and the Vice President is elected from among Board members.

#### **3.3.1.4. Board selection criteria**

External members are usually rectors of other universities in Sweden, prominent representatives of industry, CEOs of large companies, representatives of public authorities (mayors, heads of regional administrations, heads of governmental agencies etc.).

#### **3.3.1.5. Board's term of office**

The term of office of each member of the Governing Board (except students and rector) is not more than 3 years. Student representatives are appointed to the Board for 1 year and the Rector is member of the Board for the duration of his term.

### **3.3.1.6. Revocation of Board members**

There are no legal provisions on the procedure for dismissal of Board members.

### **3.3.2. Executive management of the university**

The executive management in Swedish universities is represented by the Rector (Vice-Chancellor / President). The Rector is assisted in his work by a management group.

#### **3.3.2.1. Executive management tasks**

The Rector (Vice-Chancellor) of the university is the main executive authority of the HEI responsible for managing all university activities and ensuring achievement of the objectives set by the the Governing Board. The Rector has the right to decide upon all university issues, except for those areas which, according to the statute of the HEI, are the responsibility of the Governing Board. If the State does not specify decision making authority (Board or rector) for specific questions, they pass under the responsibility of the rector, who has a vast mandate in decision making.

The Rector is ex officio member of the Governing Board of the university and can be President/Chairman of this body.

#### **3.3.2.2. Selection / appointment procedure of the executive management of the university**

The Rector of the University is appointed by a Government decision made based on the proposal received from the Governing Board of the HEI. Before presenting to the Government the candidate for the Rector position, the Board must consult with the teaching staff, auxiliary staff and university students. The way to have these consultations is determined by the Governing Board.

The selection of candidates for the post of Rector (and the candidates for pro-rectors / vice-rectors) is performed by the Nomination Committee, appointed by the Governing Board. The Nomination Committee consists of representatives of academic staff, administrative staff and students. Numerical composition of the committee is determined by the Board.

#### **3.3.2.3. Selection criteria of the executive management**

A person eligible for appointment to the post of Rector must meet all requirements for employment in the position of professor or lecturer. In addition, there are considered administrative and leadership capabilities.

Under Swedish law, a person can not be appointed to the management position after reaching the age of 67. For the rector position, the restriction referred applies in the following way: appointment of the person for the first mandate is limited to the age of 61, and for the second term to the age of 64.

In his activity, the rector is assisted by the Management Group which includes the rector, vice-rectors, (Pro Vice-Chancellors), Deputy Vice-rectors (Deputy Pro Vice-Chancellors), head of the university administration and, in some universities, deans.

#### **3.3.2.4. The term of office of the executive management**

According to the Swedish Higher Education Act and Higher Education Ordinance, the Rector is appointed to this position for a maximum period of 6 years. The appointment may be extended at most twice, for a period of 3 years each (3 + 3).



### **3.3.2.5. Dismissal of the executive management of the university**

The legislation does not stipulate the conditions under which the Rector may be dismissed. Rector's dismissal is in the power of the Government, given that the Government appoints the executive management of the university.

### **3.3.3. Management of academic activity**

All activities related to teaching, research, quality assurance are managed by the Management Group of the university chaired by the Rector.

Most universities in Sweden have a body that represents the entire university community and has various names: Academic Senate, Council for Teaching and Research, Faculty Council etc. This is a consultative body of the rector that has the responsibility to discuss and express its views on:

- Objectives and strategy for university activities and interaction with the community;
- The internal structure of the university;
- Educational and research policies of the university.

### **3.3.4. Freedom of the university to decide on the internal structure**

#### **3.3.4.1. Normative provisions on the internal structure**

The internal structure of public higher education institutions is not regulated by any law. Universities are free to decide on their organizational structure. This means that the governing bodies at the level of structural units may vary from one university to another. However, there are certain similarities in various universities due to the exchange of experience and best practice, which is highly developed in Swedish higher education system.

#### **3.3.4.2. Academic subdivisions and their management bodies**

Usually, the academic structure of the university consists of faculties (faculty) where there is a number of departments / schools.

At the faculty level, the main decision-making body is the Faculty Council consisting of the dean, vice dean (s), other representatives of the faculty community and student representatives. Additionally, external members can be also included in the Faculty Council.

At least 2/3 of the Council consists of teaching and research representatives who are elected by the entire teaching and research staff of the faculty. Student representatives are appointed under the Student Union Ordinance and constitute at most 1/3 of the Council members. No more than 2 external members may be included in the Council. The Chairman of the Faculty Council is the dean of the faculty.

The Dean is a person who has skills in research and teaching and is appointed to this position by the Rector, on the proposal from the faculty concerned. Vice deans of the faculty are appointed in the same manner. Selection of candidates for the position of dean and vice dean is done according to the internal rules of the university.

The Rector delegates many decision making rights to Deans, but issues of importance to the faculty are the responsibility of the Rector.

Deans are responsible for research and educational process carried out at the faculty, they are senior managers for heads of departments and represent the faculty in the university decision-making bodies and in the relationships with colleagues from other faculties.



Departments of the faculty are led by heads of departments appointed by the rector.

The Department Council, decision making structure of the department, is appointed by the Board of Governors, which usually delegates this right to the Faculty Council – direct superior body.

The Composition of the Department Council is determined by the rector based on the proposals of the department. The head of the department together with the Department Council organizes and manages the activity of the department.

#### **3.3.4.3. Approval of changes in the structure by the external authority**

Changes in the organizational structure of the university are within the competence of the Governing Board of HEI. Changes in the structure of the university does not require approval by external authorities.

#### **3.3.5. Representation of students in university governance and management bodies**

The Swedish Higher Education Act stipulates that there is a University Student Union within each university aimed at promoting the interests and rights of students and providing a means of communication between students and university authorities. In accordance with this act and internal documents of universities student representatives are members of the Governing Board, the Academic Senate and the Faculty Council, and various university committees.

#### **3.3.6. Freedom of the university to establish legal entities: non-profit and commercial**

Public universities in Sweden have the status of public agencies. According to the Swedish law public agencies do not have the right to set up legal entities. However, universities may be members of holding companies, which, in turn, can establish entities of any type and perform various activities both for profit and non-profit.

As a public institution, the university can not generate profit. All funds raised for training and research can only be used to cover the costs of teaching and research.

### **3.4. Denmark**

#### **3.4.1. University governing bodies**

Universities in Denmark have a unitary system of government. According to the *Danish (Consolidation) Act on Universities* the Board is the governing body of the university.

The Danish Act on Universities outlines the general responsibilities, structure and procedure for appointing the University Board.

##### **3.4.1.1. Board tasks**

The Board is the main university authority protecting the interests of the university which is an institution of education and research, and establishes guidelines for its organization, development and long-term activities.

The Board has the following basic responsibilities:

- The Board is accountable to the Minister for university activities, including management of all resources of the university.

- The Board administers university funds.
- The Chairman of the Board, together with a board member, manages the university heritage.
- The Board approves the university budget, as recommended by the rector, and distributes all the resources.
- The Board hires and dismisses the Rector; upon rector's recommendation hires and dismisses the senior management team.
- The Board concludes a development contract with the Minister of Education.

#### **3.4.1.2. Board structure**

The Board consists of 9-11 members and is composed of external and internal members representing the academic community, including employed PhD students, technical and administrative staff and students of the university. The majority of the Board is composed of external members.

The (exact) number of external and internal members of the University Board is stipulated in the Statute of the higher education institution. The Board shall elect a Chairman from among its external members.

#### **3.4.1.3. Board selection procedure**

The procedure for selecting external members of the Board provides as follows:

The university establishes a *nomination* committee and a committee for the *selection* of external members. These committees must ensure that candidates for external member of the Board meet qualification requirements and commitment to the university.

The procedures for establishing the nomination and selection committees are developed by the Board. Their composition is stipulated in the statutes of the universities. They usually include representatives of the academic community of the university.

Internal members of the Board are elected by the entire university community and represent teaching and research staff (including employed PhD students), technical staff, administrative staff and students of the university. Students are represented in the Board by at least two members.

#### **3.4.1.4. Board selection criteria**

External members are selected based on personal qualifications. Candidates must have an insight into aspects related to research, education, dissemination and exchange of knowledge and experience in management, organization and finance, including the assessment of the budget and accounts.

#### **3.4.1.5. Board's term of office**

External members of the Board may hold no more than two terms of 4 years each. Internal members of the Board shall be elected for a term of 4 years and may be re-elected for another term. Student representatives in the Council are appointed for a period of 2 years.

#### **3.4.1.6. Revocation of Board members**

The dismissal of the external members of the Board is possible if:

(1) the Board does not consider the minister's orders concerning the rectification of illegal conditions; the Minister may order the dismissal of board so that a new board to be appointed;

(2) Board actions endanger the future existence of the university. The Minister may order the immediate dismissal of the board, and in this sense establish an interim Administrative Board until the appointment of a new Board.

Internal members of the Board, representatives of the academic community, including employed PhD students and technical and administrative staff, are protected against dismissal, in their capacity as members of trade unions in the field.

### **3.4.2. Executive management of the university**

Within the framework set by the Board, the Rector is responsible for the daily management of the university. He acts as head of the executive management and delegates tasks and responsibilities to the members of the executive management team, which consists of rector, vice-rector (s), director of the university and deans.

The management team is responsible for the operation of the university, and for implementing the strategy and objectives of the university.

#### ***3.4.2.1. Executive management tasks***

The main duties of the rector are:

- make recommendations to the Board regarding the hiring and dismissal of members of the executive management team of the university;
- hiring and dismissal of heads of academic units and doctoral schools (responsible for providing doctoral study programs). Doctoral schools are established by order of the rector;
- presenting the annual budget to the Board for approval and signing of annual accounts;
- determining the internal structure of the university, within the limits set by the Board;
- establishing the rules on disciplinary actions to be applied to students;
- in special circumstances, the Rector may dissolve academic councils, doctoral committees and study councils ;
- in special circumstances, the Rector can take over responsibilities and duties of academic councils, doctoral committees and study councils.

#### ***3.4.2.2. Selection/appointment procedure of the executive management of the university***

The Rector is appointed and dismissed by the Board. The procedure for appointing to the rector position consists of the following:

The Rector (as well Vice rectors) is appointed after a public announcement on the recommendation of the nomination committee established by the University Board. This committee is constituted so as to ensure the representation of teachers, technical and administrative staff and students of the institution.

The Nomination Committee is chaired by the Chairman of the Board or another external member of the Board. The Committee shall make an overall assessment of candidates' qualifications and conduct interviews with candidates. The Committee proposes to the Board a limited number of qualified candidates for the position of rector and the Board of the University decides which candidate will be appointed as rector of the institution.

#### ***3.4.2.3. Selection criteria of the executive management***

The candidate for position of rector must be a recognized researcher in one of the research areas of the university and know the higher education sector from the inside. He must be an

experienced manager and organizer with experience in the research environment, understand the nature of the activities of the university and its relation to the society which it belongs to.

In addition, the university (Board) may establish specific requirements for the qualification level of the candidate for the position of rector (eg. to be professor or senior researcher).

No age restrictions are imposed, it applies to any employee of the university.

#### ***3.4.2.4. The term of office of the executive management***

The Danish Act on Universities does not contain provisions regarding the term of office of the rector. In some university statutes it is mentioned that the Rector is appointed for a fixed term determined by the Board and there is the possibility of getting a second term.

#### ***3.4.2.5. Dismissal of the executive management of the university***

There is no provision in the legislation concerning the reasons for the dismissal of the rector.

#### ***3.4.2.6. Authority deciding on dismissal of the executive management***

The dismissal of the Rector is in the power of the Board.

### **3.4.3. Management of academic activity**

In order to manage effectively all aspects of academic activities, the Rector establishes one or more academic councils. These councils can be set at different levels of organization (university, faculty, department level).

Members of the academic council are teachers, including employed PhD students, and students. In the academic council of the faculty, the dean is ex officio member by virtue of his/her position.

The Academic Council has the following duties and obligations:

- to inform the rector of the board's opinion (in the form of report, information note) on the internal distribution of funds.
- to express its opinion on key strategic questions related to research, education and knowledge exchange process.
- to make recommendations to the rector regarding the composition of academic assessment committees of candidates to teaching and scientific positions.
- to award titles and doctorate degrees in science.
- other responsibilities and obligations under the Statute of the University.

Academic Councils can make statements on all academic aspects of substantial relevance to the activities of the university and have a duty to discuss academic issues presented for consideration by the rector.

Each academic council shall elect a Chairman from among the elected members (ie, a dean can not be Chairman of the Council).

The number of members and term of office of the academic council are stipulated in the Statute of the University.

### **3.4.4. Freedom of the university to decide on the internal structure**

#### ***3.4.4.1. Normative provisions on the internal structure***

The organizational structure of universities is not regulated by law. Universities can decide on their structure themselves. The Rector is the body that determines the internal structure of the university, within the limits set by the university Board.

#### **3.4.4.2. Academic subdivisions and their management bodies**

Although universities are free to decide the internal structure, in the Act on Universities there are provisions on specific bodies, related to academic, research and collaboration with stakeholders issues: employers panels, doctoral committees, study councils etc.

The organizational structure of the university is stipulated in the Statute of the institution.

The university is divided into faculties (main areas), where there is a number of departments, schools and study councils, doctoral schools and doctoral committees and administrative (management) units.

In general, Danish universities have the same internal structure, although there may be some differences derived from the specifics of the institution. Typically, a university consists of several faculties, but there are cases when the institution consists of one faculty.

**The faculty.** The Dean represents the faculty and is responsible for managing its activities.

The Rector of the University appoints the dean based on a public notice (in accordance with appointing rules existing in Denmark). The employment contract is concluded for a fixed period determined by the rector, and may be renewed.

The Dean performs the executive management of the Faculty, ensures consistency between research, study programs and public services provided by the faculty and the quality and strategic development of all directions of activity of the faculty. The primary responsibility of the dean is to manage finances of the faculty and staff management. He is a member of university's executive management team and member of the academic council of the faculty.

The Dean appoints and dismisses, after approval by the rector, the deputy dean (deputy deans), which will assist him in the faculty management in accordance with the contract concluded.

On the basis of right delegated by the rector, the dean of the faculty establishes one or more doctoral schools, sets up and dissolves study councils and doctoral committees. He appoints the heads of departments, appoints heads of schools and directors of schools, approves the chairmen and deputy chairmen of study councils and appoints chairmen and deputy chairmen of doctoral committees.

Within each faculty there are departments, doctoral schools, study councils (and in some universities, schools).

**Department** of the faculty is led by a head of department, hired by the dean on the basis of a public announcement. The period of employment is fixed in the employment contract that can be renewed.

The head of department performs the daily management and administration of the department, including planning and distribution of tasks. He/she ensures the quality, coherence and development of study programs offered by the department and the activities of teaching, research and knowledge exchange. Being assisted by the study councils and directors of studies, the head of the department monitors the process of assessment of the department's study programs and teaching activity.

The Head of the department establishes the department council, determines its size and structure, and the term of office of the elected members of the council.



The department Council is composed of the head of department, representatives of academic staff, including employed PhD students, technical and administrative staff and students. The head of the department together with the Council manages the department.

**Doctoral School.** The Dean is responsible for setting up and abolition of doctoral schools / centers within the faculty. Each doctoral school is run by the doctoral school director who is appointed and dismissed by the Dean. The director of the doctoral school must be a recognized researcher with experience in conducting doctoral studies.

**Doctoral Committee.** For each doctoral school, the dean establishes a doctoral committee, having as members representatives elected by and from among the academic staff with a term of office of 3-4 years, and doctoral students with the term of office of one year. The committee is designed to ensure the influence of students and academic staff over the whole process of development, modernization and teaching of doctoral programs.

The number of members of the committee is determined by the dean. Following the recommendation of the doctoral committee, the dean appoints the chairman and, where appropriate, Vice chairman of the doctoral committee.

**Study Councils.** Study Councils manage one or more study programs and are established and dissolved by the dean of the Faculty, after consultation with members of the departments responsible for these programs. The number of Council members is determined by the dean. Each Study Council must include an equal number of representatives of teachers and students, elected by the academic staff and students respectively.

Study Council shall elect its Chairman for a term of one year. The Chairman is elected from among the academic staff employed on a full-time basis, members of the Study Council.

The main responsibility of the Study Council is to ensure the organization, performance and conduct of the teaching and learning process.

**The School.** In some universities (e.g. Aalborg University) Study Councils of study programs related to a subject / area are organized in *schools* that are approved by the rector on the recommendation of the dean of the faculty. Each school is administered by the school head.

**School head.** The Dean, on the recommendation of Study Council concerned, shall appoint and dismiss the head of the school. The candidate for the position of head of the school must be a recognized researcher, to know academic fields the school is responsible for, must have manager skills and experience in teaching.

The head of the school is generally responsible for:

- Development and implementation of school policies and strategies.
- Presenting recommendations to the dean of the faculty regarding school and its study council budgets.
- Coordination of all school activities and their quality assurance.
- Approval of the themes and deadlines for submission of master theses and student monitoring plan.

- In cooperation with the respective study council, the head of the school ensures planning and organization of teaching, tests and other evaluations included in the examination.
- Together with heads of departments and relevant study councils, the head of the school monitors the assessment of study programs and teaching process.

#### ***3.4.4.3. Approval of changes in the structure by the external authority***

Decisions about structural changes are made by the University Board and do not require approval by external authorities.

#### **3.4.5. Representation of students in university governance and management bodies**

In most universities there are student organizations whose objective is to promote the general interests of students and to ensure effective communication with university authorities.

In accordance with the Act on Universities and statutes of universities student representatives are members of all management and advisory bodies of the university.

In Danish universities students have a major contribution in the management of the educational process, being represented in academic councils at all university levels and study councils in which students constitute 50% of the members.

#### **3.4.6. Freedom of the university to establish legal entities: non-profit and commercial**

Danish universities can create legal entities, both non-profit and commercial. In accordance with the legal provisions, the income from the activity of these entities can be used only for the purpose of carrying out research and consultancy. However, universities are interested to transfer as soon as possible their startups in the real economy to avoid paying additional fees.

### **3.5. Romania**

#### **3.5.1. University governing bodies**

National Education Law stipulates that at university level management structures in higher education institutions are the University Senate and the Administration Board and management functions are held by the rector, vice-rector and general administrative director (university level).

##### ***3.5.1.1. Senate tasks***

University Senate represents the university community and is the highest decision-making and deliberation body at the university level.

According to the National Education Law, the University Senate:

- a) ensures academic freedom and university autonomy;
- b) develops and adopts, after discussion with the university community, the University Charter;
- c) approves the strategic plan for institutional development and operational plans, on a proposal from the rector;



- d) approves, on a proposal from the rector and in compliance with current legislation, the structure, organization and functioning of the university;
- e) approves the budget and budget implementation;
- f) develops and approves the Quality Assurance Code and the Code of Ethics and Professional Conduct of the university;
- g) approves methodologies and regulations on the organization and functioning of the university;
- h) concludes the management contract with the rector;
- i) controls the activity of the rector and the Administration Board by specialized committees;
- j) validates public competitions for the functions in the Council of Administration;
- k) manages the university's academic activity;
- l) approves the competition methodology and results of competitions for the employment of teaching and research staff and periodically evaluates the human resource;
- m) performs other duties under the University Charter.

University Senate establishes specialized committees by which it controls the activity of the executive management of HEI and the Administration Board. The monitoring and control reports are regularly presented and discussed in the university senate, underpinning the university senate resolutions.

#### ***3.5.1.2. Senate structure***

The University Senate is composed of 75% of teaching and research staff and 25% of university student representatives. The composition and size of the University Senate are determined by the University Charter.

The University Senate shall elect, by secret ballot, a Chairman who chairs the meetings of the University Senate and represents the University Senate in relations with the rector.

#### ***3.5.1.3. Selection procedure of Senate members***

All members of the University Senate are established by the universal suffrage, direct and secret, of all full teachers and researchers, and of all students respectively. Each faculty has representatives in the senate, on shares of representation under the University Charter.

#### ***3.5.1.4. Senate's term of office***

The term of office of the university senate is 4 years. The term of office of a member of the University Senate is 4 years, with the possibility of renewal for a maximum of two successive times. For students the term of office is regulated by the University Charter.

#### ***3.5.1.5. Revocation of Senate members***

Reasons and procedure for dismissing members of the Senate are not found in regulations, including institutional ones.

### **3.5.2. Executive management of the university**

The Rector is the Chairman of the Administration Board and provides executive management of the University, being authorizing officer; legally representing the University in relations with third parties.

### **3.5.2.1. Rector's tasks**

The Rector has the following responsibilities:

- a) conducts the management and the operative management of the university, based on the management contract;
- b) negotiates and concludes the institutional contract with the Ministry of National Education;
- c) concludes the management contract with the University Senate;
- d) proposes for approval to the University Senate the structure and operation regulations of the university;
- e) proposes for approval to the University Senate the draft budget and budget implementation report;
- f) submits the annual report to the University Senate for approval;
- g) leads the Administration Board;
- h) performs other duties established by the University Senate, under the management contract, the University Charter and the legislation in force.

The Rector acts so as to apply the provisions of the Charter and university regulations and decisions made by the University Senate. The Rector is accountable to the Senate for his/her activity.

### **3.5.2.2. Selection / appointment procedure of the Rector**

In compliance with the National Education Law, the Rector is appointed through one of the following ways:

- a) on the basis of a **public competition**, based on a methodology approved by the newly elected University Senate, pursuant to this Law; or
- b) **by universal suffrage**, direct and secret of all full teaching and research staff within the university and student representatives in the University Senate and faculty councils.

The way for the appointment of the rector is established with at least 6 months before each appointment of the rector, by universal suffrage, direct and secret of all full teaching and research staff within the university and student representatives in the University Senate and faculty councils.

If the rector is to be appointed through public competition, then the **appointment procedure** is as follows:

- Newly elected University Senate shall establish a selection and recruitment committee of the rector consisting of 50% members of the university and 50% scientific and academic personalities from outside the university in the country and abroad. This committee comprises a minimum of 12 members, of which at least one representative of students or graduate students of the university appointed by the University Senate, according to the University Charter. The University Senate also develops and approves the endorsement, selection and recruitment methodology of the rector, according to the law.
- The competition for filling the position of rector can be attended by candidates who, based on the hearing in the newly elected University Senate plenum, obtained the approval to participate in the contest. The approval shall be granted only on the basis

of a simple majority vote of the members of the newly elected the University Senate. The newly elected University Senate is required to approve at least 2 candidates. The candidates approved by the university Senate participate in the competition organised under the preceding paragraph.

The appointed Rector is confirmed by order of Minister of National Education (NE). After confirmation, the rector concludes a management contract with the university senate, including managerial performance criteria and indicators, rights and obligations of the parties.

#### ***3.5.2.3. Selection criteria of the Rector***

In accordance with the National Education Law scientific or academic personalities in the country and abroad can participate in the contest for rector position.

#### ***3.5.2.4. Rector's term of office***

The term of office of rector is 4 years. The term of office may be renewed at most once after a new competition, according to the University Charter. A person can not be rector of the same higher education institution for more than 8 years, regardless of the term period and its interruptions.

#### ***3.5.2.5. Authority deciding on dismissal of the Rector***

In accordance with the National Education Law the rector of the university may be dismissed by the University Senate or by the Minister of National Education.

#### ***3.5.2.6. Dismissal of the executive management of the university***

The Rector may be dismissed by the University Senate, under the conditions specified in the management contract and the University Charter.

The Minister of National Education may dismiss the rector according to art. 125: *If within 3 months from the date of (initial) referral the university still does not comply with the obligations laid down in art. 124* “Public accountability requires any higher education institution, public or private:

- a) to comply with applicable law, its own Charter and national and European policies in the field of higher education;
- b) to apply and comply with the regulations in force relating to quality assurance and assessment in higher education;
- c) to comply with fairness and academic ethics policies contained in the Code of Ethics and Professional Conduct approved by the University Senate;
- d) to ensure the effective management and efficiency of resource use, in the case of public universities, and the spending of funds from public sources according to the institutional contract;
- e) ensure transparency of all its decisions and activities, as required by law;
- f) to comply with academic freedom of teachers, teachers' assistants and research staff, and the rights and freedoms of students. “

#### ***3.5.2.7. Tasks of the Administration Board***

The Administration Board of the university ensures, under the leadership of the rector or another person designated by the University Charter, in the case private and denominational

universities, the operative management of the university and applies strategic decisions of the University Senate. Also, the Administration Board:

- a) establishes the institutional budget in operational terms;
- b) approve the budget implementation and annual balance sheet;
- c) approves the proposals on the contest of teaching and research positions;
- d) approves proposals for new study programs and makes proposals to the University Senate regarding the termination of study programs which no longer fall within the mission of the university or are inefficient from academic and financial standpoint;
- e) approves the financial operations which exceed the limits established by the university senate, in state universities, and by founders, in private universities respectively;
- f) proposes to the university senate long and medium term strategies and policies in the areas of interest of the university;

#### ***3.5.2.8. Appointment procedure of the members of the Administration Board***

The Administration Board of state universities consists of rector, vice-rectors, deans, general administrative director and one student representative.

The Rector, based on consultations with the University Senate, shall appoint vice-rectors. Deans are selected through public competition organized by the Rector and approved by the University Senate.

The position of general administrative director is filled by competition organized by the Administrative Board of HEI. The Chairman of the competition commission is the Rector of the institution. The commission is, necessarily, composed of a representative of the Ministry of National Education. The validation of competition results is made by the University Senate and the appointment to the position is done by the rector.

#### ***3.5.2.9. The term of office of the Administration Board***

Membership of the Administrative Board is valid for the entire term of office of managerial position of the respective member.

### **3.5.3. Management of academic activity**

The University Senate is responsible for all academic activities of the institution, having the following powers:

- a) approves the competition methodology and the results of competitions for hiring teaching and research staff and regularly evaluates the human resource;
- b) approves the organization and dissolution of study programs, including those with double specialization and double degree;
- c) approves the setting up or abolition of courses or graduate schools on the basis of proposals approved by the Administration Board;
- d) approves tuition fees based on the proposals made by faculties and approved by the Administration Board;
- e) determines the fees to be charged by the university in relation to the educational process; Tuition fees will be determined at least six months before the start of the next academic year;
- f) validates the results of competitions for filling teaching and research positions approved by the councils of faculties and departments;

- g) validates the election results of faculty and department councils;
- h) approves the Statute of doctoral schools and research units of the University;
- i) approves the regulations and annual reports of all bodies, committees and functional entities.

### **3.5.4. Freedom of the university to decide on the internal structure**

#### ***3.5.4.1. Normative provisions on the internal structure***

The organizational structure of the university is strictly regulated by the National Education Law. Academic and administrative structure of the university is stipulated in the Statute of the institution.

#### ***3.5.4.2. Academic subdivisions and their management bodies***

According to the National Education Law any higher education institution may include the following organizational components: faculties, departments, institutes, centers or laboratories, research and design units, consultancy centers, university clinics, studios and artistic workshops, theaters, museums, centers for continuous training of human resources, microproduction and service provision units, experimental stations or other entities for production activities and transfer of knowledge and technology. Administrative and technical services are included in the structure of higher education institutions.

The Faculty may include one or more departments, doctoral schools, graduate schools and university extensions that are responsible for the organization of study programs by university study cycles and types.

The deliberative and decision-making body of the faculty is the *faculty council* which has the following responsibilities:

- a) approves, on dean's proposal, the structure, organization and functioning of the faculty;
- b) approves the study programs managed by the faculty;
- c) controls the activity of the dean and approves his/her annual reports on the general state of the faculty, quality assurance and compliance with university ethics at the faculty level;
- d) performs other duties established by the University Charter or approved by the university senate and in accordance with the legislation in force.

The composition of faculty council members is maximum 75% teaching and research staff, and minimum 25% students. Representatives of teaching and research staff in the faculty council are elected by universal suffrage, direct and secret of all full teaching and research staff of the faculty and student representatives are elected by universal, direct and secret ballot by the students of the faculty.

*The Dean* represents the faculty and is responsible for the faculty management.

The Dean shall present an annual report to the faculty council on the state of the faculty, chairs the meetings of the faculty council and applies the decisions of the rector, Administration Board and University Senate. The duties of the Dean are determined in accordance with the University Charter and legislation in force.

Deans are selected through public competition, organized by the Rector at the faculty level. The competition is open to people from the university or any faculty in the country



or abroad which, on the basis of the plenary hearing in the faculty council, received its approval to participate in the competition. The Faculty Council is required to approve at least 2 candidates.

The competition is organized by the Rector and approved by the Senate. The Dean shall appoint deputy deans after his/her appointment by the rector.

*The Department* may comprise research centers or laboratories, artistic workshops, graduate schools and university extensions.

*The Department Council* is a peer management structure of a department. Decisional competences of the Department Council are:

- a) initiates proposals for new study programs;
- b) develops the personal establishments;
- c) coordinates the didactic activity for study programs and research activity;
- d) proposes organization of competitions for teaching and research positions;
- e) proposes the competition commissions for teaching and research positions;
- f) performs other duties laid down in its own Regulation.

*The director of the department* performs the management and operative management of the department. In performing this function, he is helped by the department council, according to the University Charter. The director of the department is responsible for curricula, for the personal establishments, research and quality management and financial management of the department.

Selection, hiring, periodic evaluation, training, motivation and termination of staff's employment contractual relations are the responsibility of the Director of department, head of doctoral school or dean, according to the University Charter.

At the department level, the director of the department and members of department council are elected by universal suffrage, direct and secret of all full-time teachers and research staff.

#### ***3.5.4.3. Approval of changes in the structure by the external authority***

Every faculty is set up, organized or abolished on the proposal and approval of the university senate, by Government decision on the structure of higher education institutions, initiated by the Ministry of Education annually.

The department is set up, organized, divided, merged or dissolved by decision of the university senate, at the recommendation of the faculty / faculties councils where it is located.

#### **3.5.5. Representation of students in university governance and management bodies**

Student participation in the management bodies of the university is determined by the National Education Law. Thus:

- Students, democratically elected by universal suffrage, direct and secret, at the level of various groups, programs or study cycles, both within the faculties and the university are legitimate representatives of the interests of students in each academic community.
- The management of higher education institution is not involved in organizing the process of electing student representatives.
- Students may be represented in all decision-making and advisory structures of the university.

- Student organizations representing the interests of students at each university community level may have legal representatives in decision-making and executive structures of the university.

#### **3.5.6. Freedom of the university to establish legal entities: non-profit and commercial**

Higher education institutions may establish, alone or in association, commercial companies, foundations or associations, with the approval of the university senate.

When setting up companies, foundations and associations, the public higher education institution can only contribute with money, patents and other industrial property rights. The right to use and administrate public assets can not be the university's contribution to the share capital of a company, foundation or association.

### **3.6. Conclusions**

The results of the above conducted research are at the basis of the comparative study presented in the following paragraph, concerning organizational autonomy of universities in member countries of the European Union, partners in the Tempus project "Enhancing university autonomy in Moldova".



## 4. BENCHMARKING STUDY

The comparative analysis of the level and mode of expression and regulation of organizational autonomy of universities in Lithuania, Scotland, Sweden, Denmark and Romania was carried out based on criteria and sub-criteria identified and described in paragraph 3.

The table below gives an overview about the similarities and differences between the systems investigated related to the mentioned topic.

Table 2. *Similarities and differences in university organizational autonomy in the five project partner countries*

Lithuania	Scotland	Sweden	Denmark	Romania
Governing bodies				
Dual governance structure consisting of the Board and the University Senate.		Unitary structure of government. The governing body is the University Board.		Unitary system of government in which the governing body is the University Senate.
Executive management				
The Rector, elected and appointed by the Board, through an open competition. The Rector is a member of the Senate, but can not be elected as a chairman.	The executive management of the university is represented by the Chancellor (ceremonial leader) and the Rector, appointed by the University Board. The Rector is a member of the Board and Senate Chairman.	Rector, appointed to this position by a Government decision based on the proposal of the University Governing Board. The Rector is ex officio member of University Board.	The Rector is appointed by the Board based on a public competition.	The Rector appointed based on a public competition, or by universal suffrage of all full-time staff of the university after approval by the Ministry of Education.
Management of academic activity				
The Senate is the governing body that manages academic activities.		All didactic, research, quality assurance activities are managed by the Management Group of the university chaired by the rector.	Academic Council, established by the rector, are responsible for managing academic activities.	University Senate is the governing body that manages academic activities.
Freedom of the university to decide on the internal structure				

Universities have the freedom to make their own decisions about their organizational structure.				The organizational structure of the university is strictly regulated by the National Education Law. Academic and administrative structure of the university is stipulated in the Statute of the institution.
<b>Representation of students in university governance and management bodies</b>				
A student is an internal member of the Board; an external member of this body is elected by representatives of university students; at least 20% of the university Senate members are students.	Student representatives are members of the University Board, Senate, and of various university committees.	Students are members of the Governing Board, the Academic Senate and the Faculty Council and university committees.	Students are members in all government, management and consultation bodies at all university levels.	Students are represented in all decision-making, executive and advisory structures of the university.
<b>Freedom of the university to establish legal entities: non-profit and commercial</b>				
Universities have the right to carry out economic and commercial activities that are not prohibited by law, and relate to the objectives of the higher education institution.	Universities have the right to institute commercial and non-profit legal entities and use revenues from their activities according to their own needs.	Universities do not have the right to institute legal entities, but may be members of holding companies, which in turn can create entities and carry out activities both for profit and non-profit.	Universities have the possibility to create legal entities, both non-profit and commercial, but the income from their activities may be used only for research and consultancy.	Higher education institutions may establish, alone or in partnership, companies, foundations and associations.

Next, a more extensive and detailed comparison will be made for each criterion and sub-criterion which characterizes the organizational autonomy of higher education institutions.

#### 4.1. University governing bodies

In two of the five countries studied, Lithuania and Scotland, universities have a dual structure of government consisting of the Board which includes a small number of people, and the University Senate. The powers of government are divided between the Board and Senate.

Universities in Sweden, Denmark and Romania have a unitary structure of government, the governing body being Governing Board in Sweden and Denmark, and the University Senate, in the case of Romania.

#### **4.1.1. Governing bodies tasks**

University Boards (of government) of education systems investigated with all the diversities specific to these countries have very similar functions, being responsible for long-term strategic decisions related to the development of the university, such as decisions on the statute, strategic plans, budget allocation, rector and vice-rectors election.

In the dual structure, existing in Lithuania and Scotland, the University Senate is responsible for academic affairs, namely curricula, teaching and research staff promotion, awarding of scientific degrees etc.

As for Romania, the University Senate comprises the duties of the two bodies of government of the dual structure, being the governing body that makes strategic decisions on university's development, and manages the academic activity of the institution.

#### **4.1.2. Governing bodies structure**

Participation of external members in the management bodies is an important aspect of university governance.

##### ***University Board.***

University boards in higher education systems studied – Lithuania, Scotland, Sweden and Denmark – have external members in their composition, who usually represent the business, industry and practitioners in various fields of economy, or famous people in science and culture.

In all mentioned systems, external members form the majority in university boards.

##### ***University Senate.***

Senates of universities in **Romania** consist only of internal members of the institution, being composed of 75% of teaching and research staff and 25% of university student representatives. The composition and size of the university senate are determined by University Charter. University Senate shall elect the Chairman by secret ballot.

Although they have similar responsibilities, Senates of universities in Lithuania and Scotland still differ by structure. Senates of **Lithuanian** universities include elected members from the institution according to the criteria stipulated in the Law of Higher Education and Science: students, teaching and research staff, deans, heads of departments / research laboratories; but include also employees of other HEIs and research institutes.

In universities in **Scotland**, Senates are composed of elected members from the institution: academic staff, recruited members and, in some universities, students; ex officio members of the Senate are the rector, vice-rectors, deans, heads of academic departments and the president of the student association.

In HEIs in Lithuania and Scotland, the rector of the institution is a member of the Senate, and in the case the Scottish universities, is also the Chairman of the Senate. In universities in Romania, the rector is not member of the University Senate.

### 4.1.3. Selection procedure of governing bodies members

#### ***University Board.***

The process of appointing external members in the studied systems is performed through different models:

- In Scotland and Denmark, universities are free to appoint themselves external members in their government bodies.
- In Sweden, external members are proposed by the university, but are appointed by the Government.
- In Lithuania, some external members are selected by the higher education institution, others are proposed from the outside, but all of them are appointed by the Ministry of Education and Science.

Internal members of the Boards are elected by the and from among the academic community and students of the respective universities.

In Scotland and Sweden, university rectors are ex officio members of the University Board.

#### ***University Senate.***

Members of the Senate in the universities of Romania shall be elected by universal suffrage, direct and secret of all full-time teachers and researchers, and all students.

Also, in the case of Lithuania and Scotland, the entire university community is involved in the election of members of the Senate, except ex officio members. Members of the Senate, except students, are selected by teachers and research staff and student representatives by a representative structure of students or the general assembly of students. The procedure for electing members of the Senate is provided in the Statute and / or other regulatory documents of each university.

### 4.1.4. The term of office of governing bodies

The term of office of the members of governing bodies varies from system to system.

Thus:

- In universities in Lithuania, the term of office of each member of the ***Board*** (except the student who is elected for one year) is five years. The same person may hold no more than two consecutive terms.

University ***Senate's*** term of office is up to 5 years, the exact term being set in the Statute of each university.

- In Scotland, the term of office for the ***University Board*** member is
  - 3 (4) years in the case of internal and external members of the Board, and can be renewed, provided that the maximum period does not surpass 6 (8) years;
  - in the case of ex officio member, the term of office is valid for the entire period of holding the respective position.

The term of office for members of the ***University Senates*** in Scotland is

- 3-4 years, for elected and co-opted members of the Senate (excluding students), and may be renewed once;
- 1 year for students;

- ex officio members of the Senate hold their terms of office as long as they hold management functions.
- In Sweden, the term of office for the University Board member is:
  - maximum 3 years for each member of the Board, except for students and the rector;
  - 1 year for students;
  - the Rector is a member of the Board for the duration of his term.
- In higher education institutions in Denmark
  - external members can participate in the Board for up to 8 years during two terms;
  - internal members of the Board are elected for a period of 4 years;
  - student representatives are elected for a period of two years.

It is possible the reelection of internal members.

- In Universities in Romania, the term of office of a member of the University Senate is 4 years with the possibility of renewal up to two successive times. For students, the term of office is established in the university Charter of the institution.

## **4.2. Executive management**

Although the executive management of HEIs may include several key positions in the university, such as rector, vice-rector, head of administration and deans, this study focuses primarily on the Head of the Executive, who is called **Rector** in the this study, because this name is the most commonly used in Europe, including in the systems studied.

### **4.2.1. Rector's tasks**

Although there are some differences in the 5 systems analyzed in terms of duties of the Rector, they are largely similar. Thus, in all systems, the Rector is the main executive authority of the higher education institution that provides daily management of the university.

The Rector is responsible for:

- developing and implementing the strategic plan of the university,
- organizing the internal structure of the institution,
- developing and submitting for approval to the governing body of the university budget,
- financial activities of the university,
- proper management, use and disposal of funds and assets,
- hiring and promotion of academic staff (except for Romania).

In universities in Scotland, Sweden and Denmark, the rector is also responsible for developing proposals on teaching, research and academic development and academic priorities of the University.

In universities in Romania, the rector does not intervene in the management of academic activities of the institution.

Rectors of universities in Lithuania and Scotland are members of the Senate, moreover, in Scotland, the Rector is also chairman of this forum. In higher education institutions in Sweden rectors are ex officio members of the Governing Board and can be elected as Chairman of the Board.

#### **4.2.2. Selection/appointment procedure of the executive management of the university**

The arrangements for the election / appointment of the rector of the university in higher education systems studied are different.

Thus, in Denmark and Lithuania, the head of the executive is appointed by the University Board on the basis of a public competition.

Scottish University rectors are also appointed by the university Board, the nomination process being developed by the same Board.

In Sweden, rectors are appointed by the Government, based on the proposals received from the Governing Boards of HEIs submitted after consultation with the university community. This ensures the participation of academic and research staff, other employees and students in this important exercise for universities.

In universities in Romania, the rector may be appointed by one of the ways:

1) on the basis of a public competition, based on a methodology approved by the newly elected senate; or

2) by universal suffrage, direct and secret of all full-time teachers and researchers within the university and student representatives in the university senate and faculty councils.

The way for the appointment of the rector is established minimum 6 months before each appointment of the rector, by universal suffrage, direct and secret of all full-time teachers and researchers within the university and student representatives in the university senate and faculty councils.

Appointed rectors of universities in Lithuania, Scotland and Denmark do not require confirmation of external authorities. In Romania, the appointed rector is confirmed by the order of the Minister of National Education.

#### **4.2.3. Selection criteria of candidates for the executive management**

The analyzed systems have very similar criteria (with non-essential differences) for selecting candidates for the position of rector of the university. These criteria are stipulated in the Law (Lithuania, Romania and Denmark), in university statutes or other institutional normative acts (Sweden) or are developed by the University Board (Scotland).

In all systems studied, academic staff who hold academic degrees and renowned researchers in one of the university research areas and who know the HE sector are eligible for the position of rector. In addition, candidates must have experience in research and / or higher education management.

In Sweden, filling the position of rector is conditioned by age. In accordance with national legislation, the person who exceeds the age of 64 can not be appointed to management positions.

#### **4.2.4. The term of office of the executive management**

In Romania, Lithuania and Sweden, the term of office of the rector of the higher education institution is established by law, being 4, 5 and 6 years respectively. In addition, a person can hold only two consecutive terms in the same institution.

The term of office for the rectors of universities in Denmark and Scotland is determined by the University Board.



### **4.3. Management of academic activity**

In higher education systems studied, managing academic activities, including approval of study programs, quality assurance system, establishing qualification criteria for teaching and research functions etc., is performed by different bodies and structures.

Responsible for the management of these activities are:

- University Senate – Romania, Scotland and Lithuania;
- Management Group chaired by the rector of the university and assisted by an advisory body – Sweden;
- Academic Councils existing at all university levels, established by the Rector and composed of teaching and research staff, doctoral students, and students – Denmark.

### **4.4. Freedom of the university to decide on the internal structure**

#### **4.4.1. Normative provisions on the internal structure**

In Lithuania, Scotland, Sweden and Denmark, the internal structure of higher education institutions is not regulated by legislation. Universities are free to decide on their organizational structure.

In Romania, the situation is different in this respect. National Education Law strictly regulates the organizational structure of universities.

#### **4.4.2. Academic subdivisions**

In general, universities in investigated systems have similar internal structures, exception being some universities in Denmark, in addition to traditional structures (faculties, departments, doctoral schools etc.) they have schools and study councils, created to manage one or more study programs.

#### **4.4.3. Approval of changes in the structure by the external authority**

Changes in the structure of universities in Sweden, Scotland, Lithuania and Denmark do not require approval by external authorities.

In Romania, the establishment, organization and dissolution of faculties in the university (proposed and approved by the university senate) is done by a Government decision.

### **4.5. Representation of students in university governance and management bodies**

In all systems analyzed, students are represented in all decision-making, executive and advisory structures of the university. This is stipulated in both institutional regulations and legislative acts (except Scotland).

In Danish universities, students have a major contribution to the management of the educational process, being represented in academic councils at the level of department, faculty and study councils, where students constitute 50% of the members.



#### **4.6. Freedom of the university to establish legal entities: non-profit and commercial**

Universities in Lithuania, Scotland, Denmark and Romania have the right to establish legal entities, both non-profit and commercial. But in Lithuania and Denmark there are some restrictions on the activities undertaken and the use of revenues from such entities. Namely:

- Lithuanian universities can only carry out economic and commercial activities related to the objectives of HEI;
- Danish universities can use the revenues from activities of commercial entities only for the purpose of carrying out research and consultancy.

Universities in Sweden do not have the right to establish legal entities. However, they may be members of holding companies, which in turn can create companies of any type and carry out various activities both for profit and non-profit.

#### **4.7. Conclusions**

The study performed, beyond the existing differences, reveals a number of common trends in terms of organizational autonomy of universities in investigated systems.

In most systems (except for Romania) there is a governance body (University Board) responsible for strategic institutional development in the long term, which comprises members from outside the university.

In three out of five systems, the Senate is the governing body of the university, whose duties, in the case of Lithuania and Scotland, are managing all academic activities; and, in the case of Romania, being the only governing body, the Senate makes strategic decisions on the development of the university, but also manages the academic activity.

In four systems, the rector is selected by the University Board and, in three of them, is appointed by this body without requiring confirmation from external authorities.

Management of university didactic activity in three systems is performed by the University Senate, in the other two, there are set up specific structures for this activity.

Four out of five investigated systems have the capacity to decide freely on the internal structure of the university and do not require approval from external authorities in the case of its changes.

In all HE systems analyzed, students are represented in all decision-making, executive and advisory structures of the university. In Danish universities, students have a major contribution to the management of the educational process, being represented in the academic councils at the level of department, faculty and study councils where students represent 50% of the members.

Universities can establish, in a way or another, legal entities (non-profit and for profit) in all systems studied.

## 5. FINAL CONCLUSIONS

Although universities in almost all systems analyzed have external regulations, which provide a framework for organizational autonomy, the number and degree of detail of these rules differ a lot. In most cases, the national law contains only guidelines on establishment of governing body / bodies, their structure, constituting representative groups and / or criteria and the selection method of members of these bodies.

In most countries studied, universities are relatively free to decide on administrative structures. This is also true for their ability to decide, within the limits of the legal framework, on the academic structures and on the creation of legal entities. By such entities, institutions may conduct additional activities more freely, both non-profit and commercial.

The inclusion of external members is an important factor to increase the responsibility of autonomous universities towards stakeholders and society at large. In most systems analyzed, the institution's governing bodies include external members who are selected by universities. In some systems, however, external members are appointed by an external authority, based on the opinions provided by universities.

The head of the executive of the university is always selected / elected by the institution and is accountable to the governing body of the institution. In some of the systems studied, the head of the executive, selected or elected, is appointed / confirmed by an external authority.

Regarding the executive management, in most countries analyzed, the transition to a "managerial" leadership type seems to contribute to greater autonomy in the management of universities and the determination of their internal structure.

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4. Further and Higher Education (Scotland) Act 1992, <http://goo.gl/QlZR6U>
5. Statute of the University of Strathclyde <http://goo.gl/5H06PS>
6. Charter of the University of Strathclyde <http://goo.gl/yMu04L>
7. Ordinances of the University of Strathclyde, <http://goo.gl/07UGBx>
8. Regulations of the University of Strathclyde, <http://goo.gl/cCJThg>
9. The Glasgow Caledonian University Order of Council 2010, <http://goo.gl/NN1bfg>
10. The Glasgow Caledonian University Governors Handbook, <http://goo.gl/ipc62r>
11. The Swedish Higher Education Act, 1992, <http://goo.gl/ywcSM9>
12. The Swedish Higher Education Ordinance, 1993, <http://goo.gl/Hc7dSV>
13. Web KTH Royal Institute of Technology, [www.kth.se/en](http://www.kth.se/en)
14. Website of Stockholm University, <http://goo.gl/TpvmDw>
15. The Danish (Consolidation) Act on Universities, 2012, <http://goo.gl/EmT1fT>

16. Site of The Ministry of Higher Education and science, <http://ufm.dk/en/>
17. Statutes of the self-governing institution Aalborg University, 2012, <http://goo.gl/ls4Yt9>
18. Aarhus University By-laws, <http://goo.gl/mDo40T>
19. Legea Educației Naționale, nr. 1, 2011 (cu modificările si completările ulterioare), <http://edu.ro/>
20. Carta Universității din București, 2011, <http://goo.gl/jC2cD5>
21. Carta Universității Babeș-Bolyai, 2012, <http://goo.gl/Rf7XNd>
22. Carta Universității Al. Ioan Cuza din Iași, 2011, <http://goo.gl/msSs9S>
23. Thomas Estermann și Terhi Nokkala, University Autonomy in Europe I (2009), <http://goo.gl/vuJzR8>
24. Thomas Estermann, Terhi Nokkala și Monika Steinell, University Autonomy in Europe II, the Scorecard (2012), <http://goo.gl/MYRn7i>

## APPENDICES

### Appendix 1. Identified issues and questions for Lithuania

Autonomy type	Problem formulation	Material consulted	Unresolved question/issue	Suggested meetings
Organizational	<p>1. What are the generic/state specific rules in terms of university governance and management?</p> <p><i>The Law on Higher Education and Research has strict guidelines on the governance and management bodies (their structure, membership numerical composition and responsibilities).</i></p>	<p>1. LAW ON HIGHER EDUCATION AND RESEARCH_REPUBLIC OF LITHUANIA</p> <p>2. Lithuanian Education Strategy 2003-2012</p> <p>3. THE STATUTE OF MYKOLAS ROMERIS UNIVERSITY, 2011</p> <p>4. Mykolas Romeris University EVALUATION REPORT, 2013</p> <p>5. web site of Kaunas University of Technology (<a href="http://en.ktu.lt/">http://en.ktu.lt/</a>)</p>	<p>0.1. By what kind of “legal and natural persons” shall be proposed the external members of the University Council? Any one can propose a candidate for the Council.</p> <p>The Council of HE analyses and evaluates the candidates and proposes to Ministry a number of persons (double number). The ME selects and appoints the 4 external members.</p> <p>0.2. What is their relation to the specific HEI?</p> <p>It is possible that they are alumni of the university, but it could be that they have no relations at all to the HES. They could be retired businessmen with good achievement in the field, persons from city magistrate etc.</p> <p>0.3. What happens, if some of proposed candidate is not accepted by the HEI? The university shall comply with the Ministry’s decision on the appointment of external members, even if it disagrees.</p> <p>0.4. Who is responsible for the elaboration of the university statute? The Parliament (Seimas).</p>	

			<p>0.5. Who can make the proposal of amendments of the university statute? The university addresses a request in regards with the wanted amendments of the statute to the member/s of Seimas and these members could make proposals on these amendments to the Seimas.</p> <p>0.6. Are the recommendation on tuition fee and the rates of other fees elaborated only by rector? No other body is involved (i.e. deans, etc)?</p> <p>The recommendation is made only by rector. It is not difficult issue, because if the fees will be less than the fixed state vouchers (the lump sum paid by the state for student), than this lump sum will be paid to the said HEI in less amount.</p> <p>0.7. Does the principles of selection and assessment of employees set by the Council refer also the academic staff? Shouldn't it be the issue of the Senate? No answers</p> <p>0.8. On what criteria are set the remunerations of the Council members? It may be, but not necessarily.</p> <p>0.9. Who is making the final decision on this issue? Who approves it? The Senate. No approvals at the higher level.</p>
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			<p>0.10. Since the procedure of payment of council members is stated in the university Statute and this document is approved by the council, it seems there is a conflict of interests. Is it so? No, see above</p> <p>0.11. Is the procedure of election of the Senate members set up by the ministry or by the university? No</p> <p>0.12. What determines the number of members of the Senate? The university.</p> <p>2.1. What is the instrument of interaction between the governmental body (Council) and the university staff (academics, researches, non-academic)? No answer</p> <p>2.2. What are the mechanisms ensuring that the governing body is well informed of the views of staff across the institution? No answer</p> <p>3.1. Are the governance and management of the private universities regulated by the same rules? If not what is the difference? Why?</p>	
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			<p>Private universities could be joint venture (for profit) and public (non-for-profit) are regulated by the law of HE, no difference with the public Universities founded by the Seimas.</p> <p>4.1. Are there legal provisions concerning the organizational academic structure of the universities?</p> <p>4.2. Who can make the proposals for reorganization of the structure of the higher education institution? The Senate or rector?</p> <p>4.3. Must the changes made in the organizational structure (establishing / liquidation of the faculty or department) be approved by the ministry (government)?</p> <p>5.1. Is the composition of governing and management bodies at faculties/departments level the same in all universities? If not what is the reason?</p> <p>5.2. How are the governing and management bodies – down to faculties and departments elected / appointed?</p> <p>5.3. Who is responsible for setting up the procedure of their election?</p>
	2. How is the interaction between the governmental body and the university staff performed?		



		<p>5.4. Do these bodies need to be approved by the Rector, Council or Senate?</p> <p>5.5. What are the terms of office and dismissal for these bodies?</p> <p>6.1. Can the university use the revenues from its own commercial entities as it consider appropriate?</p> <p>6.2. Should the university governance bodies inform the ministry/government on how the HEI is using its own revenue?</p>	
<p>3. How the generic/state rules (if there are some) are applied in private universities?</p> <p>4. What is the organizational structure of a university (incl., management, studies, and research areas)?</p> <p>5. What is the composition of governing and management bodies – down to faculties and departments (e.g., the board, the study boards etc.)?</p> <p>6. What is the degree of university freedom in creating legal entities (non-profit, commercial, startups. etc)?</p>			

## Appendix 2. Identified issues and questions for Scotland

#	Autonomy type	Problem formulation	Material consulted	Unresolved question/issue	Suggested meetings
1	Organizational	<p>1. What are the generic/state specific rules in terms of university governance and management?</p> <p>2. What are the university specific rules in terms of university governance and management?</p>	<p>1. The Scottish Code of Good HE Governance, 2013</p> <p>2. A STRATEGIC ANALYSIS OF THE SCOTTISH HIGHER EDUCATION SECTOR'S DISTINCTIVE ASSETS</p> <p>A study commissioned by British Council Scotland, Neil Kemp</p> <p>William Lawton, April 2013</p> <p>3. Statement of Primary responsibilities, University of Strathclyde, 2010.</p> <p>4. CHARTER of the University of Strathclyde, 2010.</p> <p>5. STATUTES of the University of Strathclyde, 2010.</p> <p>6. ORDINANCES of the University of Strathclyde, 2013.</p> <p>7. REGULATIONS of the University of Strathclyde, 2013.</p>	<p>bodies, their membership and numerical composition, set up by the law? If yes, what are they?</p> <p>2.1. What are the criteria on election/appointment of Lay members of the Court?</p> <p>2.2. By whom are elected / proposed and appointed these members?</p> <p>2.3. What is the procedure of dismissals of members of the Court (especially of the Lay members)?</p> <p>2.4. On what criteria are set the remunerations of the Court members? And who makes the final decision on this?</p> <p>2.5. Does the management structure of the HEIs established in the law?</p> <p>2.6. What are the criteria according to which the Principal is selected for the appointment? The same question is for the Vice-Principles and Pro-Vice-Principals?</p> <p>2.7. What are the qualifications required for the Principal function? Should he/her have academic degrees/titles? Should he/her work in the education area, be an employee of the university in question?</p>	<p>Step 1. Ask for additional material that is not available on-line or missed during search</p> <p>Step 2. Suggest organization/function within organization whom you would like to meet and discuss these issues</p>

					<p>2.8. Are any guidelines on the governance 2.8. What are the terms of office for the Principal?</p> <p>2.9. What is the reason that the terms of office of the Principal are not stated in the Statute?</p> <p>2.10. What are the terms and the procedure of Principal dismissal?</p> <p>2.11. Is the Senate consulted on the appointment of the rector? How can the Senate's opinion influence the appointment?</p> <p>2.12 What are the duties of the Chancellor? Why such a position is needed?</p> <p>2.13. Does the Senate of Strathclyde University have students as its members?</p> <p>2.14. If there are variances (on university governance and management) across universities, why is it the case?</p> <p>3.1. What is the instrument of interaction between the governmental body and the university staff (academics, researches, non-academic)?</p> <p>3.2. What are the mechanisms ensuring that the governing body is well informed of the views of staff across the institution?</p>
				<p>8. Guide for Members of Higher Education Governing Bodies in the UK, Committee of University Chairs (CUC), 2009.</p> <p>9. Scottish Statutory Instrument, the Glasgow Caledonian University Order of Council, 2010.</p> <p>10. UNIVERSITY COURT STANDING ORDERS, the Glasgow Caledonian, 2011.</p>	

		<p>3. How is the interaction between the governmental body and the university staff performed?</p> <p>4. How the generic/state rules (if there are some) are applied in private universities? What are the differences? Why?</p> <p>5. What is the organizational structure of a university (incl., management, studies, and research areas)?</p>	<p>4.1. Are the governance and management of the private universities regulated by the same rules? If not what is the difference?</p> <p>5.1. Is the organizational structure of the university established by law? If so what is it?</p> <p>5.2. Are there legal provisions concerning the organizational <i>academic</i> structure of the universities?</p> <p>5.3. Must the changes made in the organizational structure (establishing / liquidation of the faculty or department) be approved by the ministry (government)?</p> <p>6.1. Is the composition of governing and management bodies at faculties/departments level the same in all universities? If not what is the reason?</p> <p>6.2. How are the governing and management bodies – down to faculties and departments elected / appointed?</p> <p>6.3. Who is responsible for setting up the procedure of their election?</p>	

		<p>6.4. Do these bodies need to be approved by the Principal or the Court?</p> <p>6.5. What are the terms of office and dismissal for these bodies?</p> <p>7.1. Can the university use the revenues from its own commercial entities as it consider appropriate?</p> <p>7.2. Should the university governance bodies inform the ministry/government on how the HEI is using its own revenue?</p>		
	<p>6. What is the composition of governing and management bodies – down to faculties and departments (e.g., the board, the study boards etc.)?</p> <p>7. What is the degree of university freedom in creating legal entities (non-for-profit, commercial, startups. etc.)?</p>			

### Appendix 3. Identified issues and questions for Sweden

#	Autonomy type	Problem formulation	Material consulted	Unresolved question/issue	Suggested meetings
1	Organizational	1. What are the generic/state specific rules in terms of university governance and management?	<p>1. The Swedish Higher Education Act, updated 2013</p> <p>2. The Higher Education Ordinance, 2011</p> <p>3. HE in Sweden, 2013 status report, Swedish Higher Education Authority.</p> <p>4. The website of the Royal Institute of Technology in Stockholm: <a href="http://www.kth.se/en/">http://www.kth.se/en/</a></p> <p>5. The website of the Lund University: <a href="http://www.lunduniversity.lu.se/">http://www.lunduniversity.lu.se/</a></p> <p>6. The website of the Stockholm University: <a href="http://www.su.se/">http://www.su.se/</a></p>	<p>1.1. Are there any legal provisions on the number of external and academic representatives of the board of governors? If yes, what are they?</p> <p>1.2. What are the criteria on selection for appointment of the external members of the board of governors?</p> <p>1.3. What is the procedure of election of academic representatives in the board?</p> <p>1.4. What is the procedure of dismissals of members of the board of governors?</p> <p>1.5. Are the members of the board of governors remunerated? If so, on what criteria are set the remunerations of the board members? And who makes the final decision on this?</p> <p>1.6. Does the management structure of the HEIs established in the law?</p> <p>1.7. What are the criteria according to which the Vice-Chancellor (President) is selected for the appointment? The same question is for the Pro Vice-Chancellor?</p>	<p>Step 1. Ask for additional material that is not available on-line or missed during search</p> <p>Step 2. Suggest organization/function within organization whom you would like to meet and discuss these issues</p>

				<p>1.8. Are there any specific qualifications required for the Vice-Chancellor position? Should he/her have academic degrees/titles? Are there any age restrictions?</p> <p>1.9. What are the responsibilities of Pro Vice-Chancellor?</p> <p>1.10. What are the terms of office for the Pro Vice-Chancellor?</p> <p>1.11. What are the terms and the procedure of Vice-Chancellor dismissal?</p> <p>1.12. If there are variances (on university governance and management) across universities, why is it the case?</p> <p>2.1. What is the instrument of interaction between the governmental body and the university staff (academics, researches, non-academic)?</p> <p>2.2. What are the mechanisms ensuring that the governing body is well informed of the views of staff across the institution?</p> <p>3.1. Are the governance and management of the private universities regulated by the same rules? If not what is the difference?</p> <p>4.1. Is the organizational structure of the university established by law? If so what is it?</p>
			<p>2. How is the interaction between the governmental body and the university staff performed?</p>	



		<p>3. How the generic/state rules (if there are some) are applied in private universities? What are the differences? Why?</p> <p>4. What is the organizational structure of a university (incl., management, studies, and research areas)?</p> <p>5. What is the composition of governing and management bodies – down to faculties and departments (e.g., the board, the study boards etc.)?</p> <p>6. What is the degree of university freedom in creating legal entities (non-for-profit, commercial, startups. etc)?</p>	<p>4.2. Are there legal provisions concerning the organizational <b>academic</b> structure of the universities?</p> <p>4.3. Must the changes made in the organizational structure (establishing / liquidation of the faculty or department) be approved by the government?</p> <p>5.1. Is the composition of governing and management bodies at faculties/departments level the same in all universities? If not what is the reason?</p> <p>5.2. Are there any legal provisions on selection candidates for appointing on the dean and vice-dean positions?</p> <p>5.3. What are the terms of office and dismissal of the dean / vice-dean?</p> <p>6.1. Does the university's capacity to create legal entities (non-for-profit, commercial, startups. etc)?</p> <p>6.2 Can the university use the revenues from its own commercial entities as it consider appropriate?</p> <p>6.3. Should the university governance bodies inform the government on how the HEI is using its own revenue?</p>	

## Appendix 4. Identified issues and questions for Denmark

#	Autonomy type	Problem formulation	Material consulted	Unresolved question/issue	Suggested meetings
1	Organizational	1. What are the generic/state specific rules in terms of university governance and management?	<p>1. Danish consolidation Act on Universities, 2012, with amendments 2013</p> <p>2. Ministerial Order concerning the Act on Universities, 2007</p> <p>3. Statutes of Aalborg University, 2012.</p> <p>4. Aarhus University By-laws, 2011.</p>	<p>1.1. Are there any legal provisions on the number of external and academic representatives of the board of governors? If yes, what are they?</p> <p>1.2. Can the university set specific requirements for the external members of the board in addition to the existing in the law?</p> <p>What are the terms of office for internal members of the board?</p> <p>1.3. What is the procedure of election of academic representatives in the board?</p> <p>1.4. What are the conditions of dismissal of the internal member of the board?</p> <p>1.5. Are the members of the board remunerated? If so, on what criteria are set the remuneration of the board members? Who makes the final decision on this issue?</p> <p>1.6. Can the university set specific requirements for the rector position in addition to the existing in the law?</p> <p>1.9. What are the terms of office of the Rector?</p> <p>1.10. What are the responsibilities of the University Director?</p> <p>1.11. If there are variances (on university governance and management) across universities, why is it the case?</p>	



		<p>3. What is the organizational structure of a university (incl., management, studies, and research areas)?</p> <p>4. What is the composition of governing and management bodies – down to faculties and departments (e.g., the board, the study boards etc.)?</p> <p>5. What is the degree of university freedom in creating legal entities (non-for-profit, commercial, startups. etc)?</p>	<p>5.2. Can the university use the revenues from its own commercial entities as it consider appropriate?</p> <p>5.3. Are there legal provisions which regulate this right of the university?</p> <p>5.4. Should the university governance bodies inform the government on how the HEI is using its own revenue?</p>	

## Appendix 5. Data reporting and data analysis for Lithuania

Problem/ question formulation	Findings	Comments
	Record here what you found in the documents and from interviews (addressing the what, how who, when questions) IMPORTANT: make sure you also always try to get to the route of the problem/question/issue by addressing the 'why' questions	Please record here any of your ideas, concepts, relationships between/across the concepts/types, potential impact, potential implications for Moldovan system etc. – it is IMPORTANT to record ALL your thoughts and ideas immediately as you record the findings.
Legal provision on the HES. Types of HEIs. Relations with the State.	There are two types of HEIS: <b>universities</b> and <b>colleges</b> . HEIs may be state and non-state. State HEI is public institution. A non-state HEI shall be a public legal person or a private legal person.  Colleges are under the government responsibility. The universities in Lithuania are formed by the Seimas. The Statute of the university is approved by the Seimas. Any amendments to the university statute can be made only by Seimas. The university addresses a request in regards with the wanted amendments of the statute to the member/members of Seimas and this member/these members may make proposals to the Seimas on these amendments.	Two type of HEIs: one, UNIVERSITY, on the higher stage (I, II, II cycles, doing fundamental and applied research) and the second, College, dealing with the vocational HE, having only I cycle.  A non-state HEI, could have private founders and be public HEI if it is non-for profit. A private HEI which is for-profit is a Joint venture.  This situation limits the political pressure on the universities. MES does not have implications in the university activities. !!!
1. What are the generic/state and university specific rules in terms of university governance and management?	The governing and management bodies are established by Law of HE&R <sup>1</sup> . The universities have <b>dual</b> governance structure. A state university must have the collegial management bodies – the <b>council</b> and the <b>senate</b> , as well as a sole management body – the rector.	

<sup>1</sup> Law of Higher Education and Research of Republic of Lithuania, 30 April 2009 No XI-242

<p>• The governing body (bodies)</p>	<p>• <b>Council</b><sup>1</sup> is the main body of the university.</p> <p><b>Council's Structure (Law)</b>– 9 (11) members: 1 student; 2(3) from the academic staff; 1 from the administration; 1 appointed by ME &amp; Senate; 4 (5) external members.</p> <p>This has changed: 5 from university &amp; 4 external members. Any one (inside the university) can propose a candidate for the Council. The internal members are elected among the members of the academic staff. Student representative is elected by and among the students. The external members could be alumni of the university, but it could be that they have no relations at all to the HES. They could be retired businessmen with good achievement in the field, persons from city magistrate etc.</p> <p>The Council of HE (an advisory body for the MES on strategic issues of HE development) analyses and evaluates the candidates and proposes to Ministry of E&amp;S a number of persons (double number). The MES selects and appoints the 4 external members.</p> <p>The university shall comply with the Ministry's decision on the appointment of external members, even if it disagrees. The chairman of the Council is elected among the external members. <b>(Law)</b> The rector shall attend meetings of council in an advisory capacity. <b>The remuneration of the Council members</b> is possible, but not necessarily. At some university it is a single time payment, at other they are hourly remunerated for a time worked, based on the rectors salary multiplied with</p>	<p>The structure of the Council was change in accordance with the decision of the Constitutional Court that says the number of external members of the university council cannot be bigger than the number of internal members.</p> <p>As external members of the Council shall be proposed persons having the necessary capacities and which can ensure their commitment to the university's interest. And since the numbers of such persons is not so big the proposed university governance system to work, the number of the universities should not be large.</p> <p>It seems not a very good idea to give the Ministry (Council of HE) the power of decision on the candidate for the university Council. The right of choosing should be only of the universities. The Ministry should only make public announcement on the composition of the Council.</p>
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	<p>coefficients (from 1 to 0,5)<sup>2</sup>. The decision on this issue (also on the amount of remuneration) is made by the Senate and it should be stated in the Statute. No approval at the higher level is needed.</p> <p><b>Terms of office</b> of a council member: 5 years.</p> <p><b>Dismissal:</b> The member of the council is dismissed by the body/person who has appointed him/her.</p> <p>• <b>Senate</b><sup>1</sup> is the management body of academic affairs of the university, responsible for approving study programmes, internal system of quality assurance, setting qualification requirements for positions of teaching and research staff.</p> <p>The Senate shall be set up/elected in accordance with the procedure laid down in the statute of HEI. No governmental/ministerial regulations.</p> <p><b>Structure:</b> students <math>\geq 20\%</math>; Professors &amp; chief research staff <math>\geq 20\%</math> ; Associate professor and senior research staff <math>\geq 20\%</math> ; Members of the senate based on their position, including Rector <math>\geq 10\%</math> ; Employees of other HE may also be members of Senate. The number of Senate members is determined by the university. The rector of a HE is members of Senate based on his position, but he <b>may not</b> be chairman of the senate.</p> <p><b>Senate's terms of office</b> – 5 years. Is set up in accordance with the procedure laid down in the statute of HE.</p>	<p>It is not clear if and how council members are penalized if the rector appointed by them will fail.</p> <p>The establishment of employment and assessment criteria for the academic (profs and researchers) staff should be Senate responsibility only.</p> <p>The Council's approval of the study and research programs proposed by the Senate should be a formal, or even it shouldn't be at all.</p> <p>Academics are admitted to their posts by the <b>rector</b> according to regulations on selection and promotion of academic and administrative staff. All staff members are admitted to their posts by public tender competitions and promoted by the rector, following proposals of the recruitment commission, after an evaluation of employees' qualifications which is carried out using established criteria (for the academic staff – by the Senate).</p>
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<sup>2</sup> Vilniaus universiteto statuto redakcija patvirtinta 2013-11-27 Senato nutarimu S-2013-7-4 (Vilnius University Statute was approved by Resolution of the Senate 2013-11-27 S-2013-7-4)



<p>• The management body</p>	<p><b>The Rector</b><sup>1</sup> is the main management executive body. He is responsible for elaboration and implementation of the strategic plan, structural reorganization, financial activities of the higher education institution, proper management, use and disposal of funds and assets, fees establishing, employment of staff, students recruiting etc.</p> <p>Rector appoints the candidates of University Vice Rectors, University Chancellor, Faculty Deans,</p> <p>Department Heads and Institute Directors and submit them to the Senate for approval.</p> <p><b>The Rector is elected</b> (<math>\geq 3/5</math> of council members) by an open competition, appointed and dismissed by the <b>council</b>. <b>Qualifications:</b> The rector <b>may</b> be a person who has a scientific degree, who has the experience in pedagogy and management.</p> <p>The rector of a HE is members of Senate based on his position, but he <b>may not</b> be chairman of the senate.</p> <p><b>Term of office:</b> 5 years. The same person may be elected as rector of the same HE for not more than 2 terms of office in succession and not earlier than after the lapse of five years since the end of the last term of office, if the last term of office was consecutively second.</p> <p><b>Dismissal:</b> The rector may be dismissed by the <b>council</b> if the council does not approve one of the annual reports.</p> <p>The <b>Rectorate</b> is an advisory corporate body chaired by the Rector. The Rectorate consists of the Rector, the Vice-Rectors, the Head of Administration of the University, Deans of the Faculties, heads of the subdivisions, including the subdivisions with the rights of legal entity and a member delegated by the Student Representative Body.</p>	<p>It seems to me that it would be better to set : the rector <b>must</b> be a person who has a scientific degree, who has the experience in pedagogy and management.</p> <p>The Rector is the main management executive body. He is responsible for elaboration of the strategic plan, structural reorganization, financial activities of the higher education institution, proper management, use and disposal of funds and assets, fees establishing etc.</p>
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<p>2. How is the interaction between the governmental body and the university staff performed?</p>	<p>There are lots of commissions at university and faculties level with different responsibilities related to the activities of the university/faculty. Their members are university academic and/or administrative staff. The rector's decisions with regard to the specific issue are made based on the information and proposals made by these commissions. There are commissions on: study programmes, on recruitment and assessment, on staff payment etc.</p>	
<p>3. How the generic/state rules (if there are some) are applied in private universities?</p>	<p>All private HEIs on organizational and academic areas are ruled by the Law of HE, except they didn't receive vouchers. The Law of HE didn't mention any difference in the functioning of the state and private universities. Law HE, Chapter II, Art. 6, p.4: A non-state HEI shall be a public legal person functioning as a public establishment or a private legal person (joint venture).</p>	
<p>4. What is the organizational structure of a university (incl., management, studies, and research areas)?</p>	<p>There are no legal provisions concerning the organizational structure of the universities. The universities are free to make their own decision regarding this issue. Usually the university is divided into faculties (within which operate a number of institutions/departments) and management (administrative) units. Management Units have different areas of activities: management of research activities, management of studies, international relations, library, accounting, internal audit, IT center, marketing etc.</p> <p>The proposals on the <b>reorganization</b> of the university structure are addressed to the rector and can be made by the senate or by the rector himself. These proposals are presented by rector to the Council that approves it. The Ministry of Higher Education and even the Parliament, does not involve in the procedure.</p>	

<p>5. What is the composition of governing and management bodies – down to faculties and departments (e.g., the board, the study boards etc.)?</p>	<p>The main governing body of the faculty is the Council of Faculty. The members of the faculty council are elected. The election procedure and criteria are (should be) stated in the statute or in the specific university regulation.</p> <p>The Dean is a main management body of the faculty. The Dean is appointed by rector and approved by the Senate. The vice-dean, heads of institutes/departments are appointed by the rector on dean's proposal. The terms of office of deans, vice-deans, head of institutes is 5 years.</p> <p>Within institutes there are academic commissions responsible for elaboration, submission for approval and accreditation and delivering of study programmes.</p> <p>The scientific work is done at the institutes, laboratories and centers within faculties.</p>	
<p>6. What is the degree of university freedom in creating legal entities (non-for-profit, commercial, startups. etc)?</p>	<p>The university can establish non-for-profit, commercial entities and startups, in the terms of the Law of HE. (Chapt. II, Art. 7, p. 2:12 : HEI shall have the right to pursue economic and commercial activities which are not prohibited by laws and which are inseparably connected with the objectives of activities thereof;)</p> <p>The university can use the revenues from its own commercial entities as it consider appropriate, without informing ministry or other governmental bodies on how HEIs is using its own revenue.</p> <p>The external audit, which is done periodically by the Court of Auditors, will determine the correctness of the revenue use.</p>	<p>It is a high degree of autonomy which enables the universities to implement their strategies in a flexible and adequate way and hence to carry out their main missions.</p>

## Appendix 6. Data reporting and data analysis for Scotland

Problem/ question formulation	Findings	Comments
	Record here what you found in the documents and from interviews (addressing the what, how who, when questions) <b>IMPORTANT:</b> make sure you also always try to get to the route of the problem/question/issue by addressing the ‘why’ questions	Please record here any of your ideas, concepts, relationships between/across the concepts/types, potential impact, potential implications for Moldovan system etc. – it is <b>IMPORTANT</b> to record <b>ALL</b> your thoughts and ideas immediately as you record the findings.
Legal provision on the HES. Types of HEIs. Relations with the State.	<p>There is only one type of HEIS – the <b>Universities</b>.</p> <p>There are 3 groups of universities: Ancient – have statutory base, new established by Charter in the 1960s, and the “very new” designated as universities under the Further and Higher Education (Scotland) Act 1992<sup>3</sup>. All universities are accountable to the Royal representative (Secretary of State, Privy Council).</p> <p>The undergraduate studies are free of charge (for Scottish and EU [non-UK] students), funded by the Government through the <b>Scottish Funding Council (SFC)</b>, which is established by the Secretary of State. For the rest there are study fees: for UK students above 9000 pounds, for the international (non-EU) much more (could be around 60000 pounds). Postgraduate (master &amp; PhD) studies are paid by the all students.</p> <p>The budget given to the university by SFC consists of 3 parts: a part for teaching (60%), part for basic fund for research (which is based on the REF evaluation performed each 5 years and is designated to maintain infrastructure, for the equipment, for salary) and part (capital) for institutional development (based on the application with strong explanations).</p>	<p>Universities are public institutions. The colleges are not part of HES.</p> <p>This situation (accountability to the higher authority than the ministry) limits the political pressure on the universities.</p> <p>ME is responsible for elaboration of the educational policy in general and does not have implications in the university governing, management, activities!!!</p> <p>Universities are <b>INDEPENDENT</b> bodies!!!</p> <p>The relevance of the master studies are supported by the professional councils (bodies from the real market) that give authorization to practice a profession. They establish the requirements, which contain the master study degree as one of necessary conditions for the authorization.</p>

<sup>3</sup> Further and Higher Education (Scotland) Act 1992

<p>1. What are the generic/state and university specific rules in terms of university governance and management?</p> <ul style="list-style-type: none"> <li>• The governing body(bodies)</li> </ul>	<p><b>REF – research excellence Framework.</b> The research activity is funded from: 1) the budget given by SFC (); 2) the research national and international grants obtained through the competition; 3) the industrial grants. The university is accountable to SFC only for the money given by it, but not for the own revenue. The main sources of the university's earnings are the postgraduate programs, and could be also, the research activities.</p>	
	<p>Dual type of Governance structure: the University Court (Council) and the Senate. <i><b>In the Further and Higher Education (Scotland) Act 1992 is mentioned the Court as governing university body, as well as its relations with the Privy council, SFC and Secretary of State. This law does not contain provisions on university governing and management bodies, university organizational structure, criteria and procedures of election / appointment of members of any university body.</b></i> Court is responsible for approving the University's overall strategic direction and exercising general oversight of the University's performance and development (the management and administration of the revenue, property, staff and students). It is responsible for ensuring that the University's business is conducted in accordance with the Statute (Statutory Instrument). There are different numbers of court members in different universities (usually not more than 25), but the composition of court is the same. Its membership comprises:</p> <ul style="list-style-type: none"> <li>• Lay members (appointed governors) drawn from business, industry and the professions who retain an overall majority.</li> <li>• members drawn from former students (alumni)</li> <li>• Ex officio (governors) members being the Principal (could be also a Vice-Principal) and the President of the Students' Association.</li> </ul>	

	<ul style="list-style-type: none"> <li>• elected members from amongst academic staff.</li> <li>• elected members from amongst non-academic staff.</li> <li>• members drawn from the students.</li> </ul> <p>The majority of the Court (main governor body) is formed by the external (lay) members.</p> <p><b>Court is responsible for the holding and conducting the election of staff governors.</b> After consulting academic and non-academic staff the Court makes the rules of this election. It is also responsible for the <b>inclusion and selection of the external member in governing bodies.</b></p> <p>The lay members are appointed on the contest base. They are themselves applying to the court. Special group within the court analyses the application and make recommendations to the Court for approval of the appointments<sup>4</sup>.</p> <p>The Court shall elect from among the Lay Members a <b>Convener of Court.</b></p> <p><b>The terms of office</b> of the Court members differ from university to university and are set up in the Statute.</p> <p><b>Terms of office:</b> ex officio – during his/her terms of office; appointed governors – 3 (4) years and could be re-appointed that maximum period of membership in the court will be max 9 years; staff governors – 3(4) years and could be re-appointed that maximum period of membership in the court will be max 6 (9) years.</p> <p><b>The dismissal conditions</b> of Court members are stated in the Statute.</p> <p><b>The remuneration</b> of Court members is nominal (but is not a normal salary) and the decision on this issue is made by a special Committee.</p>	<p>The selection criteria of the lay members usually are stated in the Statute. I.e. Statutory Instrument of Glasgow Caledonian University<sup>3</sup>.</p> <p>May be the proposition to apply for court lay membership comes from university representatives, or someone else.</p>
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<sup>4</sup> Ordinances of the University of Strathclyde.

	<p><b>Senate.</b> The <b>Senate</b> is the <b>academic governing</b> body within the University and is responsible for all academic matters including academic standards and quality. The responsibilities of Senate are the planning, co-ordination, development and supervision of the <b>academic work</b> of the University and other assigned functions of the University Court, subject to the general control and direction of the University Court<sup>5,6</sup>. Any its decisions should be approved by the Court.</p> <p>The Senate numeric composition varies from university to university. It is not stated in the Statute as well as the representative proportions of the members groups of Senate.</p> <p><b>The Senate consists on (<i>Glasgow Caledonian Univ.</i>)</b> <i>Ex officio members</i></p> <ul style="list-style-type: none"> <li>• <b>Principal and Vice-Chancellor</b>, which is <b>Chair of the Senate</b></li> <li>• Vice-and Pro-Vice-Principals,</li> <li>• Heads of academic departments, including deans</li> <li>• President of student's association</li> </ul> <p><i>Elected members</i></p> <ul style="list-style-type: none"> <li>• Academic staff +1 student that will consist <math>\geq 1/3</math> and <math>&lt; 2/3</math> of the aggregate nr. of ex officio members</li> <li>• <b>Academic staff</b> (teaching &amp; research staff) <b>is elected</b> in accordance with the arrangements made by the Senate and approved by the Court – for 4 (3) years and can be re-elected once.</li> <li>• Students are elected according their own rules – for 1 year</li> <li>• Co-opted members (not more than 4(5) persons) – not more than 4 years and are eligible to be co-opted again <sup>3</sup>.</li> </ul> <p>There are a number of Senate committees dealing with different issues that are under Senate responsibilities.</p>	<p>Scottish universities function much more based on the experience gain through the centuries, common sense and citizen's responsibility. Their legal provisions and regulations are not too rigid.</p>
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	<p><b>Terms of office:</b>  <b>ex officio member</b> – as long as they hold their positions  <b>academic staff</b> – for 4 years and can be re-elected once  <b>Student</b> – for 1 year.  <b>Co-opted members</b> – not more than 4 years and are eligible to be co-opted again.  <b>The Chancellor is the titular head of university.</b> Is appointed by the Court (after consultation with the Senate), which determines the duties and rights of the Chancellor's office.  <b>Chancellor's term of office</b> – 4-5 years, but the court could establish any other terms of office (could be re-appointed).  <b>The Principal &amp; Vice-Chancellor</b> is the chief academic and executive officer of the university. In the absence of the Chancellor the Principal and Vice-Chancellor perform the functions of the Chancellor.  The Principal, Vice-Principals and Pro-Vice-Principals are <b>appointed by the Court</b>, after <b>consultation with the Senate</b>. Court delegates its functions relating to the organization and management of the University to the <b>Principal and Vice-Chancellor</b> who, assisted by the <b>University Executive Team (Principal, Vice-Principals and their PAs, Chief Financial Officer, Univ. Court representative, Executive Deans of schools and their PAs)</b>, is responsible for the day to day running of the University.  The Principal shall be responsible to the Court <b>for the finances</b> of the University.  The <b>Principal is the Chair of the Senate</b> and shall be ex officio a member of all Committees of Senate.  <b>The criteria and requirements for Principal's appointment.</b>  In all of Scotland's universities, the Principal is currently appointed by the Court, <b>usually following an executive search and interview process.</b></p>
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<sup>5</sup> The Glasgow Caledonian University Order of Council 2010, p. 5.

<sup>6</sup> Statute of the University of Strathclyde. 2010.

<p>The appointment of the Principal is made by the Court by the manner (including term and conditions) to be determined by the Court time to time.</p> <p>There are no qualification requirements for the Principle function stated in some official university documents, but the Principle is a person from university environment, having scientific degree and reputation, management experience.</p> <p><b>Remuneration.</b> The contractual terms of Principals are determined by the governing body, and his or her <b>remuneration</b> is set by a remuneration committee of the court.</p> <p><b>Terms of office and dismissal:</b> The term and conditions of the Principle appointment are to be determined by the Court time to time. No provision on this issue in the university Statutes or Ordinances.</p>	<p>The Executive Team is responsible for providing recommendations on the overall strategic direction for the University, for considering all major initiatives emerging and the resources required to support them, and for proposing these to the Senate and the Court as appropriate for final approval.</p> <p>In particular the Executive Team is responsible for</p> <ul style="list-style-type: none"> <li>(a) developing the overall strategic direction of the University, taking account of the resources at its disposal and the need to ensure sustainability in all aspects of University business, and making proposals on these, as appropriate, to the Senate and to Court for final approval;</li> <li>(b) considering policy proposals on the University budget, on resource allocation priorities, on physical development, on employment and any other University business, for onward transmission and decision at the Court;</li> <li>(c) considering policy proposals on the teaching, research and academic development and on the academic priorities of the University, and on any other matter within the remit of the Senate – including, specifically, recommendations on University ceremonies and the award of honorary degrees, and for recommending these to the Senate for final approval;</li> <li>(d) considering all major initiatives emerging from both within and outwith the University and whether or not these should be pursued, taking account of the fit with the overall University strategy, the resources required to support them, their sustainability and the overall priority to be attached to them;</li> <li>(e) engaging with the Court Business Group in order to consider key proposals emerging within the University before they are forwarded to the Court for consideration and approval;</li> </ul>
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	<p>• The management body</p>
<p>(f) developing and maintaining a Strategic Investment Framework embracing a holistic approach to the development of major initiatives across the University, taking account of the resources required to support these, including staff, funding, information technology and estates, and also, in a similar approach, considering areas of disinvestment and proposing these to the Court for approval;</p> <p>(g) monitoring the implementation of these major strategic developments and regularly reviewing the overall University strategy to ensure that it remains relevant and sustainable.</p> <p><i>Composition</i></p> <p>1.1.2 The Executive Team will be composed of:</p> <ul style="list-style-type: none"> <li>(a) The Principal <i>ex officio</i> (Convener)</li> <li>(b) The Vice-Principal <i>ex officio</i></li> <li>(c) The Executive Deans <i>ex officio</i></li> <li>(d) The Chief Operating Officer <i>ex officio</i></li> <li>(e) The Chief Financial Officer <i>ex officio</i></li> </ul> <p>Although the Principal is selected and appointed by the Court, it is necessary / required Senate's opinion Senatului!</p> <p>With regard to the Principal's engaging conditions, salary, terms of office, all of this is depends on the Court. Nothing is fixed. It could be change by curt time to time, depending (may be) on the university goal or on the candidates applied to this position.</p>	

2. How is the interaction between the governing body and the university staff performed?	<p>There are lots of committees at the departmental, faculty and university levels with different responsibilities related to the activities of the faculty/ university. Their interaction is made by the following scheme:</p> <p>Representative of Departmental committee =&gt; Faculty committee =&gt; University committee (of the Court and of the Senate).</p> <p>Their members are university academic and/or administrative staff.</p>	
3. How the generic/ state rules (if there are some) are applied in private universities?	Not the case.	
4. What is the organizational structure of a university (incl., management, studies, and research areas)?	<p>The organizational structure of the university is established by the Court, after report of Senate, in accordance with the university Statute.</p> <p>The organizational structure of the university is stated in the internal document of the HEI, the University Ordinances<sup>2</sup>. Any modifications of the org. structure are approved by the Court.</p>	
5. What is the composition of governing and management bodies – down to faculties and departments (e.g., the board, the study boards etc.)?	<p>The <b>Executive Dean</b> is a main management body of the faculty. The Dean is appointed by the Court or by the committee to which this power was delegated by the Court.</p> <p>The <b>remuneration, terms or conditions of office</b> of Executive Dean are determined by the Court or by this committee. Executive Dean is a member of the Executive team.</p>	

	<p>The <b>Board of Study</b> constituted for a Faculty shall have the right to discuss any matter relating to that Faculty and any matter referred to it by the Senate, and to convey its views thereon to the Senate. The <b>Executive Dean</b> of the Faculty shall be ex officio the <b>Convener of the Board</b> of Study constituted for that Faculty.</p> <p><b>Each Department</b> of the University shall have a Departmental Committee which the Head of Department shall Chair. The Departmental Committee shall comprise all members of Academic staff, Research staff and Teaching staff at Grade 8 and above and any probationary lecturers in the Department.</p>	
<p>6. What is the degree of university freedom in creating legal entities (non-for-profit, commercial, startups, etc)?</p>	<p>The university can establish any type of legal entities: non-for-profit, commercial, startups etc.</p> <p>The university can use the revenues from its own commercial entities as it consider appropriate.</p> <p>The external audit, which is done periodically, will determine the correctness of the revenue use.</p> <p>The university even can</p> <ul style="list-style-type: none"> <li>◆ invest its own monies in such stock, funds, shares or securities as the Court shall from time to time think fit, whether authorized by the general law for the investment of trust monies or not, and whether within or outside the United Kingdom, or in the purchase of heritable property in the United Kingdom, including rents, with the like power of varying such investments from time to time;</li> <li>◆ sell, buy, exchange, lease, and accept leases of lands and other property, heritable and moveable;</li> <li>◆ borrow money.</li> </ul>	<p>It is a high degree of financial autonomy which enables the universities to implement their strategies in a flexible and adequate way and hence to carry out their main missions.</p> <p>The university shall be responsible to the Privy Council only for the use of money received from the SCF.</p>

## Appendix 7: Data reporting and data analysis for Sweden

Problem/question formulation	Findings	Comments
	<p>Record here what you found in the documents and from interviews (addressing the what, how who, when questions)</p> <p>IMPORTANT: make sure you also always try to get to the route of the problem/question/issue by addressing the ‘why’ questions</p>	<p>Please record here any of your ideas, concepts, relationships between/across the concepts/types, potential impact, potential implications for Moldovan system etc. – it is IMPORTANT to record ALL your thoughts and ideas immediately as you record the findings.</p>
<p>Legal provision on the HES.</p> <p>Types of HEIs.</p> <p>Relations with the State.</p>	<p>The Riksdag (Swedish Parliament) and Government have overall responsibility for higher education and research, which means that they make decisions about targets, guidelines and the allocation of resources. Education and research are the remit of the Ministry of Education and Research. Under the general mandate, given by the Government, state universities and university colleges decide their organisation, curricula, admission criteria and internal funding for undergraduate programmes.</p> <p>As of 1 January 2013, the Swedish Higher Education Authority (Universitetskanslersämbetet) and the Swedish Council for Higher Education (Universitets-och högskolerådet) are the central government agencies responsible for matters relating to higher education. However, universities and university colleges remain separate state entities and make their own decisions about the content of courses, admissions, grades and other related issues. The Swedish Council for Higher Education is responsible for admission issues, information concerning university-level studies, assessments of foreign qualifications, and international co-operation, among other things. The Swedish Higher Education Authority mainly has a scrutinising function, and is responsible both for reviewing the quality of higher education and granting degree-awarding powers. It is also responsible for the supervision of universities and university colleges, and for maintaining official statistics.</p>	

	<p>Universities and other higher education institutions in Sweden are autonomous agencies, directly responsible to the Government. There are 14 universities and 22 higher education institutions whose principal is the state, which means that responsibility ultimately lies with the state. In addition there are ten or so private education providers, including Chalmers University of Technology, Jönköping University and the Stockholm School of Economics.</p> <p>The main task of the state universities and higher education institutions is to organise educational programmes based on scientific or artistic.</p> <p>Over 80 per cent of funding for Sweden's universities and university colleges comes from the Government, of which 78.2 per cent is in the form of direct grants. A further 4.8 per cent comes from other public sources of funding. The remaining funding came from private sources and financial revenue.</p>	
<p>1. What are the generic/state and university specific rules in terms of university governance and management?</p> <p>• The governing body(bodies)</p>	<p>A higher education institution (HEI) is governed by a <b>board</b>. The <b>governing board</b> is responsible for ensuring the effective management of the HEI and for planning its future development. It is ultimately responsible for all the affairs of the institution.<sup>7</sup></p> <p>The Board composition. These boards consist of a chair and no more than 14 other members. Eight of the members are external members appointed by the Government on the proposal of the HEI.</p> <p><b>The teachers</b> are represented by three members of the board of governors. The teachers' representatives shall be elected within the HEI. The board of governors shall issue more specific regulations about the election procedure.</p> <p><b>The students</b> are represented by three members of the board of governors. These representatives are appointed by the Student Union. External members of the Governing Board are appointed by the government on proposal of the HEI. These external representatives usually are: Vice-Chancellors of other Swedish universities, prominent industrialists, CEO of</p>	

<sup>7</sup> The Swedish Higher Education Act, 1992



<p>• The management body</p>	<p>big companies, representatives from public authorities (majors, heads of regional administrations, directors of governmental agencies, etc)</p> <p>The Government appoints the chairperson of the board and the board then elects a vice-chairman among its members. The Vice-Chancellor must always be a member of the board.</p> <p><b>Terms of office:</b> The student representatives to the Governing Board are appointed for <b>1 year</b>, <b>all other members</b> of the Board (except vice-chancellor) are appointed for <b>up to 3 years</b>.</p> <p><b>The dismissal conditions</b> of Board members are not mentioned in any legal provisions. <b>The remuneration</b> of Board members.</p> <p>Members of the University board are remunerated. Their remuneration is carried out on the base of the “Regulation on remuneration of the members of the Governing Boards at Swedish Higher Educational Institutions”, Decision of the rector of KTH, Decision of the Government. The remuneration is done according to following: Head of the University Board: 66 000 SEK a year Member of the University Board: 28 000 SEK a year Faculty Board: 15 000 SEK a year for the member of the board The document also determines reimbursement of other eventual costs for the members of the Board, including travel costs.</p> <p>The <b>Vice-Chancellor</b> of the University is in charge of its operations after the Governing Board and is directly accountable to the <b>board of governors</b>. The <b>vice-chancellor</b> shall be <b>appointed by a Government</b> decision for a period of no more</p>	<p>The chair and the other members of the board of governors who, pursuant to Section 4 of Chapter 2 of the Higher Education Act (1992:1434), shall be appointed by the Government are to be appointed after a proposal has been submitted by the HEI.</p> <p>This proposal is to be preceded by consultation within and outside the higher education institution and comprise persons with competence and experience from activities that are significant for the institution’s educational, research and third stream mandate.</p>
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	<p>than <b>six years on the basis of a proposal from the board of governors</b> of the HEI<sup>8</sup>.</p> <p>The vice-chancellor is a member of the board of governors, he could be the chair. Before the board of governors submits its proposal, consultation shall take place with the teachers, other employees and students in the manner determined by the board of governors. While presenting the candidate to the government, the Governing Board shall explain how the requirements on equal opportunities were respected.</p> <p><b>The criteria and requirements for Vice-Chancellor's appointment.</b> A person eligible to be appointed as a vice-chancellor or pro-vice-chancellor is the person who fulfills the requirements for employment as a professor or lecturer. While appointing vice-chancellor or pro vice-chancellor the administrative capacity shall also be taken to the account including leadership ability.</p> <p>According to the Swedish legislation, a person can't be appointed to an official position after filling <b>67 years</b>. As the position of the vice-chancellor is an official position, this limitation applies in this case as well in a sense that a person can't be appointed to the position of the vice-chancellor if the person reaches the age of 67 years during his or her employment period. I.e. appointment to the first period is limited by 61 years and consecutive periods by the age of 64 years.</p> <p><b>The Pro Vice-Chancellor</b> (deputy vice-chancellor) acts as a legal representative for the institution while the rector is not on the place. The pro vice-chancellor substitute for the vice-chancellor to the extent determined by the vice-chancellor. The pro vice-chancellor is appointed by the board of governors for 6 years.</p> <p><b>Terms of office:</b> no more than 6 years. The appointment <b>may be extended but no more than twice and for no more than three years at a time</b>.</p>	<p>The vice-chancellor must be a person from the university environment having scientific degree with experience of academic work (since the requirements are the same as for the professor or lecturer).</p> <p>(KTH)The process on selecting the candidates for a new rector or pro-rectors shall normally start 12 months before the planned date of their employment.</p> <p>University Board appoints a Nomination Committee for preparing proposals on the candidates for rector and pro-rector. This Committee shall consist of 7 persons – Head of the Committee, a representative for general interests, 2 representatives for academic staff (proposed by the Faculty Board), one for non-academic staff (proposed by the local trade unions) and representatives for the students (1 for students and one for PhD students proposed by the student union).</p> <p>Head or Vice-Head of the Governing Board shall be appointed as a head for the Nomination Committee.</p> <p>University administration shall provide support to the activities of the Nomination Committee. Nomination of the candidates shall be done through the Nomination Committee.</p> <p>The Nomination Committee shall</p> <ul style="list-style-type: none"> <li>– Develop a proposal for the employment profile and submit it to Board for adoption</li> </ul>
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<sup>8</sup> The Swedish Higher Education Ordinance, 1993

	<p>The Vice-Chancellor's Group (at KTH) or the Senior Management Team deals with strategic educational, research and quality issues and consists of the Vice-Chancellor, Deputy Vice-Chancellor, Dean(s) of Faculty(-ties), Pro Vice-Chancellor, the University Director and a student representative.</p> <p><b>Terms of office and dismissal:</b> No provision on this issue. At the same time, it is responsibility of the Government as they make decision on appointment of the Vice-Chancellor.</p> <p><b>Most of the universities have a body that represents the entire university, called Academic Senate / Education &amp; Research Board / Faculty Council, and acts as an advisory body (to the Vice-Chancellor). This body has under its instructions, the task of discussing and expressing opinions on: objectives and strategy for the university's activities and interactions with the community university organization research and education policy issues of importance to the University</b></p>	<ul style="list-style-type: none"> <li>– Select the appropriate candidates for the respective positions</li> <li>– Make sure that the candidates agree to work on the respective positions</li> <li>– Work on assuring gender equality among the candidates to each position</li> <li>– Present to the Governing Board on the measures taken to assure the gender equality</li> <li>– Make specific efforts in presenting to the Board a unified candidate</li> <li>– Before presenting to the Governing Board the final candidate make sure that the Faculty Academic Committee, Unions and Student Union have presented their opinion about the proposed candidate. The Nomination Committee openly presents the candidate together with the Academic Committee, Unions and Student union present their opinion</li> <li>– Carry out the work related to the proposal on the candidate for the position of the rector in a way that the University Board can present the candidate to the government at least 4 months before estimated date of appointment</li> <li>New composition of the Nomination Committee is appointed for each election.</li> </ul>
2. How is the interaction between the governing body and the university staff performed?	<p>There are lots of committees at the departmental, faculty and university levels with different responsibilities related to the activities of the faculty/ university.</p> <p>In order to enable and strengthen academic staff access to information and influence over processes and decisions there is also a Trustee Council ("fakultetens förtroenderåd") with the primary task of gaining acceptance for, and</p>	

	<p>communicating, issues of special importance with the academic staff<sup>9</sup>.</p> <p>Every year each HEI prepares annual report where they inform public authorities on performance during the year. The report has a well-defined structure which covers all aspects of operations of the public university. The report is an open document and can be found on the university website.</p> <p>Each university regularly carries out a survey of the staff concerning their satisfaction about the working environment. The results of the survey are presented to the government.</p>	
3. How the generic rules (if there are some) are applied in private universities?	<p>There several HEIs which are not formally established as <b>governmental agencies</b>. Governance of these institutions may vary from the public universities. Non-state institutions are not required to follow the same rules as state institutions.</p>	
4. What is the organizational structure of a university (incl., management, studies, and research areas)?	<p>Structure of the public HEIs is not regulated by the law. Universities can decide themselves about the structure. Decisions about the structural changes are made by the University Board. No approval from the government is needed. Academic structure is the sole responsibility of the universities. No regulations from the government on this issue.</p>	<p>A higher education institution decides on its own internal organisation in addition to the board and vice-chancellor, unless otherwise provided. When the higher education institution decides on its internal organisation Sections 6 and 7 below are to apply. Ordinance (2010:701) [Section 5<sup>1</sup>].</p>
5. What is the composition of governing and management bodies – down to faculties and departments (e.g., the board, the study boards etc.)?	<p>Each university has the right to decide about the internal structure. It means that internal governing bodies on the level of the structural units can vary. At the same time, there are certain similarities in different universities as exchange of experiences and sharing best practices is very much developed in this area. Usually a university consists of several faculties. Within each faculty activate a number of departments / schools.</p> <p><b>Faculty. The faculty boards are the highest decision making bodies at faculty level.</b> The faculty boards include a dean, deputy dean, other operational representatives and student representatives. In addition, external members may be included. Operational representatives</p>	

<sup>9</sup> Web KTH Royal Institute of Technology, [www.kth.se/en](http://www.kth.se/en)

	<p>are elected by their faculty. At least two-thirds of faculty board members shall be operational representatives, i.e. academically competent teachers/researchers and at most comprise one third of students (at least three students). Representatives for the students are appointed under the provisions of the Student Union Ordinance (2009:769). There shall be at most two external members.</p> <p>Representatives from the trade unions have the right to attend and speak. The faculty boards decide the number of employee representatives. These are appointed in accordance with the Personnel Representatives Ordinance (1987:1101) for employee representatives to the University Board<sup>10</sup>.</p> <p><b>The dean is the chair of the faculty board</b> and is a scholarly competent person (often a professor) who is appointed by the Vice-Chancellor following a proposal by the respective faculty. There are also vice-deans who are appointed in the same manner. The Vice-Chancellor has delegated decision making authority concerning many issues to the deans; however cases of fundamental importance are decided by the Vice-Chancellor. Deans have foremost responsibility for</p>	
	<p>their faculty's efforts concerning research and education and are managers of the heads of departments. The deans are responsible for representing and presenting their faculties to decision making bodies and to colleagues from other faculties<sup>3</sup>.</p> <p>Departments. In organisational terms, departments are located beneath faculties and are led by a head of department. The Departmental Boards, the organisation and decision-making authority of the departments are determined by the University Board and, by delegation, by their superior bodies, in most cases their respective faculty boards. The composition of a department's board is decided by the Vice-Chancellor following a proposal from the department.</p>	

<sup>10</sup> Website of Stockholm University, [www.su.se/english/about/organisation/how-stockholm-university-is-governed-1.107148](http://www.su.se/english/about/organisation/how-stockholm-university-is-governed-1.107148)

	<p><b>Heads of departments</b>, together with the departmental board, direct operations at their department. The Vice-Chancellor appoints heads of departments and deputy-heads of departments and decides whether a department shall only be led by a head of department, so called ‘heads of department rule’ or ‘prefects rule’.</p>	
<p>6. What is the degree of university freedom in creating legal entities (non-for-profit, commercial, start-ups. etc)?</p>	<p>The universities are public institutions and have a status of the public agencies. Therefore, according to the Swedish Legislation, a university, which is a public agency, itself can’t establish any legal entities.</p> <p>At the same time, it can take part in holding companies, which consequently have the right to establish different types of companies, own/sell shares and carry out other activities both for profit and non-profit.</p> <p>For this purposes KTH Holding AB is established. The holding, for example, owns KTH Executive School and carry out other activities related to establishment of start-up companies, ownership and management of IPR etc.</p> <p>As a public institution, the university cannot generate a profit. All funds received both for education and research shall be spent to cover the costs carrying out educational and research activities.</p>	

## Appendix 8: Data reporting and data analysis for Denmark

Problem/question formulation	Findings	Comments
	Record here what you found in the documents and from interviews (addressing the what, how who, when questions) IMPORTANT: make sure you also always try to get to the route of the problem/question/issue by addressing the 'why' questions	Please record here any of your ideas, concepts, relationships between/across the concepts/types, potential impact, potential implications for Moldovan system etc. – it is IMPORTANT to record ALL your thoughts and ideas immediately as you record the findings.
Legal provision on the HES. Types of HEIs. Relations with the State.	<p>The HE in Denmark is provided by 8 universities, 7 university colleges, 9 academies of professional, 4 institutions in architecture and art and 7 maritime educational institutions.</p> <p>The Ministry of Higher Education and Science (MHES) handles tasks related to policies, administration, operation, coordination and interaction etc. in and between the areas: Research, Innovation and Higher Education.</p> <p>The universities are <b>self-governing institutions</b> under <b>public sector</b> administration <b>overseen by the Minister of Higher Education and Science</b><sup>11</sup>.</p> <p>The universities offer research-based higher education at Bachelor, Master and PhD level. Furthermore, the universities are responsible for the majority of all public research in Denmark. As key institutions in society, universities have also tasked to actively participate in the exchange of knowledge and skills with the wider community.</p> <p><b>The main sources of financing</b> for the universities are <b>state funds and income from research councils</b>.</p> <p>As a main principle, the financing basis of the universities is based on two sources:</p>	<p>Universities are public institutions. There are no private HEI.</p> <p>The university is tasked with performing research and offering research-based education at the highest international level in the disciplines it covers.</p> <p>The colleges are non-research-based higher education institutions. They provide Bachelor degree programmes, but these are not the same Bachelor degrees, as those offered by the universities. These programmes contain more practical disciplines / work. To attend a Master program, which is delivered only by universities, the person who graduates a college (so, he/she has a college Bachelor degree) must first take a compensatory year to fill up the differences between the curriculum-s at the Bachelor level.</p> <p>The individual universities may award the PhD degree within the disciplines in which the universities conduct research and for which they have established a PhD school. A university may establish a PhD school on its own or in collaboration with one or more other universities. The PhD degree is normally awarded after three years of</p>

<sup>11</sup> The Danish (Consolidation) Act on Universities, 2012.



	<p>1. State funding earmarked for the universities in the annual Danish Appropriations Act (Finansloven) under Section 19(2) – the so-called <b>basic funding</b></p> <p>2. Other income from research councils, the EU, private investors etc.</p> <p>University basic funding is allocated to the main objectives – education, research and other purposes<sup>12</sup>.</p>	<p>higher education and research (180 ECTS credits). The individual university is responsible for organizing its PhD program within the framework of the PhD Order (Ph.d.-bekendtgørelsen).</p> <p>Government is responsible for elaboration of the educational policy in general and does not have implications in the university daily life: governing, management, activities!!!</p> <p>Universities are INDEPENDENT bodies!!!</p>
<p>1. What are the generic/state and university specific rules in terms of university governance and management?</p> <p>• The governing body(bodies)</p>	<p>The <b>board of governors (university board)</b> is the highest authority of the university. The board safeguards the university's interests as an institution of education and research and determines guidelines for its organisation, long-term activities and development.</p> <p>• The <b>board</b> is answerable to the <b>minister</b> regarding the activities of the university, including the administration of the university's total resources</p> <p>• The board must administer the university's funds</p> <p>• The board administers real property.</p> <p>• The board approves the university's budget in accordance with the rector's recommendation, including the distribution of total resources and the principles governing the use of these resources.</p> <p>The board also approves the accounts.</p> <p>The Board composition. The boards consist of 9-11 members. It is to be composed of external members and members representing the academic staff of the university, including salaried PhD students, the technical and administrative staff and the students. The majority of board members must be external members.</p> <p>The board elects a <b>chairman</b> from among its external members.</p>	<p>The composition of these bodies is set up in the University Statutes. Some of the universities have academic representatives as members of these bodies. Moreover, nominations of external Board members are made on the background of proposed candidates solicited from (among other sources) the academic councils, the Board members, ...<sup>4</sup>.</p> <p>In such way, when appointing external members of the board, the opinion of the university's academic staff it is taken into account.</p>

<sup>12</sup> Site of The Ministry of Higher Education and science, [www.fivu.dk/en/](http://www.fivu.dk/en/)

<p>• The management body</p>	<p><b>Terms of office of the board – 4 years.</b>  <b>The external members</b> are selected on the basis of their personal <b>qualifications</b>: they must have experience with management, organization and finance, including the evaluation of budgets and accounts.</p> <p><b>External members selection procedure:</b> The university establishes a body to nominate the external board members (<b>the nomination body</b>). The university establishes a different body to select the external board members (<b>the selection body</b>). The nomination body and the selection body may not be identical. The nomination body and the selection body must ensure that the external board members fulfill the conditions on subsections <b>qualifications and commitment to the university</b>. The <b>board</b> lays down the procedures for establishing the nomination body and the selection body.</p> <p><b>Terms of office of external member</b> may sit on the board for a maximum of eight years over at least two terms.</p> <p><b>Dismissal of external members:</b> (1) If the board disregards orders from the minister concerning the rectification of unlawful conditions, the minister may order the board to resign so that a new board can be appointed.</p> <p>(2) If the board's actions jeopardise the university's continued existence, the minister may order the board to resign immediately, and in this connection install an interim governing board until such time as a new board is appointed.</p>	<p>The participation of university community in the selection of the candidate for the Rector's position is ensured by the Appointment Committee, which consists of the academic, technical and administrative staff, and students.</p> <p>The rector makes recommendations to the board regarding the employment and dismissal of the other members of the university's senior management team.</p> <p>The Academic Council <b>at the University level</b> is DTU's supreme academic body and awards PhDs and Doctorates. The Council reports to the President on, among others, the distribution of funding and can also advise the President on central strategic educational, research and innovation plans. The President is Chairman of the Academic Council, which also comprises student and scientific staff representatives from DTU (Technical University of Denmark).</p>
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	<p>The board or the minister may decide to bring an action against members of the board, the rector, any university accountants or other parties in the event of losses suffered by the university.</p> <p><b>Internal members of the board</b> must <b>be elected</b> by and from the academic staff of the university, including salaried PhD students, the technical and administrative staff and the students.</p> <p><b>The students</b> must be represented by a minimum of <b>two members</b>.</p> <p>Representatives of the university's academic staff, including salaried PhD students, and of the technical and administrative staff are protected against dismissal and other impairment of conditions in the same way as union representatives for the same or a similar area.</p> <p><b>Terms of office:</b> The internal board members shall be elected for a 4-year period, student representatives shall be elected for a 2-year. Re-election is possible.</p> <p><b>The remuneration of Board members.</b> No legal provisions / regulations on this issue.</p> <p>According to the Administrative Director of AAU the external members are remunerated. The amount of the remuneration is the subject of MHES decision. Academic (internal) members of the board have less teaching hours and could have a small reward for an extra work.</p> <p><b>The Rector</b> is responsible for the <b>day-to-day management of the university within the framework laid down by the board</b>. The Rector shall act as head of the executive management and shall delegate work tasks and responsibility to its members</p> <p>The Rector is <b>employed (appointed) and dismissed by the board</b>.</p>	
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	<p><b>The criteria and requirements for Rector's appointment.</b> The rector must be a recognised researcher within one of the university's fields of research and must have insight into the educational sector. He/She must be an experienced manager and organiser of research environments and must understand the nature of the university's activities and its relationship with the society of which it is a part. In addition, the university (board) can establish some specific requests for rector's qualifications level (i.e. to be, as a minimum, an associate professor or senior researcher). No age limitation (for any employee).</p> <p><b>The appointment procedure.</b> The <b>Rector</b> (and Pro-rectors) shall be <b>appointed</b> following <b>public announcement</b> upon <b>recommendation</b> from an <b>appointments committee</b><sup>13 14</sup> set up by the Board. <b>This committee shall be appointed with representation of the academic staff, the technical and administrative staff, and the students.</b> The committee shall be chaired by the chairperson of the Board or an-other external board member The committee makes an overall assessment of the qualifications of the applicants and shall conduct interviews with selected applicants. The appointments committee shall recommend a very limited number of qualified candidates for the position. The Board shall decide which candidate is to be appointed.</p> <p><b>The Rector's responsibilities:</b></p> <ul style="list-style-type: none"> <li>• To makes <b>recommendations to the board</b> regarding the <b>employment and dismissal</b> of the other members of the university's <b>senior management team.</b></li> <li>• <b>To employs and dismisses the heads of academic units and graduate</b></li> </ul>	
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<sup>13</sup> Statutes of the self-governing institution Aalborg University, 2012.

<sup>14</sup> Aarhus University By-laws.

	<p><b>schools</b> (responsible for offering PhD degree programmes). Graduate schools are established by the rector's order.</p> <ul style="list-style-type: none"> <li>• <b>To submits the budget to the board for approval</b> and signs the annual accounts.</li> <li>• <b>To determines</b> the university's <b>internal structure</b> within the framework established by the board.</li> <li>• To determines the rules for disciplinary actions to be imposed on students.</li> <li>• Under special circumstances, <b>may dissolve academic councils, PhD committees and boards of study.</b></li> <li>• Under special circumstances, <b>may take over the responsibilities and duties of the academic councils, the PhD committees and the boards of study.</b></li> </ul> <p><b>Terms of office:</b> No provision in the University Act. It is states in some University Statutes that it is a fixed duration period decided by the Board and subject to renewal<sup>3</sup>.</p> <p><b>Terms of dismissal:</b> The rector is dismissed by the board. No provision concerning the reasons for dismissal.</p> <p><b>Remuneration.</b> The board decides on the rector's salary, but there are limitations (lower and upper) given by the Ministry of Finance.</p> <p><b>Management team:</b> The members of the senior management team are the rector, the pro-rector(s), the university director and the deans. The senior management team is responsible for the operation of the university under the rector's leadership as well as the realization of the university's strategy and goals.</p> <p>The Collegial Bodies The <b>rector establishes</b> one or more <b>academic councils</b> in order to ensure co-determination and involvement in questions regarding academic matters. A number of academic councils may be established at both the same and different organizational levels<sup>1</sup> (university, faculty, department level). Some of the</p>	
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	<p>universities don't have this body at the university level.</p> <p>An <b>academic council is appointed by the rector</b> or the academic manager at the organisational level at which the academic council is established, and <b>its members represent academic staff, including salaried PhD students, as well as students</b> at the organisational level at which the academic council is established. <b>Representatives of the academic staff, including salaried PhD students, and of the students, are elected</b> by and from the academic staff, including salaried PhD students, and the students.</p> <p>An Academic council has the following responsibilities and duties:</p> <ul style="list-style-type: none"> <li>• To <b>make statements</b> (report, information) to the rector <b>on the internal distribution of funds.</b></li> <li>• To <b>make statements to the rector</b> on key <b>strategic research questions and educational issues</b> and plans for knowledge exchange.</li> <li>• To <b>make recommendations to the rector on the composition of academic committees to assess applicants for academic positions.</b></li> <li>• To award PhD and higher doctoral degrees.</li> <li>• Other responsibilities and duties as specified in the university's by-laws.</li> <li>• Academic councils <b>may make statements on all academic issues</b> of substantial relevance to the activities of the university and <b>have a duty to discuss academic matters presented by the rector for their consideration.</b></li> </ul> <p>Each <b>academic council selects the chairman</b> among the elected members (thus <b>a dean cannot be a chairman</b>). The number of members and the terms of office of Academic Council are decided by the university and are stated in the University Statute (by-law).</p>	
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<p>2. How is the interaction between the governing body and the university staff performed?</p>	<p>There are a number of councils at the departmental and faculty levels, as well as non-formal management bodies with different responsibilities related to the activities of the department/ faculty/university, including the financial one The Bottom-Up policy is adopted.</p> <p>Also the Union (SU) has a serious involvement in defending and supporting academic staff interests.</p>	
<p>3. How the generic rules (if there are some) are applied in private universities?</p>	<p>Not the case. There are no private universities in the Denmark.</p>	
<p>4. What is the organizational structure of a university (incl., management, studies, and research areas)?</p>	<p>The organizational structure of the universities is not regulated by the law. Universities can decide themselves about the structure (The rector determines the university's internal structure within the framework established by the board.). Decisions about the structural changes are made by the University Board. No approval from the government is needed. Even though, in the University Act there exist provisions on several</p>	
	<p>specific bodies, related to academic, research and collaboration with the stakeholders: employer panels, PhD committees, boards of studies etc. The organizational structure is state in the Statute of the University. Usually the university is divided into faculties/main areas (within which operate a number of departments, schools and study boards, PhD schools and PhD committees) as well as management (administrative) units. Management Units have different areas of activities: international relations, library, accounting, finance, IT center etc.</p>	



<p>5. What is the composition of governing and management bodies – down to faculties and departments (e.g., the board, the study boards etc.)?</p>	<p>Generally, the universities have the same internal structures, but also there could be some differences. Usually a university consists of several faculties, but it could be only one faculty.</p> <p><b>Faculty.</b> On the authority of the Rector, <b>the Dean</b> represents the Faculty (main academic area) and is responsible for its management.</p> <p>The Dean appointed by the Rector following an external advertising (according to the rules for appointments in the Danish state) The Dean is employed for a fixed duration period determined by the Rector, subject to renewal.</p> <p>The Dean shall conduct the management of the faculty, ensure coherence between the research, study programmes and public sector services of the main area, and ensure the quality and strategic development of these in the area and across areas. He/She has primary responsibility for the finances of the faculty and overall responsibility for personnel management.</p> <p>The Dean is a member of the senior management team and member of the faculty Academic Council.</p> <p>The Dean appoints and dismisses one or a number of Pro-deans, who shall be approved by the Rector, and who shall assist the Dean in the management of the main area according to specified agreement.</p> <p>Upon delegation from the Rector, the Dean establishes a PhD school(s), establishes and abolishes study boards and PhD committees.</p> <p>The Dean employs a Head of Department at each of the departments of the faculty, appoints Heads of School and Doctoral School Directors, approves the chair and deputy chair of study boards and appoints chair and deputy chair of PhD committees</p>	<p>The academic councils are responsible for ensuring the academic freedom of the main academic areas and the co-determination and involvement of staff in questions related to academic matters.</p> <p>The Academic council must ensure innovation, quality, transparency and legitimacy in all decisions on academic matters.</p> <p>It also has the responsibility <b>to make pronouncements</b> to the dean on budgetary priorities on budgetary priorities and on the internal distribution of funding.</p>
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	<p><b>The Academic Council</b> at the faculty level is determined and regulated by the same provisions as it was presented above (see collegial bodies), with limitation regarding the faculty level. Within each faculty activate a number of departments, Doctoral schools, boards of studies (and schools – in some universities).</p> <p><b>Departments.</b> In organisational terms, departments are located beneath faculties and are led by a head of department, employed by the dean following public announcement and for a fixed duration period subject to renewal.</p> <p><b>The Head of Department</b> shall undertake the day-to-day management and administration of the department, including the planning and distribution of work.</p> <p>The head of department ensures the quality, coherence and development of the department's degree programmes, teaching, research and knowledge exchange. With the involvement of the boards of studies and directors of studies, the head of department follows up on evaluations of the department's degree programmes and teaching activities.</p> <p>The head of department establishes a departmental council, and he/she must involve the departmental council and employer panels in the exercise of his or her managerial authority.</p> <p>The head of department is responsible for determining the size and structure of the council as well as the length of the term to be served by elected members. The size of the council must be appropriate for it to perform its functions.</p> <p>Departmental council composition. A departmental council is composed of the head of department along with academic staff representatives, including PhD students employed by the university, as well as technical-administrative staff and students<sup>4</sup>.</p>	
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	<p><b>Doctoral school(s).</b> The dean is responsible for establishing and abolishing Doctoral schools, the focus of doctoral education at the university. Each Doctoral school has a <b>Doctoral school head</b>, which is appointed and dismissed by the dean. The head of the graduate school must be a recognised researcher and have experience with and insight into doctoral education<sup>4</sup>.</p> <p><b>PhD Committee.</b> For each Doctoral School the Dean shall set up a <b>PhD Committee</b> with representatives elected by and among the academic staff (for 3 or 4-year terms) and PhD students (for one-year terms) to ensure student and academic staff influence on the programmes offered.</p> <p>The number of members is determined by the dean. Following the recommendation of the committee in question the dean appoints chairmen and vice-chairmen, if applicable, for the PhD committees.</p> <p><b>The duties and responsibilities of the PhD committee</b> are described in section 16 b (2) of the University Act:</p> <ul style="list-style-type: none"> <li>i) Nominating a chairman from among the PhD committee's academic staff and a deputy chairman (where applicable) from among the PhD committee's students to the rector.</li> <li>ii) Submitting recommendations regarding the composition of the assessment committee to the rector.</li> <li>iii) Approving PhD courses.</li> <li>iv) Preparing proposals regarding internal guidelines for the graduate school, including PhD supervision guidelines, for submission to the head of the graduate school.</li> <li>v) Making statements about the evaluation of the PhD degree programmes and PhD supervision, including international evaluations of the graduate schools, to the head of the graduate school.</li> <li>vi) Approving applications for credit, including advance credit, as well as for exemptions.</li> </ul>	
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	<p>vii) Making statements on all matters of significance for doctoral education and supervision put before it by the rector.</p> <p>v) Other responsibilities and duties as specified in the university's by-laws.</p> <p>(3) A PhD committee consists of representatives of the academic staff and the PhD students elected by and from the academic staff and the PhD students, respectively.</p> <p>(4) Universities may partner to establish a graduate school which is anchored at one of the participating universities.</p> <p><b><u>Boards of studies.</u></b> Boards of studies governing one or more degree programmes are established and abolished by the dean of the faculty concerned after a public consultation involving the departments in question. The number of members is determined by the dean.) Each board of studies must include equal numbers of representatives of the academic staff and the students, elected by and from the academic staff and the students, respectively.</p> <p>The board of studies elects a <b>chairman</b> for a one-year term. The chairman may also act as <b>director of studies</b>. The chairman is elected among the full-time academic staff who are members of the board of studies.</p> <p><b>The duties and responsibilities of the boards of studies</b> are described in section 18(4) of the University Act:</p> <p>A board of studies is responsible for ensuring the organisation, performance and development of educational and teaching activities, including:</p> <p>i) Quality assurance and development of degree programmes and teaching activities and follow-up on evaluations of degree programmes and teaching activities.</p> <p>ii) Preparation of draft academic regulations and amendments thereto.</p> <p>iii) Approval of the organisation of teaching, tests and other forms of assessment which form part of examinations.</p>	
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	<p>iv) Approval of applications for credit, including advance credit, as well as for exemptions.</p> <p>v) Issuing statements on all matters of importance to degree programmes and teaching activities within its scope and discussing issues related to degree programmes and teaching activities presented to it by the rector.</p> <p>(5) In cooperation with the board of studies, the director of studies is responsible for the practical organisation of teaching, tests and other forms of assessment which form part of examinations.</p> <p><b>In the Aalborg University</b> the Board of Study of subject-related study programmes shall be organised in <b>Schools</b>, which shall be approved by the Rector upon recommendation from the Dean. Each school shall be governed by a <b>Head of School</b>.</p> <p><b>Head of School.</b> The Dean shall appoint and dismiss a Head of each school, cf. section 22 (4), upon recommendation from the study boards affected. The Head of School must be a recognised researcher, cf. section 7 (2) with insight into the academic fields of the affected study boards, must possess management skills and teaching experience<sup>3</sup>.</p> <p><b>The Head of School shall be responsible for and undertake the following tasks:</b></p> <p>1) The development and implementation of policies and strategies for the school.</p> <p>2) Secretariat services to the study boards of the school, including assistance with the preparation of study regulations and the preparation of study board cases.</p> <p>3) Recommendation of the budgets of the school and its study boards to the Dean.</p>	
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	<p>4) Coordination of the outreaching activities of the school.</p> <p>5) Coordination of the quality ensuring activities of the school.</p> <p>6) Handling of cross-disciplinary tasks, following the specific instructions of the Dean.</p> <p>(2) The Head of School shall approve the problem formulation and submission deadline of the master thesis and also a plan for the supervision of the student.</p> <p>(3) In cooperation with the affected study board, the Head of School shall take care of the planning and practical organisation of teaching and tests and other assessments included in the examination.</p> <p>(4) Together with the relevant heads of department and study boards, the Head of School shall follow up on the evaluation of the study programme and teaching.</p> <p>(5) The Head of School shall be responsible for securing that the programmes under the school are covered by one or a number of recruitment panels.</p> <p>For <b>each school</b> an advisory body referred to as a <b>Study Council</b> shall be established, consisting of the Head of School and the chairpersons and deputy chairpersons of the study boards belonging under the school in question. The Head of School shall chair the Study Council.</p> <p><b>The Study Council shall undertake the following tasks:</b></p> <p>1) Enhancing cooperation between study programmes across the study boards of the school,</p> <p>2) Pronouncing an opinion to the Head of School regarding the strategic development of the school, 3) Pronouncing an opinion to the Head of School regarding the internal allocation of school re-sources and their application,</p>	
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	<p>4) Providing advice to the Head of School on key issues within the school.</p> <p>(3) The Study Council may pronounce an opinion on all issues of major importance to the activities of the school, and shall be obliged to discuss matters submitted to it by the Head of School.</p> <p>(4) The Study Council shall decide its own rules of procedure within the framework of the standard rules of procedure determined by the Rector.</p> <p>Recruitment Panels. For each school, the Head of School shall set up one or a number of Recruitment Panels following a hearing procedure at each of the affected study boards, cf. section 17 (5).</p> <p>The Recruitment Panels shall be composed of external members, who in combination shall have experience of and insight into the study programme area and the areas of employment to which the programmes give access.</p> <p>(2) The Head of School shall ensure dialogue with the Recruitment Panel regarding the quality of programmes and their relevance to society, and shall include the Recruitment Panel in the development of new and existing programmes, and in the development of new teaching and examination forms.</p> <p>(3) The task of the Recruitment Panel shall be to pronounce an opinion and make proposals to the university regarding all issues relating to the education area, and to pronounce an opinion regarding all issues submitted to it by the university.</p>	
6. What is the degree of university freedom in creating legal entities (non-for-profit, commercial, startups. etc)?	<p>Danish universities have the capacity to create legal entities, both non-for-profit and commercial. According to legal provision, the revenue of their activities can be use for the research and consulting purpose only.</p> <p>The university interest is to transfer startups to the industry as fast as possible, in order not to pay the supplementary taxes.</p>	



## Appendix 9: Data reporting and data analysis for Romania

Problem/question formulation	Findings	Comments
	Record here what you found in the documents and from interviews (addressing the what, how who, when questions) IMPORTANT: make sure you also always try to get to the route of the problem/question/issue by addressing the 'why' questions	Please record here any of your ideas, concepts, relationships between/across the concepts/types, potential impact, potential implications for Moldovan system etc. – it is IMPORTANT to record ALL your thoughts and ideas immediately as you record the findings.
Legal provision on the HES	Higher Education in Romania is conducted in (National Education Law, art. 114): (3) State, private or denominational higher education institutions. <i><b>These institutions have legal personality, are for-profit, of public interest and are nonpolitical.</b></i> (4) Higher education can be organized only in higher education institutions which have obtained provisional authorization or accreditation under the law <sup>15</sup> . Art. 121 (ACCOUNTABILITY): <b>The Ministry of Education, Research, Youth and Sports (MERYS)</b> is a public authority and is empowered to follow, control the application and enforcement of legal regulations in the field of higher education and apply, where appropriate, penalties. The initiative of setting up a higher education institution lies with the Government (Art. 123 <b>Founder – Government</b> ). MERYS <i>proposes to the Government to initiate a bill of reorganization or dissolution of the higher education institution.</i>	Government involvement is quite high.
1. What are the generic/state and university specific rules in terms of university governance and management?	Management structures in public or private higher education institutions are: a) university senate and the Administration Board at university level; b) faculty council; c) department council <sup>15</sup> . The process of establishing and choosing management structures and positions at the level of university, faculties and departments must respect the principle of representativeness by faculties, departments, sections /	

<sup>15</sup> Legea Educației Naționale, nr. 1, 2011 (cu modificările și completările ulterioare)

The governing body(bodies)	<p>lines of teaching, study programmes, where appropriate, and shall be established by the University Charter.</p> <p>University Senate represents the university community and is the highest decision-making and deliberation body at the university level<sup>15</sup>.</p> <p>The Senate is the highest authority in the University<sup>16</sup>, the main decision-making forum<sup>17</sup>.</p> <p><b>University senate's duties.</b></p> <p>e) ensures academic freedom and university autonomy;</p> <p>f) develops and adopts, after discussion with the university community, the University Charter;</p> <p>g) approves the strategic plan for institutional development and operational plans, on a proposal from the rector;</p> <p>h) approves, on a proposal from the rector and in compliance with current legislation, the structure, organization and functioning of the university;</p> <p>n) approves the budget and budget implementation;</p> <p>o) develops and approves the Quality Assurance Code and the Code of Ethics and Professional Conduct of the university;</p> <p>p) approves methodologies and regulations on the organization and functioning of the university;</p> <p>q) concludes the management contract with the rector;</p> <p>r) controls the activity of the rector and the Administration Board by specialized committees;</p> <p>s) validates public competitions for the functions in the Council of Administration;</p> <p>t) manages the university's academic activity;</p> <p>u) approves the competition methodology and results of competitions for the employment of teaching and research staff and periodically evaluates the human resource;</p> <p>a) performs other duties under the University Charter.</p> <p><b><u>Senate structure.</u></b> The University Senate is composed of 75% of teaching and research staff and 25% of university student representatives<sup>15</sup>.</p>	<p>The duties and structure (composition and shares of representation) of the University Senate are stipulated in the National Education Law. They are repeated virtually with no change in the Charter of Universities.</p> <p>Senate Chairman can not be Rector of the university, as well.</p>
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<sup>16</sup> Carta Universității din București, 2011

<sup>17</sup> Carta Universității Babeș-Bolyai, 2012

<p>• The management body</p>	<p>The size of the University Senate are determined by the University Charter.</p> <p><b>Selection procedure of Senate members.</b> All members of the University Senate are established by the universal suffrage, direct and secret, of all full teachers and researchers, and of all students respectively. Each faculty has representatives in the senate, on shares of representation under the University Charter.</p> <p><b>The term of office of the university senate</b> is 4 years. The term of office of a member of the University Senate is 4 years, with the possibility of renewal for a maximum of two successive times. For students the term of office is regulated by the University Charter.</p> <p>The <b>University Senate</b> shall <b>elect</b>, by secret ballot, a <b>Chairman</b> who chairs the meetings of the University Senate and <b>represents the University Senate in relations with the rector</b>.</p> <p>University <b>Senate establishes specialized committees by which it controls the activity of the executive management</b> of HEI and the <b>Administration Board</b>. The monitoring and control reports are regularly presented and discussed in the university senate, underpinning the university senate resolutions.</p> <p>The management (executive) positions are:</p> <p>b) the rector, vice-rectors, general administrative director, at university level;</p> <p>c) the dean, vice-deans, at faculty level;</p> <p>d) head of the department, at department level.</p> <p><b>Rector's duties.</b> The Rector legally represents the University in relation to third parties and performs the executive management of the university. The Rector of the university is the authorizing officer. The Rector has the following responsibilities:</p> <p>a) conducts the management and the operative management of the university, based on the management contract;</p> <p>b) negotiates and concludes the institutional contract with the Ministry of National Education;</p> <p>c) concludes the management contract with the University Senate;</p> <p>d) proposes for approval to the University Senate the structure and operation regulations of the university;</p>	<p>There are 2 ways of appointing the Rector:</p> <p>1. by direct and secret ballot of all full teaching and research staff of the university and student representatives in the University Senate and faculty councils</p>
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	<p>e) proposes for approval to the University Senate the draft budget and budget implementation report;</p> <p>f) submits to the University Senate, in April of each year, the report referred to in <u>art. 130</u> para. (2). University Senate validates that report, based on reports made by its specialized committees. These documents are public;</p> <p>g) leads the Administration Board;</p> <p>h) performs other duties established by the University Senate, under the management contract, the University Charter and the legislation in force.</p> <p>The Rector acts so as to apply the provisions of the Charter and university regulations and decisions made by the University Senate.</p> <p><b>The Rector is accountable to the Senate for his/her activity<sup>16</sup>.</b></p> <p><b>Selection / appointment procedure of the Rector.</b> The <b>Rector</b> is appointed through one of the following ways:</p> <p>a) on the basis of a <b>public competition</b>, based on a methodology approved by the newly elected University Senate, pursuant to this Law; or</p> <p>b) <b>by universal suffrage</b>, direct and secret of all full teaching and research staff within the university and student representatives in the University Senate and faculty councils.</p> <p>The way for the appointment of the rector, as provided in paragraph (1), is established with at least 6 months before each appointment of the rector, by universal suffrage, direct and secret of all full teaching and research staff within the university and student representatives in the University Senate and faculty councils.<sup>15</sup> (art. 209).</p> <p>If the rector is to be appointed through public competition, then the <b>appointment procedure</b> is as follows:</p> <p>e) Newly elected University Senate shall establish a selection and recruitment committee of the rector consisting of 50% members of the university and 50% scientific and academic personalities from outside the university in the country and abroad.</p> <p>This committee comprises a minimum of 12 members, of which at least one representative</p>	<p>2. on the basis of a <b>public competition</b>.</p> <p>The method of appointing the rector is determined at least 6 months prior to the appointment of the rector, by universal suffrage, direct and secret of all full-time teachers and researchers within the university and student representatives in university senate and faculty councils.</p> <p>In both cases it is ensured academic community participation in the selection of the Rector.</p>
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	<p>of students or graduate students of the university appointed by the University Senate, according to the University Charter.</p> <p>The University Senate also develops and approves the endorsement, selection and recruitment methodology of the rector, according to the law.</p> <p>f) The public competition for appointment of the rector is conducted based on the methodology referred to in the preceding paragraph. The competition commission is the selection and recruitment committee referred to in the preceding paragraph.</p> <p>g) The competition for filling the position of rector can be attended by candidates who, based on the hearing in the newly elected University Senate plenum, obtained the approval to participate in the contest. The approval shall be granted only on the basis of a simple majority vote of the members of the newly elected the University Senate. The newly elected University Senate is required to approve at least 2 candidates. The candidates approved by the university Senate participate in the competition organised under the preceding paragraph.</p> <p><b>Selection criteria.</b> Scientific or academic personalities in the country and abroad can participate in the contest for rector position. The <b>Rector</b>, appointed under art. 209 of the NEL, is <b>confirmed</b> by order of MESYS. The confirmed Rector of the State University concludes an institutional contract with the Minister of MESYS.</p> <p>The <b>Rector</b> appointed by the Minister of National Education <b>concludes a management contract with the university senate</b>, including managerial performance criteria and indicators, rights and obligations of the parties.</p> <p><b>The term of office of rector is 4 years.</b> The term of office may be renewed at most once after a new competition, according to the University Charter. A person can not be rector of the same higher education institution for more than 8 years, regardless of the term period and its interruptions</p>	
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	<p><b><u>Terms of rector's dismissal.</u></b></p> <p>h) The Rector may be dismissed by the University Senate, under the conditions specified in the management contract and the University Charter.</p> <p>i) The Minister of National Education may dismiss the rector according to art. 125: <i>If within 3 months from the date of (initial) referral the university still does not comply with the obligations laid down in art. 124 (Public accountability).</i></p> <p><b><u>ADMINISTRATION BOARD</u><sup>1</sup> = Management Team</b></p> <p>The Administration Board of the university ensures, under the leadership of the rector or another person designated by the University Charter, in the case private and denominational universities, the operative management of the university and applies strategic decisions of the University Senate. Also, the Administration Board:</p> <p>j) establishes the institutional budget in operational terms;</p> <p>k) approve the budget implementation and annual balance sheet;</p> <p>l) approves the proposals on the contest of teaching and research positions;</p> <p>m) approves proposals for new study programs and makes proposals to the University Senate regarding the termination of study programs which no longer fall within the mission of the university or are inefficient from academic and financial standpoint;</p> <p>n) approves the financial operations which exceed the limits established by the university senate, in state universities, and by founders, in private universities respectively;</p> <p>o) proposes to the university senate long and medium term strategies and policies in the areas of interest of the university.</p> <p>Students have at least one representative in the committees of ethics, accommodation, quality assurance, and other social committees.</p> <p><u>Board structure.</u> The Administration Board of state universities consists of rector, vice-rectors, deans, general administrative director and one student representative.</p>	
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	<p>The <b>Rector</b>, based on consultations with the University Senate, <b>shall appoint vice-rectors</b>. <b>Deans</b> are selected through public competition organized by the Rector and approved by the University Senate.</p> <p>The position of <b>general administrative director</b> is filled by competition organized by the Administrative Board of HEI. The Chairman of the competition commission is the Rector of the institution. The commission is, necessarily, composed of a representative of the Ministry of National Education. The validation of competition results is made by the University Senate and the appointment to the position is done by the rector.</p>	
2. How is the interaction between the governing body and the university staff performed?	Members of the university senate, the supreme governing body of the university, are teachers and researchers working in university departments and other structures, and students of the university concerned.	
3. How are the generic rules (if there are any) applied in private universities?		
4. What is the organizational structure of a university?	<p>The organizational structure of the university is regulated by the National Education Law. According to <b>art. 131</b>:</p> <p>any higher education institution may include the following organizational components: faculties, departments, institutes, centers or laboratories, research and design units, consultancy centers, university clinics, studios and artistic workshops, theaters, museums, centers for continuous training of human resources, microproduction and service provision units, experimental stations or other entities for production activities and transfer of knowledge and technology. Administrative and technical services are included in the structure of higher education institutions.</p> <p>The higher education institution may establish, for a short-term and project determined period, research units distinct in terms of revenue and expenditure, which are autonomous and have their own statutes approved by the university senate.</p>	



	<p>The <b>Faculty</b> may include one or more departments, doctoral schools, graduate schools and university extensions that are responsible for the organization of study programs by university study cycles and types (art. 132)<sup>15</sup>.</p> <p><b>The Department</b> may comprise research centers or laboratories, artistic workshops, graduate schools and university extensions. The department may organize research centers or laboratories as units of income and expenditure in the university (art 133)<sup>15</sup>.</p> <p><b>Every faculty is set up</b>, organized or abolished on the proposal and approval of the university senate, by Government decision on the structure of higher education institutions, initiated by the Ministry of Education, Research, Youth and Sports annually. (art. 132)<sup>15</sup>.</p> <p><b>The department is set up, organized, divided, merged or dissolved</b> by decision of the university senate, at the recommendation of the faculty / faculties councils where it is located (art. 133)<sup>15</sup>.</p>	<p>Strict control by the government on the structure of the university.</p>
<p>5. What is the composition of governing and management bodies – down to faculties and departments (e.g., the board, the study boards etc.)?</p>	<p><b>Faculty.</b> The deliberative and decision-making body of the faculty is the <b>faculty council</b> which has the following responsibilities:</p> <ul style="list-style-type: none"> <li>a) approves, on dean's proposal, the structure, organization and functioning of the faculty;</li> <li>b) approves the study programs managed by the faculty;</li> <li>c) controls the activity of the dean and approves his/her annual reports on the general state of the faculty, quality assurance and compliance with university ethics at the faculty level;</li> <li>d) performs other duties established by the University Charter or approved by the university senate and in accordance with the legislation in force.</li> </ul> <p><b>Structure of the faculty council.</b></p> <p>The composition of faculty council members is maximum 75% teaching and research staff, and minimum 25% students. Representatives of teaching and research staff in the faculty council are elected by universal suffrage, direct and secret of all full teaching and research staff of the faculty and student representatives are elected by universal, direct and secret ballot by the students of the faculty.</p>	<p>In the documents analyzed, no information was found on terms of office of the dean, head of department and members of the faculty and department councils.</p>

	<p><b><u>The term of office of the faculty council</u></b> is found neither in law nor in the Charter of universities.</p> <p><b>The Dean</b> represents the faculty and is responsible for the faculty management. The Dean shall present an annual report to the faculty council on the state of the faculty, chairs the meetings of the faculty council and applies the decisions of the rector, Administration Board and University Senate. The duties of the Dean are determined in accordance with the University Charter and legislation in force.</p> <p><b><u>Appointment.</u></b> Deans are selected through public competition, organized by the Rector at the faculty level.</p> <p>The competition is open to people from the university or any faculty in the country or abroad which, on the basis of the plenary hearing in the faculty council, received its approval to participate in the competition. The Faculty Council is required to approve at least 2 candidates.</p> <p>The competition is organized by the Rector and approved by the Senate.<sup>18</sup> The Dean shall appoint deputy deans after his/her appointment by the rector.</p> <p><b><u>The term of office of the dean</u></b> is found neither in law nor in the Charter of universities.</p> <p><b><u>Dean's dismissal.</u></b> Given that irregularities are found, the university senate may apply sanctions specified in its own methodology, up to <b>dismissal of the deans</b> (Article 298)<sup>15</sup>.</p> <p><b><u>Department.</u></b> The <b>Department Council</b> is a peer management structure of a department.</p> <p><b>Decisional competences</b> of the Department Council are:</p> <ul style="list-style-type: none"> <li>a) initiates proposals for new study programs;</li> <li>b) develops the personal establishments;</li> <li>c) coordinates the didactic activity for study programs and research activity;</li> <li>d) proposes organization of competitions for teaching and research positions;</li> <li>e) proposes the competition commissions for teaching and research positions;</li> <li>f) performs other duties laid down in its own Regulation.<sup>18</sup></li> </ul>	
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<sup>18</sup> Carta Universității Al. Ioan Cuza din Iași, 2011

	<p><b>The director of the department</b> performs <i>the management and operative management</i> of the department. In performing this function, he is helped by the department council, according to the University Charter. The director of the department is responsible for curricula, for the personal establishments, research and quality management and financial management of the department.</p> <p>Selection, hiring, periodic evaluation, training, motivation and termination of staff's employment contractual relations are the responsibility of the Director of department, head of doctoral school or dean, according to the University Charter.</p> <p>The management positions of rector, vice-rector, <i>dean, deputy dean, head of department or research and development, design, microproduction unit shall not be cumulated</i></p> <p><u>Selection method.</u> At the department level, <b>the director of the department and members of department council are elected by universal suffrage, direct and secret</b> of all full-time teachers and research staff.</p> <p><b>The term of office</b> is not specified in any document.</p>	
6. What is the degree of university freedom in creating legal entities (non-for-profit, commercial, startups etc.)?	<p>Higher education institutions may establish, alone or in association, commercial companies, foundations or associations, with the approval of the university senate.<sup>15</sup></p> <p>When setting up companies, foundations and associations, the public higher education institution can only contribute with money, patents and other industrial property rights. The right to use and administrate public assets can not be the university's contribution to the share capital of a company, foundation or association.<sup>15</sup></p>	



# **Benchmarking Analysis of Financial Autonomy in Lithuania, Scotland, Sweden, Denmark and Romania**

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# 1. INTRODUCTION

When developing this report, relevant literature defining “financial autonomy” in various countries was studied. It was noticed that in some countries (Lithuania, Romania) the meaning of this term is specified in the actual legislation regarding education or higher education. Large differences in defining this term from one country to another or from one author to another have not been encountered. All unanimously declare that financial autonomy implies the right of the university to organize its activity independently and to self-manage financially respecting the legislation in force. The criteria taken into account when defining the concept differ insignificantly. Therefore, in order to exclude certain differences in this respect we started with the definition of financial autonomy of universities and the criteria submitted by Estermann and Nokkala (2009, 2011) as the capacity of universities to decide on:

- the extent they can accumulate reserves and keep extra budgetary sources
- the establishment of tuition fees
- borrowing money from financial markets
- investing in financial products
- issuing shares and bonds
- owning land and buildings.

Also, when establishing specific criteria, the experience of countries with developed financial autonomy was taken into consideration.



## 2. METODOLOGY

This report aims to perform a reference analysis of financial autonomy in EU partner countries, namely Denmark, Lithuania, Romania, Scotland and Sweden. Data were collected using predefined templates (see Tables 1 and 2 from the Consolidated Report). Before each mission in a target country the author collected and analyzed openly available information on financial autonomy relevant to the country and identified problems as well as questions related to various aspects of financial autonomy that could not be clarified when consulting these available data sources. At the same time, the author proposes possible sources of information. Identified problems and questions for each mission are presented in Annexes 1-4. Within one week after each mission the author began the process of data analysis by filling in Annexes 1-4 with data collected before each mission but not needing clarification or further explanation. The collected consolidated data regarding financial autonomy in target countries are presented in Annexes 5-10. Based on data analysis, a number of benchmarking criteria and respective sub-criteria with regard to financial autonomy (Table 1) were outlined. The case analysis focuses on the outlined criteria and is presented in Chapter 3. The discussion on each criteria and respective sub-criteria focuses on their definitions, concepts, separation between government and universities, possible links and relationships of financial autonomy with other types of autonomy.

In certain cases that seemed most relevant the Government – University delimitation was highlighted. In particular, there was not indicated the intersection with other components of university autonomy just because the fact that each analyzed criterion cannot be separated from the academic, organizational or human resources components of university autonomy.

Table 1. *Benchmarking criteria and sub-criteria*

No. crt.	Criterion	Sub-criterion
1.	Higher education financing model	Education financing
		Research financing
2.	Higher education financing mechanisms	
3.	Methodology for allocation of budgetary funds to universities	
4.	Calculation of per student training cost (price)	
5.	Private financing types and their monitoring	
6.	Capacity of universities to borrow money from national and international financial markets	
7.	Degree of university freedom when establishing the amount of tuition fee	
8.	Year-to-year transfer of unused funds	
9.	Capacity (freedom) of universities to own property	
10.	Tuition fee policy with regard to foreigners	
11.	Scholarships and other financial support means for students	
12.	Allocation of financial resources within the university	

### 3. FINANCIAL AUTONOMY

#### 3.1. Lithuania

##### 3.1.1. Higher education financing model

Different countries use different models to finance higher education. The models used are determined by several factors both cultural and contextual. Financing systems used for higher education can be divided into two main categories: performance financing and specific allocations that can also be based on performance. On the other hand, certain financing systems aim short-or medium periods depending on selected performance indicators and this doesn't allow universities to determine the possibility for long-term achievements.

In Lithuania public funds are allocated based on global grant divided among various expenditure categories. However, the global grant must be spent according to budget categories submitted to the funding or supervisory body.

The global grant is intended to cover expenses related to teaching and ongoing operational activities and includes the following basic directions:

##### 3.1.1.1. Education financing

In the context put into discussion it is important to identify and calculate all costs both direct and indirect related to carrying out the activity of the university. This process is known as *full costing* (Anna-Lena Thomas Estermann and Claeys-Kulik, *Financially Sustainable Universities Full Costing: Progress and Practice*, 2013, available at <http://goo.gl/t7lgEH>). Full costing has a major impact on relations between universities and donors. Two aspects are differentiated here: 1. Acceptance by donors of the methodology for calculation of costs; 2. Availability of donors to cover all or part of these costs.

The first important spending area that requires financing relates to teaching activities. It includes a number of expenses presented below.

In Lithuania, education expenses are covered by the state only for those students who managed to obtain vouchers. Each voucher provides a certain amount of money for the student and depends on the field, the type and the level of education. Other students, meeting the requirements for admission but failing to obtain a voucher, have the possibility to finance their education themselves. Therefore, with regard to this component, one can say that Lithuania has a mixed financing system: both state financing and own students' sources by means of tuition fees.

##### 3.1.1.2. Research financing

The mission of a classic university includes two basic components: teaching and research. Research requires certain expenditure. Its amount varies depending on research area. In this respect, in Lithuania part of such expenditure is covered by core funding and the rest remains to be attracted by researchers through competition.

##### 3.1.2. Higher education financing mechanism

The term *Mechanism* is understood as the manner in accordance to which the financing system of universities is organized. In this context, one can mention two higher education

financing lines in Lithuania: state budget and private sources. The legal act providing the framework for universities financing is the Law on Higher Education and Research (LHER) No. XI-242 of April 30, 2009 (Chapter VII).

The Law establishes the following sources of financing for public universities:

1. *core financing sources* from the state budget for public higher education; 3 expenditure items are financed:
  - research (around 50% of this item);
  - general and administrative expenses,
  - other needs.

State budget funds for research, experimental development (social, cultural) and expansion of artistic activities are allocated to public education and to research institutions according to a government-established procedure depending on evaluation results of research (artistic) activities both within public education and within research institutions.

2. *state budget funds intended for education* in accordance with the legal procedure for higher education. These refer to the education cost, are fixed in the voucher, and include:
  - payment of tuition fees for students following budget funded education;
  - as provided by Article 71 of the Law, compensation of tuition payments of students who achieved best results in their education and whose studies are not being funded by state;
  - financing of special purpose studies;
  - state loans or loans guaranteed by the state;
  - social scholarships and other kinds of support.
3. *state funds for investment programs and investment projects* intended for public higher education and for research institutions; these are amounts directed to investments. Projects developed are submitted to the Ministry of Economy which analyzes them and allocates money to winners.

**Government – university delimitation.** The government approves priority areas for the development of the country during a specified period and the necessary number of specialists in areas to which financial resources are allocated. Financial resources are directed to universities which students choose to attend. In this respect, the Government allocates money for training of a certain number of specialists in specific areas and monitors their use.

### **3.1.3. Methodology for allocation of budgetary funds to universities**

The meaning of *Methodology* employed in terms of our context refers to the description of budgetary resources allocation process for universities, containing a set of documented procedures that allow to determine the amount of money entering the university according to the above mentioned directions.

Allocation of financial resources to state universities (private ones do not receive any allocations from the state) is done according to the above directions. It can further be specified here how the allocation of financial resources for education takes place (state budget sources for education). The principle employed is “money follows students”. Only for cycle I the state

allocates a certain number of budget-financed places for certain programs of study (specialities). Admission is carried out by an independent agency. Once all places have been occupied (depending on average graduation scores) students choose the university that participates in this program and at which they want to study (the image of the university matters). State budget money, by means of the voucher, go to the university where students want to study.

The number of state-funded places for II cycle-or doctorate students is established by government each year depending on study areas and taking into account national development, economic, social and cultural needs as well as financial possibilities of the state. The number of places is distributed among universities by the Ministry of Education and Science based on their research (artistic) activities. PhD places are distributed among higher education and research institutions by the Ministry of Education and Science based on results of research (artistic) activities and of PhD studies.

Thus, higher education voucher-based financing works in a way that allows students to use their vouchers at any accredited institution, these vouchers being equivalent to a certain period of time or to a certain amount of ECTS points (for example, Lithuania, cycle I)

This form of financing higher education by demand is characterized as the most advanced student-centered financing method because it takes into account student's wishes within national and international dimensions of higher education. [3]

The voucher system is often criticized through the following opinions: students' option for one university or another does not depend solely on a free and informed choice, but is also strongly linked to students residency and other possible obligations. Problems may arise if voucher students are not satisfied with the education obtained. There is no possibility for them to be refunded as consumers are refunded in case of complaints about the quality of the product. Although vouchers could change the manner according to which HEI manage students and their education, it is more likely that institutions will try to attract students employing unrealistic presentations by means of expensive and prestigious advertizing than to try to improve the quality of education.

The amount of money to be allocated from the state budget to finance budget places in universities is calculated based on the level of education (I cycle, bachelor), curriculum, type of education. The number of students studying based on places financed from the state budget is multiplied by the normative price, calculated by the university. If the university calculates a price higher than the normative one, the multiplication is done by normative price. If the price calculated by the university for full-time and part-time (extended) education is different, the lower price is taken into account.

Certain situations are envisaged for cases that affect the amount of allocated funds:

When calculating the amount required for graduating years (except for level 3 probationary studies), the number of students is multiplied by 2/3 of the education price.

If a student changes his study program within the same field in accordance with the regulations in force and the price of the new program differs from the previous one the lower amount is taken into account. After transferring to another study program a student from a foreign branch loses its budget student status.

The number of students taken for calculation of the financial resources to be allocated decreases by the number of expelled or suspended students and decreases or increases depending on the number of students that have changed their study program.

The amount of funds for cycle I, cycle II, integrated studies, continuous training students to be enrolled in the following year by universities is calculated starting from the amount of current sources minus the amounts calculated in previously mentioned paragraphs. This amount is allocated to universities based on the number of enrolled students. When calculating the amount to be allocated to the university the number students is multiplied by 1/3 of the normative price.

**Government – university delimitation.** The government allocates money to best students graduating from high school through voucher system as well as to those who had best results during study years but at admission have not received a voucher. The university collects the money through vouchers brought by enrolled students and provides them qualitative study conditions.

#### **3.1.4. Calculation of per student training cost (price)**

*Per student cost (price)* is the total expenditure in relation to the number of students financed from the state budget. It is calculated according to Government Decision no. 402 of May 13, 2009.

This document introduces the education *normative price*, comprising (one could name it basic price) :

- salaries of teachers and researchers (hereinafter called academic staff) and salaries of other staff categories (hereinafter – service personnel) – employees salary costs;
- cost of goods and services related to education (hereinafter – costs of goods and services);
- students stimulation costs.

The normative price for study programs at cycle I, bachelor is calculated by multiplying the core price by the coefficient specified in the Annex to this program (depending on the field of study) plus costs for encouraging students referred to in Section 5. It complies with the following:

*Basic normative price* is calculated by adding employees salary costs and basic costs of goods and services.

- Employees salary costs are calculated based on basic salaries of academic staff and service personnel plus relevant state social insurance costs calculated in accordance with the law.
- Basic salary expenses for academic staff are calculated starting with the basic salary amount established by the Government of Lithuania (hereinafter called BMA): BMA 22,3 (for higher education) or BMA 19 (for college education) is multiplied by 12 months and divided by the normative number of students assigned to a teacher and which is equal to 20.
- Service personnel salary costs are calculated through multiplying BMA 8,8 by 12 months and the result divided by the normative number of students assigned to a service employee which is equal to 25.
- Basic costs for services and goods are calculated from the amount of basic social payments (BSI): for universities – 5,8 BSI, for colleges – 3,2 BSI.



- Students stimulation costs amount 2,5 BSI.

*For cycle II and probationary studies salary costs* are calculated based on BMA for cycle I; cycle II – 28 BMA, probationary studies – 73 BMA.

*The basic price for cycle III* is calculated by adding up academic staff costs plus costs for the purchase of goods and services plus students encouraging costs, as mentioned in paragraph 5. Salary costs are calculated by adding up all academic staff costs for the given program plus social security charges in accordance with the legislation in force.

In order to calculate the basic price for cycle III the following will be taken into account:

- Academic staff salaries costs are calculated multiplying 29,7 BMA by 12 months and dividing the result by the number of students per one member of academic staff which is equal to 3.
- Service personnel salary costs are calculated based on BMA 8,8 multiplied by 12 months and divided by the number of students per one service personnel which is equal to 4.
- Costs of goods and services amount 36,3 BSI.

*Part time studies (extended) price* is 1,5 times lower than the corresponding price for full-time studies.

*The normative price for integrated studies* is calculated as follows: for the first part (240 credits) the normative price is calculated as the normative price for cycle I and for the second part – as the normative price for cycle II.

*The normative price for university studies* (except probationary studies), which does not end with awarding certain diplomas (postgraduate studies) is calculated as the normative price for cycle II. The normative price for college studies with no diplomas granted is calculated as the normative price for college studies.

### **3.1.5. Private financing types and their monitoring**

*Private financing* involves financial resources types that the university can attract, except those coming from the state budget. Universities have to act with responsibility in order to ensure better use of the existing funds. However, in order to preserve stability and to guarantee the fulfillment of the many tasks of higher education in the society, it is considered that public funds should remain the main source of financing HEIs.

There is a wide range of alternative funding sources which should be analyzed and considered seriously. None of the possible effects should be overlooked in the attempt to diversify funding sources. Together with the issue of alternative financing of higher education one should remind that there is no free amount, that any source of financing involves interest and effects on the task and significance of education. In no case and by no means should academic freedom and basic research be jeopardized in the search of new resources. Increased attention should be paid to the distribution of money among academic disciplines without neglecting those disciplines with lower commercial value.

There exists the possibility for a wide variety of private financing sources (other than tuition fees) for higher education institutions in Lithuania. These are stipulated in LHER and include:

- Funds received under competition from research funding programs;
- Funds allocated by foreign and international foundations as well as by organizations;

- Funds received as sponsorship under charity and sponsorship law;
- Other legally received funds;

However, universities do not use all these sources because not all of them are currently available. (Donations / bequests, rentals / property income, use of research results / contract-based research). Private sources are employed depending on the strategy adopted by the university. Monitoring over the use of resources is carried out through internal financial audit and through external financial audit done by the Accounts Chamber verifying the use of financial resources by destination as determined by university plans.

**Government–university delimitation.** By attracting a greater number of private funds the university is offered greater development possibilities. The government encourages universities to collect private funds and use them for the continuous development of universities.

### 3.1.6. Capacity of universities to borrow money

The capacity of the university to borrow money regards the rights of the university, when necessary, to receive a loan for the implementation of a project necessary for the development of the university and given the lack of sufficient own sources. Money can be borrowed from a national or an international financial market.

State higher education institutions have the right to borrow money through loans, to sign credit agreements, employ leasing (financial leasing) within general loan limits established by the Law approving the financial indicators of the state budget and municipal budgets for the respective year. The Ministry of Education and Science distributes this loan limit among higher education institutions. State higher education institutions take this into account and act in accordance with the established procedure. A higher education institution can put in pledge no more than 20 percent of its own managed assets.

**Government–university delimitation.** The government may establish cases when universities can borrow money.

### 3.1.7. Degree of university freedom when establishing the amount of tuition fee

*Tuition (education) fee* is the amount a student has to pay depending on the area of study and on the type of education for one year of study, that includes expenses necessary for student training. The tuition fee is an economic contribution that a student has to pay to a HEI, to the higher education sector of a state or to the state, before, during or after studies in order to apply, follow or complete higher education.

Tuition fees are established by the university. Usually, the amount of the tuition fee is equivalent to per student cost calculated at government level and paid by the government by means of the voucher system.

If the university establishes a lower tuition fee than the amount from the voucher, the university receives the respective amount from the state. If the fee amount is higher than the voucher amount the state pays the voucher cost only.

**Government–university delimitation.** Per student cost indicated in the voucher is determined by the Ministry according to a formula developed according to areas of training. Each university independently determines its student training costs. However, the government monitors this in the manner described above. It allows to monitor the situation in the



universities and to exclude situations where universities, in order to attract more students paying tuition fees, would establish lower fees than the actual per student training cost.

### **3.1.8. Year-to-year transfer of unused funds**

Unused funds are the money that remain at the end of the reporting period – the calendar year on bank accounts of universities. Although universities are non-profit organizations, balances at the end of the calendar year can occur for various reasons: e.g. money accumulated for some future investments etc. The balances remaining from budget funds at the end of the year are transferred (back) to the state budget. Own funds balance shall be kept by the University and can be transferred to the next year. The possibility to keep unspent funds and transfer them from one year to another is an important aspect of financial autonomy enjoyed by higher education institutions. Such flexibility helps universities when developing medium or long term strategies and allows projects financing for several years, even creating a possibility to invest in order to increase income.

**Government–university delimitation.** State budget funds unused during the calendar year are transferred to the budget. The university has more freedom with regard to own resources.

### **3.1.9. Freedom of universities to own buildings**

*The capacity of universities to own buildings* involves understanding of the fact which body has the right of ownership over universities property and what kind of relationships are established between the owner and the university.

In Lithuanian Universities, buildings purchased from state money belong to universities which have management and renting rights. The state has the property right. Buildings purchased from the universities own money are their own property.

**Government–university delimitation.** The state owns buildings purchased from budget money and the university ensures their effective management. The university is the owner of own money purchased property ensuring their effective maintenance and management.

### **3.1.10. Tuition fee policy with regard to foreigners**

Foreigners are those who study in other countries than in their own. Are there differences in the treatment of local and foreign students in terms of tuition fees?

European Union citizens can participate in the competition for admission under the same conditions as Lithuanian nationals. For non EU students the university establishes fees, usually higher than for students from Lithuania.

State involvement is limited to determining per student cost which actually serves as a basis for calculating tuition fees as well. The universities are free to determine the amount of tuition fees for foreigners.

### **3.1.11. Scholarships and other financial support means for students**

*Financial support* for students can take various forms and is reduced to that refundable or non-refundable aid that can be obtained from different institutions in order to provide the possibility to study. Without an appropriate support of students a large number of people could be excluded from higher education due to economic reasons. It is important not to

lose track of higher education costs which consist of not only tuition fees, but also include study and living expenses such as accommodation, transportation and study materials. Public money for student support should rather focus on helping students with top marks instead of supporting irresponsible students.

Two kinds of scholarships are offered: performance-based and social scholarships. Performance-based scholarships are established by the university, the social scholarships are exclusive and established by state. It is interesting how the university carries out the allocation of performance scholarships to students. Each university receives money allocated for scholarships and determines the number of beneficiary students and the scholarship amount. There is a choice depending on institution-level policy: to allocate scholarships to a greater number of students but in smaller amounts, or to a smaller number of students but in larger amounts.

Another way to support and also stimulate students' performance lies in the fact that students at cycle I, bachelor or integrated studies, paying tuition fees and having completed with good results the first two years or half of the study period (for those attending integrated studies) do not pay tuition fee for the remaining period. Their number is determined by the university (but not more than 10% of students that in the given academic year completed the first two years of studies) and the money is allocated from budgetary sources.

Students can get loans supported by the state to cover their study costs, living expenses, partial studies in accordance with international agreements.

Mobility usually is a component of higher education internationalization strategies and initiatives. Financing dominates the top of identified obstacles to sending mobilities and is the second most frequently mentioned barrier to receiving mobility. Lack of support services and accommodation services for international students is also very often expressed together with immigration – and visas related difficulties.

For Lithuania one can speak about the lack of scholarships and grants portability. The concept of portability indicates whether students studying at a higher education institution in another country can use their grant or loan under the same conditions as within their home institution.

**Government–university delimitation.** Both the state and the university are responsible for financial assistance of students whenever possible.

### **3.1.12. Allocation of financial resources within the university**

Financial resources entering the university whether from budgetary sources or from own sources are distributed inside the university in a centralized manner, i.e. by the university administration.

## **3.2. Scotland**

### **3.2.1. Higher education financing model**

The main source of financing for Scottish higher education is the Scottish Parliament allocating to the Scottish Funding Council yearly amounts for national universities. It is the responsibility of the Funding Council to determine how and how much to allocate to each higher education institution. These are determined annually:

- the total number of students to be financed;
- block financing of teaching and research allocated to each institution;
- special funds linked to strategic objectives and the purpose for which these funds must be used.

Scottish Funding Council (SFC) allocations are conducted annually in the form of global financing and fall into three main categories:

- financing of learning and teaching, including extension;
- research funds;
- special funds.

SFC's mission is to ensure that institutions have a financial management competent enough to use allocated funds in coordination with the purposes for which they were allocated.

**Government–university delimitation.** The government provides sufficient financial resources for universities to provide qualitative training of specialists.

#### ***3.2.1.1. Education financing***

The Funding Council offers funds to support direct and indirect costs of providing teaching and learning to students studying at Scottish HEIs. These include teaching, administrative, technical and service personnel-related costs as well as some accommodation, equipment and materials facilities. Financing is allocated based on a transparent formula taking into account the number of students from an institution and per student price established for a specific field of study.

This is a basic price and not a cost-based system. These allocations are based on certain formulas that enable universities to know in advance the amount of money to be received in compliance with the specified criteria.

In the teaching formula as applied, all academic subjects are assigned to one of six price groups and a standard price for FTE (full-time equivalent) students is calculated for each group. The total standard resource of an education institution is calculated by multiplying FTE students from each price group to the standard price for the group, and the totals for the six groups are summed.

These calculations produce a standard per student financing rate for each institution. Institutions may have a certain flexibility when managing their own number of students, so that the real financing rate may be higher or lower than the standard rate within a 5% limit. If the standard variation is greater than 5 % the Funding Council shall adjust the financing rate or the number of students for the institution so as to bring the actual financing in accordance with the standard. Where necessary, period adjustments are made to allow the institution to manage the desired change.

#### ***3.2.1.2. Research financing***

SFC research funds allocation policy is selective and based on the quality of research. Research in Scotland is mainly concentrated in universities. The actual financing system operates according to the “dual support” principle whereby universities receive core funding from the SFC, which is designed to cover research and infrastructure costs needed to support competitively financed research projects (e.g. permanent academic staff salaries,

premises, libraries, computers). The money is allocated according to the quality of work. SFC role in research is to contribute to the improvement of quality and international competitiveness of research infrastructure from Scotland as well as to ensure dual support. The second part of the financial resources can be obtained from the Research Council of Great Britain, which provides financing for specific programs and projects in seven main areas:

1. Arts and Humanities;
2. Biotechnology and Biological Sciences;
3. Engineering and Physics Sciences;
4. Economic and Social Sciences;
5. Medical Sciences;
6. Natural Sciences;
7. Technological Sciences.

Research councils are interested in promoting research excellence and therefore selectively distribute research funds to institutions that have shown their research quality by reference to national and international standards.

The role of this fund is to stimulate excellence in research and to facilitate access to international research. The amount of financing is closely related to research quality. There is a methodology for assessing the competitiveness of research based on previous years achievements. In addition, there are various grants that can be obtained, including doctoral research grants.

Research quality has been periodically evaluated in a research assessment exercise (RAE) conducted by four higher education financing bodies from Great Britain. The vast majority of research funds are allocated as quality research grants (QR). Funds allocated to an institution under this heading refer directly to the quality of work performed within the most recent RAE. The QR funding method also takes into account the volume of research primarily measured by the number of employees subject to evaluation, but also additional measures such as the number of research students, charity research income and businesses research income. The mentioned volume is measured by the number of active employees in research, submitted to RAE. Topic totals are distributed to institutions proportionally to research volume multiplied by the quality of research on topics for each institution. For quality marked with 1, 2 or 3 there is no financing; for 4, 5 and 5 points – financing shall be obtained. RAE 2008 results were used to perform financing calculations for research in 2009-2010 for the first time. From 2011-2012, the financing method gradually included the Research Excellence Framework (REF) which is a new research evaluation and financing system.

The Research Council can also allocate special funds without the formula thus allowing changes or activities not included in the formula. Special financing level is continuously reviewed to ensure its justification.

**Government–university separation.** The state shall promote performance of research, in this case the basic share of financing sources coming on a competitive basis. The university must demonstrate its performance.

### **3.2.2. Higher education financing mechanisms**

In Scotland, higher education institutions are financed directly by the Scottish Funding Council (SFC) which is a non-departmental public body of the Scottish Government. The

only exception is the Scottish Agricultural College which is currently financed by the Department of Agriculture of the Scottish Government.

Three basic directions for allocation of financial resources to universities were presented above.

Funds for education and research are strictly separated. When distributing funds for teaching and research, SFC aims to preserve the diversity as well as increase opportunities, encouraging the efficient use of public funds.

Education and research financing together with subsidies granted for covering part of the tuition fees are separate and independent parts of institutional allowance. Total grants and subsidies for covering tuition fees form the resources of public higher education activity. The mechanism for allocation of funds to universities is based on four main stages: determination of standard resources for an institution, determination of current resources of the institution, comparison of the two stages and determination of final grants.

Standard resources are determined for every higher education institution based on the number of students and on the educational profile. The number of students is quantified based on the number of attending equivalent students (FTE). A part-time student is quantified by comparing his educational activity to the activity of a full-time student. Students performing practical activity outside the university during one year are quantified at a rate of 0,5/student compared to full-time equivalent students from that year.

When determining next year financing standard for an institution it is considered the number of existing students plus the number of potential students enrolled through competition for the next year. Not all students are financed in the same proportion. Factors such as students' type and nature of the field of study lead to a different level of resources. Taking these factors into account when determining the standard resources every institution is granted certain bonuses depending on the field of study, student status and HEI ranking.

Thus, financing of a full-time student is calculated by dividing the amount of total available funds for education financing (grants allocated by the Scottish Funding Council plus subsidies for covering tuition fees) to the total number of equivalent students. This financing rate (grant + subsidies) is called the basic price.

Therefore, the standard resource for a university is obtained by weighting the total number of equivalent students to the basic price.

Further, the standard resource is adjusted based on inflation and on Funding Council estimates of income obtained from student tuition fees.

**Government–university delimitation.** The mechanism employed by the government stimulates the performance of universities.

### **3.2.3. Methodology for allocation of budgetary funds to universities**

Distribution of funds among universities is carried out largely based on allocations from previous years and depending on the state level existing budget. Also, for certain areas, e.g. health, stomatology, pedagogy, depending on state need of a certain number of trained specialists, the number of students to be trained is specified and a certain amount of money is allocated. Beside that, SFC also analyzes directions for the use of these funds. Depending on previous years results the amounts can be increased or decreased.



SFC allocates for research an insignificant amount, just for maintenance of the equipment. Main allocations come from the Research Council of Great Britain depending on performance achieved, i.e. on competitive basis, employing a formula. The Council is divided into seven research departments that finance specific research projects in a wide range of academic areas.

The Funding Council provides just over one-third of financing for investment in facilities for teaching and research through specific grants. The rest is financed through commercial loans, bonds and other loans, other earned income.

SFC concludes a separate Memorandum agreement with every university. This financial Memorandum establishes the expectations of an institution and the requirements which are a condition set by the Funding Council. The main requirement of the financial memorandum is that governing bodies should ensure good governance and should effectively implement a system of good governance, leadership and management in the institution under its regulation.

The allocation of budgetary resources is a long process. The Ministry forwards to the SFC the amounts available for next year together with some recommendations on the use of this money. The Council is not obliged to take account of these recommendations, but given that it is public money, the recommendations are usually taken into account. The relationship between the two bodies is very close and problems that arise are amicably solved. Here we refer to the fact that the Ministry indicates development priorities for the next year to the SFC and maintains a dialogue with the latter until a consensus is reached and approval of the budget takes place.

SFC concludes with every university a Financial Memorandum. The Memorandum contains the requirements established by every institution, including:

- The legal (regulatory) basis according to which public financing is provided and areas for which it is provided;
- The need for efficient and proper use of public finances, existence of an accounting system allowing to meet these requirements;
- The need of the institution to have management systems, including risk management and internal control management;
- The need to ensure financial viability of the institution.

In addition, every year a guide for the allocation of financial resources to universities is developed, indicating the next year price per each student seat out of the 6 budget-funded groups of seats. It also indicates the allocation of financing to teaching for seats additionally offered under programs opened for the first time in the respective year, i.e. for widening the access. Annexes to the document present detailed additional allocations for certain universities based on strategic directions for the respective period.

In December, institutions provide annual information regarding the number of FTE students. These figures make the core of the teaching activity that will be financed in the next year. If an institution does not enroll the appropriate number of students recruited to ensure the expected volume of teaching activity, SFC shall retain some of the financial sources.

The financing methodology itself is designed to be transparent, equitable, efficient and flexible.

**Government–university delimitation.** Universities timely submit the information requested by the Funding Council that allocates, based on demonstrated performance by every university, financial sources. To a large extent, the university is free to use them by own wish, it only needs to demonstrate performance.

#### **3.2.4. Calculation of per student training cost (price)**

Costs are calculated according to the methodology known as TRAC (Transparent Approach to Costing), a transparent approach to costs calculation. Beginning with 2000, TRAC has become a standard methodology used by 165 higher education institutions (HEIs) in Great Britain to calculate the costs related to core activities (teaching, research, other important activities) and to inform about public financing of higher education. However, TRAC is not the only method for cost calculation.

Costs can obviously vary from one institution to another as well as the approach to cost calculation. Some elements are under the control of the higher education institution, others may be imposed (e.g. specialized equipment costs).

The advantage of TRAC is that it has a wide acceptance and is flexible enough to cope with various challenges, enabling higher education institutions to make good estimates. In addition, the method does not require additional administrative effort and does not require teachers to complete the timesheet. Also, TRAC has been accepted by the government and important public funders of research and teaching (especially the Funding Council and the Research Council) as an appropriate and robust method for the calculation of costs in higher education. TRAC can also be considered as a collaboration between HEIs and key stakeholders and public funding bodies. The success of TRAC implementation in the higher education sector as well as the support of Treasury to TRAC was beneficial for all institutions both directly in terms of their financing and indirectly by means of trust the government invested in them. The processes underlying TRAC allow to take account of all institution costs, both direct and indirect, so these could be analyzed and attached to activities in a fair and reasonable manner. TRAC relies on activity principles based on cost calculation but applies them in a way that is appropriate for complex activities and culture existing in higher education institutions. The approach is flexible because it respects the diversity of institutions in Great Britain and is so comprehensive and holistic that it is suitable for all activities and all institutions. Cost calculation is not an end in itself but is an essential tool that allows a more efficient management in the higher education sector. It has four main objectives:

- a. to meet the responsibility requirement, especially for the use of public funds, when the institutional portfolio includes a complex mix of activities;
- b. to provide coherent and solid information on the cost of activities in order to assist with planning and institutional management;
- c. to provide a basis for the pricing of activities, especially for publicly funded activities;
- d. to provide both institutionally and nationally a proper and comprehensive cost model in order to guide future investment.

TRAC introduced in institutions some new processes and activities that stand alongside the existing accounting and project management systems. The most notable (from the academic perspective) are the requirements to allocate time to teachers and to include research



costs based on full economic costs. In this respect for every teacher there are developed and made available various instructions regarding time allocation for such activities as: teaching, research and other activities. These instructions provide various possibilities for time allocation. Based on this, the respective costs as well as salaries are determined. There are developed materials specifying in great detail how to calculate the cost of courses taught (e.g. Course costing in Higher Education: An overview for senior management).

These are materials for the consultation of universities on how to facilitate the cost assessment of courses. Also, these instructions envisage not only the calculation of costs for activities performed by teachers, but also the calculation of other costs, such as maintenance of libraries. It is noted that libraries and learning resources represent about 4% of total institutional costs. And in this respect there are developed recommendations for the calculation of costs related to these activities.

One should mention the guide developed with reference to the TRAC method [12], which is very detailed and, together with the annexes of this guide, allow the calculation of all costs of university activities.

Thus, TRAC is a national-level developed methodology based on activity cost allocation using time allocation studies (not timesheets) by the academic staff as cost drivers to allocate all relevant activities costs. TRAC also includes proximate cost adjustments to take account of the fact that the “real” costs of universities are higher than costs historically established into their accounts due to a combination of: underestimation of current assets value in some institutions; insufficient investment in physical assets (for example, presented by maintenance delays) as well as in services and in students support; the need to allow a surplus or risk margin, financing and development.

Time allocation was the most controversial issue, and it is essential that HEI know the direction where the effort of teachers should be directed and whether the financing of these costs can be planned.

**Government–university delimitation.** The methodology employed by universities for cost calculation allows taking into consideration all expenses incurred by the university and also stimulates the efficient use of financial resources. The government monitors the efficiency of the use of financial resources in accordance with strategic directions established by the university.

### **3.2.5. Private financing sources and their monitoring**

Although a normal approach of SFC is to allocate core funding through financing formulas for research and teaching, a number of activities cannot be financed in such a way and are instead supported by special funds. Financing methods are used to minimize the burden of institution’s responsibility and they are normally introduced only after consultations with the sector.

Scottish Universities may have other sources of income than those received from SFC. Among them one could mention:

- donations
- position sponsorship (especially for professor positions, which are often fixed-period)
- interest earned on cash balances and investments

- revenues from the exploitation of research results and commercial application of inventions
- teaching contracts for specific customers (education, continuing professional development, initial teacher training)
- tax revenues for short-term courses
- income from student tuition fees (non EU, cycle II),
- rent taxes.

The use of income obtained from private sources is not particularly monitorized and these are used depending on the needs of the University based on the strategy adopted. Also, universities can obtain research funding through grants and contracts from the Research Councils, contracts with industrial and commercial companies as well as with governmental entities, grants from charity organizations and EU.

The importance of such other income flows varies from institution to institution: income from investments in facilities, for example, tend to be more important in large universities and donations tend to concentrate on medical universities.

**Government–university delimitation.** Although the state provides universities with sufficient financial resources so they could to provide quality educational services, the latter can also access private sources.

### **3.2.6. Freedom of universities to borrow money from national and international financial markets**

When necessary and lacking own resources, a university can borrow money from banks only based on justification and with the consent of SFC.

### **3.2.7. Degree of university freedom when establishing the amount of tuition fee**

The financing method allows higher education institutions to supplement funds according to the criteria established annually by the Scottish Funding Council. Higher education institutions receive public funds in the form of grants and subsidies to cover tuition fees offered by the SFC. Full-time students receive government support in the form of tuition fees depending on family's financial situation. Students enrolled in postgraduate courses involving only teaching and not research activity pay full tuition fees.

Instead, the tuition fees of students enrolled in postgraduate courses in the area of research are covered – mostly – by the Research Council. More than 1/3 of tuition fees of part-time students are paid by employers. Tuition fees, usually for cycle II master-level students are established by the university.

Tuition fees for cycle I, bachelor students from Great Britain and from countries outside the European Union are established by the university. Usually, the fee for British students does not exceed the value established by British universities.

**Government–university delimitation.** In principle, a university is totally free to establish tuition fees for studies for cycle II master-level only. At cycle I, students from Scotland study free of charge and for students from Great Britain there is established a fee usually at the level of local universities and students are able to come to study in Scotland. When setting higher fees these students shall have to remain in the UK.

### **3.2.8. Year-to-year transfer of unused funds**

The money allocated by the SFC, remaining within the university at the end of year are reimbursed. Own money, earned through income other than state-given money, remain at the university.

**Government–university delimitation.** The state monitors closely the use of financial resources, but the money obtained from private sources are fully available to the university.

### **3.2.9. Capacity (freedom) of universities to own property**

The property is managed by universities. They can sell buildings, but if the construction of property was carried out by the state SFC permission is required. Money obtained from the sale of property can be used either by the university for investment or shall be returned to SFC.

**Government–university delimitation.** The state protects its own money while those obtained from private sources are at the discretion of the university.

### **3.2.10. Tuition fee policy with regard to foreigners**

Student and staff mobility has increased in the last decade, contributing to the diversification of higher education in terms of both domestic students and foreign students. Governmental attitude towards international students has evolved to such an extent that they were considered a new source of income. In this situation, these students are charged as much as possible so as to diminish the need of state to invest in the education of young people.

The tuition fee for international students in Scotland is established by the university. It is usually higher than the fee for UK students by 65%. It is worth mentioning in this regard that the fees for international students, being a source of income for universities, can be seen as a hindrance to internationalization and integration, thus creating obstacles for mobile students.

**Government–university delimitation.** Universities are free to establish tuition fees for non-EU citizens.

### **3.2.11. Scholarships and other financial support means for students (including mobility financing)**

Scholarships for students are offered by an independent agency. Student dormitories are also outsourced as university services. Students can borrow money from a specialized agency to pay both tuition fees and living expenses. The money is refunded after employment and achievement of a certain salary level for a period of up to 15 years.

Institutions may receive a grant allocated by SFC to help students facing financial difficulties. The criteria for the allocation of these funds are determined and institutions are responsible for deciding which students should receive financing.

This model of financial support for students (also known as “friendly” tuition fee) seems to be acceptable, but various sources bring certain critics made in its address. Thus, ESIB considers repayment plans after graduation as policies that are unacceptable, misleading and damaging to higher education wider access and graduation. One of the most delicate and uncertain period of human life is when an individual is seeking employment and pursues career and family plans. Even in cases when repayment plan shall enter into force

when that individual's salary reached a certain level, the threat of a waiting debt is a determining factor for many students when choosing to enroll in higher education or not. (<http://www.bologna.ro/a/upfolders/finantarea%20invatamantului%20superior.pdf>)

In fact, this method can be rather considered as financial assistance and not financial support, which is transformed by the reimbursement condition into a false mean of support.

Financial support for students is performed by the Student Awards Agency for Scotland (SAAS). This organization publishes guidelines stipulating the types of support, eligible individuals and the allocation method.

**Government–university delimitation.** The university is exempt from student fostering problems. Through a state developed mechanism students have well-defined ways to ensure their living conditions during their studies at the university.

### **3.2.12. Allocation of financial resources within the university**

Allocation of financial resources within universities is done in a decentralized manner. Every department, every person has a special account. The faculty pays for hours worked within the faculty.

Financial resources obtained from SFC are allocated by the university depending on the policies approved at institutional level. The university also decides each year, within available financial resources, the number of students as well as specialties at which they are to be enrolled. Although there exists a differentiation during the allocation stage according to the directions mentioned, in the end, all of them form a single block which means that internally these funds can be used for teaching, research and other related activities. Other special funds may be used for activities agreed upon with SFC.

**Government–university delimitation.** The state does not get involved in resource management at university level. Every three years some monitoring is performed to verify that public money was directed in accordance with strategic development plans of the institution. Best Practice Guidelines are published annually so that universities have the possibility to benefit from certain recommendations. These guidelines are published by the SFC based on annual reports submitted by the universities.

## **3.3. Sweden**

### **3.3.1. Higher education financing model**

Public financing models for higher education are the levers employed by central governments to pursue their strategic goals in this sector. In Sweden, the state budget finances higher education institutions allocating 85% of funds in the form of grants. Grants for higher education are allocated as block grants. This means that internally universities are free to distribute the allocations at will, without following a strict order.

Money amounts are allocated from the budget, every university having a separate financing line. In turn, every university has two financing lines: for teaching and for research.

The amounts allocated to teaching (about 95% of the budget) include amounts assigned to teaching, but also to other expenses necessary for this activity, including amounts required to pay the rent of study buildings.

Research amounts (about 55% of the needs) are allocated to cover the costs of research staff. In addition to research funds allocated from the state budget as block grants, the remaining 45% are allocated by the Research Council based on project competition. The university can also benefit from funds based on contractual sources with different organizations and businesses.

Funds are provided as a lump sum.

**Government–university separation.** The government allocates money for the training of required specialists. The university is responsible for allocation of this money in a way that ensures performance.

#### ***3.3.1.1. Education financing***

The education financing system is based on educational activities contract negotiated between the Ministry of Education and each university. This contract establishes objectives for a three-year period with a breakdown for the nearest year. These contracts include:

- The minimal number of degrees awarded (bachelor, master);
- The total minimal number of FTE students;
- The fields of study where the number of students will increase or decrease;
- Other issues.

According to the objectives set out in activity contracts concluded with universities, a preliminary calculation of teaching funds is carried out, based on the first two elements:

- The number of study credits earned by students during a year;
- The real number of students.

It is important that in Sweden students can choose courses that they want to attend and thus create their own educational path.

The results obtained during three years of study stand at the basis of negotiation for the next three-year period. The only condition related to the spending of public funds in this respect is that long-term objectives of the education contract must be met. In order to ensure the flexibility of institutions between fiscal years as well as to facilitate their long-term planning, institutions are entitled to transfer unused parts of its budget to the next fiscal year. Institutions may keep only grants or FTE study results corresponding to a maximum of 10% of the budget. Teaching budget is based on forecasting the number of students. However, institutions are free to enroll more students, although this will not affect their budget.

**Government–university delimitation.** The government allocates money for studies, but does not indicate for which students and what programs these amounts should be used, except for some state-level needs. Universities have the responsibility to train specialists in those areas which will help graduates to find employment. This makes universities to be in permanent contact with employment agencies.

#### ***3.3.1.2. Research financing***

In Sweden, as in other European countries, public funds for research are allocated based on a dual support system composed of core research funds, whose spending is decided by the institution, and public funds for specific research projects awarded according to a competitive model. Core financing for research is allocated by the Ministry of Education and Science by means of grants including both education financing and research financing.



Financial support for teaching and operational activities is also provided. Basic research funds allow institutions to establish their own priorities and to finance own infrastructure and current activities. However, the existence of this mechanism for the allocation of funds does not indicate neither the amounts involved nor the fact that public funds allocated to research should be sufficient. In Sweden there is no well-developed mechanism that would allow transparency in the allocation of research funds. Many consulted sources notice the political nature of these allocations. State financing by means of grants on average makes 55% of the sources used for research. Along with direct research funds, there are funds allocated indirectly through research councils based on competitive-based project proposals.

**Government–university delimitation.** Government-allocated money for research include only the amounts required for salaries and infrastructure. This stimulates universities to participate and win various projects on competitive grounds.

### **3.3.2. Higher education financing mechanism**

As in many European countries, the Swedish financing mechanism is based on a financing formula. The use of financing formulas for calculating the amount of public funds allocated to higher education institutions is a widespread practice considered a way to increase the transparency of public financing by objectively distributing available funds among institutions and avoiding excessive political pressures. Within the financing formulas the number of students taken into consideration is calculated together with the cost unit established per student. These costs are determined depending on the field of study into which the student is enrolled and the level of education as well as depending on the fact whether the studies are full-time and also on other factors. In Sweden, performance criteria are also taken into account (around 60%). Thus, the performance is determined considering the number of FTE students, i.e. the equivalent students that accumulated 60 credit points (the total number of study credits accumulated by all students in the respective year is divided by 60 to determine the number of FTE students). Elements included in the performance formula are given higher weight compared to input elements (e.g. student load). On average, 60% of the funds assigned for teaching are based on the number of credit points accumulated by students, while 40% are based on the number of students. The 60/40 ratio represents a political compromise between 70/30 and 50/50.

**Government–university delimitation.** The state employs a clear and transparent mechanism to finance higher education.

### **3.3.3. Methodology for allocation of budgetary funds to universities**

The allocation of funds to universities takes place by means of a budget proposal made by the Government and accepted by the Parliament.

Distribution among universities occurs largely depending on allocations from previous years and according to the existing budget at the state level. Money are planned for a 3-year period with yearly specification of this amount.

Largely, the number of students is not taken into account. The amount allocated by the ministry is used by the university depending on its own policies. However, every year the university submits a report to the Ministry justifying its expenses. In this respect the number of equivalent students (with 60 credit points) and the field of study are taken into consideration.

Exactly the same thing happens at budget development level. Calculations are performed taking into consideration the number of equivalent students (FTE).

Financial autonomy is accomplished through per student funds allocation. As a basis of per student cost is taken the cost of education in humanities, but when financing programs using advanced technology components a coefficient depending on the complexity is included.

The following equation is used to calculate the allocation of financial resources by the ministry:

$$T_{i,t} = (S_{i1,t} * T_{s1,t} + C_{i,1,t} / 60 * TC_{1,t}) + (S_{i2,t} * T_{s2,t} + C_{i,2,t} / 60 * TC_{2,t}) + \dots + (S_{i6,t} * T_{s6,t} + C_{i,6,t} / 60 * TC_{6,t}),$$

Where:

$T_{i,t}$  – the teaching budget of institution “i” in year “t”;

$S_{i,1,t}$  – the real number of students in university “i” in the field “j” (there are 6 fields: 1. Humanities, theology, law, social sciences; 2. Science, engineering, pharmacology, health; 3. Dentistry; 4. Medicine; 5. Educational Sciences; 6. Other);

$T_{s1}$  – per full-time student cost for every field “j”;

$C_{i1}$  – the number of credits earned in every field “j” during the year;

$TC_{1,t}$  – yearly performance price.

These charges are set at ministerial level yearly for every field and it only remains to multiply and summarize.

On average, 60% is given for the number of students and 40% for performance, i.e. for FTE.

That is, per student price breaks down into two components operated with: HST of about 40% and HPR of about 60%. These amounts are established yearly by the ministry for particular fields.

We can also present a simplified formula:

$$T_{i,t} = \text{real number of students at December 31} * \text{HST} + \text{FTE students at December 31} * \text{HPR}$$

**Government–university delimitation.** The state provides money for the training of students and universities are free to choose how to manage financial resources so to ensure the highest performance. This is afterwards rewarded by the government (through allocation of higher amounts).

### 3.3.4. Calculation of per student training cost (price)

The cost of training for one student is determined taking into account all actual expenses that are incurred by the university. In Sweden, the calculation methodology known as full cost or Full Costing is applied. This involves calculating the cost of any process, project, taking into account direct costs (directly related to the calculated unit) and indirect costs (common to several or all cost units).

We consider useful to study and present here, in a summarized form, steps undertaken by Swedish universities until reaching the model used today, that, anyway, is not considered an ideal one. The introduction of this calculation model in Sweden was coordinated at nation-



al level. Full Costing was a problem involving many discussions among universities and research financing organizations. In 2005, the Swedish Association of Higher Education (SUHF) that represents higher education institutions established a special group to deal with questions regarding indirect costs financing. This group included universities representatives as well as representatives from important financing organizations.

Another group (HFR Redovisningssed) was already established in the mid-nineties by university administrators to develop generally accepted accounting principles for Swedish universities. This group began to discuss the full cost calculation as an alternative while the Swedish National Audit Office criticized several universities for incorrect accounting of revenue in the autumn of 2005. Both groups began working together in 2006. HFR Redovisningsrad developed a Swedish model, important issues were discussed and an agreement with the group SUHF was reached. In March 2007, the SUHF group issued a report describing the fundamentals of the model and a manual was also drafted. In November 2007, SUHF recommended the adoption of the model for all its members.

Starting with January 1, 2011, all Swedish universities and university colleges have been applying this model. However, the challenge for the costing of spaces that are mainly hired by universities has not been solved yet. Clarifications, minor changes and model follow-ups, including solutions for heating costs are currently being discussed by a group within SUHF.

The SUHF model is based on budgeted costs, not real costs. Corrections should be made retroactively for cost deviations to identify actual costs. Every institution has different time allocation methods, but these are often based on management estimates rather than time recording. It is an accounting model for indirect costs presenting the full cost of education and research at higher education institutions from Sweden.

The most important change factors came from inside the institutions. Full Costing was necessary as a tool for strategic management, decision-making and improved internal control. In addition, there is necessary to improve accounting principles and achieve long-term financial sustainability of universities.

The basic *principles* of the model are:

- The activities of a higher education institution are divided into basic activities and common support activities.
- Basic activities at first are defined as education / training or research and then divided into cost units (cost unit (or cost carrier) = activity for which a separate measurement is done within the total revenue and total costs).
- Support (administration) activities are classified as support for education and research. Activities that support both education and research are divided between the two. The costs of support activities (indirect costs) are accumulated and allocated to the cost unit.
- The indirect cost allocation base preferably is made of direct costs related to labour (salaries); an alternative basis could be direct labour costs + direct operating costs.
- All revenues and costs will be allocated to cost units to allow a Full Costing assessment.
- The project budget is based on total costs calculation and represents total costs (direct costs and a fair share of indirect costs) and total revenue (external financing and government grants).[13]

Schematically, this model can be presented in the following way:

Figure 1. *Full cost structure based on SUHF methodology*

Direct costs reflect basic operations and concern, as mentioned above, directly to the process, object, while the indirect costs reflect support activities for direct costs.

Indirect costs include:

- management costs, including premises-related costs;
- support for education and research;
- accounting and human resources;
- infrastructure services;
- library;
- others.

All these costs are carefully divided and allocated between education and research.

To calculate per student cost, after Full Costing calculations at institutional level, all costs are divided by the number of students taking into account the field of study and the study form. Thus, as a basis for calculating per student cost serves the humanities education cost and when financing programs using advanced technology components a coefficient depending on the complexity is included. As basis, there is also taken the full-time student, part-time students quantified as 0,75.

**Government–university delimitation.** In order to calculate the unit cost, the government contributed by coordinating the working group so as to develop a common approach. Based on this approach, every university determines its specific costs.

### 3.3.5. Private financing types and their monitoring

Universities can have additional income from certain private sources, such as:

- Income based on research contract activities
- Donations
- Interest earned on cash balances and investments
- Teaching contracts for specific customers (education, continuing professional development, initial teacher training)
- Revenues from short-term courses fees
- Income from student fees (non EU).

We would like to mention that considerable financing sources are sources coming from different foundations. Foundations are an important addition to direct government financing. In 2012, 1.3 billion Euros was awarded for research in Sweden by six state-financed foundations:

1. *SSF, the Swedish Foundation for Strategic Research*. This is a Swedish Foundation for Strategic Research, founded in 1994, aiming to support research in natural sciences, engineering and medicine. These contribute to the increase of the competitiveness of Sweden. There are two predominant types of grants: framework grants and individual grants. A strategic mobility program aims the increase of mobility between university and industry in both directions. The grant period is normally three to six years. The annual contribution is approximately 600 million Euros [15].

2. *Mistra, the Foundation for Strategic Environmental Research*. The Swedish Foundation for Strategic Environmental Research (Mistra) plays an active role in solving problems from this area by investing in the type of research that helps to make a significant contribution to sustainable development of society. This is done by investing in various initiatives within which researchers and users make joint contributions to solving key environmental issues. Annual investment in various research projects is around 200 million Euros [17].

3. *The Knowledge Foundation*. The Knowledge Foundation is the sponsor of university research, with the task to ensure the increase of research competitiveness in Sweden. This Foundation was established in 1994 and since then it has invested approximately 8.4 billion Euros in more than 2,400 projects. The Knowledge Foundation strives to help Swedish universities to create internationally competitive research environments. Universities are responsible for a significant part of knowledge and research development. [20]

4. *The Foundation for Baltic and East European Studies*. The Baltic Foundation (the Foundation for Baltic and East European Studies) was founded by the Swedish government in 1994. Its mission is to support research and doctoral studies as well as the academic infrastructure at Södertörn University (Södertörn University). Since its establishment, the Foundation has awarded 2.4 billion SEK to the university. The Foundation for Baltic and East European Studies financed approximately 160 research projects and 115 doctoral students trained at Södertörn University. The Foundation supports research in humanities and social sciences as well as research in natural sciences, particular research in environmental matters. In recent years, the Foundation for Baltic and East European Studies has been awarding Södertörn University £ 200 million per year. Approximately 40% of these funds were allocated to research projects. A large number of projects are multidisciplinary. In addition, projects financing also targeted the recruitment of teachers, invitation of visiting research fellows at the university, provision of funds for participation in conferences as well as for the academic infrastructure at Södertörn University. All these have enabled the university to continue its activities in certain areas of specialization. [21]

5. *The Vårdal Foundation*. The Vårdal Foundation is one of the most important players in Sweden for interdisciplinary research in the field of health and social care. The Foundation is an independent financier of research, now focusing on aging and health challenges as well as on problems related to children and teenagers. The Vårdal Foundation was established in 1994 by a resolution of the Swedish Parliament. Since its inception, approximately 930 million SEK were allocated to different types of research grants. [22].

6. *STINT, the Swedish Foundation for International Cooperation in Research and Higher Education*. The mission of this Foundation is to promote the internationalization of Swedish higher education and research. The Foundation offers a wide range of financing and scholarships, programs supporting strategic internationalization of higher education institutions.

It is a player with broad capacities and knowledge. Support is provided to international academic cooperation through financing exchange professors and researchers ([http://www.stint.se/en/stint/about\\_stint](http://www.stint.se/en/stint/about_stint)).

Apart from research councils, private organizations allocate significant funds for research within universities. Thus, it can be mentioned that Knut and Alice Wallenberg Foundation only, for example, offered 5 billion USD for research over the past five years. Or, the Riksbankens Jubileumsfond, an independent foundation financed by the Swedish Central Bank, is another important source of financing, allocating more than 400 million Euros for research in 2013. [23]

The income obtained from private sources is not particularly monitored and it is used depending on the needs of the university according to the adopted strategy.

**Government–university delimitation.** Universities are entitled to attract private financial resources in various ways. The government only monitors their use in accordance with the strategy of the university and with the expected directions for their use, but does not interfere in the manner in which financial resources are to be used.

### **3.3.6. Capacity of universities to borrow money**

A university can borrow money from the financial market only at the bank specified (designated) by the responsible authority.

### **3.3.7. Degree of university freedom when establishing the amount of tuition fee**

Cycle I, bachelor and cycle II, master education is free for Swedish and European Union students.

The amount of tuition fees is annually established by the university. Tuition fees should be calculated to cover the full cost of all operations financed by tuition fees. According to the *Ordinance on application fees and tuition fees at higher education institutions*, a higher education institution must calculate its tuition fees in order so that to cover its full costs for all activities. Tuition fees must be the same for all students at the same program of study in the respective year. This does not apply if there is a government decision on tuition fees for those studying in the framework of an exchange or a partnership program.

Also, both the Ordinance in question and universities internal regulations establish very specifically all periods during which payments must be made as well as the consequences that may occur in certain situations, or situations when the money can be refunded.

**Government–university delimitation.** The government pays for university studies. Universities have complete freedom in determining tuition fees only for students from outside the European Union. The only condition of the government is that these fees must take into account all expenses required for all activities related to the training of a student.

### **3.3.8. Year-to-year transfer of unused funds**

The capacity to keep unspent funds and to transfer them from one year to the next year is an important aspect of financial autonomy enjoyed by certain higher education institutions. This flexibility facilitates institutions by the possibility to create medium or long term strategies and allows financing of projects lasting several years, even creating the possibility to

invest in order to increase income. State-allocated money unspent at the end of year remain at the university. The balance can occur if less students than planned come to study at the university or if many students were expelled. If during three years end balances remain year after year then the Ministry can decide to allocate less money because the university cannot perform the established tasks.

Own money remain at the university. The deficit must be covered by the university.

In order to provide the flexibility of institutions between fiscal years and to facilitate long-term planning, the institutions are entitled to transfer unused part of their budget to the next fiscal year. Institutions may keep only grants or FTE study results corresponding to a maximum of 10% of the budget. The teaching budget is based on the forecast of number of students. However, institutions are free to enroll more students although this will not affect their budget.

**Government–university delimitation.** The government allows keeping the balance but under certain specified conditions. These conditions should stimulate universities to work under performance conditions.

### **3.3.9. Freedom of universities to own buildings**

The buildings are not universities' property. The universities rent these buildings from a state agency and pay the rent. Rent money is allocated from the state budget (included in per student cost). For this reason, universities are not entitled to make any transactions with the property (sale, purchase).

**Government–university delimitation.** The government decided that universities (the administration) should not waste time with improper issues such as building maintenance. All property may be rented from a state agency responsible for maintaining the property. Rent money is allocated by the state.

### **3.3.10. Tuition fee policy with regard to foreigners**

The amount of tuition fee for foreigners is determined by the university. It usually exceeds the actual costs of training one student.

EU citizens, but also those from Switzerland are put in the same conditions as nationals of Sweden. Citizens of other states should pay tuition fees. However, there are some exceptions. Thus, will not pay tuition fees the student which:

1. Is a family member of a citizen from an EU country and has the right of residence or has permanent residence in Sweden in accordance with applicable requirements;
2. Is a family member of a Swiss citizen and has the right to live in Sweden;
3. Has a permanent residence permit in Sweden;
4. Has a limited-period residence permit in Sweden, but for purposes other than education;
5. Has a permanent residence status in Sweden;
6. Has a permanent residence status in another European Union state and has a residence permit in Sweden;
7. Is a student at an university outside Sweden and follows a limited part of the educational process at a Swedish university within an exchange agreement and paying no tuition fees, these being charged by the host university;
8. Is studying within an exchange program that does not require any tuition fees as provided by a government decision.



**Government–university delimitation.** The government takes financial responsibilities when training Swedish students. For others, the university has full freedom in determining the tuition fee. The respective regulations are of a lower degree: the amount must not be smaller than the actual cost.

### **3.3.11. Scholarships and other financial support means for students**

Speaking of facilities for students it must be mentioned that dormitories are outsourced from university service. The cafeteria does not belong to the university either.

Scholarships may be awarded to cycle I, bachelor and cycle II, master students to ensure financing of certain expenses during their studies, such as:

- Studying abroad for a period of time;
- Performance of graduation work;

In general, one can find that in Sweden students may receive real financial aid in order to study at universities. The aid for education is universal, applies almost to all citizens, is given directly to the student, is mainly given independently from parents or student family's financial situation.

There are various types of state support for education to meet different needs.

All adult students may apply for student support, regardless of their education level. Student support may be granted for full-time or part-time studies. Students have the possibility to choose employment with a certain amount of work along with their studies without reduction of support received. Student support consists of a loan and a partial grant paid for the education period, normally of 40 weeks per academic year. There are some limitations regarding the right to student support that are related to the education period and student's age. The upper age limit for receiving student support is 54 years.

The amount paid as a student grant is equal for all and is adjusted annually to follow the general price trend in the society. Student grants represent about one third of total support given to students and is exempt from taxes. A larger amount of the grant may be awarded to those students that have special educational needs or additional training. Students with children receive special allowances for children.

The amount lent to students is about two-thirds of the total student support. More than two thirds of all students also choose to take a student loan. It is also possible for some students to receive additional loans and borrow studies-related additional expenses credits.

Student support system involves repayment of student loans. Reimbursement begins the next year after the completion of education and normally continues for 25 years. Interest is added directly to the debt. The interest rate is advantageous compared to other loans interest and takes into account the rules of tax deduction within the tax system. Security issues are also taken into consideration within the reimbursement system, making it possible to take into account individual's capacity to pay.

In Sweden, special emphasis is placed on opportunities to study abroad at postgraduate level. Therefore, there are generous conditions for obtaining support by students who want to study abroad. Students from abroad are also eligible to obtain education-related loans. [24]

**Government–university delimitation.** The government has many levers to provide financial support to students for their education, so that they could largely dedicate their time to obtaining quality education and universities have all possibilities to offer such quality education being exempt of certain services related to their area of competence.

### **3.3.12. Allocation of financial resources within the university**

This is done by the university in a decentralized manner. Every department and every person has a special account. The faculty pay for hours worked within the faculty.

Every dean discusses with the rector about the budget, developments perspectives, launching of new programs, employment etc.

Further, the model used by universities shall be presented, however, data on specific quota and amounts are set by the Senate Committees of each university.

The basis of sources distribution within the university is the same method for cost calculation and allocation, called Full Costing and described above in section 3.3.4.

The main idea of the model for cost allocation as well as for income allocation, taken from the manual developed to facilitate calculations done by universities, is about the fact that the total expenditure incurred by a higher education institution must be incurred by costs carriers, representing the lowest level based on which all revenues and costs shall be identified and paid [13].

When all costs were identified by cost units, all costs can be distributed and full coverage of the costs can be monitored. In the model, the costs are divided, as mentioned, in direct or indirect costs for all cost units. Direct costs are those directly assigned to cost unit (cost carriers), while indirect costs are costs common to several or all costs carriers. Common costs that may arise at different organizational levels, are aggregated and distributed from level to level until they are eventually assigned to cost carriers. In a higher education institution three levels can be highlighted: at central level total institution costs are allocated, at faculty level – the costs incurred at this level and every faculty allocates common costs to particular departments. Finally, every department distributes common costs (including costs shared by different sections) as well as common central costs and the faculties costs for cost units.

First, direct costs are calculated. If the basic model is used as a criterion for allocating indirect costs, direct labour costs are used and after that the indirect costs of the department are calculated. If the university employs an alternative method of cost allocation, then operating costs are added to the labour costs and this amount serves as basis for calculating indirect costs at department level.

The distribution of costs within the other two levels can be based on the same (or another) calculation method. Step-by-step distribution of costs at the above level is done in the form of fixed amounts. The allocation can also be expressed as a percentage applied directly to the direct cost unit for cost carriers.

This model is based not only on costs distribution among different levels, but also between different activity areas. Each level costs must be analyzed and allocated for teaching or research. The division between these activities shall be maintained at the subsequent levels as well.



We shall refer to the calculation and allocation of direct and indirect costs:

Direct costs can be traced directly from a specific cost carrier. The concept directly indicates which expenses have a direct relation with and a definite link to a particular cost carrier. More often, direct costs are divided into four basic groups:

1. Direct salaries: salaries, including salary-related taxes for those directly involved in the Project;
2. Direct operating costs: materials, conferences, reference travel materials, project consulting services;
3. Equipment directly related to the cost carrier / depreciation: amortization of project equipment;
4. Direct premises-based costs: offices and laboratory space for the project as well as part of auxiliary space, such as departmental corridors.

Direct costs are usually cut directly into accounts at the cost carrier. It is characteristic the fact that direct costs are either entirely attributed to the cost carrier (e.g. travel expenses, conference fees) or are assigned to the cost carrier through a certain proportion (e.g. salaries must be allocated proportionally based on certain timesheets or personnel programs).

Indirect costs are shared by all or many cost carriers. The *indirect* term indicates that these costs are indirectly related to the direct cost carrier, but, also clearly indicates that these costs are not the result of activities decided by cost carriers themselves.

Thus, the presented mechanism for allocation of financial resources is actually a mechanism of cost calculation at the source of occurrence and then of income distribution again until the lowest level. It is a relatively simple model but requiring at its beginning a clear separation of all concepts used and of the mechanism for calculating direct and indirect costs per every cost unit. If this is well done, the model is transparent and its use requires digital skills.

**Government–university delimitation.** Allocation of financial resources within the university is done by the university. Cost generation at each level needs to be taken into consideration. The government comes with general recommendations and the university solely decides on the effective use of money.

## 3.4. Denmark

### 3.4.1. Higher education financing model

During the last 10-15 years the Danish higher education financing model experienced various changes. The reform of the financing system was aimed primarily at decentralization from a planned financing toward a global financing in the form of grants, with the state giving a higher priority to education programs and to the implementation of a quality control system.

The current financing model is based on the number of active students and those passing their exams, therefore institutional financing is output-oriented. In Denmark, funds allocated for education financing are separated from funds allocated to research. Thus, higher education institutions have separate budgets for education and research.

The Danish higher education sector is financed by the Ministry of Education (research financing is done by the Ministry of Research and Information Technology). The university is allocated a certain amount for every student successfully completing an exam. All these so-called “active students” determine the available budget. Within this system every exam is scored.

Universities are not “compensated” for students not passing the exams. Funds allocation based on passed exams varies by the field of study and has three components:

1. funds allocated for education and equipment expenses;
2. funds allocated for common expenses (e.g. administration, buildings);
3. funds allocated for practical work.

Research in Danish universities is financed by means of grants. In addition to this basic allocation institutions can compete for additional financing with projects submitted to the Danish Research Councils and Research Foundations. This is a dual financing system: based on both government grants and research contracts.

Basic grants for research are awarded to the institutions as a global amount.

An often mentioned disadvantage of the Danish financing system is its unlimited character (at least for a short period). The more students pass the exams the more resources are needed by universities. It is not possible to determine in advance the exact number of active students and therefore, it is not possible to accurately forecast government allocations. The Ministry of Finance is particularly concerned with this issue. The Ministry of Education and the Ministry of Finance have reached an agreement regarding budgetary expenditure overrun.

In order to prevent future unpleasant surprises certain measures were taken. One of these measures is the establishment of a fixed maximum grant for certain forms of education for which it is difficult to estimate the number of active students.

The Ministry allocates grants to universities for teaching, research and dissemination activities as well as for other tasks assigned to the university.

**Government–university delimitation.** The government is responsible for the allocation of money for training of the required specialists. The university is responsible for the use of this money in a way that ensures performance. The government pays only for performance.

#### ***3.4.1.1. Education financing***

Danish higher education receives funds from the Ministry of Education to provide free education (there were introduced tuition fees for foreign and non-European students as well as for some courses adapted to the education of adult people and to the needs of business sector) through the taximeter system that links direct funds with the number of students that pass examinations. The taximeter varies substantially between different fields of study and current rates are mainly historically-based. However, there is no direct link between subsidies and use. Due to the lump sum allocation and the autonomous character of institutions, universities are free to re-allocate received funds among education, research and common expenses.

An important feature is that universities do not receive allocations for students that are not passing exams. The rate paid for each passed exam, the “taximeter”, varies substantially between different fields of study and has three components which include: education and

equipment costs; common costs (e.g. administration, buildings) and practical training costs (applicable for some courses only). Current rates are primarily historically established. However, taximeter rates are adjusted annually in order to balance the budget of the Ministry of Education.

Quality assurance is an important issue arising in connection with this mechanism of universities financing. It is achieved by means of different methods. The Danish Evaluation Institute (EVA) conducts periodic evaluation of educational programs. A negative evaluation does not have direct financial consequences for the institution, but in principle the Minister of Education may interfere if the performance is not improved. Another moment that contribute to quality assurance is the lengthy external review system. The main tasks of external examiners are to ensure equal treatment of all students; to monitor quality standards at national level; to advise the institution on the quality of programs. [25]

**Government–university delimitation.** The government, by means of its method for allocation of financial resources, stimulates performance and universities must ensure this performance through responsibility and quality.

#### ***3.4.1.2. Research financing***

Denmark has a dual system of allocating resources for research. The first level are the basic grants allocated in accordance with the Finance Act by various ministries directly to institutions. The second level includes the allocation of resources from the National Research Council, strategic research programs, foundations, research and development funds of various ministries as well as private funds.

Basic research grants are allocated to institutions as a lump sum. The basic level of the grant is calculated to a great extent based on an increment. Basic grants are not intended for specific research purposes. Unlike other subsidies and sources of university income, basic grants are allocated for research as unspecified activities funds. The distribution of grants among universities is relatively permanent and based on historical issues. Budgets are characterized by the fact that they take into account factors such as freedom of research, budgetary stability and historical traditions.

However, two aspects offer a rather different image of the static characteristics of basic research grants. First of all, the grant is affected by overall fluctuations of the framework conditions submitted by the Ministry of Science, Technology and Innovation, which include general requirements for the achievement of greater efficiency and assurance of savings in compliance with financial documents issued annually by the government.

Secondly, the new research grants are more and more distributed depending on certain models based on activity parameters. This means that there is a certain degree of redistribution of funds within the university and this part of the subsidy has a certain degree of dependence on the creation of appropriate incentives. Every year, 2% of the core funds of universities is kept to improve productivity. This share is returned to universities through the 45-20-25-10 model.

In addition to the restructuring fund a huge increase in research funds due to various political agreements occurred. Growing research financing to some extent has been distributed according to political priorities, i.e. for doctoral studies, especially in natural sciences, health sciences and technical sciences.

Prior to 2010, all new research funds were distributed according to the 50-40-10 model. According to this model universities were financed based on their education financing (50%), their ability to attract external research funds (40%) and their production of doctoral theses (10%). In the summer of 2009 it was decided to include the fourth parameter in this model. Starting with 2010 research publications were introduced in that model. However, it was also decided that there should be a recall period from 2010 to 2012 and a testing of the new model in 2012.

The above model provides:

45% of the mentioned fund is distributed depending on university education financing.

20% – according to external research financing, for example, research funds obtained by universities from Research Councils, from the European Union etc.

25% – according to the publications resulting from university research (bibliometrics).

10% – according to the number of students completing doctoral thesis.

**Government–university delimitation.** In research, financial resources allocation mechanism is based on performance as well. The government monitors the assurance of performance and universities ensure performance.

### **3.4.2. Higher education financing mechanism**

As mentioned above, the mechanism employed for university financing is based on the taximeter system. Taximeter management has been developed in accordance with a number of necessary considerations:

First, the intention was to establish a financial management system oriented, to a greater extent, toward results and incentives. With the taximeter system, the amount of the grant is therefore related to the direct results of the institution, measured in terms of the annual number of full-time equivalent students (FTE). Therefore, institutions also have an incentive to adjust their capacity in order to match demand and continually seek ways to save and become more efficient.

Secondly, the intention was to ensure that funds are transferred effectively from education programs which are experiencing activity decline to those recording growth, partly to support the free choice of free education and to provide institutions with allocation security through open enrollment or open access. This transfer happens “automatically” with no negotiation elements or administrative redistribution.

The basic principle is “money follows work” and creates incentives for a behavior easy to use.

The system applied in universities is based on three essential charges:

- The teaching taximeter, designed to cover direct teaching expenses, such as salaries, teaching equipment and materials.
- Construction and maintenance taximeter, which is a grant designated for capital costs, including building rental, interest and mortgage debt, and for expenses related to the maintenance of buildings.
- Collective spending taximeter, designed to cover the types of expenses that can not be properly related to individual educational programs, such as administration and management expenses etc.

In order to stimulate performance so-called completion bonuses are used. These were introduced in 2009 and are conditioned by the study period of graduates. It is stimulated the reduction of study period from universities.

Cycle I, bachelor-bonus is awarded when students have graduated from this level within the fixed period plus one year, and cycle II, master-bonus is offered to students graduating within the fixed period. Recent data show that 16% of students are completing the Master program within the prescribed study period and the corresponding figure for bachelor programs is 35%. The intention is not to replace the commonly used taximeter system, but to use it as a supplement in order to add financial weight on performance obtained. It is expected in the future that around 10-12% of higher education financing shall be made based on completion bonuses. [26]

For the cycle III, Ph.D. studies, the taximeter model is not used because an annual performance evaluation is not carried out. Therefore, all university graduates are considered active students, limited to a three year-period for each student.

The annual budget for teaching at institution “i” in year “t” is calculated by the following formula, which, for clarity reasons, does not take into account continuing training students:

$$T_{i,t} = A_{i,1,t} * (TT_{1,t} + TO_{1,t}) + A_{i,2,t} * (TT_{2,t} + TO_{2,t}) + \dots + A_{i,n,t} * (TT_{n,t} + TO_{n,t}) + \\ PR_{i,1,t} * TP_{1,t} + \dots + PR_{i,k,t} * TP_{k,t} + PGE_{i,t} * (TTE_t + TOE_t) + PGN_{i,t} * (TTN_t + TON_t)$$

Where:

$T_{i,t}$  – teaching budget of institution “i” in year “t”;

$A_{i,j,t}$  – number of active students at institution “i” enrolled in programs within the “j” (j = 1, ..., n) area in year “t”;

$TT_{j,t}$  – teaching cost per active student in programs from area “j” (j = 1, ..., n) in year “t”;

$TO_{j,t}$  – indirect costs per active student in programs from area “j” (j = 1, ..., n) in year “t”;

$PR_{i,h,t}$  – number of active students performing practical training in area “h” (h = 1, ..., k);

$TP_{h,t}$  – cost of practical work required in area “h” in year “t”;

$PGE_{i,t}$  – number of graduate students in laboratory-based (experimental) areas at institution “i” in year “t”;

$PGN_{i,t}$  – number of graduate students in non-laboratory (non-experimental) areas at institution “i” in year “t”;

$TTE_t$  – teaching cost for post-graduate students at laboratory (particularly experimental) based disciplines in year “t”;

$TOE_t$  – indirect costs for postgraduate students at laboratory-based (experimental) disciplines in year “t”;

$TTN_t$  – cost of teaching for postgraduate studies graduates in non-laboratory areas in year “t”;

$TON_t$  – indirect costs for postgraduate students in non-laboratory areas in year “t”. [27]

### 3.4.3. Methodology for allocation of budgetary funds to universities

The procedure for allocating financial resources to universities is the following. At university level there is calculated the number of equivalent (FTE) students from the previous year (n-1) and forecasts for the following year (n + 1) are made. For every study program



is done a calculation regarding how many credit points were accumulated by students depending on the exams taken. It is a record keeping program (Excel). The information is sent to the Ministry specifying the number of FTE per areas of study.

The Ministry allocates resources depending on the FTE number and per student cost in the particular area for: teaching, basic research. For teaching it is fixed a per student amount for social and humanities sciences (history) students. For others – depending on the coefficient. There is also allocated an amount of money based on performance: for the number of diplomas obtained within the study period.

When the Ministry has additional sources these are divided approximately according to the following structure: 45% – depending on the number of students; 20% – research; 25% – publications; 10% – PhD students.

#### **3.4.4. Calculation of per student training cost (price)**

This is done according to Full Costing methodology. All expenses, both direct and indirect, related to the training of one student are calculated.

#### **3.4.5. Private financing types and their monitoring**

In addition to basic grants, universities obtain considerable revenue partially as grants from research councils, the European Union, private foundations and donations etc., partially as operating revenue obtained in return for services rendered under market conditions. Both revenue groups are dependent on performance. The amount of these revenues is directly related to the ability of institutions to attract grants from external sources through competition with other research institutions and to sell services under market conditions. The level of external grants varies between different areas of research. In addition to these sources of external grants, financing can also be obtained from private funds, companies and organizations.

There are also mentioned revenues from tuition fees for MBA programs, for the second speciality, for non-EU citizens.

#### **3.4.6. Capacity of universities to borrow money**

Universities can borrow money without restrictions.

#### **3.4.7. Degree of university freedom when establishing the amount of tuition fee**

Danish universities do not charge tuition fees neither at bachelor nor master, nor doctoral level to domestic and European Union students. There are tuition fees for students applying to MBA or wishing to follow a second speciality.

However, there are certain legal provisions by which the university is required, when calculating the tuition fee, to take into consideration all expenses incurred by the university, both basic and overheads. The tuition fee, in accordance with subsection (2) of The Danish (Consolidation) Act on Universities (the University Act), must at least correspond to the costs incurred. So, one can conclude that there is freedom when setting tuition fees, but a rather relative one because universities must establish its amount no less than the actual cost of training for one student in this university. Also, it is mentioned that the Ministry may establish regulations regarding the calculation base.

**Government–university delimitation.** Universities are free to determine the amount of tuition fees. The government ensures that universities are establishing the fees in a way that provides the quality of education, therefore such regulation exists.

#### **3.4.8. Year-to-year transfer of unused funds**

Surplus financial resources can be kept without restrictions. The balance is transferred to the next year. The cumulative result of income-generating activities cannot be negative for four consecutive years.

**Government–university delimitation.** The government does not interfere with the balances of financial resources from universities as long as the quality of education is not affected.

#### **3.4.9. Freedom of universities to own buildings**

In Denmark, higher education institutions are theoretically capable to own (and sell) their buildings. Universities are eager to acquire ownership rights in order to attract capital and increase flexibility. However, conditions under which buildings could be purchased are unpredictable and adverse. Most buildings are therefore still owned by the state. Universities usually have the right to own only buildings that were received as donations or were acquired through merger with an entity that owns the building. There are some exceptions, such as Copenhagen Business School and the Technical University of Denmark that own all their buildings.

University rents are regulated under a system that aims to create conditions similar to free market conditions with regard to the use of buildings.

The state owns the buildings of the universities and these pay the same rent as the free market rent. Universities can decide how many buildings they need and thus regulate their expenses according to other purposes. In reality, there are some problems when establishing a rental market price, for example, for special purpose buildings and very old buildings. Renting costs are paid from funds for the main purpose, namely, from education funds.

**Government–university delimitation.** In general, the state owns the buildings in which universities operate, although, theoretically it is possible that universities become owners of property.

#### **3.4.10. Tuition fee policy with regard to foreigners**

Tuition fees for non-EU students at bachelor and master cycles are established by universities and by an external authority, which cooperate in determining tuition fees.

There are no fees at doctoral level studies.

#### **3.4.11. Scholarships and other financial support means for students**

All Danes from the age of 18 are entitled to public support for continuing learning, regardless of social position, but with a reduction of the subsidy depending on income. Danish Agency for Universities and Internationalization sets financing limits for every university with regard to scholarships and grants. Universities are free to decide on funds within the scope of this framework.



Education in Danish universities is free for Danish and all European Union students as well as for students participating in exchange programs. But also, the state offers them support in terms of covering living costs under a wide variety of courses and studies. Support to cover students' living costs is provided by the State Educational Grant and Loan (Dutch acronym: SU), a system managed by the Danish Agency for Higher Education in collaboration with education institutions and under the auspices of the Danish Ministry of Higher Education and Science.

Every student enrolled in a higher education course is entitled to a number of monthly scholarships corresponding to the established period of study chosen, plus 12 months. Within a maximum of 70 scholarships, students may change from one course to another.

All students living with their parents are supported with a grant smaller than the grant for students living separately. Students under 20 years of age enrolled in a youth education program are considered as living with their parents, whether it is so or not, and may apply for an exemption from the rule.

Students accepting support in the year when their private income is higher than a minimum provided allowance have to return part of grants and loans received in that year, plus 7%. However, they can refuse support for an extended period of time.

Higher education students (under a time limit) have the possibility either to use these grants later or to continue their education (for example, to prepare for a repeated exam after failing the first time) or, under certain conditions to obtain double subsidies for a period of time at the end of their studies. In particular situations – especially in cases of sickness and birth – students may apply for additional monthly grants. New mothers are eligible to claim 12 and new fathers 6 additional monthly grants subject to certain provisions. In general, rules imposed on education support allow the system to be flexible.

Students have the possibility to organize their education according to personal preferences and income opportunities. At the same time, they have full personal responsibility for managing their own finances. Also, students may benefit from additional loans from the state (ratio: 2/3 – subsidies, 1/3 – credit). The interest rate on these loans is established by the Parliament. [29]

Students must begin to reimburse state loans no later than one year after the end of their graduation year or after the end of year in which they have given up their studies. The maximum reimbursement period for this loan is 15 years. About half of all students make use of state loans.

Danish students can also receive support for studying abroad when accepted to an education program within a Danish institution. These studies must meet equal recognition conditions as in Denmark. Furthermore, training acquired must be usable in Denmark. In Northern countries, educational support is provided for the established period of education chosen, plus 12 months. For studies in other foreign countries, students are accepted to four-year education or to the last four years when the education period is longer.

Usually, foreign students enrolled at Danish universities are not eligible to receive educational support. Exceptions are made based on specific conditions for refugees and their relatives as well as for other foreigners that have lived and worked for a long time in Denmark. As for EU citizens, they are entitled to receive support.

Universities may also grant partial or full scholarships to some foreign students. These scholarships may be awarded either as a full grant or a partial subsidy, or no grant at all. In Denmark, the grant is intended to cover student's living costs while studying at the university (The Danish (Consolidation) Act on Universities (the University Act)).

#### **3.4.12. Allocation of financial resources within the university**

Many Danish university apply the financing principle at country level and within the internal allocation of funds. Internal application of the financing principle assumes less funds allocated to a department with low student performance (e.g. more students not passing their exams) will be fewer.

Allocation of financial resources within the university is carried out through a mechanism similar to per university distribution and could be described as follows. Regardless of their source of origin and money-bringing units, all money are collected at university level and the same allocation methodology applies. The decision is taken by the Board which is guided by the principle "money follows work".

First, it is considered the number of FTE students, i.e. those that passed the exams at each faculty. As basis are taken the social sciences students, for others a Ministry-approved coefficient depending on the complexity of education is applied. At university level, for administrative expenses there are retained 10% of all amount. 4,8% is retained for library needs and for its maintenance (actually, the library submits an exact plan of activities and for these money is given according to the rate mentioned). The remaining money goes to faculties. Faculties distribute the money among departments.

The faculty develops a specific budget providing also 8.3% allocated for faculty needs. Around 17% are amounts required for building maintenance.

An example of department-level budget is given below:

#### **REVENUE**

##### *I. Teaching work:*

- Teaching activities (FTE-based according to the taximeter principle):
- Revenue depending on the number of graduates (performance). Is a bonus by which the Ministry stimulates completion of education within the established period.
- Tuition fees paid for MBA or for second diploma education.

##### *II. Research activity:*

- Revenue from core financing:
- Depending on the number of publications;
- External funds;
- Direct external financing (from the Research Council as a result of competition)

##### *III. Doctorate*

- Depending on the number of enrolled students;
- Depending on the number of degrees obtained.

##### *IV. Payment-based services:*

- Consulting services for companies;
- Other.

## **EXPENDITURE:**

### **I. Salaries:**

- For teaching
- For administrative work;

### **II. Building expenses (depending on surface);**

### **III. Degree programs and courses (per student allocation negotiated at dean and course level)**

### **IV. Department administration:**

- salaries for service personnel (secretary)
- delegations, conferences;
- IT;
- representation expenses (coffee, ...)

### **V. Various taxes:**

- 10% university; 4,8% library; 8,3% faculty

### **VI. Teaching from other faculties**

**Government–university delimitation.** Allocation of financial resources within the university is decided by the university. It is guided by the principle “money follows work” at every level. The government comes with general recommendations and only the university decides over the most effective allocation.

## **3.5. Romania**

### **3.5.1. Higher education financing model**

Since 1999, Romania adopted overall financing of the universities, which brought their financial autonomy and connection to the international system. Overall financing of higher education institutions is carried out by the Ministry of Education and Research (now the Ministry of National Education) with the support of the National Council for Higher Education (CNFIS). Overall financing involves raising the degree of decision making on the amounts allocated from the state budget for every higher education institution as well as increasing the financial autonomy, both regarding the use of budget allocations and of own revenues in accordance with the objectives set by the institutional strategic plan and with the revenues and expenses budget.

Under this system of universities financing the Ministry does not have the right to allocate budget items already, thus allowing universities their financial autonomy. Such a system of overall financing involves the shift from inputs financing to outputs financing.

Public financing of state higher education institutions is carried out from the budget of the Ministry of Education and has three main directions: [30]

- *core financing*, covering major teaching-related expenses and being allocated through multiannual education grants following priority education areas that provide sustainable and competitive development of the society;
- *complementary financing*, covering several aspects related to the teaching process: accommodation and food subsidies, funds for equipment, investments and capital repairs, and funds for scientific research;

- *supplementary financing*, offered to stimulate the excellence of institutions and education programs both within state and private universities.

The financing methodology is provided by the Ministry of National Education, mainly employing methodological proposals developed by CNFIS based on statistical studies and simulations conducted by the Higher Education Financing Service (FIS) within the Executive Unit for Financing Higher Education, Research, Development and Innovation (UEFISCDI).

#### **3.5.1.1. Education financing**

This is performed through core financing.

Core financing refers to:

1. personnel costs (CP): salaries for teachers, auxiliary teachers, researchers involved in carrying out educational programs, bonuses, CAS, other legal contributions, domestic and international travels;
2. material expenses (CM): maintenance and infrastructure expenses, functional character materials and services expenses, research-related expenses concerning study programs, inventory, current repairs, books and publications, personnel training, protocol, work safety etc.;
3. expenditure supporting human resource education and development projects;
4. expenditure directed by higher education institutions to conduct a specific study program.

Before performing core financing a number of preceding steps are made:

- at central level;
- at national level;
- at university (internal) level;

#### **STAGE I: Central Level**

- By proposal of the Romanian Agency for Quality Assurance in Higher Education (ARACIS), the Ministry of National Education (MEN) approves the number of students depending on:
  - Field of study;
  - Education cycle;
  - Teaching language;
- By proposal of the National Council for Higher Education Financing (CNFIS), MEN approves the list of priority areas;
- MEN adjusts a proportion of the number of students per field, cycle and teaching language according to priority areas.
- By proposal of CNFIS, MEN determines the number of equivalent students taking into account the approved number of students.
- The number of equivalent students is established per field of study, cycle and teaching language taking into consideration:
  - **Equivalence coefficients** for each cycle, form of study and teaching language;
  - Cost **relative coefficients** for the field of study.

- Based on standards proposed by CNFIS and considering equivalence coefficients universities propose an **average cost per equivalent student**.
- This proposal **also substantiates the amount tuition fees** set by the university.
- The average cost per equivalent student:
  - For the field of study;
  - For the education cycle;
  - For the teaching language;
- The **amount of grant per equivalent student** is **set** taken into consideration equivalence and cost coefficients.

## **STAGE II**

- Evaluation and prioritization of educational programs is done.
- 3-type university classification is done:
  - universities focused on education
  - universities focused on education and research
  - universities based on advanced research and education
- Universities financing shall be carried out depending on these classifications and priorities,

## **STAGE III**

- At the university level
  - A university can decide on the use of MEN allocated grants for bachelor and master programs.
  - These can be allocated **entirely** in order to cover students training costs or **partially** depending on criteria established by the university.

### **3.5.1.2. Research financing**

University research financing is conducted in two ways:

1. Partially, certain elements are included in core financing through: expenses with research personnel involved in carrying out educational programs, national and international travel expenses, educational programs-related research expenses;
2. According to Government Ordinance on scientific research and technological development, no. 57/2002, approved with amendments and supplements by Law no. 324/2003, with further amendments and supplements, and according to specific research and development legislation.

The following sources of financing for research carried out by institutions within the national research system are mentioned:

- a) state budget funds;
- b) funds raised from businesses;
- c) funds from international programs and/or cooperation;
- d) other funds established by law.

State budget financing of research and development is carried out on a competitive basis for priority programs and projects. There is developed a project evaluation mechanism.

### **3.5.2. Higher education financing mechanism**

Additional financing is provided from public funds by the Ministry of National Education to stimulate the excellence of institutions and study programs, both at state and private universities. Additional funding is granted at national level as a sum of at least 30% of the amount allocated to national state universities as core financing, based on criteria and quality standards set by the National Council for Higher Education Financing and approved by the Ministry of National Education.

The Ministry of National Education provides basic financing of state universities through study grants calculated using the average cost per equivalent student, per field of study, per education cycle and per teaching language. Study grants are mainly allocated to fields that ensure sustainable and competitive development of society, and within the field, based on priority, to the best-positioned programs in terms of quality hierarchy, the number of grants allocated to an educational program varying by program location within this hierarchy.

Core financing is a multi-annual process provided for the whole duration of an education cycle. Complementary financing is carried out by the Ministry of Education, Research, Youth and Sports by means of: (LNE)

- a) accommodation and food subsidies;
- b) funds allocated on the basis of priorities and specific norms for equipment as well as for other investment costs and capital repairs;
- c) funds allocated on competitive basis for university scientific research.

State higher education institutions financing is done based on a contract concluded between the Ministry of National Education and the relevant higher education institution, as follows:

- a) core financing institutional agreement regarding scholarships and students' social protection fund, institutional development fund as well as investment objectives financing;
- b) complementary agreement regarding financing of capital repairs, equipment and other investment costs as well as accommodation and food subsidies;
- c) institutional and complementary contracts are subject to regular control conducted by the Ministry of National Education and CNFIS.

Scholarships and students' social protection funds are allocated depending on the number of full-time students paying no tuition fees. Master and doctoral programs in science and advanced technology, taught in internationally spoken languages, as well as doctoral studies in partnership with prestigious foreign universities benefit from preferential financing allocated at the proposal of CNFIS.

### **3.5.3. Methodology for allocation of budgetary funds to universities**

Effective distribution of budgetary allocations to universities is done by MEN, based on contracts concluded with higher education institutions. Consolidation and validation of support information, development of electronic applications and their use for the calculation as such as well as relevant paperwork regarding proposals on annual and monthly allocations of budget funds to higher education institutions is carried out by FIS Service of UEFISCDI under the guidance of CNFIS.



The methodology for allocation of budget funds to core and additional financing based on the excellence of state higher education institutions from Romania undergoes changes from one year to another. For 2013, [35], there were provided specific details. One could mention here that the amounts approved for excellence-based core and additional financing coming from the budget of the Ministry of National Education are outlined separately in institutional contracts with higher education institutions. The contract specifies: the number of students (unit equivalent) financed from the state budget, education cycles and the number of financed doctoral grants. Institutional contracts providing budgetary funds allocation are subject to regular control conducted by the Ministry of National Education and the National Council for Higher Education (CNFIS).

The contract provides both core financing (shown above) and supplementary financing intended to encourage excellence in higher education institutions. Allocation of funds for additional financing envisages prioritization of education programs for the excellence-based component as well as other criteria relating to:

- a) preferential financing of master and doctoral programs in science and advanced technology, of programs taught in internationally spoken languages as well as of joint doctoral studies;
- b) institutional capacity building and increase of managerial efficiency;
- c) an active role of higher education institutions at local and regional level.

The amounts allocated to every university as core financing for students enrolled by the university based on their number for a bachelor degree program, master's or doctorate, shall be allocated proportionally *to the number of unit equivalent students in relation to the actual number of students*. The number of unit equivalent students at the university is determined by weighting the actual number of students with the equivalence and cost coefficients.

The methodology referred to contains some exceptions. Thus, for PhD students enrolled for the 2011/2012 academic year, based on the approved number of students financing is carried out through established-amount doctoral grants.

Further, a step-by-step calculation of university allocations shall be presented, as it was made in 2013 according to the mentioned methodology.

I. *Grants financing fund* is distributed among universities for PhD students enrolled in the 2011/2012 academic year, by aggregating the value of grant-assigned distributed amounts:

$$F_{GD}^U = \sum_{d=1}^D (VGD_{d,I} \times GD_{d,I}^U + VGD_{d,II} \times GD_{d,II}^U),$$

where:

- $VGD_{d,I}$  and  $VGD_{d,II}$  are grant values which do not include the doctoral scholarship for study years I and II, corresponding to prioritization area d;
- $GD_{d,I}$  and  $GD_{d,II}$  is the number of doctoral grants for study years I and II financing the university U in programs assigned to prioritization area d;
- D is the total number of financed prioritization areas.



II. *Core financing* budget allocations for state universities according to education cycles (bachelor, master, doctoral years III and IV) are determined based on the following procedure:

1. Funds allocated for core financing (FB) in 2013, related to education cycles (bachelor, master, doctoral years III and IV) are determined:

- a) from the amount allocated in the national budget for institutional financing of universities the following are deducted: the amount allocated to finance specific situations that cannot be integrated into the financing formula, and the amount allocated to finance doctoral grants for PhD students enrolled for the 2011/2012 academic year;
- b) from the remaining amount it is calculated the amount of funds corresponding to the proportion indicated in Annex 2 to the document mentioned for FB.

2. The number of unit equivalent students at every university and every education cycle (bachelor, master, doctoral years III and IV) is determined. The procedure occurs in two stages.

- a) During the first stage, for every university  $U$  and education cycle  $r$ , the number of equivalent students  $SE_{r,d}^U$  in the prioritization area  $d$  is determined:

$$SE_{r,d}^U = \sum_{fr=1}^{Fr} e_{fr} x S_{fr,d}^U$$

where:

–  $S_{fr,d}^U$  is the real number of students in the prioritization area  $d$ , at the form of education  $fr$ , associated with education cycle  $r$ , enrolled at university  $U$ , in relation to a fixed reference date (October 1, 2012 for preliminary distribution and January 1, 2013 for final distribution);

–  $e_{fr}$  is the equivalence coefficient corresponding to the form of education  $fr$  (all coefficients are given in the Annex of the mentioned document);

–  $fr$  is the total number of forms of education financed by the state budget, associated with the education cycle from Romanian universities  $r$  (a listing is contained in the document).

- b) During the second stage, for every university  $U$  and every education cycle  $r$  there is determined the number of unit equivalent students :

$$SEU_r^U = \sum_{d=1}^D c_d x SE_{r,d}^U$$

where:

–  $c_d$  is the cost coefficient corresponding to prioritization area  $d$  (all coefficients are given in the annex to the mentioned document);

–  $D$  is the total number of financed prioritization areas (contained in the document).

3. The total number of unit equivalent students  $SEU$  is determined:

$$SEU = \sum_{U=1}^u \sum_r SEU_r^U$$

where:

**u** – is the total number of state universities financed from the budget of the Ministry of National Education.

4. The allocation per unit equivalent student  $fb_s$  is determined:

$$fb_s = \frac{FB}{SEU},$$

where:

- **FB** is the amount of core financing allocation;
- **SEU** represents the total number of unit equivalent students.

5. For every university **U** and education cycle **r** the amount of funds for core financing  $FB_r^U$  is calculated by multiplying the allocation  $fb_s$  to the number of unit equivalent students enrolled at the university in educational programs associated with the cycle **r**:

$$FB_r^U = fb_s \times SEU_r^U$$

where:

- $SEU_r^U$  represents the total number of unit equivalent students at university **U**;
- $fb_s$  is the amount corresponding to the allocation per one unit equivalent student.

6. Core financing  $FB^U$  allocated to every university **U** is determined:

$$FB^U = \sum_r FB_r^U$$

III. State universities budget allocations for *excellence-based additional financing* are determined according to the following procedure:

1. At the first stage there is determined:

- a) the amount of total budgetary allocations for excellence-based additional financing;
- b) the amount of budget allocations for excellence-based additional financing for each prioritization area **d**;
- c) the amount of budget allocations for excellence-based additional financing for each education cycle **r** (bachelor, master, doctoral years III and IV) from each prioritization area **d**.

In this respect:

(i) From the amount remaining after deduction of funds for doctoral grants, from the amount allocated by the national budget for institutional financing, there is calculated the amount of funds corresponding to the proportion established in Annex 2 to the mentioned document for FSE.

(ii) There are determined  $FSE_d$  funds allocated for excellence-based additional financing FSE 2013 for each prioritization area as follows:

- There is determined the number of unit equivalent students  $SEU_d^U$  in prioritization area **d** (except PhD students enrolled for 2011/2012 academic year and students at special education forms mentioned in the document):

$$SEU'_d = \sum_{U=1}^u SEU'^U_d$$

where  $SEU'_d$  is the number of unit equivalent students at university  $U$  in area  $d$ , determined after eliminating the mentioned categories.

- Total funds  $FSE_d$  are determined taking into consideration the share of unit equivalent students from prioritization area  $d$  in the total FSE amount:

$$FSE_d = \frac{SEU'_d}{\sum_{d=1}^D SEU'_d} \times FSE$$

(iii) Similar to the procedure which determines  $FSE_d$ , the amount allocated for excellence-based additional financing on  $FSE_{r,d}$  for prioritization area  $d$  and education cycle  $r$  is determined, considering into  $FSE_d$  amount the share of unit equivalent students from prioritization area  $d$  enrolled in educational programs associated with the cycle  $r$ :

$$FSE_{r,d} = \frac{SEU'_{r,d}}{SEU'_d} \times FSE_d$$

2. In the second stage there is determined the amount of budgetary allocations per unit equivalent student weighted by excellence index for each prioritization area and education cycle:

(i) The number of unit equivalent students  $SEUP^U_{r,d}$  weighted by excellence index within prioritization area  $d$  and education cycle  $r$  at university  $U$  is determined:

$$SEUP^U_{r,d} = k_r \times SEU'^U_{r,d},$$

where  $k_r$  is an excellence index that depends on the class in which educational programs offered by university  $U$  in areas and education cycle  $r$  (bachelor, master, doctoral study years II and III) are prioritized. The value of  $k_r$  indices is given in the document.

(ii) The number of unit equivalent students  $SEUP_{r,d}$  weighted by excellence index in the prioritization area  $d$  and education cycle  $r$  is determined:

$$SEUP'_d = \sum_{U=1}^u SEUP'^U_{r,d}$$

where  $SEUP^U_{r,d}$  is the number of weighted unit equivalent students from university  $U$  in the prioritization area  $d$  and education cycle  $r$  (except doctoral students enrolled for the 2011/2012 academic year and students at special education forms mentioned in the document).

(iii) From FSE there is determined the amount of budget allocations  $a_{fse,r,d}$  per equivalent student weighted by excellence index for prioritization area  $d$  and education cycle  $r$ :

$$a_{fse,r,d} = \frac{FSE_{r,d}}{SEUP_{r,d}}$$

where:

- $SEUP_{r,d}$  is the total weighted number of unit equivalent students from prioritization area d and education cycle r;
- $FSE_{r,d}$  represents the excellence-based additional financing corresponding to prioritization area d and education cycle r.

3. At the third stage there is determined the amount of budget allocations for excellence-based additional financing for every university, for every education cycle r and as a total value:

(i) There is determined for every university U the amount of excellence-based additional allocation for prioritization area d and education cycle r:

$$FSE_{r,d}^U = a_{fse,r,d} \times SEUP_{r,d}^U$$

where:

- $SEUP_{r,d}^U$  is the number of weighted unit equivalent students of university U within prioritization area d and education cycle r;
- $a_{fse,r,d}$  is the amount from FSE of the budgetary allocation per equivalent student weighted by excellence index corresponding to prioritization area d and education cycle r.

#### **3.5.4. Calculation of per student training cost (price)**

It was mentioned above that core financing is carried out taking into account the number of equivalent students. This leads to per equivalent student cost. This financing indicator, known as budgetary allocation per equivalent student, was and still is an “apple of discord” between the Ministry of National Education and universities, being considered the result of an unreal justification, and hence arises the conclusion, almost universally supported, that it does not reflect the actual cost and as a result the Romanian higher education is underfinanced.

The methodology employed by universities for calculating the equivalent student training cost shall be present according to sources [36, 37].

Both methodologies are practically identical and assume that the cost per equivalent student per year,  $C_{SE}$  can be calculated by the equation:

$$C_{SE} = A + B + C + D,$$

where:

- A** is the cost of education per equivalent student/year;
- B** – the cost of services and support materials per equivalent student/year;
- C** – own resources development costs;
- D** – own resources for student facilities costs (scholarships, transport, material aid etc.).

The cost of education per equivalent student/year, A:

$$A = (FS_T) / N_{SE},$$

where:

- $FS_T$  – the total cost of teachers’ and auxiliary teachers salaries/year;

$N_{SE}$  – the number of equivalent students calculated according to CNFIS methodology (National Council for Higher Education Financing).

$$FS_T = FS + CS_1 + D_1,$$

where  $FS_T$  is the cost of teachers' and auxiliary teachers salaries/year;

$CS_1$  – social contributions (CAS, unemployment etc.);

$D_1$  – cost of human resources upgrading (according to human resources improvement plan)/year.

$$FS = FS_{pd} + FS_{pda} + RS_{pd} + RS_{pda},$$

where  $FS_{pd}$  is the cost of teachers salaries/year;

$$FS_{pd} = 12 \sum_{i=1}^5 N_{pcdi} \times S_{cdimed/L}$$

where:

$N_{pcdi}$  is the position number of teachers with teaching degree  $i = 1 \div 5$  (1-preparatory teacher, 2-assistant, 3-lecturer, 4-associate lecturer, 5-professor);

$S_{cdimed/L}$  – the average salary of teacher with teaching degree  $i$ /month;

$FS_{pda}$  – auxiliary teachers salary costs/year:

$$FS_{pda} = 12 \times N_{pda} \times S_{pda imed/L},$$

where,

$N_{pda}$  – the total number of auxiliary teachers;

$S_{pda imed/L}$  – the average salary of auxiliary teachers/month;

$RS_{pd}$  – safety financial resource taking into account occupation of higher teaching degree positions during the year, teachers rankings regarding seniority etc.;

$$RS_{pd} = 0,3 \times FS_{pd}$$

$RS_{pda}$  – safety financial resource taking into account occupation of new positions during the year, overtime teaching hours, salary raises, per diems for travel within the country and abroad etc.;

$$RS_{pda} = 0,3 \times FS_{pda}$$

Specifying the above, there is obtained:

$$FS_T = 1,3 \times 1,293 \left( 12 \sum_{i=1}^5 N_{pcdi} \times S_{cdimed/L} + 12 \times N_{pda} \times S_{pda med/L} \right) + D_1$$

The cost of services and support materials per equivalent student/year,  $B$ , is calculated as:

$$B = \frac{FS_{pAdT} + C_{mc} + C_{ST}}{N_{SE}}$$

where:

$FS_{pAdT}$  – the cost of administrative personnel salaries, total/year:

$$FS_{pAdT} = FS_{pAd} + RS_{pAd} + CS_2 + D_2$$

where:

$FS_{pAd}$  – is the cost of administrative personnel salaries/year;

$$FS_{pAd} = 12 \times N_{pAd} \times S_{pda \text{ med/L}}$$

where:

$N_{pAd}$  – the number of administrative personnel;

$S_{pda \text{ med/L}}$  – monthly average salary of administrative personnel;

$RS_{pAd}$  – safety financial resource taking account occupation of new posts during the year, overtime teaching hours, salary raises, per diems for travel within the country and abroad etc.;

$$FS_{pAd} = 0,3 \times FS_{pAd}$$

$CS_2$  – social contributions (CAS, unemployment etc.);

$D_2$  – cost of human resources upgrading (according to human resources improvement plan)/year;

$C_{me}$  – materials and energy costs/year:

$$C_{me} = C_1 + C_2 + C_3 + C_4 + C_5 + C_6 + C_7 + C_8$$

Where:

$C_1$  – heating cost/year;

$C_2$  – electricity cost/year;

$C_3$  – cleaning materials cost/year;

$C_4$  – office supplies (paper, toner etc.) cost/year;

$C_5$  – cost of materials needed for laboratory work /year;

$C_6$  – incidental repairs cost/year;

$C_7$  – books, periodical papers, database access costs/year;

$C_8$  – transport means, spare parts, fuels, lubricants costs/year;

$C_{ST}$  – support-service cost/year:

$$C_{ST} = C_{S1} + C_{S2} + C_{S2} + C_{S3} + C_{S4} + C_{S5} + C_{S6} + C_{S7} + C_{S8} + C_{S10} + C_{S11} + C_{S12}$$

Where:

$C_{S1}$  – water supply, sewerage costs/year;

$C_{S2}$  – waste collection cost/year;

$C_{S3}$  – mail, telephone, fax, radio, TV services costs/year;

$C_{S4}$  – guarding and security services costs/year;

$C_{S5}$  – equipment maintenance cost/year;

$C_{S6}$  – teaching base maintenance cost/year;

$C_{S7}$  – institutional representative costs/year;

$C_{S8}$  – delegations (accommodation, transport) costs/year;

$C_{S9}$  – scientific, cultural, sports events costs/year;

$C_{S10}$  – advertising and publicity costs/year;

$C_{S11}$  – internet and intranet communications services, website maintenance costs/year;

$C_{S12}$  – education facilities and other education means rental costs/year;

Own-resources institutional development expenses/year:

$$C = \min 5\% (A + B)$$

Own-resources student facilities expenses (scholarships, support materials, transport etc.)/year:

$$D = \min 1\% (A + B)$$

The procedure for calculating per equivalent student cost/year at the university shall take into account the NES from the university, and in order to calculate per equivalent student cost/year at the faculty the NES at the respective faculty shall be taken into account.

### **3.5.5. Private financing types and their monitoring**

State higher education institutions operate as institutions financed by means of funds allocated from the state budget, extra-budgetary funds and from other sources, according to the law. In addition to the amounts allocated by the Ministry, universities can benefit from other financing sources, such as: investment objectives funds, competition-based funds allocated for institutional development, competition-based funds allocated for inclusion, scholarships and students' social protection, as well as from own revenues, interest, donations, sponsorships and fees legally received from Romanian or foreign natural and legal persons, and also from other sources. These revenues are used by higher education institutions under university autonomy conditions in order to achieve their respective goals assigned according to the state policy in the field of university education and scientific research.

### **3.5.6. Capacity of universities to borrow money**

The Law on National Education provides that state financing of higher education can be performed on a contract basis also through the assistance of other ministries for those higher education institutions that train specialists based on the needs of respective ministries, as well as by means of other sources, including loans and external aid.

### **3.5.7. Degree of university freedom when establishing the amount of tuition fee**

Under the above law, higher education institutions have autonomy in determining the amount of tuition fees. Their value is determined by university senates. The value of tuition fee is based on the cost of training for an equivalent student, calculated by the university.

### **3.5.8. Year-to-year transfer of unused funds**

Funds remaining at the end of the year after budget execution in accordance with institutional and complementary contract, as well as funds related to university scientific research and extra-budgetary revenues remain available to universities and are included in the income and expenditure budget of the institution, with no payments to the state budget and without affecting next year's state budget allocations (LNE, Art.225).



### **3.5.9. Freedom of universities to own buildings**

Public or private universities own their assets, managing them by law. State universities may own movable and immovable assets within the public or private domain of the state. Subjective rights of the universities over public sector assets, under the law, can be administration, use, concession or renting rights.

By government decision, public domain assets can be converted into private property of the state and transmitted to state universities in accordance with the law. State universities have proprietary rights on their owned assets. Ownership over real estate and other real rights of state universities are subject to real estate public procedure stipulated by special legislation.

The law also provides that in case of public university dissolution, its assets remaining after the liquidation procedure are passing into state private ownership.

### **3.5.10. Tuition fee policy with regard to foreigners**

Romanian Government Ordinance no. 22 of August 29, 2009 sets the minimum amount of tuition fees, in currency, for people studying on their own account in Romania as citizens of non-European Union countries as well as from non-European Economic Area countries and non-members of Swiss Confederation. University senates may establish the final amount of these fees, but not lower than the amount set in that ordinance.

### **3.5.11. Scholarships and other financial support means for students**

Students benefit from performance-or merit scholarships in order to stimulate excellence and also from social scholarships financially supporting low-income students. The minimum amount of social scholarships is proposed annually by CNFIS taking into account that these must cover minimum food and accommodation expenses. Also, universities can supplement their scholarship fund through extra-budgetary income. It is important to mention that the number of students receiving scholarships is very small compared to the number of real students.

Scholarship values are determined by every higher education institution individually. They are designed to cover accommodation and food costs. The university establishes the number of scholarships from the total amount of higher education-financed expenditure. Funds are released annually by the Ministry. There is no possibility for state guaranteed loans or family allowances, and parents receive no tax benefits at all.

### **3.5.12. Allocation of financial resources within the university**

Allocation of financial resources inside Romanian universities is decentralized. Financial resources cover the costs of university structures and services, utility payments and provide a maintenance and development fund for a university. The amount corresponding to each category is proposed by the Administrative Board and approved by the Senate at the beginning of every academic year. After allocating money for payment of utilities, services and ensuring maintenance and development funds, the funds from core financing and from tuition fees are distributed within the university according to allocation structure of funds.

Every department of the university manages its allocated funds based on legal regulations in terms of a positive financial balance. The entire responsibility lies with the head of

the department. Budgetary funds provide differentiated salaries for teachers and auxiliary teachers, as well as support materials necessary for the organization, administration and carrying out of the educational process. Funds provided by complementary and supplementary financing are allocated to university structures for which they were directly assigned.

Financial resources obtained through self-financing are used by their creating entities (faculties, departments, scientific research / artistic creation / sports performance centers) except for a specified share, determined by the Senate, collected for the development of the university according to the law and own regulations.

### **3.6. Conclusions**

The analysis performed within this report has allowed to observe financial autonomy of universities characteristic to every country studied. The degree of freedom that every university presented within various analyzed aspects differ from one country to another, while the responsibility for effective management of financial resources, both from the state budget and from own sources, is the same and is a great one.

## 4. BENCHMARKING STUDY

Based on the above material the information reflecting the situation in the area of financial autonomy of universities from 5 countries – Lithuania, Scotland, Sweden, Denmark and Romania, was summarized according to certain criteria considered basic and presented at the beginning of the report. Summarized information is presented in Table 2 and forms the core of comparative analysis for these countries according to criteria taken into consideration.

Table 2. *Comparative analysis of financial autonomy by criteria*

No.	Lithuania	Scotland	Sweden	Denmark	Romania
<b>1.</b>	<b>Education financing model</b>				
	Global subsidy, with specified items of expenditure	Annual <i>global financing</i>	<i>Block grant</i>	<i>Overall financing in the form of grants</i>	<i>Global financing</i>
<b>1.1.</b>	<b>Education financing</b>				
	Through the voucher system, implying a certain amount of money that goes by student and depends on the field of study, the type and level of education	Carried out by SFC by using certain calculation formulas based on FTE	Through a contract negotiated between the Ministry and University	Through taximeter system	Carried out through core financing
<b>1.2.</b>	<b>Research financing</b>				
	<i>Dual system</i>	<i>Dual system</i>	<i>Dual system</i>	<i>Dual system</i>	<i>Dual system</i>
<b>2.</b>	<b>Higher education financing mechanisms</b>				
	Financing by three main directions	By SFC in 3 basic areas	Based on financing formula taking into consideration 40% real students and 60% FTE students	Based on taximeter system	Through core financing

3.	Methodology for allocation of budgetary funds to universities				
	The money follows students	Depending on allocations from previous years and on the existing state-level budget	Largely depending on allocations from previous years and on existing state-level budget	Outputs-based system	Based on contracts concluded between the university and MNE
4.	Calculation of per student training cost				
	Based on education normative price	Based on TRAC methodology	Based on Full Costing methodology	Based on Full Costing methodology	Methodology based on calculation formulas
5.	Private financing types and their monitoring				
	Established by the legislation. Monitoring done according to strategic decisions of the university	Well defined. Monitoring done according to strategic decisions of the university.			
6.	Freedom of universities to borrow money from national and international financial markets				
	Limited possibility to borrow money	Universities can borrow money from banks only by justification and by SFC consent	Limited possibility	Universities can borrow money with no restrictions	Universities can borrow money under legal terms
7.	Degree of university freedom when establishing the amount of tuition fee				
	The tuition fee is established by the university	The university determines the amount of tuition fee	Tuition fees are established by the university, but must cover all direct and indirect costs	The university is free to set the tuition fee, but provided that its amount shall not be smaller than actual incurred costs	University Senate approves the amount of tuition fee, which should not be lower than the unit cost per student
8.	Year-to-year transfer of unused funds				

	Balances remaining at the end of year from budget sources are returned to the state budget. Balances from own resources are kept by the university and can be transferred to the next year	SFC-allocated money remaining at the end of year are reimbursed. Own money, earned through income other than state financing, remain at the university	Unused funds, regardless of their sourcing remain at the university and can be transferred from one year to another	Surplus financial resources can be kept without restrictions. The balance is transferred to the next year. The cumulative result of income-generating activities cannot be negative during four consecutive years	Remain available to universities and are included in the income and expenditure budget of the institution, without any payments to the state budget and without affecting next year state budget allocations
<b>9.</b>	<b>Capacity (freedom) of universities to own property</b>				
	Property purchased with state money is state property, property purchased from own sources is university property	Property is managed by universities	Universities do not own property. It is rented from a state agency	Assets purchased from budgetary sources belong to the state, from own sources – to universities	Universities own their property
<b>10.</b>	<b>Tuition fee policy with regard to foreigners</b>				
	The policy for EU students is the same as for local students. For non-EU students the university establishes a tuition fee usually higher than the fee for Lithuanian students	EU students are under the same conditions with the Scottish students. The fee for non-EU and UK students is established by the university and is higher than the fee for local students	EU citizens are under the same conditions as local students. Tuition fees for other foreign nationals are established by universities. Usually, these exceed the actual per student training costs	Tuition fees for non-EU students at bachelor and master level are established by universities in collaboration with an external authority	University senates can establish the final amount of fees for foreigners, which should not be lower than the amount set by the Government Ordinance
<b>11.</b>	<b>Scholarships and other financial support means for students</b>				

	There are practiced performance-and social scholarships. Students can obtain state-assisted loans	Scholarships are allocated by an independent agency. There are available loans that must be reimbursed within a period of up to 15 years	Everyone can apply for student aid. There are grants and loans available to students up to the age of 54 years. These must be reimbursed in a 25-year period	Grants and loans that must be reimbursed during a period of 15 years are available to students	There are two kinds of scholarships: performance-and social. Money is allocated to the university which decides over the number and amounts of scholarships offered. Universities can also provide support from their extra-budgetary sources
<b>12.</b>	<b>Allocation of financial resources within the university</b>				
	Centralized, by university administration	Decentralised	Decentralised	Decentralised	Decentralised

## 4.1. Higher education financing model

In all five analyzed countries higher education financing is carried out from two basic sources: public and private. What differs is the percentage ratio between these sources. State budget financing in the analyzed countries is based on different approaches: In Lithuania public funds are allocated based on *global grant*, divided between different categories of expenditure. However, the global grant must be spent according to budget categories approved by the financing or supervisory body, so the university does not have the freedom to decide which way to spend those amounts. In other countries (Scotland, Sweden, Denmark and Romania) financing takes the form of a *block grant* for two financing lines: teaching and research (in Sweden), or for 3 financing lines: in Denmark – funds allocated for educational and equipment expenses, funds allocated for common expenses (e.g. management, buildings), funds allocated for practical work; in Romania – core financing, complementary financing, supplementary financing.

### 4.1.1. Education financing

Although, as indicated above, there are different financing components, education expenditures are highlighted in all 5 countries. It differs from country to country the way how these amounts are calculated and allocated to universities. In Lithuania, the state covers education expenses only for students that managed to benefit from vouchers. Each voucher provides a certain amount of money that goes by student and depends on the field of study, the type and level of education. In Scotland, the Scottish Financing Council is in charge of education financing, calculating the amount required by every university according to a FTE-based formula. In Sweden, the education financing system is based on educational activities contract negotiated between the Ministry of Education and every university. This contract sets the objectives for a three-year period with the nearest year breakdown. Such contracts include: the minimal number of degrees awarded (bachelor, master); the total minimal number FTE students; the fields of study with increasing or decreasing number of students; other. In Denmark, the calculations are based on the so-called taximeter system linking direct funds to the number of students passing examinations. The taximeter vary substantially between different fields of study and current rates are mainly determined historically. In Romania, this is done through core financing which includes personnel costs, material costs, expenditures to support educational projects and the development of human resources, directed expenditures.

### 4.1.2. Research financing

Research financing in all 5 countries is based on the dual system, which means that one part of expenses is covered by the state and is included either into the voucher (Lithuania) or into core financing (Scotland, Romania, Denmark), and is supposed to cover certain operational and maintenance costs of the infrastructure needed for research. The second part is allocated on a competitive basis for projects by responsible bodies from each country.



## **4.2. Higher education financing mechanisms**

In all five analyzed countries, higher education financing mechanism implies state allocation of sources, by means of various responsible bodies (e.g. SFC in Scotland and the Ministry of Education in other countries), through core financing for 3 directions: core financing sources, state budget funds assigned to education, state funds from investment programs and investments projects – in Lithuania; financing for teaching and learning, including extension, research funds, special funds – in Scotland. In Sweden, the calculation is based on a financing formula that takes into consideration 40% of real students and 60% FTE (based on performance).

In Denmark, the financing mechanism is based on the taximeter system. It is composed of three basic elements: teaching taximeter, construction and maintenance taximeter, collective expenditure taximeter. In Romania, core financing is employed, taking into account the number of unit equivalent students and per student cost. And, performance-based financing (around 30%) also exists.

## **4.3. Methodology for allocation of budgetary funds to universities**

Each country has its own methodology for allocating financial resources to universities. It's only natural that some elements are common and others are specific to each country. Thus, in Lithuania, the allocation of budgetary resources is done according to the principle "money follows the student". State budget money, by means of vouchers go to universities selected by beneficiary students. In Scotland and Sweden allocation is carried out largely based on allocations from previous years and depending on the existing state-level budget. In Scotland, SFC annually concludes with every university a memorandum establishing the respective conditions. In Sweden, the amounts are planned for a 3-year period with yearly breakdown of these amounts. There is a calculation formula. Denmark employs an outputs-based system for allocation of financial resources. The Ministry allocates resources according to the FTE number and per student in the respective area for teaching and basic research. In Romania, resources are allocated to universities based on contracts concluded with MEN. It also exists an annually reviewed methodology, based on formulas.

## **4.4. Calculation of per student training cost**

The five analyzed countries historically established their own methodologies for calculation of per student training cost (price). In Lithuania, the methodology is based on the calculation of per student cost (price) which represents total expenses related to the number of students financed from the state budget. It is carried out according to the Government Decision no. 402 of May 13, 2009. There is also a methodology for calculating the normative price. The price varies depending on the level of training (bachelor, master, doctorate), education form (full time, part time) and field of study.

In Scotland, the calculation of per student training cost is based on the so-called TRAC methodology. The processes underlying TRAC allow to take into account all costs of the institution, both direct and indirect, in order to be analyzed and attached to activities in a fair and reasonable manner. Cost calculation itself is not an end-purpose but an essential tool providing a more efficient management in the higher education sector. TRAC is a nationally developed

methodology based on activity cost allocation employing academic personnel time-allocation studies (not timesheets) as cost drivers for allocation of all expenses to relevant activities.

In Sweden and Denmark, calculation of cost per student is done based on Full Costing methodology that allows to take into consideration all costs, both direct and indirect, incurred by the institution to train a student. Once Full Costing calculations are performed within an institution, all costs are divided by the number of students taking into account the field of study and the education form. Thus, humanities education cost serves as a basis for calculation of per student cost and when financing programs involving advanced technology components a complexity-based coefficient is included. Also, the student following his full-time university studies is taken as a basis, part time students quantified by 0.75 (Sweden). In Romania there is a methodology based on calculation formulas taking into account all costs incurred by the university.

#### **4.5. Private financing types and their monitoring**

The universities from all five countries enjoy financing from private sources along with state budget financing. Both the share of private sources and their structure differ depending on the country. Virtually every country has legal provisions regarding private sources that may be attracted to higher education as well as procedures for their monitoring. Private sources are used depending on the strategy adopted by the university. Monitoring the use of resources is carried out by internal financial audits, but also by external financial audit through various supervision bodies specific to each country, which verify the use of financial resources by destination specified in university plans. Thus, the use of income from private sources is not particularly monitored and is used depending on the needs of the university according to the strategy adopted.

#### **4.6. Freedom of universities to borrow money from national and international financial markets**

Not all universities can borrow money from the financial market. Thus, in Lithuania, higher education institutions have the right to borrow money through loans, to sign credit and leasing (financial leasing) agreements within overall lending limits established by the Law on approval of financial indicators of state budget and municipal budgets for the respective year. In Scotland, universities may borrow money from banks based on arguments and with SFC consent only. In Sweden, universities can borrow money within the financial market only from the bank specified (designated) by the responsible authority. In Denmark, universities are allowed to borrow money from the financial market without restrictions. In Romania, the law allows universities to borrow money.

#### **4.7. Degree of university freedom when establishing the amount of tuition fee**

Universities from all five analyzed countries are free to determine the amount of tuition fees. Even in countries where there are no tuition fees for local and European Union (Scot-

land, Sweden, Denmark) students, universities establish the amount of fees for students from outside the European Union as well as for other categories of students, such as MBA students etc. The condition imposed in all these countries is that the fee should take into consideration all expenses and should not be lower than the actual per student training costs. In Lithuania, it was developed a mechanism providing that the tuition fee shall not be smaller than voucher amount.

#### **4.8. Year-to-year transfer of unused funds**

In Lithuania and Scotland, state budget money remaining at the end of the year must be returned to the state. Own resources balance shall be kept by the university and can be transferred to the next year. For universities from Sweden, Denmark and Romania, the unused funds, regardless of their sourcing remain at the university and can be transferred from year to year. In Denmark there is one condition: the cumulative result of income-generating activities cannot be negative for four consecutive years.

#### **4.9. Capacity (freedom) of universities to own property**

In this respect the situation varies for different countries. Thus, universities from Lithuania, Romania, Denmark can be owners of buildings purchased from their own sources. Buildings purchased from state budget money belong to the state. In Sweden, universities do not have ownership rights over buildings and are renting facilities from a state agency. In Scotland, the property is only managed by universities.

#### **4.10. Tuition fee policy with regard to foreigners**

In all five countries there is the same tuition fees policy both for local and European Union citizens. For students coming from countries outside the European Union the universities establish tuition fees by themselves. These fees are usually higher than fees for local students and higher than the actual training costs. In Romania, university senates may establish the final amount of fees for foreigners, which must be not lower than the amount set by the Government Ordinance.

#### **4.11. Scholarships and other financial support means for students**

In Lithuania and Romania, performance-based and social scholarships are granted to students by the university. In Lithuania, students can obtain state-assisted loans to cover their education costs, living expenses, partial studies in accordance with international agreements. In Scotland, scholarships are granted by an independent agency. In Scotland, Sweden and Denmark, students receive grants and loans under certain conditions. Thus, in Denmark and Scotland loans should be reimbursed during 15 years after graduation, and in Sweden – during 25 years.

#### **4.12. Allocation of financial resources within the university**

In Lithuania, the allocation of resources within the university is carried out centrally by the administration. In other countries (Scotland, Sweden, Denmark and Romania) it is decentralized. In Scotland, every department, every person has a special account. The faculty pays for hours worked at the faculty. In Sweden, the mechanism for allocation of financial resources calculates the costs at the source of occurrence and then distributes the income again until the lowest level. Many Danish universities apply the financing principle at country level and for internal allocation of funds. The principle is „money follows work”. In Romania, budget funds are allocated to faculties and departments depending on the number of students, annual average per student costs, achievement of quality indicators relevant to the educational process and on other criteria established by the Senate.

#### **4.13. Conclusions**

The comparative analysis carried out in this report allowed to draw the following conclusions:

1. Higher education institutions financing from public funds is the main source of income for universities in all five countries studied. Their share is the only thing that differs.
2. Higher education financing in general and higher education institutions in particular are increasingly employing “innovative allocation mechanisms”, especially focused on performance-based measures and financing formulas.
3. In all analyzed countries global financing is used, largely including several main directions: teaching financing, research financing (only certain costs are included) and others. The definition itself varies from country to country, but the content is about the same.
4. Education financing is carried out based on different criteria: in Lithuania – on the number of real students (by means of vouchers); in Scotland – on the number of equivalent students. In Sweden, both the number of real students (about 40%) and performance identified through FTE students (about 60%) are taken into consideration. In Denmark, performance-based students are taken into consideration only. In Romania – on the number of equivalent students according to 70% and 30% ratio based on relative quality indicators.
5. Research financing in all countries is carried out by means of a dual system of financial resources allocation. There are different mechanisms employed.
6. Calculation of unit cost per student, although using different formulas and methodologies, in all analyzed countries is based on the calculation of all costs incurred by the university.
7. All universities, regardless of the share of state-obtained revenues, also have private financing sources. The legal framework differs from country to country, but sources are almost the same, and monitoring of these sources is reduced to their use according to the directions established in the strategic plans of universities.

8. In all five countries universities can borrow money from the financial market and only in some cases there are no restrictions (Denmark), in other cases (Scotland – SFC) approval is needed.
9. All universities have the right to establish the amount of tuition fees, but in most countries it is provided that these must not be lower than the actual per student training cost, and in Lithuania – not lower than the amount provided by the voucher.
10. Unused funds at the end of the year can be transferred to the next year regardless of their sourcing in Sweden, Denmark and Romania. In Lithuania and Scotland, state budget money remaining at the end of year should be returned. Own money remain at the university.
11. Support for students is different in the analyzed countries: in Lithuania and Romania students are granted performance-based and social scholarships, in Denmark and Sweden state subsidies are granted. In all countries except Romania loans are available to cover living or education expenses.
12. The allocation of resources inside the universities is carried out differently. Only in Lithuania there is a centralized mechanism, while in other countries – a decentralized one.

## 5. FINAL CONCLUSIONS

The study demonstrated that the financial autonomy of universities is characteristic for all analyzed countries. What differs is the degree of freedom that universities have when solving certain problems. One can notice that an ideal model of financial autonomy, perfect for use in any country, cannot be identified. In every case it starts from specific traditions and historical evolution of universities. Also, it was found that universities use their financial resources with a high degree of responsibility.

Although in every country the legislation regulates the activity of universities, it was found out that there is a clear trend towards deregulation and greater autonomy of higher education institutions with regard to institutional policies and, in particular, management of institutional budgets.

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## APPENDIXES

### Annex 1. Problems and questions identified for Lithuania

Problem formulation	Material consulted <sup>1</sup>	Unresolved question/issue	Suggested meetings
1. Financing methods in higher education.	Law on Higher Education and Research THE STATUTE OF MYKOLAS ROMERIS UNIVERSITY	The mathematical formula according to which budget allocation is done. Do universities have a financing formula, if yes what is it? What is the importance of this formula in comparison with other mechanisms for public funds allocation, does it vary from university to university? The advantages and limits of these models, seen by their users or beneficiaries. Calculation of per student cost. What are the elements included in the calculation of per student cost?	Step 1. Regulations based on the methodology calculating the information of interest to us Step 2. Discussions on the matter with competent persons from the University or from the Ministry
2. The methodology for allocation of budgetary financing resources for the universities.		Are the fees reflecting the real expenses of an institution? How often are they reviewed? Monitoring mechanisms regarding the use of public funds by universities. Freedom of universities. Do private higher education institutions have access to public funds? Is research and development financed? By what mechanism? What are the regulations for the use of private funds? Are economic agents stimulated for sponsoring universities? Are foreign funds accepted? What are the forms and terms? Are specific conditions for their use stipulated? How are they monitored?	
3. Private financing forms and monitoring		What other forms of private financing are allowed by authorities?	

<sup>1</sup> In this column provide just citation (e.g., von Prondzynski (2012)), but in the end note provide full reference with the link; if the link is too long, use <http://goo.gl/> to shorten the links; the link in end note ii coincides with the place where the documents are – so it is ok to use the link as it is – however, in most cases you need to provide exact link to the download of the document (using <http://goo.gl/> to display the link)

4. The capacity of universities to borrow money			
5. How large is the autonomy of higher education institutions in terms of tuition fees paid by students? Who establishes the amount of tuition fee?		<p>Do students have access to scholarships? Are the scholarships offered for all years of study or are they depending on the results obtained during each year?</p> <p>By what methods can private scholarships be obtained?</p> <p>What other fees, except tuition fees, do students pay? Are they identical for all students or are they subject to any differentiation criteria?</p> <p>Is the right to education ensured for each student, taking into consideration financial aspects and different financing possibilities for education of students' families?</p> <p>Are there any facilities for socially vulnerable students (low incomes, disabilities)? What about those achieving high performance?</p> <p>By what methods can private scholarships be obtained?</p> <p>Are scholarships offered during all years of study or are they depending on the results obtained during each year?</p>	
6. Can higher education institutions transfer their unused funds from one year to another?		<p>Do foreign students have the same rights as local students from the financial point of view (access to scholarships, private scholarships, facilities, the amount of tuition fee etc.)? If there are any differences, are there any criteria?</p>	

## Annex 2. Problems and questions identified for Scotland

Problem formulation	Material consulted <sup>2</sup>	Unresolved question/issue	Suggested meetings
What financing methods are employed in higher education?	The Scottish Code of Good HE Governance <sup>3</sup>	The methodology for allocation of budgetary resources for the financing of universities	Step 1. Regulations based on the methodology calculating the information of interest to us
Monitoring mechanisms regarding the use of public funds by universities. Freedom of universities.	Neil Kemp, William Lawton A STRATEGIC ANALYSIS OF THE SCOTTISH HIGHER EDUCATION SECTOR'S DISTINCTIVE ASSETS. A study commissioned by British Council Scotland, April 2013 <sup>4</sup>	The mathematical formula according to which budget allocation is done Calculation of per student cost	Step 2. Discussions on the matter with competent persons from the University or from the Ministry
Do universities employ a financing formula, if yes what is it? What is the importance of this formula in comparison with other mechanisms for public funds allocation, does it vary from country to country? The advantages and limits of these models, seen by their users or beneficiaries.		Private financing forms and monitoring Private universities receive state support	
What are the elements included in the calculation of per student cost? Is research and development financed? By what mechanism?		By what methods can private scholarships be obtained?	
How large is the autonomy of higher education institutions in terms of tuition fees paid by students? Who establishes the amount of tuition fee?		Are scholarships offered for all years of study or are they depending on the results obtained during each year?	
Do private higher education institutions have access to public funds too?			

<sup>2</sup> In this column provide just citation (e.g., von Prondzynski (2012), but in the end note provide full reference with the link; if the link is too long, use <http://goo.gl/> to shorten the links; the link in end note ii coincides with the place where the documents are – so it is ok to use the link as it is – however, in most cases you need to provide exact link to the download of the document (using <http://goo.gl/> to display the link)

<sup>3</sup> <http://www.scottishuniversitygovernance.ac.uk/>

<sup>4</sup> <http://www.britishcouncil.org/scotland-report-a-strategic-analysis-of-the-scottish-higher-education-sectors-distinctive-assets.pdf>

What elements are included in the tuition fees? Are the fees reflecting the real expenses of an institution? How often are they reviewed? Are there any facilities for socially vulnerable students (low incomes, disabilities)? What about those achieving high performance?			
The capacity of universities to borrow money. What are other forms of private financing allowed by authorities? What are the regulations for the use of private funds?			
Are economic agents stimulated for sponsoring universities?			
Is the right to education ensured for each student, taking into consideration financial aspects and different financing possibilities for education of students' families?			
By what methods can private scholarships be obtained?  Are scholarships offered during all years of education or are they depending on the results obtained during each year?  What other fees, except tuition fees, do students pay? Are they identical for all students or are they subject to any differentiation criteria?  Can higher education institutions transfer unused funds from one year to another?  Are foreign funds accepted? What are the forms and terms? Are specific conditions for their use stipulated? How are they monitored?  Do foreign students have the same rights as local students, from the financial point of view (access to scholarships, private scholarships, facilities, the amount of tuition fee etc.)? If there are any differences, are there any criteria?			

### Annex 3. Problems and questions identified for Sweden

Problem formulation	Material consulted <sup>5</sup>	Unresolved question/issue	Suggested meetings
1. Higher education financing methods.  2. The methodology for allocation of budgetary financing resources for the universities.	Ordinance on application fees and tuition fees at higher education institutions <sup>6</sup> Ordinance on scholarships for students required to pay tuition fees <sup>7</sup> Scholarships and grants to students at first and second levels	The mathematical formula according to which budget allocation is done.  What is the importance of this formula in comparison with other mechanisms for public financing allocation, does it vary from university to university? The advantages and limits of these models, seen by their users or beneficiaries.	Step 1. Regulations based on the methodology calculating the information of interests to us  Step 2. Discussions on the matter with competent persons from the University
3. Private financing forms and monitoring  4. The capacity of universities to borrow money	Internal Regulations (KTH)13/2008 <sup>8</sup> Scholarships for students in doctoral studies (third cycle) and at post doc level at KTH <sup>9</sup>	Calculation of per student cost. What are the elements included in the calculation of per student cost?	
5. How large is the autonomy of higher education institutions in terms of tuition fees paid by students? Who establishes the amount of tuition fee?		Are the fees reflecting the real expenses of an institution? How often are they reviewed? Monitoring mechanisms regarding the use of public funds by universities. Freedom of universities. Do private higher education institutions have access to public funds?	

<sup>5</sup> In this column provide just citation (e.g., von Prondzynski (2012), but in the end note provide full reference with the link; if the link is too long, use <http://goo.gl/> to shorten the links; the link in end note ii coincides with the place where the documents are – so it is ok to use the link as it is – however, in most cases you need to provide exact link to the download of the document (using <http://goo.gl/> to display the link)

<sup>6</sup> <http://www.uhr.se/sv/Information-in-English/Laws-and-regulations/Ordinance-on-application-fees-and-tuition-fees-at-higher-education-institutions/>

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6. Can higher education institutions transfer their unused funds from one year to another? 7. The capacity of universities to own buildings		Is research and development financed? By what the mechanism? What are the regulations for the use of private funds? Are economic agents stimulated for sponsoring universities? Are foreign funds accepted? What are the forms and terms? Are specific conditions for their use stipulated? How are they monitored?	
		What other forms of private financing are allowed by authorities?  Do students have access to scholarships? Are scholarships offered during all years of study or are they depending on the results obtained during each year? By what methods can private scholarships be obtained?	
		If local and European students do not pay tuition fees, do they pay other fees? Is the right to education ensured for each student, taking into consideration financial aspects and different financing possibilities for education of students' families?  Are there any facilities for socially vulnerable students (low incomes, disabilities)? What about those achieving high performance? By what methods can private scholarships be obtained? The degree of university freedom regarding the management of property	

## Annex 4. Problems and questions identified for Denmark

Problem formulation	Material consulted <sup>10</sup>	Unresolved question/issue	Suggested meetings
1. Higher education financing methods.	The Danish (Consolidation) Act on Universities (the University Act) <sup>11</sup>	The mathematical formula according to which budget allocation is done. Do universities have a financing formula, if yes what is it? What is the importance of this formula in comparison with other mechanisms for public financing allocation, does it vary from university to university? The advantages and limits of these models, seen by their users or beneficiaries.	Step 1. Regulations based on the methodology calculating the information of interest to us
2. The methodology for allocation of budgetary financing resources for the universities.	Ministerial Order on the Funding and Audit etc. of Universities <sup>12</sup>	Calculation of per student cost. What are the elements included in the calculation of per student cost? Do private higher education institutions have access to public funds? Is research and development financed? By what mechanism? What are the regulations for the use of private funds? Are economic agents stimulated for sponsoring universities?	Step 2. Discussions on the matter with competent persons from the University or from the Ministry
3. Private financing forms and monitoring	Ministerial Order on Scholarships with Grants to Cover Living Costs incurred by Certain Foreign Students at Universities <sup>13</sup>		
4. The capacity of universities to borrow money	Funding programmes for research and innovation <sup>14</sup>		
5. How large is the autonomy of higher education institutions in terms of tuition fees paid by students? Who establishes the amount of tuition fee?	Autonomy and control: Danish university reform in the context of modern governance SUSAN WRIGHT AND JAKOB WILLIAMS ORBERG <sup>15</sup>	Are foreign funds accepted? What are the forms and terms? Are specific conditions for their use stipulated? How are they monitored?  What other forms of private financing are allowed by authorities?	

<sup>10</sup> In this column provide just citation (e.g., von Prondzynski (2012), but in the end note provide full reference with the link; if the link is too long, use <http://goo.gl/> to shorten the links; the link in end note ii coincides with the place where the documents are – so it is ok to use the link as it is – however, in most cases you need to provide exact link to the download of the document (using <http://goo.gl/> to display the link)

<sup>11</sup> <http://www.science.ku.dk/english/research/phd/student/filer/UniversityAct.pdf/>

<sup>12</sup> <http://fivu.dk/en/legislation/prevailing-laws-and-regulations/education/ministerial-order-on-funding-and-audit.pdf>

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6. Can higher education institutions transfer their unused funds from one year to another?		Is the right to education ensured for each student, taking into consideration financial aspects and different financing possibilities for education of students' families?	
7. The capacity of universities to own buildings		Are there any facilities for socially vulnerable students (low incomes, disabilities)? What about those achieving high performance? By what methods can private scholarships be obtained?	
		Are the scholarships offered during all years of study or are they depending on the results obtained during each year? Do foreign students have the same rights as local students, from the financial point of view (access to scholarships, private scholarships, facilities, the amount of tuition fee etc.)? If there are any differences, are there any criteria? The degree of university freedom regarding the management of property	

## Annex 5. Data reporting and data analysis for Lithuania

Short description of the meeting: 23/01/2014, the Ministry of Education, Head of Economic Department

Problem/question formulation	Findings	Comments
7. Higher education financing methods.	<p>The following sources of financing for public universities are provided<sup>16</sup>:</p> <p>4. core financing sources from the state budget for public higher education and research institutions; allocated for three areas: research (about 50% of the expenditure item), general and administrative expenses, other expenses (dormitories)</p> <p>State budget funds for research, experimental development (social, cultural) and expansion of artistic activities are allocated to public education and research institutions according to government-established procedure depending on evaluation results of research (artistic) activities from public education and research institutions.</p>	<p>The financing method of education from the state budget is interesting. Although education allocations are not directly related to university performance, indirectly this is taken into consideration by the fact that the student holding the voucher selects the university where state money shall go.</p>
	<p>5. state budget funds assigned for education according to the procedure provided by law for higher education and research institutes; called education price fixed as voucher's amount, including: both teachers' and administrative personnel salaries with respective breakdowns, education services, performance scholarship</p> <p><b>State budget sources for education</b> are also allocated for other needs:</p> <ul style="list-style-type: none"> <li>– coverage of tuition fees for budget-financed students;</li> <li>– compensation, as provided by Article 71 of the Law, for the tuition fees of students achieving best results in their studies that are not being financed by the state;</li> <li>– financing of special purpose studies;</li> <li>– state loans or state-guaranteed loans;</li> <li>– social grants and other kinds of support.</li> </ul>	

<sup>16</sup> According to the Law no. XI-242 on higher education and research of April 30, 2009 (Chapter VII)

	<p>6. State funds from investment programs and investment projects for public higher education and research institutions; money directed to investment. Projects developed are submitted to MEC. These are analyzed and money is allocated to the winning projects.</p> <p>7. income received as payment for education as well as income received from economic activities, research and services;</p> <p>8. funds received based on competition from research financing programs;</p> <p>9. resources allocated by foreign and international funds as well as by organizations;</p> <p>10. resources obtained as sponsorship under the law of charity and sponsorship;</p> <p>11. other legally received funds</p>	
The methodology for allocation of budgetary financing resources for the universities.	<p>Allocation of financial resources among state universities (private universities not receiving state allocations) is carried out according to the above directions. It can be additionally mentioned here how the allocation of financial resources for education occurs (state budget sources for education). The principle is “money follows students”. Only for cycle I at state-level there is allocated a number of budget places for certain education programs (specialties). Admission is carried out by an independent agency. Once all places are covered (depending on high-school graduation average mark) students select the university where this program exists and where they want to study (the image of the university counts). Budget money, by means of the voucher, go where students want to study.</p>	It is necessary to understand from the document in Lithuanian language how to calculate per student cost – the calculation formula
	<p>The number of state-financed places for cycle II or doctoral students is determined by the government every year depending on areas of education, taking into account national economic, social and cultural development needs as well as financial possibilities of the state. Student places are distributed among</p>	

	universities by the Ministry of Education and Science based on their research (artistic) activities. The Ministry of Education and Science distributes places for higher education and research institutions to doctoral students depending on research (artistic) results and PhD studies.	
Private financing forms and monitoring	There is a wide variety of possible sources for private financing (other than tuition fees) for higher education institutions. Yet, they are not using all these sources, because not all sources are available at the moment (donations/bequests, rentals/property income, use of research results/research contract). Private sources are used depending on the strategy adopted by the university. Monitoring of the use of resources is carried out through internal financial audits as well as external financial audit by the Court of Auditors, which supervises the use of financial resources according to the destination set by university plans.	It is appropriate to perform own resources monitoring through both internal and external audit according to university decisions, i.e. according to destinations determined by the university.
The capacity of universities to borrow money	Higher education institutions have the right to borrow money, to sign credit and leasing (financial leasing) agreements within overall lending limits established by the Law approving financial indicators of the state budget and municipal budgets for that year. The Ministry of Education and Science distributes this borrowing limit among state higher education institutions. Higher education institutions take this into consideration and act in accordance with the established procedure. A state higher education institution can put in pledge no more than 20 percent of its material assets managed in accordance with the property right.	This is an interesting practice. I suppose there is a possibility for its use in Moldova. There could also be identified the needs for loans.
How large is the autonomy of higher education institutions in terms of tuition fees paid by students? Who establishes the amount of tuition fee?	Tuition fees are established by the university. Usually, the amount of tuition fee coincides with the per student cost calculated at government level and paid for through the voucher system. If the university establishes a fee lower than the sum calculated as voucher's	The situation in the Republic of Moldova has shown a total chaos in this regard, so the method used in Lithuania seems logical. On the one hand, universities are free to establish any tuition

	amount, then the university also receives that amount from the state. If the amount of fee is higher than that of the voucher, the state pays the cost calculated according to the voucher.	fees at will, and on the other hand the conditions for the allocation of resources through the voucher limit the promotion of populist actions.
Can higher education institutions transfer their unused funds from one year to another?	Balances remaining at the end of year from budget sources are returned to the state budget. Own resources balances shall be kept by the university and can be transferred to the next year. The possibility to keep unspent funds and to transfer them from one year to another is an important aspect of financial autonomy enjoyed by higher education institutions. This flexibility facilitates the establishment of medium or long term institutional strategies and allows financing of projects over several years, even creating the possibility to make investments in order to increase income.	Good practice
The capacity of universities to own buildings	Buildings purchased from state money belong to universities based on management and renting right. Those purchased from own money – are owned by universities.	In our opinion this makes sense
Tuition fees policy with regard to foreigners	EU citizens can participate in the competition for admission under the same conditions as Lithuanian nationals. For non-EU students the university establishes a tuition fee, usually higher than the fee for students from Lithuania	
Student scholarships	There are two types of scholarships: performance-based and social scholarships. Performance scholarships are established by the university while social scholarships are uniform and are established by the state.	In our opinion, the establishment of performance scholarship by the university within the available fund is correct and might be introduced in the Republic of Moldova
Allocation of financial resources within the university	At university discretion. Usually centralized, by university administration.	For now, we consider that this practice should remain in the Republic of Moldova.

<sup>1</sup> According to the Law no. XI-242 on higher education and research of April 30, 2009 (Chapter VII)

## Annex 6. Data reporting and data analysis for Scotland

Short description of the meeting: 06/02/2014, the Scottish Funding Council

Problem/question formulation	Findings	Comments
8. Higher education financing mechanisms.	<p>In Scotland, higher education institutions are financed directly by the Scottish Funding Council (SFC), a non-departmental public body of the Scottish Government. The only exception is the Scottish Agricultural College which is currently financed by the Scottish Government Department of Agriculture.</p> <p>SFC provides funds to support direct and indirect costs related to teaching and partially to support research in terms of equipment maintenance. These funds include academic, administrative, technical, support and facilities, accommodation, equipment and materials costs.</p> <p>Financing is allocated based on a transparent formula, taking into account the number of students from an institution and the price group allocated to a particular program. <b>This is a basic price and not a cost-based system.</b></p> <p>Although SFC allocates funds by means of core financing formulas for research and teaching, a number of activities cannot be financed in this way and are supported instead by <b>special funds</b> (such as, for example, investments). All special financing methods are tested to reduce the burden of institutions responsibility and are normally introduced only after relevant consultations.</p>	<p>It is interesting to observe the Ministry released of executing small stuff or less characteristic to Ministry's work, focusing instead on setting strategies and policies. Creation of a Financing Fund would be a good idea for the Republic of Moldova as well. Currently, when solving some financial stuff coordination with the financial unit of the ME and with the Ministry of Finance is necessary. Sometimes this is hard and lengthily. The mechanism of grant financing, covering strictly the essentials and competitive-based research would stimulate universities to make more effort, but mainly to try hard to be more competitive. Obviously, in the end everything depends on state available resources.</p>
The methodology for allocation of budgetary financing resources for the universities.	<p>Distribution by universities is done largely based on allocations from previous years and according to the existing state-level budget. Also, for certain directions, such as health, dentistry, pedagogy, depending on state needs for training of a certain number of specialists a certain amount of money is allocated. Besides, SFC also analyzes directions for the use of these funds. Depending on previous years' results the amounts may be increased or decreased.</p> <p>SFC allocates for research an insignificant amount just for equipment maintenance. The main allocations in this direction are provided by the</p>	<p>Conclusion of the agreement (memorandum) of good governance and accountability in the use of state funds in compliance with its provisions by both parties is a good idea for RM.</p>

	<p>Research Council of Great Britain depending on performance achieved, i.e. on competitive basis, using a calculation formula. The Council is divided into seven research departments that finance specific research projects in a wide range of academic areas.</p> <p>SFC provides just over a third of funds for investment in teaching and research facilities by means of specific grants. The rest is financed through commercial loans, bonds and other borrowings, other income.</p> <p>SFC concludes a Memorandum agreement with every university. This financial memorandum establishes the expectations of the institution as well as requirements that are a condition set by the Council. The basic requirement of the financial memorandum is that governing bodies should ensure and effectively implement the system of good governance, leadership and management of the institution under its regulations.</p>	
Private financing forms and monitoring	<ul style="list-style-type: none"> <li>• <i>equipment and trusts income aimed at raising money for the institution, particularly through graduates</i></li> <li>• Donations</li> <li>• Sponsorship of positions (especially for professors' positions, often in areas of immediate interest of the affiliated company and, sometimes, for a fixed term)</li> <li>• interest earned on cash and investments</li> <li>• revenues from research results or inventions that have commercial application</li> <li>• teaching contracts for specific customers (education, continuing professional development, initial teacher training)</li> <li>• revenues from tuition fees for short-term courses</li> </ul>	It is appropriate to perform own resources monitoring through both internal and external audit depending on the decisions taken by the university, i.e. according to destinations established by the university and not by the state.
	<ul style="list-style-type: none"> <li>• income from student tuition fees (non-EU, cycle II)</li> <li>• rent payments</li> </ul> <p>Income from private sources is not specifically monitored and used depending on the needs of the university according to the adopted strategy.</p>	
The capacity of universities to borrow money	Universities can borrow money from banks only based on explanation to SFC and with the consent of the latter	We believe that this a practice deserving to be studied further



How large is the autonomy of higher education institutions in terms of tuition fees paid by students? Who establishes the amount of tuition fee?	Tuition fees, usually for cycle II master students, are established by the university. Tuition fees for cycle I, bachelor, for students from other parts of the United Kingdom and from countries outside the European Union are established by the university. Usually, the fees paid by students from other parts of UK are at the level of local universities.	Establishment of tuition fees should be done exclusively by universities. The Ministry (or the Funding Council, if any) can monitor this and interfere when necessary.
Can higher education institutions transfer unused funds from one year to another?	The money allocated by SFC, remaining at the end of year are returned. Own money remain at the university.	Good practice
The capacity of universities to own buildings	The property is managed by universities. They can sell buildings, but SFC permission is required if the construction was carried out with state money. Money can be used either for investment or returned to SFC.	We think this makes sense
Tuition fees policy with regard to foreigners	The tuition fee is established by the university. It is usually higher than for students from UK by 65%.	
Student scholarships	Student scholarships are offered by an independent agency. Management of dormitories as a service is also outsourced by the university. Students can borrow money from a specialized agency both for payment of their tuition fees and living expenses. Money is refunded, after graduates are employed and achieve a certain level of salary, for a period of up to 15 years.	Outsourcing of student dormitories maintenance services would release a lot of time for academics and save a lot of trouble. Perhaps, in this case dormitories would become more comfortable.
Allocation of financial resources within the university	Is decentralized at the university. Every department, every person has a special account. The faculty pays for hours worked at the faculty.	Decentralized allocation of financial resources within the university is a good practice. The responsibility for each person's use of resources increases. Currently, we cannot see how this could be implemented in Moldova.

Problem/question formulation	Findings	Comments
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<p>9. Higher education financing mechanisms.</p>	<p>Swedish higher education institutions are given 85% of necessary funds from the state budget in the form of grant. The budget money is allocated to every university through a separate financing line. In its turn, funds for every university are coming through two lines of financing: for teaching and for research.</p> <p>The amounts allocated for teaching (about 95% of the university budget) include the amounts required both for teaching and for other expenses necessary for this activity, including amounts necessary to pay the rent of facilities.</p> <p>Research amounts (about 55% of the needs) are assigned to cover research personnel costs. In addition to research funds allocated from the state budget, the remaining 45% are allocated by the Research Council through its 6 commissions to projects based on competition. The university can also benefit from contractual sources based on different organizations and businesses.</p> <p>Funds are provided as a lump sum.</p> <p><b><a href="http://www.menntamalaraduneyti.is/media/MRN-pdf_Annad/radstfjarmModelsofFinancingHigher.pdf">http://www.menntamalaraduneyti.is/media/MRN-pdf_Annad/radstfjarmModelsofFinancingHigher.pdf</a></b></p> <p>The allocation of funds to universities takes place through a budget proposal made by the government and accepted by the Parliament.</p> <p>Distribution among universities is carried out largely based on allocations from previous years and depending on the existing state-level budget. Amounts are planned for a 3-year period, with a yearly breakdown.</p> <p>Largely, the number of students is not taken into consideration. The amount allocated by the Ministry is used by the university according to its policies. However, every year the university prepares a report to the Ministry, justifying the expenses. In this respect, the number of equivalent students (with 60 credit points) is taken into consideration and relates to the field of study.</p> <p>Exactly the same thing occurs at budget development level. It is calculated based on equivalent students.</p> <p>Financial autonomy is achieved allocating funds per student. As a basis of per student cost serves humanities education cost and a complexity coefficient is included, when financing programs using advanced technology components.</p> <p>The following equation is used to calculate the allocation of financial resources by the Ministry:</p> $T_{i,t} = (S_{i1,t} * T_{s1,t} + C_{i1,t} / 60 * TC_{1,t}) + (S_{i2,t} * T_{s2,t} + C_{i2,t} / 60 * TC_{2,t}) + \dots +$
<p>10. The methodology for allocation of budgetary financing resources for the universities.</p>	

	<p> <math>(Si_{6,t} * TS_{6,t} + Ci_{6,t} / 60 * TC_{6,t})</math>,  Where:  <math>Ti,t</math> – the budget for teaching at institution i in year t  <math>Si_{1,t}</math> – the number of real students at university i in area j (there are 6 areas: 1. humanities, theology, law, social sciences; 2. Engineering, pharmacology, health; 3. Dentistry; 4. Medicine; 5. Educational Sciences; 6. Other)  <math>Ts1</math> – per full time student cost for every area j  <math>Ci1</math> – the number of credits accumulated in every area j during the year  <math>TC1, t</math> – performance year tariff.  These tariffs are set at ministerial level for every year and for every area and it only remains to multiply and sum up.  On average, 60% are allocated for the number of students and 40% for performance, i.e. for FTE.  That is, the price per one student breaks down into two components operated with: HST – about 60% and HPR – about 40%.  These values are established by the Ministry every year for every area.  There is also a simplified formula:  <b><math>Ti,t = \text{number of real students at December 31} * \text{HST} + \text{number of FTE students at December 31} * \text{HPR}</math></b> </p>	
11. Private financing forms and monitoring	<p>Universities may have additional income from certain private sources, such as:</p> <ul style="list-style-type: none"> <li>• <i>Income from contract research activities</i></li> <li>• Donations</li> <li>• interest earned on cash and investments</li> <li>• teaching contracts for specific customers (education, continuing professional development, initial teacher training)</li> <li>• income from fees for short-term courses</li> <li>• income from tuition fees (non-UE students),</li> </ul> <p>The use of income from private sources is not specifically monitored and it is spent depending on the needs of the university in accordance with the strategy adopted.</p>	
12. The capacity of universities to borrow money	<p>The university can borrow money from the financial market, including banks</p> <p>Cycle I, bachelor and cycle II, master education, is free of charge for Swedish and European Union students.  Tuition fees for students from outside the European Union are established by the university. Usually the fees are established at the level of actual existing expenditures.</p>	

13. How large is the autonomy of higher education institutions in terms of tuition fees paid by students? Who establishes the amount of tuition fee?	<p>Money allocated from the state budget, left at the end of year remains at the university. The balance can occur when fewer students have come to study than planned by the university, or if many students were expelled. If balances remain at the end of year during a three-year period then the Ministry can decide to allocate less money because the university cannot perform the tasks proposed.</p> <p>Own money remain at the university.</p>	
14. Can higher education institutions transfer unused funds from one year to another?	<p>Universities are not the owners of property. They rent the buildings from a state agency and pay the rent. Rent money is allocated from the state budget (included in per student cost). For this reason, universities are not entitled to make any property transactions (sale, purchase)</p>	
7. The capacity of universities to own buildings	<p>Tuition fee is established by the university. It is usually higher than the actual costs for the training of one student.</p>	
8. Tuition fees policy with regard to foreigners	<p>Student dormitories are also services outsourced by the university. The cafeteria also does not belong to the university.</p>	
9. Scholarships and other support facilities for students	<p>Students can borrow money from a specialized agency to pay both tuition fees and living expenses. Money has to be reimbursed, after employment and achievement of a certain level of salary, for a period of up to 15 years.</p>	
10. Allocation of financial resources within the university	<p>Is decentralized at the university. Every department, every person has a special account. The faculty pays for hours worked at the faculty.</p> <p>Each dean discusses with the rector over the faculty budget, development perspectives, launching of new programs, employment etc.</p>	

## Annex 8. Data reporting and data analysis for Denmark

Problem/question formulation	Findings	Comments
Higher education financing mechanisms.  The methodology for allocation of budgetary financing resources for the universities.	<p><b>Block grant and there are no restrictions on the allocation of funds</b></p> <p>Public funding cycle: 1 year</p> <p>The Ministry allocates subsidies to universities for teaching, research and dissemination activities and also for other tasks assigned to the university.</p> <p>The procedure is as follows. At university level the number of equivalent students (FTE) from the previous year (n-1) is calculated and forecasts for the following year (n + 1) are made. For every study program the number of credit points accumulated by students based on exams taken is calculated. It is a results-tracking program (Excel). The information with the number of FTE per education areas goes to the Ministry.</p> <p>The Ministry allocates resources depending on FTE number and per student cost in the respective area for: teaching and basic research. For teaching it is established per student cost for social and human (history) sciences students. For others – depending on a coefficient. Money can be allocated depending on performance: based on the number of diplomas earned in the established period.</p> <p>When the Ministry has additional sources, these are divided approximatively by the following percentage: 45% based on the number of students; 20% – research; 25% – publications; 10% – doctoral students.</p> <p>Universities can obtain income from the following sources:</p> <ul style="list-style-type: none"> <li>– Budget allocations indicated above;</li> <li>– Competition-based allocations for research from the National Research Council;</li> <li>– Tuition fees for MBA programs, second specialty;</li> <li>– Consultancy and others services for business;</li> <li>– Other.</li> </ul>	
Private financing forms and monitoring	<p>Universities can borrow money without restrictions.</p> <p>There are no tuition fees neither for bachelor nor master and doctoral education for local and the EU students. Students attending MBA or second specialization education pay tuition fees.</p> <p>Money surplus can be kept without restrictions. The balance is transferred to the next year. The cumulative result of income-generating activities cannot be negative for four consecutive years.</p>	

The capacity of universities to borrow money	The owner is a public authority. Universities can sell their buildings without restrictions.	
How large is the autonomy of higher education institutions in terms of tuition fees paid by students? Who establishes the amount of tuition fee?	<p>No tuition fees for non-EU students at bachelor and master's education cycles. Universities and an external authority cooperate when establishing the level of tuition fees.</p> <p>The doctoral students pay no fees.</p> <p>Students receive grants from the state (non-refundable) for living. These are not performance-based.</p>	
Can higher education institutions transfer unused funds from one year to another?		
The capacity of universities to own buildings	<p>Allocation of financial resources within the university is carried out through a mechanism similar to per university distribution and could be described as follows. Regardless of their source of origin and money-bringing units, all money are collected at university level and the same allocation methodology applies. The decision is taken by the Board which is guided by the principle "money follows work".</p> <p>First, the number of FTE students is considered, i.e. those that passed the exams at each faculty. As basis the social sciences students are taken, for others a Ministry-approved coefficient depending on the complexity of education is applied. There are 4 areas of education. At university level, for administrative expenses 10% of all amount is retained. 4,8% is retained for library needs and for its maintenance (actually, the library submits an exact plan of activities and money is given according to the rate mentioned). The remaining money goes to faculties. Faculties distribute the money among departments.</p>	
Tuition fees policy with regard to foreigners		
Student scholarships		

Allocation of financial resources within the university	<p>The faculty develops an exact budget providing also 8.3% allocated for faculty needs. Around 17% are amounts required for building maintenance.</p> <p>An example of department-level budget:</p> <p><b>REVENUE</b></p> <p><i>V. Teaching work:</i></p> <ul style="list-style-type: none"> <li>– Teaching activities (FTE-based according to the taxi-meter principle):</li> <li>– Revenue depending on the number of graduates (performance). Is a bonus by which the Ministry stimulates completion of education within the established period.</li> <li>– Tuition fees paid for MBA or for second diploma education.</li> </ul> <p><i>VI. Research activity:</i></p> <ul style="list-style-type: none"> <li>– Revenue from core financing:</li> <li>– Depending on the number of publications;</li> <li>– External funds;</li> <li>– Direct external financing (from the Research Council as a result of competition)</li> </ul> <p><i>VII. Doctorate</i></p> <ul style="list-style-type: none"> <li>– Depending on the number of enrolled students;</li> <li>– Depending on the number of degrees obtained.</li> </ul> <p><i>VIII. Payment-based services:</i></p> <ul style="list-style-type: none"> <li>– Consulting services for companies;</li> <li>– Other.</li> </ul> <p><b>EXPENDITURE:</b></p> <p><i>V. Salaries:</i></p> <ul style="list-style-type: none"> <li>– For teaching</li> <li>– For administrative work;</li> </ul> <p><i>VI. Building expenses (depending on surface);</i></p> <p><i>VII. Degree programs and courses (per student allocation negotiated at dean and course level)</i></p> <p><i>VIII. Department administration:</i></p> <ul style="list-style-type: none"> <li>– salaries for service personnel (secretary)</li> <li>– delegations, conferences;</li> <li>– IT;</li> <li>– representation expenses (coffee, ...)</li> </ul> <p><i>V. Various taxes:</i></p> <ul style="list-style-type: none"> <li>– 10% university; 4,8% library; 8,3% faculty</li> </ul> <p><i>VI. Teaching from other faculties</i></p>	
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## Annex 9. Data reporting and data analysis for Romania

Problem/question formulation	Findings	Comments
Higher education financing model	<p>Global financing. Under this financing system of universities the Ministry is entitled to allocate budget chapters no more, thus allowing universities to be financially autonomous. Such a global financing system implies the shift from inputs financing to outputs financing. Public financing of higher education institutions is carried out from the budget of the Ministry of National Education according to three main directions<sup>17</sup>:</p> <ul style="list-style-type: none"> <li>• <i>core financing</i>, covering major teaching-related expenses and being allocated through multiannual education grants following priority education areas that provide sustainable and competitive development of the society;</li> <li>• <i>complementary financing</i> – covers several aspects related to the teaching process: accommodation and food subsidies, funds for equipment, investments and capital repairs, and also funds for scientific research;</li> <li>• <i>supplementary financing</i> – offered to stimulate the excellence of institutions and education programs both within state and private universities.</li> </ul>	Core financing is carried out to finance both education and part of research. Normative acts sufficiently describe this fact.
The methodology for allocation of budgetary financing resources for the universities.	<p>Effective distribution of budgetary allocations to universities is done by the Ministry of National Education based on contracts concluded with higher education institutions.</p> <p>Consolidation and validation of support information, development of electronic applications and their use for the calculation as such as well as relevant paperwork regarding proposals on annual and monthly allocations of budget funds to higher education institutions is carried out by Higher Education Financing Service (FIS) within the Executive Unit for Financing Higher Education, Research, Development and Innovation (UEFISCDI) under the guidance of the National Council for Higher Education Financing (CNFIS).</p> <p>The methodology for allocation of budget funds to core and supplementary financing based on the excellence of state higher education institutions from Romania undergoes changes from one year to another. For 2013<sup>18</sup>, there were provided several specific details.</p>	The allocation of financial resources to universities is also done taking into account their performance.

<sup>17</sup> <http://uefiscdi.gov.ro/Public/cat/569/Finantarea-Invatamantului-Superior.html>

<sup>18</sup> Methodology for allocation of budget funds for core financing and supplementary funding based on excellence of higher education institutions from Romania for 2013, link <http://goo.gl/WrmCqt>

Private financing forms and their monitoring.	Universities may have financial benefits from certain private sources, such as: <b>investment objectives funds</b> , competition-based funds allocated for institutional development, competition-based funds allocated for inclusion, scholarships and students' social protection, as well as from own revenues, interest, donations, sponsorships and fees legally received from Romanian or foreign natural and legal persons, and also from other sources. These revenues are used by higher education institutions under university autonomy conditions in order to achieve their respective objectives assigned according to the state policy in the field of university education and scientific research.	
The capacity of universities to borrow money.	The Law on National Education provides that state financing of higher education can be performed on a contract basis also through the assistance of other ministries for those higher education institutions that train specialists based on the needs of respective ministries, as well as by means of other sources, including loans and external aid.	
How large is the autonomy of higher education institutions in terms of tuition fees paid by students? Who establishes the amount of tuition fee?	Under LNE, higher education institutions have autonomy in determining the amount of tuition fee. Their value is determined by university senates. As basis for the amount of tuition fees is considered the cost of training an equivalent student, calculated at every university.	We consider it correct that the amount of tuition fee should reflect the total costs of student training.
Can higher education institutions transfer unused funds from one year to another?	Funds remaining at the end of the year after budget execution in accordance with institutional and complementary contract, as well as funds related to university scientific research and extra-budgetary revenues remain available to universities and are included in the income and expenditure budget of the institution, with no payments to the state budget and without affecting next year's state budget allocations (LNE, Art.225).	The possibility to transfer unused funds from one period to another enables universities to make long-term plans.
The capacity of universities to own buildings	Public or private universities own their assets, managing them by law. State universities may own movable and immovable assets within the public or private domain of the state. Subjective rights of the universities over public sector assets, under the law, can be administration, use, concession or renting rights. By government decision, public domain assets can be converted into private property of the state and transmitted to state universities in accordance with the law. State universities have property rights on their owned assets. Ownership over real estate as well as other real rights of state universities are subject to real estate public procedure stipulated by special legislation.	

Tuition fees policy with regard to foreigners	Romanian Government Ordinance, no. 22 of August 29, 2009, sets the minimum amount of tuition fees, in currency, for people studying on their own account in Romania as citizens of non-European Union countries as well as from non-European Economic Area countries and non-members of Swiss Confederation. University Senates may establish the final amount of these fees, but not lower than the amount set in the mentioned ordinance.	
Scholarships and other students support facilities	Students benefit from performance-or merit scholarships in order to stimulate excellence and also from social scholarships financially supporting low-income students. Scholarship values are determined by every higher education institution individually. They are designed to cover accommodation and food costs. The university establishes the number of scholarships from the total amount of higher education-financed expenditure. Funds are released annually by the Ministry. There is no possibility for state guaranteed loans or family allowances, and parents receive no tax benefits at all.	
Allocation of financial resources within the university	Allocation of financial resources inside Romanian universities is decentralized. Financial resources cover the costs of university structures and services, utility payments and provide a maintenance and development fund for a university. The amount corresponding to each category is proposed by the Administrative Board and approved by the Senate at the beginning of every academic year. After allocating money for payment of utilities, services and ensuring maintenance and development funds, the funds from core financing and from tuition fees are distributed within the university according to the amounts attracted by the structures.	

# **Benchmarking Analysis of Human Resources in Lithuania, Scotland, Sweden, Denmark and Romania**

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## 1. INTRODUCTION

The Human resources (staffing) autonomy is one of the four pillars of university autonomy, materialized in the right of the institutions to set their own recruitment procedures, to develop their own salary (pay) system based on performance indicators specific to each institution of higher education and to decide on the procedures for promoting staff etc. Human resources (staffing) autonomy as defined in the Declaration of European Universities (2007) presumes the freedom of universities to recruit and select qualified human resources, their responsibility for contracting work, determining salaries and salary increments depending on the value of human potential.

The purpose of this study is to conduct a comparative analysis of human resources (staffing) autonomy in five European countries whose experience and best practices will serve as basis for drafting proposals to amend the existing legal framework in our country. Experience retrieved from these universities will contribute significantly to strengthening university autonomy in the Republic of Moldova.

In this context, all dimensions of human resources autonomy across five European countries will be examined by analyzing a series of regulatory acts, both those issued by universities, as well as those issued by external authorities.

## 2. METHODOLOGY

To achieve the objectives of the study a desk-top research was initially carried out. Analyzing the current research on the comparative study of university autonomy in EU countries (University Autonomy in Europe I (2009) by Thomas Estermann and Terhi Hakki, University Autonomy in Europe II, the Scorecard (2012), by Thomas Estermann, Terhi Hakki and Monika Steinell) and based on the experience gained in preparing the consolidated report on the current situation of university autonomy in higher education institutions of Moldova, criteria (and sub-criteria) were identified that are used to describe human resources (staffing) autonomy of universities.

The first stage was dedicated to the development and improvement of autonomy indicators and to the description of elements which, in terms of higher education institutions, represent certain restrictions. As a result of this phase, Annex 1\_ Data\_collection\_template was developed – a template for collecting the data needed for the study.

The second stage was dedicated to collecting and analyzing data derived from regulatory acts which, directly or indirectly, regulate the system of higher education institutions, statutes and other relevant acts of project partner universities in the EU countries.

To ensure clarity and comparability of the results and to get a broader picture of national trends, scope and constraints regarding the institutional autonomy, study visits were conducted at project partner universities in EU countries in the third stage. The results of stages two and three are shown in Annexes 2\_Data\_collection-analysis\_template, containing analysis of information collected by countries.

As mentioned, this comparative study is developed based on the criteria and sub-criteria, presented in the table below, which, in our opinion, are characterizing extensively all aspects of human resources autonomy.

Criterion	Sub-criterion	Explanation / Comments (if necessary)
<b>1. Freedom/Ability to decide on recruitment and employment procedures</b>	Bodies responsible for recruitment and employment procedures	Competence of the bodies
	Recruitment and employment methods and procedures. Approval/confirmation of recruitment/employment	External employment approval
	Types of employment and employment contracts	Period of employment
	Conditions for appointment to posts in higher education. Academic career	Description of positions and unification of applied procedures
	Staff of the institutions	Methodology and approval



<b>2. Freedom of institutions to decide on the promotion of staff</b>	Evaluation of staff	Procedures, internal and external evaluation
	Students' role in the promotion of academic staff	Evaluation of academic staff by students
	Academic mobility of teachers and internationalization policies	Guarantees and compensations for the academic staff
	Rights and freedoms of higher education staff	University autonomy versus Academic freedom. Sabbatical leave/academic leave
	Invited academic staff. Honorary titles awarding	Procedures
<b>1. Freedom to decide on the workload</b>	Structure of teaching/academic workload.	Quantification of activities. Their share
	Working hours. Obligations of higher education institutions' staff	Annual volume of working hours. Functional obligations.
<b>2. Freedom to decide on the salary system</b>	Salary structure. Incentive payments	Fixed pay. Variable pay. Minimal and maximum limits
	Bodies empowered to set salaries.	Internal and external bodies
<b>5. Freedom to decide on the termination of employment contracts</b>	Grounds for termination of employment contracts, specific for higher education	Methods and procedures
	Termination of employment contracts with managerial staff	Grounds and competences.

Case Study, benchmarking analysis, is presented in Chapter IV. The criteria and sub-criteria respectively (Table I) served as basis for carrying out benchmarking analysis. For this purpose the template for benchmarking analysis has been developed (Table 3 Consolidated Report). Benchmarking analysis of data is presented in Table 2 (Chapter IV).

## 3. AUTONOMY OF HUMAN RESOURCES BY COUNTRY

### 3.1. Lithuania

#### 3.1.1. Freedom/Ability to decide on recruitment and employment procedures

Law on Higher Education and Research (no. XI-242 of 30 April 2009) of the Republic of Lithuania states that the mission of higher education and research is to ensure the country's public, cultural and economic prosperity. Relevant policies developed at the country level guarantees the quality of the entire system by involving the best academic staff in teaching and research activities. In this regard, the right/freedom of higher education institutions to decide on the procedures of recruitment and employment of the best performing employees, depending on the institutional strategy, is recognized. At the same time, each higher education institution is obliged to respect the fundamental rights and freedoms of employees, guaranteed by the legislative acts containing labour law rules. Internal regulations with respect to labour relations should be developed in strict accordance with the general regulations of the labour law. Freedom of higher education institutions to decide on recruitment and employment procedures is correlated with the general principles of the labor law: neither higher education institution, regardless of how much autonomy it has, should establish internal regulations pertaining to employment and recruitment which would contravene the Labour Code of the Republic of Lithuania.

##### *3.1.1.1. Bodies responsible for recruitment and employment procedures*

Law on Higher Education and Research lays down general rules for the proper functioning of higher education institutions. Art. 20 of the Law establishes the Council of Higher Education Institution as higher governing body of the institution. The legislature has invested the Council with the following rights, related to the employment procedures:

- a) Develop procedures and employment criteria for the position of rector of the higher education institution, as well as procedures and grounds for his/her dismissal;
- b) Elaborate selection criteria and principles of employment of higher education institutions' staff.

The Statute of Mykolas Romeris University, published in the original version in the Official Gazette of the Republic of Lithuania on 23.07.2009 (last amendment of 26.07.2012), empowers the Council with the following rights:

- Setting the procedure of organisation of the University Rector elections through open competition;
- Electing, appointing to the office and dismissing from it the Rector;
- Setting the principles of selection and employment of the University staff.

From what was reported it emerges the idea that human resource autonomy, in terms of the right of the institution to set its own recruitment procedures and criteria for employment, is one large. The hiring of any employee of an institution of higher education is not confirmed/approved by any external authority; approval/confirmation for managerial positions is not re-

quired either. For example, the procedure for the employment of the Rector of higher education institutions is described broadly in art. 22 of the Law on Higher Education and Research. Similarly, Section III of the Statute of Mykolo Romeris University of Vilnius describes in detail this procedure. The Council, the supreme management body of higher education institution, is the authority empowered to establish the rules and procedures for the elections of the Rector. The Council announces an open competition to fill the position of Rector. The Rector is considered to be elected, if at least three-fifths of the Council members have voted in his favour. To be able to participate in the contest for the position of rector the candidate must meet the following conditions: hold a scientific degree or be a person recognized in the field of arts (available for higher education institutions in the artistic field), with experience in teaching and management. The Statute of Mykolo Romeris University provides a detailed description of the competition. If no candidate received the required number of votes in the first round then another round of elections will be announced additionally which will include only the top two candidates who obtained the majority of votes. After announcing the results of competition, the Chairman of the Council or any other person authorised by the Council will sign, on behalf of the University, an employment contract with the elected Rector for the duration of his term of office. The Rector's term of office is five years. The same person may be elected Rector of the University for not more than two terms of office in succession and not earlier than after an interval of five years since the end of the last term of office, if the last term of office was the second consecutive term.

A very important detail that deserves to be highlighted is that no external authority shall confirm the election of the rector, the institution is absolutely autonomous in fulfilling its right to recruit and elect the executive manager. Despite the fact that the Law on Higher Education and Research describes the procedure of election, unifying it for all institutions in the country, each institution is free to decide definitively on the optimal candidate.

The Rector, in turn, has certain responsibilities related to achieving freedom/ability of the institution to decide on the procedures for recruitment/employment as follows:

- Issuing administrative orders binding to staff;
- Recruiting and dismissing university employees;
- Submitting to the Senate for approval the candidatures of Vice Rectors, University Chancellor, Faculty Deans, Department Heads and Institute Directors;
- Approving Faculty Deputy Deans on the recommendation of the Deans;
- Defining the functions and powers of the Vice Rectors and Chancellor.

The Rector may delegate part of his functions to the Vice Rectors and the Chancellor by an order. The Rector shall be substituted by a person authorised by the decision of the Council in case of his long-term absence.

#### ***3.1.1.2. Recruitment and employment methods and procedures. Approval/confirmation of recruitment/employment***

Employment of academic staff takes place in strict accordance with the regulations stipulated in the Law on Higher Education and Research, and with the internal regulations of higher education institutions. Mykolo Romeris University has developed a series of internal administrative acts, including the Statute and Strategic Development Plan of the University, which refers to the recruitment and employment procedures for staff.

The procedure for announcing vacancies is open, both for teaching and research staff, and for administrative staff, as well. Decision about announcing the contest is taken by the rector of higher education institution. Under the law, in terms of three months remaining until the expiration of the employment contract of a member of the academic staff of higher education and research institution, a contest will be announced based on the principle of open competition order to occupy such positions. The competition is open to persons within the educational institution, as well as from the outside. The announcement about the launch of a competition for a position must be published on the websites of the institution and the Research Council of Lithuania, as well as in Lithuanian and, where appropriate, international media.

The competition procedure for filling vacant teaching positions is described in the Regulation on recruitment, assessment and certification procedures for academic and research staff of Mykolo Romeris University. The bodies, responsible for the organization of the contest, are the Salary and Employment Committee for secondary academic and research positions (in the case of secondary didactic staff) and the Salary and Employment Committee for senior academic and research positions (in the case of senior didactic staff)). At least 1/3 of the Committee members should be from outside the academic community and, at least, one international expert must be involved when recruiting candidates for the positions of professor and senior researcher.

When referring to filling up certain management positions such as vice-rector, dean, head of department, then the following recruitment procedure will be applied: vacancies of vice-rectors and deans are advertised in the newspaper. There is a selection of candidates based on CV; the rector selects the best candidates and presents the candidate to the Faculty (in the case of deans). Subsequently, the Rector will submit to the Senate for approval the candidatures of Vice-Rector, Chancellor, Deans and Heads of Departments. Also on the recommendation of Deans the Rector will approve Deputy Deans' applications. Academic activity of Deans is supplementary work to the basic managerial position. The Dean can have up to 0.5 teaching load. This limitation of teaching activity also refers to other persons who hold administrative positions.

In Lithuania legislation sets restrictions to the right of access to certain positions in higher education institutions for those persons who have been convicted of certain deeds, which are incompatible with scientific-didactic activity, or have certain restrictions to filling up certain administrative positions.

#### ***3.1.1.3. Types of employment and employment contracts***

Scientific-didactic positions will be filled as basic positions through a contest; as a first step, an individual employment contract will be signed for a period of five years, then after the second consecutive period, the individual employment contract will be concluded for an undetermined period. The competition will be launched by Rector's decision. After accepting candidatures for the contest, dossier evaluation will be conducted in accordance with the procedure established by various laws and regulations. Mykolo Romeris University has constituted the Recruitment Committee by Senate decision, which assesses the applications of participants in the contest. This Committee will not assess dossiers of candidates to post-doctoral fellowships. No less than one third of the members of the Recruitment Committee should be people who do not work at the University. When the contest for the

position of professor is announced, at least one international expert should be involved in the Recruitment Committee.

A person, who intends to work part-time at the university, will indicate his position (type of work) at the place of full-time employment or other jobs, where he works part-time, in the application for participation in the competition.

All employment related disputes shall be settled by the Committee for Labour Disputes Settlement out of court.

#### ***3.1.1.4. Conditions for appointment to positions in higher education. Academic career.***

The Law on Higher Education establishes minimum conditions for appointment to scientific-didactic posts in higher education institutions, laying down that the institution has the right to set its own criteria, which cannot be lower than those set out in the Law. In accordance with the legal provisions the following criteria are established for the appointment to scientific-didactic positions, as follows:

- The position of university professor can be held by a scholar or an outstanding personality in the artistic field (valid for higher education institutions of arts). The scholar who will hold the position of university professor will coordinate the activities of other academic staff, will teach students, lead research and development activities, making the results public;
- The position of associate professor can be held by a scholar or an outstanding personality in the artistic field (valid for higher education institutions of arts), who will teach students, lead research and development activities, making the results public;
- The position of lecturer can be filled by a researcher or a person who holds, at least, the Master's degree or its equivalent. During employment, the lecturer will be responsible for teaching students and will undertake methodological work;
- For candidates to the position of assistant professor it is mandatory to hold the Master's degree or its equivalent. The job of assistant professor will be oriented towards the students' practical training activities. At the same time he will assist research and development works.

The establishment of minimum conditions for appointment to scientific-didactic positions by the higher education framework-law comes to support the idea that university human resources autonomy should be correlated with the principle of public accountability of the institution, the University being free to select its staff, to establish its own criteria (which shall not be lower than those established by law), but selection should be among the best candidates or the State, being aware of the role of University in society, establishes rules that will lead to the fact that the option of higher education institutions will be in favour of the best performing candidates.

Internal regulations of Mykolo Romeris University establish the conditions of filling a certain position.

Decision of the University Senate of 22.12.2005 establishes the minimum requirements which the candidate to an academic position must meet (teaching and research) within the institution. For example, to hold the position of associate professor, after obtaining a PhD degree, the candidate must meet one of the following conditions, at least:



- to publish a significant scientific monograph, a study, an original fundamental or theoretical scientific research, published by the University or by another recognized publisher;
- to have published scientific articles and have developed methodical guides;
- to publish a scientific paper, a manual and a scientific article;
- to publish various materials or achieve significant applied research and have published at least one scientific article.

The procedure for granting scientific-didactic titles of associate professor and university professor.

By Decision of the Senate Mykolo Romeris University of 12 May 2008 it was established that the scientific-didactic titles mentioned above are awarded to university lecturers by the Senate, at the proposal of the Faculty Councils, if the candidate meets the following conditions:

- to work in the position of university professor/associate professor for 5 years with a teaching load of not less than 0.25 unit;
- to be certified (attested) at the end of employment, according to internal procedures developed by the Senate;
- to hold scientific degree;
- to meet the requirements for the position of university professor/associate professor.

Awarding of scientific-didactic title may be decided by the Senate earlier than 5 years if the person meets all the requirements listed above, but not earlier than 2 years.

It should also be noted that staff of higher education institutions do not have the status of civil servant, this provision includes only managerial positions: Rector, Vice-rector, Chancellor, Dean etc.

#### ***3.1.1.5. Staff of the institutions***

University staff consists of teaching and research staff, administrative staff and other staff responsible for the daily operations of the University. Labour relations, social guarantees, rights and obligations of the employees and the University are established by laws, the Statute of the University and other normative acts issued by the competent authorities, and other acts adopted by the governing bodies of the University.

In Lithuania there is no methodology, both at national and institutional level, which would establish criteria under which the required number of teaching or administrative positions is approved. As noted by Mykolo Romeris University officials when there is a degree programme in place, the necessary number of teaching positions is determined depending on the subjects taught. Also, it is not necessary that staff of higher education institutions must be approved by an external authority; the institution receives budget funding per student, which forms a joint budget of the institution along with other sources of income.

According to Government Decree (no. 402 of 13.05.2009) on establishing norms for estimating the cost of studies for places funded by the state budget, there are 7 types of formulas to calculate the number of teaching staff demanded, correlated to the number of students. In accordance with this methodology, one teaching position (one unit staff) is necessary for an average of 20 students and an administrative-technical position is demanded for an average of 25 students. These are the criteria underlying budgetary financing, other-

wise, as previously mentioned, the staff positions' development is the prerogative of higher education institutions.

### **Conclusions through the Government-University interface**

Art. 7 of the Law on Higher Education and Research defines how autonomy of higher education institutions is achieved, correlated with public accountability of higher education institutions. Generally, university autonomy of human resources is achieved by the institution prerogative to decide on establishing its own structure, its own internal working methods, staffing, rights, obligations and conditions of payment system for the work done, terms of filling a certain position, setting certain performance indicators for employees, taking into account the legislation in force.

It is this provision that draws the intersection in the relationship between the **Government and University**. Exercising the freedom of higher education institution to decide on the recruitment and employment of staff should not limit the rights and freedoms guaranteed to employees and employers through various legislative acts. Art. 11 of the Labour Code of the Republic of Lithuania states that in case of occurrence of certain contradictions between the institution's internal regulations and the provisions of the Labour Code, the provisions of the last act will apply. However paragraph 2 of the Labour Code states that where internal documents contain provisions with more favourable rules for the employee these will apply. So, the institution has the right to develop its own procedures, to set its own criteria of employment to the extent that they do not contravene the rules of the labour law.

### **3.1.2. Freedom of institutions to decide on the promotion of staff**

This criterion of university autonomy in the area of human resources materializes in the right of higher education institution to decide on providing career development of staff by shifting to a higher professional degree, position or level.

#### ***3.1.2.1. Evaluation of staff***

Staff assessment procedures are part of the quality assurance system of each institution and shall be in accordance with the Law of Higher Education and Research. These procedures are developed by each institution and the evaluation itself is carried out by internal university structures empowered with this law by the University Council and the Senate.

In particular, Mykolo Romeris University has two units responsible for the evaluation and certification of personnel, depending on the position held by the employee under evaluation. The initiation of certification/assessment procedure is done by the Rector, at the proposal of Deans, Directors of institutes/research centers.

#### ***Assessment could be done:***

- periodically, which can be applied in relation to the staff employed under employment agreements concluded for an indefinite period;
- intermediary, which applies to staff employed for a period of 5 years, mid-term;
- extraordinarily that apply in the event of any potential risk that an employee will not meet the qualification requirements needed for the position holder; unqualified execution of work obligations or failure in adhering to the values of higher education institution.



Evaluation/certification involves an analysis and examination of the compliance of results achieved by the academic staff with the qualification requirements, loyalty to the values of the University, contribution to teaching, creativity, as well as the results obtained in research. The assessment takes into account both the results and the new perspectives. In this respect, various relevant documents (certificates of scientific papers accepted for printing, new monographs written, development of new curricula etc.) will be presented.

Each person who is subject to evaluation will be announced by the Department of Human Resources on the date, time and place where the evaluation will take place by e-mail at least two weeks before the event. If the employee is not able to be present for some objective reasons or in case of refusal to participate in the evaluation meeting, the procedure can take place in his absence. The period of employment under evaluation is 2 years, or 5 years when assessing employees with an employment agreement with a duration of 5 years; in case of extraordinary evaluation it will be taken into account the period from the last assessment to the current evaluation date.

Also, those employees, who have been on maternity leave or/and on leave for child care until the age of three years, will be not subject to evaluation and a dispensation of time will be given to them to improve their portfolios.

The result of employee's periodic evaluation will be certified, certified with honours and non-certified. Based on these results, the Evaluation Committee will make proposals on the teacher's salary and can decide whether the employee meets or not the conditions for access to a higher position.

If extraordinary evaluation, the result will be: certified or uncertified.

The evaluation result will be recorded in the minutes of the meeting, which will include conclusions and reasons regarding the taken decision. The minutes shall be signed by the Chairman of the Evaluation Committee, and in his absence by the Chairman of the sitting. For the final outcome of the evaluation procedure unanimity is not required, but only a simple majority. In all cases secrecy of the vote will be ensured. The employee will be notified upon signature on the minutes of the evaluation meeting. It is considered that the employee is familiar with the assessment results, even in case of his absence from the meeting of the Evaluation Committee.

If non-certification of employee occurs, the employment agreement will be terminated under this ground, in accordance with the legal provisions in force.

In case the employee does not agree with the result of the evaluation, it is entitled to apply to the Committee for settlement of labour disputes, citing procedural violations, within three days from the date when the employee became acquainted upon signature with the minutes of the evaluation meeting. Committee for settlement of labour disputes will hold a meeting to resolve the complaint no later than 7 days from its submission. Committee's decision on the rejection or acceptance of the complaint is taken within 14 days since the complaint was submitted. If the complaint is admitted, the employee will be re-evaluated. The Evaluation Committee will adopt a new decision within 5 working days. A new complaint against a new decision of the Evaluation Committee shall be submitted only to the competent court.

#### ***3.1.2.2. Students' role in the promotion of academic staff***

Generally, according to the Law of Higher Education and Research of the Republic of Lithuania, students have the right to choose the teacher to attend a particular subject if the subject is taught by more teachers.

Students in Lithuania are entitled under applicable law, to assess the quality of teaching and curricular support used by a particular teacher.

For example, at Mykolo Romeris University it is customary on-line evaluation of the content and teaching methods by students throughout the study year. At the end of the academic year data is counted. This assessment is essential for determining the quality indicators in the university, having a significant impact on the quality of the teaching process. The Deans and the Rector meet regularly with representatives of the students to discuss the problems encountered in the learning process and to find common solutions to solve them.

If a student believes that his rights have been violated in a certain way, he can appeal to higher education institution administration to defend them. In this respect, the law requires that every institution of higher education establishes a Committee for the settlement of disputes that arise between students and staff of higher education institution. Membership Committee will be established on the principle of parity, being composed of an equal number of representatives of the administration of higher education institution and an equal number of representatives of student organizations. Committee's procedure is regulated by the Statute of the higher education institution.

Complaints submitted by students will be examined within one month. Committee's meetings are considered valid if at least 2/3 of its members meet. Decisions will be validated if they are taken by simple majority vote of the Committee. The Committee's decision, which is the final one, will be presented to the student in writing.

#### ***3.1.2.3. Academic mobility of teachers and internationalization policies***

Staff mobility is encouraged, internationalization being a strategic priority of the Lithuanian higher education. In this respect, universities are free to establish their own procedures for achieving mobility. Mykolo Romeris University does not operate suspension of employment agreements for the mobility period, regardless of how long it is. Full salary is maintained during three months and, after this period, only 30 percent of salary is maintained. In this sense, higher education institutions are free to establish their own procedures and rules that are part of their strategic priority, as well as taking into account the economic and financial situation of each institution.

Similarly, there is no legal impediment to academic staff from outside Lithuania to work in higher education institutions under the same conditions as nationals of Lithuania.

#### ***3.1.2.4. Rights and freedoms of higher education staff***

The law grants to the staff of higher education institutions and research the following rights:

- to participate in competitions for obtaining grants and funds for research and to use these resources according to their destination;
- to participate in competitions for postdoctoral fellowships in Lithuania and abroad;
- to obtain information from state institutions that is necessary to conduct research work. Where such information is declared to be state secrets or is considered information with official status, it will be provided and applied according to the existing legislation;
- to formulate proposals for the amendment of a normative act and participate in the development of internal regulations of higher education institution;

- to become a member of various associations and trade unions in the country and abroad;
- to work independently or join various research and creation groups;
- to publish their scientific work independently.

As for the right of academic and research staff to holidays, they receive annual leave with extended length; thus, art. 167 of the Lithuanian Labour Code stipulates that employees whose work involves more psycho-emotional effort benefit from extended annual leave lasting 58 days. Art. 178 of the same law governs the categories of additional leaves, making reference to the creation leave (sabbatical leave). Art. 182 of the same law defines this notion, stating that this type of leave is granted for the completion of a thesis, writing of scientific papers etc., the length and conditions of granting being governed by the internal regulations of the institution. The Law on Higher Education and Research provides that for every five years of academic activity, members of academic staff can be released from scientific and didactic work for a period of one year to improve their qualifications. During this period the employee will be paid the average salary.

#### ***3.1.2.5. Invited academic staff. Honorary titles awarding.***

Higher education institutions have the right to invite academic and research staff from abroad to work in the university, under employment agreements concluded for a determined period not exceeding a 2 years term. Recruitment of these employees is a simplified procedure, preceded only by the invitation of the administration of the institution, without initiating any competition.

Higher education institutions are entitled under the legislation to award the following honorary titles: ***Research Associate and Professor Emeritus***.

The title „Research Associate” is awarded to a scientist (researcher) who once worked in the higher education institution, but currently, working under an employment agreement in another higher education institution. With prior approval of the University Senate, the Research Associate can return to the university without the need for a competition and hold the above-named position until the end of the employment agreement. The period during which the Research Associate worked in another university is considered work period and should be included in the calculation of the employment period.

The honorary title “Professor Emeritus” is awarded by the University Senate to a professor who has performed outstanding academic activity in the higher education institution. Professor Emeritus has the right to participate in the academic and research activities of the institution. The holder of this position is paid a monthly Professor Emeritus salary, paid from the University funds established particularly for this purpose.

#### **Conclusions through the Government – University interface**

Law on Higher Education and Research establishes minimum conditions necessary for the evaluation of academic staff. For the realization of university freedom in setting its own criteria and procedures for staff evaluation, Mykolo Romeris University has developed its own Regulation. State intervention in this area is minimal, given that performance indicators underlying the institutional accreditation involve a serious and rigorous evaluation of staff.

### **3.1.3. Freedom to decide on the workload**

Freedom to decide on labour norming lies in the higher education institution right to decide on the distribution of working time, work norms, accurate determination of work tasks that should be carried out by a member of the academic community.

#### **3.1.3.1. Structure of teaching/academic workload**

As mentioned, workload of academic staff consists of teaching and research. For the intended teaching activities, 100% salary is guaranteed, for research which represents about 40% of the workload, payment will be made depending on whether the staff have carried out all research activities that are part of this normative work (scientific publications in certain journals, participation in scientific conferences and forums etc.) planned for different categories of academic staff. If not all activities have been carried out, research activity will be paid proportionally to the work done.

#### **3.1.3.2. Working hours. Obligations of higher education institutions' staff**

Working time is the period of time that employees of higher education institution, in accordance with the regulations, use to fulfil labour obligations. Since teaching and research involve an increased psycho-emotional effort, the legislator has established the reduced duration of working time. For non-teaching staff of higher education institutions, the normal working time is 40 hours weekly. According to internal regulations of Mykolo Romeris University the annual normal academic workload (unit) is allocated for 1000 hours, of which 400 hours are for research and 600 hours are for teaching. The hours for teaching include also a volume of administrative workload which should be carried out by each scientific and didactic employee. When referring to contact hours, then the situation is outlined as follows: professors – 160 hours; associate professors – 240 hours; lecturers – 280 hours and assistant lecturers will fulfil a volume of 320 hours.

According to the Law on Higher Education and Research, the general responsibility of the Lithuanian academic community is to comply with the tasks and obligations under the individual employment agreement, to fulfil work obligations set out in the job descriptions, qualitatively and quantitatively.

Generally each higher education institution has its own Code of Ethics, which rules should be observed by all members of the academic community.

### **3.1.4. Freedom/Ability of universities to decide on the salary system.**

The freedom of higher education institution to decide on the labour remuneration system is manifested by its right to decide on the salary system, bonuses, setting various salary increases depending on the complexity of work performed and the volume of works carried out by an employee.

For example, certain procedures for ranking university faculties and staff were established within Mykolo Romeris University in order to make staff motivation mechanisms more efficient, to improve the quality of teaching and research and to make staff assessment more impartial. Academic staff rating is done by the departments and monitored by the faculties.

Practically, carried out activities are given a score as:

- training and methodological activities – 40%;

- scientific publications – 40%<sup>1</sup>;
- other research activities (without publications), organizational work and participation in project management – 10%;
- civic activities – 10%.

Rating procedure takes place as follows:

- each member of the academic staff fills in an online questionnaire, which is approved by the Head of Department. After counting annual results, each teacher can check personal outcomes and can compare them at departmental, faculty and university levels;
- the same methodology is applied to establish the rating of university faculties. Counting of annual results brings a score to the faculty, grading it on a certain place in the university rating, based on the above mentioned criteria;
- rating results are discussed at departmental and faculty levels, and at general assembly of the university, where the weaknesses and strengths of a particular teacher, a particular department or faculty are highlighted; recommendations and directions for improvements, and activities to be completed in the coming years are set;
- supplements to wages shall be reviewed annually, based on the results of academic staff rating.

Mykolo Romeris University policies on the remuneration of performed labour are geared towards highlighting personal merit and individual results of each employee.

#### ***3.1.4.1. Salary structure. Incentive payments.***

Referring to the salary structure it should be noted that both activities, teaching and research, are remunerated in Lithuania.

If we talk about the salary structure then it consists of a fixed part and a variable one. The fixed part of the salary is the same for similar academic positions and does not depend on the scientific degree or length of service of a particular employee; therefore salary is not negotiable, the salary scale being not applicable to a particular position. Salary is distinct only for different academic positions, e.g. the salary of the professor is different from the salary of the lecturer. The state guarantees the minimum wage for any employee of the higher education institution, but does not limit the maximum amount of wages that can be received.

For further accomplishments there will be set additional salary payments. In this regard, the employees will be assessed; moreover, an evaluation every five years is compulsory for those members of the academic staff who have employment agreements concluded for an indefinite period.

Mykolo Romeris University of Vilnius has developed internal administrative regulations relating to the remuneration of staff working in the institution.

According to the Regulation on the salary system of Mykolo Romeris University, approved by the University Council Decision, salary structure differs depending on the category of staff.

#### ***Remuneration of teaching and research staff.***

Their salary consists of a fixed part (comprising funds transferred from the state budget – price of studies, University's own funds, the funds transferred from the Research Council of Lithuania, including European funds), a variable part and a lump sum, the last being paid exclusively to the teaching staff.



The fixed part of the salary is paid for the monthly fulfilled workload, according to the labour obligations of the employee. The fixed part is identical for identical functions.

The variable part consists of the following salary bonuses and pay supplements:

- leadership bonuses and allowances, paid as percentage amount of the wage function (e.g. up to 25% for the President of the Senate, between 15% -30% for the heads of departments (this amount is set up according to the number of positions), up to 15% for the deputy heads of departments, up to 20% for programme directors);
- salary supplements for labour intensity, determined for deans and depending on the faculty outcomes, without limitation of their amount;
- salary supplements for carrying out labour obligations of temporarily absent employees – up to 50%;
- salary supplements for additional work carried out – up to 100%;
- salary supplements for complexity of the tasks performed – up to 100%;
- salary supplements for joint study programmes with a higher education institution outside Lithuania;
- salary supplement for the development, submission and implementation of a new study program;
- salary supplement for performance in teaching and research;
- salary supplement for young professionals employed full-time – up to 100% of the position salary;
- loyalty bonus, which can range from 10 % to 25% depending on years of service to the university;

The lump sum is awarded exclusively to academic staff employed as a teacher for the following accomplishments: for supervising PhD students, who defend their thesis ahead of schedule; for labour accomplishments during a calendar year etc.

#### ***Remuneration of non-teaching staff.***

The salary structure for non-teaching staff is consisting of a fixed part and a variable one. The variable part may be granted in the following cases:

- Performance salary supplement – up to 100%;
- salary supplement for additional work;
- salary supplement for young professionals;
- management supplements etc.

Remuneration of administrative staff is done according to the same methodology; the Rector, Vice-rectors and Chancellor shall have the same salary supplements as other employees.

#### ***3.1.4.2. Bodies empowered to set salaries***

Responsibility for establishing the system of remuneration and methodology rests solely with the higher education institution. The University Council is responsible for the management, use and disposition of funds for the remuneration of employees of the institution. As previously mentioned, higher education institution does not submit the staff structure to any authority for approval. The university draws up its annual revenues and expenditures budget, which comprises expenses for labour remuneration. Funding for education com-

ing from the Lithuanian government is used for various needs of the institution including those related to staff salaries. Correctness and lawfulness of the use of funds intended for labour remuneration is reviewed by the Lithuanian state financial bodies. It should be noted that verification is not aimed at determining whether certain salaries were set of a certain amount, but to determine whether the provisions of the internal administrative regulations of higher education institution have been observed.

However, this freedom, as component of human resources autonomy, is limited by the State, which affirms that every employer must comply with the principle of fairness in paying wages, which is manifested by the fact that the institution must ensure equal pay for similar work activities. Another provision of the Labour Code of the Republic of Lithuania, which draws as well the point of intersection of **GOVERNMENT – UNIVERSITY** interface, is the provision that any institution, including higher education ones, must guarantee as priority the payment of wages before any other claims of the institution.

### **3.1.5. Freedom to decide on the employment contracts termination**

In Lithuania the termination of employment agreements of higher education institutions staff is done in strict accordance with the requirements of the Labour Code of Lithuania.

#### ***3.1.5.1. Grounds for termination of employment contracts, specific for higher education***

The grounds for termination of employment contracts concluded with the staff of higher education institutions are in strict accordance with the law. In particular, agreements are considered terminated if the period for which they have been concluded expired, if the employee has died and at the initiative of either party. Obviously, dismissal as a way to terminate the employment contract is an expression of the fundamental right to work, the person being free to work in any institution. Termination of employment relationships at the initiative of the higher education institution can take place where the employee neglects his work obligations or there is a legal order prohibition to perform some activities (art. 128-130 Lithuanian Labour Code).

A specific reason for the higher education institution is the case of non-attestation or non-certification of the employee; in this case, the employment contract shall terminate under this grounds, in accordance with the legal provisions in force. Here, the interaction with higher education institution freedom occurs regarding the decision on the termination of employment relationships: when there are performance indicators established in accordance with the institution regulations and the employee does not meet the requirements for a position, the employer is entitled to terminate labour relations, emphasizing the quality and performance of employed staff.

#### ***3.1.5.2. Termination of employment contracts with managerial staff***

Rector's period of office is five years. With the expiry of that period the employment agreement with the Rector ceases. As the Rector forms the management team, including Vice-rectors and the Chancellor, the termination of their employment agreements occurs simultaneously with that of the rector.

If the annual activity report submitted by the Rector to the University Council is not approved by the majority of Council members, the rector can be removed from office by a majority vote of the Council members.



### **Conclusions through the Government – University interface**

Stability of employment relationships, being a fundamental principle of the right to work, is guaranteed by the Lithuanian State. Universities are required to act within the law, being autonomous to establish criteria underlying the employee's performance evaluation and a possible non-certification / non-attestation of staff would serve as grounds for the termination of employment agreement.

## **3.2. Scotland**

### **3.2.1. Freedom/Ability to decide on recruitment and employment procedures**

Scottish higher education system is regulated by a series of complex regulations established basically in papal decrees, statutes, royal charters and other regulations. Whatever type of regulatory enactment containing regulating principles of the higher education system, universities are autonomous and independent institutions, non-profit, having a collective governing body which, jointly with the Rector (head of the higher education institution), is responsible for the operations and strategy of the institution, correct and consistent use of financial resources. State interference in the field of higher education is very low, the last enjoying full autonomy in terms of human resources.

#### ***3.2.1.1. Bodies responsible for recruitment and employment procedures***

In accordance with the Scottish Code for Good HE Governance [1], the executive management is carried out by the University Court, which among other tasks is entitled, inter alia, to employ the Principle (rector), as executive manager of the institution, as well as to monitor the work carried out by him.

As well, the Court, after consultation with the University Senate is entitled to employ the Chancellor of the institution.

In particular the Court has the following responsibilities regarding human resources:

- It is the body responsible for the employment of the university staff and for drafting normative acts related to employment procedures;
- It is responsible for the employment of the Principle and Vice-Chancellor of the university, having the right to determine the conditions of employment and the main contractual clauses, and during their activity is responsible for the monitoring of their work performance;
- It is responsible for the employment of the Executive Manager and for the monitoring of the way how he/she separates the line of public responsibility to the Court from the university administration, and for the fulfilment of managerial obligations within the institution

The University of Strathclyde set up the Staff Committee responsible for the procedures and strategies related to human resources. Apart from the fact that the Committee is responsible for developing human resources policies and strategies, it shall have the role of supervisor to what extent human resources related activities are compliant with the legislation.

Generally the Staff Committee is responsible for:

- a) implementing human resources strategies and their adjustment to the overall strategy of the university;

- b) optimal selection of staff policies and procedures for the recruitment, evaluation and maintenance of competent human resources;
- c) adjusting recruitment procedures to the legal and labour market needs;
- d) periodic review of personnel procedures in order to ensure their sustainability and relevance.

The Committee is composed of: Vice-principal/Deputy Principal ex officio Convener, Principal ex officio, Deputy Convener of Court (Staff) ex officio, One further lay member of Court, Two Senior members of staff with staff management experience appointed by Senate, Chief Financial Officer ex officio, Director of Human Resources ex officio, and Secretary of the Governing Body, and elected members are: a representative of the Court and two members of senior management appointed by the Senate.

#### ***3.2.1.2. Recruitment and employment procedures. Approval/confirmation of recruitment/employment***

In Scotland all higher education institutions are free to decide on the recruitment procedures, developing their own rules associated with this procedure. Regarding the University of Strathclyde, there are a number of exhaustive internal applicable regulations, as there are no external recruitment procedures. In accordance with these procedures, University of Strathclyde comprises the following categories of staff:

*Senior Officers of the University* (the Principal, the Vice-Principal, the Chief Operating Officer, the Chief Financial Officer, executive deans, etc

*Teaching staff* (teaching activities);

*Academic staff* (academic, research, teaching and knowledge exchange);

*Support staff* (administrative and professional services, technical and operational services).

The University of Strathclyde manages a wide range of policies and procedures designed to ensure the employment of staff within the university. They are designed to provide methodological and practical support to managers and staff regarding the university vision and university position to staff working activity.

Being the subject of social dialogue and consultation between the parties of the employment relationships, procedures can be modified or supplemented, due to the changes in the labour laws or the implementation of best practices in human resources management, and change of the university vision and mission.

Employment of staff varies depending on the category of staff. There is no external authority confirming employment or approving the appointment, not even in the case of managerial positions. The recruitment procedure begins by filling in an application form called RECRUITMENT SCHEDULE, by the recruiting manager and officer in charge of the Department of Human Resources. Above-mentioned document contains details about the vacant position, advertising information about the vacancy etc.

Before declaring vacant a position it is necessary to justify all economic issues. After filling in all necessary documents, job descriptions are developed with complete description of the tasks required to be performed under the internal rules.

All vacancies will be advertised both nationally and internationally, in order to select the best performing candidate. The period of validity of the announcement depends on the nature of the job declared vacant. However, the University of Strathclyde places information about vacancies on the jobs.ac.uk site and on the the University of Strathclyde website. Publication of the announcement about the vacancy in the newspaper is not mandatory and depends on the nature of vacancy, priority being online posting of the notice about the vacancy.

When a potential candidate from outside the UK is expected to participate in the recruitment, the notice about the vacancy will be placed on the site, 28 days before the selection procedure, in accordance with the requirements of the UK Border Agency. Such a procedure is used when it is necessary to employ staff with special skills. It is binding that the announcement contains information about the salary.

The announcement is prepared by the head of the department where the potential employee will work, but it requires also the approval of the representative of the Human Resources Department. The text must be concise but clear enough for the potential candidate to be able to formulate an opinion on whether he/she fits or not the vacant position.

### ***3.2.1.3. Types of employment and employment contracts***

Employment contracts in higher education institutions of Scotland may be concluded for a determined period or for an indeterminate period. Under UK legislation on Labour Law there is an agreement at national level, establishing the probationary period in order to verify the professional skills of the new employees. Each employee is given the right to establish their own methodology on probation.

To meet the requirements of a modern autonomous university the University of Strathclyde has developed its own methodology regarding the probationary period. The reason for the established methodology is the need to determine if the potential employee will be able to make a long lasting academic career taking into account the departmental and institutional strategy. The probationary period allows full-time employees to demonstrate that they are able to fulfill the tasks as a member of the academic community. As well, it is recognized the institution's responsibility for staff career development during the probationary period and the assistance needed by each full-time employee to comply with the institutional standards. Generally, the university will contribute to:

- increasing the efficiency of the newly hired employee;
- identifying and developing the needs for training;
- complying with the requirements of the job;
- understanding the job objectives and regular evaluation of job performance;

Actual duration of probationary period is stated in the employment contract of each employee. Its length will differ depending on the position held and the duration of the employment contract. The duration will depend on the complexity and the impact of the probationary period on the development of the new employee and his correspondence with the rigors of the job. Usually the probationary period takes 6 to 36 months. During the probationary period, the full-time employee will be provided with assistance offered by the Head of department and the Dean. A mentor throughout the probationary period is appointed for each employee in order to provide the necessary support. The mentor will be an experienced

member of the academic community, in the activity area of the employee during the probationary period. Together they will draw up a plan of activities necessary to be achieved by the newly hired employee and the mentor will assist with the diligence required by an appropriate mentor.

During the probationary period, regular performance evaluation will be carried out and all necessary measures will be taken to improve performance. The employee subjected to the probationary period will be continuously monitored by the Head of the given unit. During this time the employee is obliged to acquire a minimum of 30 credits by attending the training courses made available by the university, including the psycho-pedagogical module.

At the end of probationary period the employee will be evaluated by a specially constituted committee, based on the following criteria: teaching, research and administration. The evaluation results will be essential for further activity of the employee. In case of unsatisfactory results of the probationary period, the employment contract will cease based on this ground, observing the rigors of the law. The employee is guaranteed the right to appeal against the decision of the evaluation committee.

***The employment contracts of staff enrolled in doctoral studies.***

If we talk about the conclusion of the employment relationships for the length of doctoral studies, it is necessary to emphasize that research during doctoral studies involves a special effort since it would not leave free space for employment activities with partial regime. However, it is not uncommon for a PhD student to work part-time, especially to carry out teaching activities. In some disciplines doctoral students assist professors during laboratory activities.

The specific criteria to be met by the doctoral student limit the working time length that he must devote to labour activities. Six hours weekly is the maximum time that can be allocated to such activities because a person who undertakes doctoral studies is not allowed to work fulltime.

***Conclusion of contracts with employees' spouses or with their relatives. Conflict of interest.***

Within the University of Strathclyde there are no impediments to the employment of relatives or spouses of members of the academic community. As an expression of human resources autonomy, the university will employ the most powerful person on criteria of equal opportunities for employment and performance of the selected candidate. However, it is welcome to avoid situations where conflict of interest may occur.

Measures to be taken:

- All employments shall be conducted in accordance with the procedures approved by the University;
- All positions will be open for competition, and information about these positions will be published according to the recruitment requirements;
- No member of the academic community, whose relative or spouse participate in the contest to fill a position at the University, will be involved in any of the following activities:
  - Selection of candidates
  - Submission of recommendations

- Participation in the interviews
- Contacting the candidate for any reason
- Decision making on employing the candidate.

If a member of the academic community knows about the fact that a relative/spouse intends to enter into an employment relationship with the university, the first will inform the leaders of the Human Resources Department in writing before starting the recruitment procedures. These rules are applicable to all members of the academic community whatever form of contract and its duration.

***The employment contracts of the university management.***

When referring to the procedures used to sign labour contracts with the rectors of higher education institutions in Scotland, it should be noted that the same procedure is applicable to all higher education institutions, by applying the following criteria:

- Hiring is done by the executive body, and is preceded by a careful selection of candidates. Contract terms are determined by the Executive Body, as well.
- Appointment is based on the criteria of transparency specifying that the person taking the job should prove specific abilities and skills to interact with the non-academic environment.

Similarly it is worth mentioning that rectors are not public servants.

Employment of the Vice Rector, the Chancellor and the Deans is decided by the University, no external authority confirms or approves their employment. The Rector has the right to form the management team, based on the criteria of professionalism, transparency and absence of the conflict of interest.

The Head of Department is employed for a period of 3 years. Employment is based on the interview, promoted by a panel consisting of 6 members, usually the dean and other university managers.

The Head of Department is responsible for maintaining and promoting the efficiency of the department, being the department representative to the executive body. The Head of Department takes advantage of a management allowance, and 50% of its work is dedicated to the management and administrative activities. After termination of employment relationships, he shall receive a paid leave, making one month for each worked year in this position, but not more than 6 months. Employment of the Vice Deans will follow the same procedure; their workload is 50% teaching and 50% management activities.

**Senior Officers of the University**

The ***Vice-rector (Vice-Principal)*** shall exercise such functions and responsibilities, as the Court shall deem fit. Remuneration of job is established by the same body. During the absence of the Principal, the Vice-Principal shall undertake any such functions and duties of the Principal as the Principal or the Court may delegate to him/her. The Vice-Principal shall normally hold office for a period of five years (unless otherwise determined by the Appointment Committee or the Court).

The ***Chief Operating Officer*** shall be appointed as pursuant to the Charter and Statutes and shall, under the direction of the Principal, be responsible for the administration of the University and for providing secretarial services to the Court and the Senate.



The **Chief Financial Officer**, under the direction of the Principal, shall be responsible for the financial management of the University and the strategic management of the Professional Service functions of the University, including the Department of finance, estates and human resources.

**Deans** The executive management of each faculty is carried out by the Dean. The Dean will be responsible for day-by-day activity of the faculty, being the Executive manager, and will contribute to the Faculty development, according to the overall development strategy of the University.

#### **3.2.1.4. Conditions for appointment to posts in higher education. Academic career.**

To ensure relevant staffing, each institution in Scotland divides the working staff in four large groups so called JOB FAMILIES, a mechanism similar to the Classification of Occupations and Trades of the Republic of Moldova. This classification provides a means of grouping together jobs that have similar characteristics, the use of which may assist in career development, job description and further information, and taking into account the development and training needs.

The University, in consultation with the unions, has developed four groups of staff to represent its positions for key work. Framework Agreement was approved by the National Confederation of Trade Unions jointly with all higher education institutions. All higher education institutions are obliged to adopt the principles laid down in the Framework Agreement, to ensure that issues related to wages, job evaluation and concept of equal pay for work of equal value to be addressed uniformly by all institutions reflecting equal opportunities in terms of development and career.

The University, in consultation with the unions, has developed four groups of staff as follows:

1. **Training and Research Staff.** The role of this group is entirely focused primarily on research and teaching. Activities carried out combine elements of research, teaching and administration or management; however, the nature of the contribution to diverse types of activities will vary. Some activities will be oriented more towards research, while others will tend to focus on management, teaching and/or administration activities. The top levels of this group will require recognition, at the national and international levels, and a significant impact on the discipline taught and conducted research.

2. **Management and Administrative Staff.** Members of this group are involved in the management and/or administrative activities, and provide support services to academics and students and sometimes to the general public. Their functions entail office or administrative work, development and implementation of policies and processes by providing expert advice. It is necessary for understanding the university systems and processes. The top level will require specialized knowledge or professional skills. The top levels will require the combination of professional qualification and managerial experience, and will involve an important role in managing positions within the institution.

3. **Technical and Assimilated Staff.** The role of this group is to provide technical support including the areas of information technology, research and teaching activities. Support will be provided both to the academic staff and students by performing different measurements, tests, lab tests, providing technical information for teaching activity etc. The top level requires advanced skills in managerial technical field for relevant technical maintenance.

**4. Operational Staff.** The role of this group is the management of maintenance services and facilities of higher education institutions. It will be concerned with the management of maintenance services of estates, student dormitories, canteens etc. regardless of real estate ownership.

Although in terms of grouping the staff working in higher education institutions in these four major groups which is mandatory and uniform for all higher education institutions, these job families are very autonomous in terms of establishing the necessary conditions for access to the jobs in the institution, because of the group specification. In this regard, the managers shall develop the job description which depicts the conditions necessary for academic career development.

The **Lecturers** are persons who perform teaching and research, develop the necessary methodological materials and conduct student assessment.

Requirements for filling job vacancies:

- Be holder of scientific degree (Ph.D. or equivalent) in the appropriate field.
- Be interested in research activity in the field related to the department strategy.
- Have a number of studies published in reviews of competitive level.
- Have ability to manage research funding, including the necessary experience to contribute to this funding.
- Have relevant teaching experience at undergraduate and graduate levels.
- Be able to work in a team and lead the team when necessary.
- Possess interpersonal communication capabilities with the ability to listen to and select conclusive information being able to deliver the needed information to the audience.

Additional requirements:

- Member of professional associations (including the Higher Education Academy).
- Experience in inter-multidisciplinary research.
- Experience in conducting research, teaching and teams.
- Experience in student assessment activities.
- Experience in curriculum development.
- Experience in knowledge transfer activities.

**SENIOR LECTURERS and ASSOCIATED PROFESSORS** are persons who coordinate research programs nationally/internationally, lead the design and development of some study programs, professional activities and knowledge transfer, as well as administrative activities assigned by the Heads of Department.

Requirements for filling job vacancies:

- Be holder of scientific degree (Ph.D. or equivalent) in the appropriate field.
- Be interested in research activity in the field related to the department strategy.
- A number of publications in top level editions, demonstrating standards of excellence in research and growing national reputation.
- Have ability to manage research funding, including the necessary experience to contribute to this funding.
- Relevant teaching experience at undergraduate and graduate level, including experience in the development and management of study programs.



- Ability to hold a leadership role in an academic team, to motivate and manage staff, demonstrating experience in leading teams of less experienced staff as well as students involved in research activities.
- Interpersonal communication skills with the ability to listen to and select conclusive information, being able to communicate to the audience the information required.
- *Only for lecturers:* To be a person with a recognized reputation in the field at national and international level,

Additional requirements:

- Member of professional associations (including the Higher Education Academy).
- Necessary skills of project management: staff planning, budgeting, funds management.
- Experience in inter-multidisciplinary research.
- Experience in knowledge transfer activities.

**PROFESSORS** are persons recognized as experts and leaders in the management of international research programs, endorse and develop curricula and educational standards, lead knowledge transfer activities and contribute to the development of the department strategically.

Requirements for filling job vacancies:

- Be holder of scientific degree (Ph.D. or equivalent) in the appropriate field.
- Be interested in research activity in the field related to the department strategy.
- Significant publications and research recognised at international level.
- Leader and expert in the field of activity internationally recognized.
- Ability to attract research funding for a specified period.
- Ability to establish a research group – international leader, and successfully manage and promote research activities of the group on the international arena.
- Experience in inter-multidisciplinary research.
- Relevant teaching experience at undergraduate and graduate level, including experience in supervising students' research activities.
- Necessary skills of project management: staff planning, budgeting, funds and human resources management.
- Strategic thinking skills and ability to contribute to the development of the department to which it belongs.
- Excellent interpersonal communication skills with the ability to listen to and select conclusive information, being able to communicate to the audience the information required.

Additional requirements:

- Member of professional associations (including the Higher Education Academy).
- Experience in coordinating the development and delivery of a variety of study programs.
- Establishing links with business, civil society, government and representatives of professional associations.

### **Conclusions through the Government-University interface**

All higher education institutions in Scotland are independent and autonomous public institutions, enjoying a large level of autonomy in terms of their freedom to decide on recruitment and employment procedures.

All higher education institutions in Scotland have management teams – groups of employees with managerial responsibilities working together with the rector. Sometimes these groups have the status of groups of decision, and sometimes they act as informal working groups.

The Rector performs leadership management of the institution, but also has the leading position in relation to the academic staff and students. For rectors, managerial tasks are of triple nature – representation, management and protocol. It is important that all these aspects of the Rector's role to be recognized by the whole community. During this period of higher education development in Scotland, the Rector's role in the institution is one of the executive managers, using the language borrowed from business.

Discussing the role of the Rector and the management team it is good to mention the high level of autonomy they enjoy. The Rector is employed by the executive body of the institution (Court), being not necessary to approve or confirm this commitment. Thus, all political interference in the internal affairs of universities is avoided.

Employment of other members of the management team is based on absolutely transparent procedures, e.g. selecting CV, conducting interviews and selecting the best performing candidate. Scottish universities practice has shown that this is an absolutely democratic and effective procedure that enables the most efficient managerial act. Therefore we say that the state or rather the Ministry of Education of Scotland is not involved in the procedures used by universities in terms of recruitment and employment of top level staff.

The only interference of the state in this area is the establishment of JOB FAMILIES in higher education institutions, following a framework agreement signed with the National Confederation of Trade Unions. To unify the many positions that exist in the higher education system an analysis of jobs in the sector was carried out on the basis of 14 criteria, called HERA (Higher Education Role Analysis). HERA is an abbreviation which translated from English means Higher Education Role Analysis and is a job evaluation system, which was designed and developed by ECC in collaboration with higher education institutions (over 100 have established a consortium together with the representatives of the National Confederation of Trade Unions), in particular for use by higher education institutions. HERA has been recognized by the Committee on Equal Opportunities as a job evaluation system of non-discriminatory employment. Most higher education institutions in the UK, including Scotland, have adopted HERA as their job evaluation system of work.

This evaluation system of positions can provide:

- A fair, equitable and transparent process to compare the relative dimension of a specific work position.
- Consistency and parity within the University.
- Application of the principle of equal pay for work of equal value.
- Promoting equity and equality in general.

HERA is an analytical job evaluation system of work-based factors. It aims to assess the relative value of roles for a job position in a consistent and fair manner. HERA focuses on

wider aspects rather than on individual tasks, relying on analysis of fourteen elements covering a range of duties and responsibilities. Each item is scored, the scores for each element is weighted appropriately, and then added together to give a total score for each item. Total score indicates the relative dimension of the item.

Concrete description of work tasks for a concrete position is at the discretion of institutions. Each institution has developed their own job descriptions, setting the criteria for filling up a vacant position that is part of a particular group of positions (JOB FAMILIES).

Implementation of HERA system crosses the point of intersection in the relationship between **GOVERNMENT** and **UNIVERSITY**. The freedom of higher education institution to decide on the recruitment and employment procedures of staff must not impede with the principle of non-discrimination and equal opportunities.

### **3.2.2. Freedom of institutions to decide on the promotion of staff.**

This criterion of university autonomy in human resources materializes in the right of higher education institution to decide on staff career evolution by moving to a higher degree, position or professional level, including through the assessment procedures.

#### ***3.2.2.1. Evaluation and promotion of staff***

Career promotion of staff in Scottish universities is carried out according to internal procedures. Promotion to a higher position is carried out on a competitive basis, after a preliminary verification. At the University of Strathclyde internal regulations are applied with regard to procedures for employees' promotion, applicable in two promoting situations as follows: transition from level A Lecturer to level B Lecturer (situations in which promotion does not amend the held position, but transition to higher level of pay) and promotion to higher academic positions.

Level A Lecturers are academic staff with minimum teaching experience, employed with probationary period. If the employee is fulfilling conscientiously his/her work obligations, the Head of Department will submit a demarche to the Committee for the Evaluation of the probationary period within the faculty to examine the possibility to modify the employee's actual salary. The employee concerned shall submit a CV, detailing the activities carried out. The Evaluation Committee will assess the applicant's file, to decide on the promotion. Candidate's profile must meet the requirements listed in the job description describing the position of level B Lecturer. Depending on the level of suitability of the candidate it will be decided to allow or not promotion.

With regard to career promotion of the academic staff, it should be noted that the procedures were merged and the same regulations are used for both senior lecturer position and for the positions of associate professor and professor.

The structure responsible for the promotion of academic staff is the Academic Professional Appointments Panel (APAP), hereinafter Commission.

The Commission will meet twice a year, in March and September, to examine the dossiers submitted for promotion.

The dossier submitted by the candidate for promotion shall contain the following documents:

- Updated CV of the candidate;
- Last candidate's self-assessment report;

- A letter of recommendation from the Head of Department;
- A cover letter from the candidate;
- Contact details of external evaluators;

The file is presented by the Head of Department to the Dean. The Dean, along with two Deputy Deans, will carefully examine the file and where it meets the conditions for jobs, they will submit them to the Academic Professional Appointments Panel. In case the file was rejected the decision should be reasoned, indicating the specific measures to be taken. For the appointment of external evaluators, the Head of human resources will propose the names of candidates to the Rector and the Dean will notify them in writing, the last having one month to decide on the candidature proposed for promotion.

The promotion procedure will be conducted in the following stages:

1. Submission of a justification letter from the Head of Department to the Dean.
2. Presentation by the Faculty of supporting notes indicating that the application must be submitted to the Academic Professional Appointments Panel;
3. Drawing up supporting notes by indicating that the opinion of external expert was taken into account in the situation when the promotion is accepted, otherwise an explanatory note will be presented which shows that promotion was not accepted and the reasons for such a decision.
4. Presentation of the final decision to the human resources department.

If the file is rejected the candidate will be informed in writing and the Dean shall be notified about the decision verbally. The candidate has the right to submit the file folder repeatedly after the expiry of a period of two years.

At the same time, higher education institutions have developed policies that reflect compliance with the equal opportunities in terms of remuneration, promotion and career development of employees.

If the candidate does not agree with the Commission's decision the procedure for contesting the results is established. The appeal shall be in writing and shall be submitted to the Human Resources Department. The reasons underlying the complaint can only be procedural. The objector shall file all necessary evidence to support its position. The Appeal Commission will include members of the Court and Senate. It is not acceptable that the Appeal Commission is joined by colleagues from the department where the objector works. Depending on the evidence presented, the Appeal Commission can decide whether to allow the complaint or to reject it. In the situation when procedural infringements have occurred as a result of ambiguous interpretations of procedures proposals will be formulated on the review of promotion procedures. The Commission's decision is final and binding.

#### ***3.2.2.2. Right to rest and leisure of higher education institutions' staff. Research leave.***

Higher education institutions in Scotland have developed a series of policies on the enforcement of staff's rights. These policies aim at including the right to rest by providing ordinary as well as additional annual leave.

The duration of annual leave is 31 days which the staff can take in the result of negotiations with the supervisor. For part-time staff, the leave will be calculated proportionately. According to the calculation each month is 2.5 days, starting from 1 October. In addition to

the annual leave, the staff of institutions also benefit from 11 days of holiday. On these days educational institutions are closed. Regarding staff on fixed-term employment contract they are advised to use the annual leave until the end of the employment contract.

#### **Research leave and professional leave.**

This type of leave may be taken by academic staff to facilitate some research, the purpose of which is to publish the results. Type of publication, as well as how research is conducted may vary depending on the specific field of activity of the person.

Terms of eligibility and duration of leave:

- full-time or part-time employed staff, which is working at least 4 years at the institution;
- while calculating seniority giving entitlement to leave, periods of employment during which the employee benefited from professional and/or unpaid leave are not taken into account;
- commencement and completion of the leave period will correspond, usually, to the time of commencement and completion of the semester in the higher education institution.

During his leave, the employee shall retain all salary rights. During this period the employee may perform research activities in all higher education institutions, research centers, libraries etc. During this period the employee is released from all job obligations, including administrative ones. If heads of department benefit of this leave, during their absence an interim head will be assigned. During professional leave the beneficiary must not perform any activity that involves teaching related to direct contact with students.

Within 3 months after completion of the period for which leave was granted the beneficiary shall submit a report on the results of research.

#### ***3.2.2.3. Invited academic staff. Honorary titles awarding***

Higher education institutions in Scotland are entitled to invite meritorious academic staff from outside the institution to conduct activities at the host institution. They can be paid salaries by their home institution, but may not be remunerated for performed activity at the host institution.

Invitation procedure will be initiated by the Head of Department where the invited person will work. At the request of invitation a motivation letter will be attached explaining the necessity to invite this person and his/her CV. In the rare cases when the invited professor will be paid, this will be indicated, including the funding source. The package of documents is submitted to the Human Resources Department.

Higher education institutions in Scotland may grant the honorary title of Professor Emeritus under the following conditions:

Deans will discuss with the Heads of Department the possibility of granting Professor Emeritus title to a professor who has reached the retirement age. The written recommendation will elucidate as much as possible the extent to which continued employment will affect beneficially strategic priorities of the institution. The recommendation will be submitted to the Human Resources Department, which will verify the conditions of its form and then submit it for review to the Commission for academic appointments. The Commis-



sion will decide on the recommendation, and its decision will be delivered to the Senate for consideration. If a favorable response from the Senate, the decision shall be approved by the University Court.

The information on the approval of awarding the honorary title will be passed to the Human Resources Department, which will inform about the decision the employee, following the concluding of necessary documents.

### **Conclusions through the Government-University interface**

Development and promotion of staff aims at career and potential development of each employee in terms of new knowledge, personal skills and competencies and understanding the University's mission and priorities outlined in its Strategic Plan. Generally it refers to a variety of learning methods both within and beyond the institution; it is a continuous process that aims to assist the employee in the following fields:

- Increasing the performance of each employee
- Identifying and developing the potential of each employee
- Reacting positively to change, uncertainty and conflict
- Increasing the level of satisfaction with the position held
- Improving confidence in their own abilities, motivation and initiative.

State intervention in this area is very small; each higher education institution is entitled to establish their own assessment procedures, higher education institutions pledging to ensure that the principle of equal opportunities is respected and not allowing any discrimination on grounds of racial or anational belonging, ethnic origin, sex or disability, age, religion, sexual orientation or marital status.

### **3.2.3. Freedom to decide on workload**

Freedom to decide on labor norming lies in the higher education institution's right to decide on the distribution of working time and workload.

#### ***3.2.3.1. Structure of teaching/academic workload***

Workload of academic staff consists of teaching, research, knowledge transfer and fulfilling administrative activities. The share of a type of activity in all standard workload is determined by the Head of Department, who assesses the skills of each employee and organizes activities within the department in such a way as to have a reasonable balance between all members of the department.

#### ***3.2.3.2. Working hours***

Working time is allocated for carrying out labour obligations described in the job description. Normal duration of work time in higher education institutions in Scotland is 35 hours per week performed within 5 working days, usually from Monday to Saturday.

For staff other than the academic staff, the work program is set between 9 and 17 o'clock. However, after negotiations with the Head of Department, the work program may suffer some changes, on condition that full working hours are fulfilled. Academic staff has the right to perform activity in several ways, but it is preferable that contact with students is done within the established work program. Contact with students outside the university and outside the working hours require prior approval from the Head of Department and may include additional salary.

### **3.2.3.3. *Obligations of higher education institutions' staff. Employee's responsibilities***

Work requirements for the staff of Scottish higher education institutions are established in the job description annexed to the employment contract. Splitting and description of tasks for academic staff is done on the following types of activities: research, teaching and methodological activity, knowledge transfer and administrative work. Every employee is obliged to contribute to the development and achievement of objectives of the the University. Mainly, a member of the academic community has to accomplish the following tasks:

- to perform work tasks according to the job description, standards and performance indicators established by the university;
- maintain a safe working environment, including work safety and health;
- to carry out research and methodological work complying to international standards.

If the employee fails to fulfill work tasks, an internal procedure is established that applies to all categories of staff. The institution reserves the right to initiate specific disciplinary proceedings for the offense committed.

The following actions/inactions of the academic staff are considered facts that contradict the academic community membership:

- causing damage to the image of higher education institution;
- use of higher education institution property for other purposes;
- loss of confidence;
- conviction for committing an act which is incompatible with the activity of the higher education institution.

Each institution has approved a Code of Ethics in research activity, which defines the objectives of each institution in research and the regulations that must be followed by the academic community when carrying out research. Violation of these rules leads to disciplinary procedures. The internal regulations contain enumeration of facts which are considered violations of work obligations, among them are committing acts of harassment at the workplace, of corruption, misuse of university property etc.

### **Conclusions through the Government-University interface**

Higher education institutions are absolutely autonomous in terms of freedom to decide on the workload; each position in higher education is clearly described in the job description and 35 hours weekly are allocated to fulfill job tasks, the institutions establish the work program depending on the specific activity of each employee.

### **3.2.4. Freedom/Ability of institutions to decide on the salary system.**

This component of human resources autonomy means the right of universities to set their own pay system respecting the principle of transparency and accountability of public funds management.

#### **3.2.4.1. *Salary structure***

The remuneration of personnel of higher education institutions in Scotland takes place under HERA system that analyzes Job Families to ensure equal pay for equal work. Each institution is required to adopt its salary policy, which will contain provisions on transparency in wage setting.



In general, salaries are different from one position to another, and within the position of Lecturer there are two levels of pay. Moving from one level to another takes place after attestation.

Academic staff performs specific activity and is paid depending on the group of Job Family that may be of three types:

- teaching activities: 40% – teaching, 40% development of courses, 20% – innovations;
- research activities: 40% – research, 40% – knowledge transfer, 20% – knowledge transfer;
- teaching and research activities: 40% teaching, 40% – research, 20% – public activities.

Teaching staff remuneration is done based on their performance and according to the national payroll scale. Negotiations on the payroll and other issues related to the academic staff activity is achieved by negotiation between the **University and College Union**.

#### **3.2.4.2. Bodies empowered to set salaries**

In higher education institutions of Scotland there are structures responsible for staff remuneration. Usually, these are Staff Remuneration Committees. These structures have the following responsibilities:

- approval of terms regarding the Rector's salary and his job responsibilities;
- approval of terms regarding university management remuneration and responsibilities;
- approval of terms regarding Deans and Heads of operational services remuneration and their responsibilities;
- annual performance evaluation of the aforementioned employees and determination of wage adjustments that need to be made;
- confirming the termination of the employment relationships and the retirement of the employees concerned;
- adjustment of wage internal conditions to national regulations, especially to the union agreements;
- presentation of the reports to the Court, if appropriate.

The Remuneration Committee is composed of: the Chairman of the Court, the Court Treasurer, two Deputy Chairmen of the Court, Chair of the Court Audit Committee, the Principal/ head of the institution and the Director of Human Resources. In the situation when the Remuneration Committee considers proposals on the remuneration of the Rector and Director of Human Resources Department, they will not participate in the discussions.

#### **Conclusions through the Government\_University interface**

The salary system is entirely internal. There is no external authority confirming the remuneration system. The higher education institution is free to set its own salary system and staff rewarding. Internal payroll system is based on the principle of “equal pay for work activities of the same type”, organized under HERA system. Salaries established for a certain category of employees are displayed on the websites of universities, anyone having access to information. Salary varies from one position to another, depending on the Job Family to which the given position belongs. Within the same position there are also differences, depending on seniority, the classification requested to carry out certain activities etc.

Professor Ferdinand von Prodzinsky states in his *Review of HE Governance in Scotland* that the remuneration system of rectors is public information, but the calculation and the

reasons for granting certain salary increases are not public. Nor is public the information about the incentives and why they are granted to the staff holding leadership positions in higher education institutions. Taking into account the public debate concerning incentives to the staff holding leadership positions, he recommends that universities abandon the system of incentives granted or at least ensure transparency.

### **3.2.5. Freedom to decide on the termination of employment contracts**

The employment contracts of the staff of higher education institutions in Scotland can terminate by law or at the initiative of either party. Higher education institutions have well-developed policies, and the grounds for termination are regulated under the general rules of labour law.

#### ***3.2.5.1. Grounds for termination of employment contracts, specific for higher education***

Due to the fact that common employment contracts concluded for a fixed period are something usual for higher education, as grounds for termination of employment contracts is the expiry of the specific period for which the contract was concluded. This happens both when there is a specific and fixed date for ending the contract, as well as when an employee is hired to carry out the work obligations of another employee who is temporarily absent.

Another case of terminating the employment contract is staff reductions, operating when the workload decreases, there is a modification and redistribution of work tasks etc.

Termination of employment contracts for disciplinary reasons may occur when the employee violates labour discipline, does not fulfill qualitative and quantitative work obligations or when there are personnel actions that are incompatible with the teaching activity, and the reasons that underlie such decisions are described in the disciplinary proceedings applicable in the institution. As well, breach of rules stipulated in the Code of Ethics of the researcher may lead to termination of employment.

#### ***3.2.5.2. Termination of employment contracts with managerial staff.***

The Court is the executive body of the university, with managerial responsibilities, in charge of the procedures concerning the termination of labour relations with staff. The Rector, being employed by the Selection Committee of the Court, will be monitored throughout its activity by the Court. It should be noted that in the frame of higher education system, the position of Rector, as we know it, is occupied by the person named the Principal. The notion of Rector in higher education system of Scotland is an honorary position, which has no managerial role, but more for promoting the image of the university. The position called RECTOR is preserved in 4 universities, namely, the known ancient universities.

Remuneration Committee within higher education institutions establishes the work tasks that should be achieved by the Rector; the same Committee is responsible for monitoring the way the performance indicators are performed. The Committee reports data about the Rector's activity to the Court, and if the last fails to fulfil the tasks assigned, the Court may initiate the procedures of his/her dismissal, the intervention of any external authority is not necessary.

### **Conclusions through the Government-University interface**

Scottish institutions have developed policies regarding the principle of fairness and equality in the workplace. Neither staff reduction nor dismissal for disciplinary reasons

shall be carried out on discriminatory criteria. Approval and strict compliance with such policies, traces the point of intersection between the right of the institution to be autonomous and its obligation to ensure that the principle of stability, fairness, equity, equality and non-discrimination in the workplace is respected

### **3.3. Sweden**

#### **3.3.1. Freedom/Ability to decide on recruitment and employment procedures**

An analysis of the laws governing labour relations in Swedish higher education shows that all institutions are free/autonomous as regards the right to set their own recruitment procedures, taking into account the objectives of each institution

That is the case of the Royal Institute of Technology (KTH) in Stockholm, which has developed its own internal procedures relating to the recruitment of required staff. KTH opportunities to maintain the position of a successful technical university, nationally and internationally, largely depends on its employees. The goal of Human resource policies at KTH is to gain from the professional skills of its employees in the best way possible. Implementation of this policy is a strategic issue that is the responsibility of all employees, or KTH is a university where people from different backgrounds and with different experiences work together for a common goal: to manage, to renew and to transmit knowledge. High levels of quality and ethics, a free and open exchange of ideas and opinions – this is the essence of the KTH personnel policies at all levels. In this context, KTH is an employer which will stimulate the desire to achieve personal development and to accept human responsibility.

##### ***3.3.1.1. Bodies responsible for recruitment and employment procedures***

Swedish universities are part of the public sector. Higher Education Act and Higher Education Ordinance are the main laws governing the system. Swedish Constitution and the Law on public sector employment stipulate that personnel employment in the sector should be done on criteria based on the skills and knowledge of employees. According to statistics, in Sweden, in the last decade there was a substantial increase in the number of employees of higher education institutions. This increase is largely due to increase in the funding for higher education system.

There are two categories of employees of higher education institutions: employees conducting research and teaching activity and also there are employees not engaged in such activities. The first category of employees involves basically, professors, senior lecturers, researchers, lecturers (with different types of employment contracts). Work activity of this staff is governed mainly by the Law on Higher Education, but the Law has undergone some changes since entry into force of the Law on University Autonomy. However the regulation of work activity of certain categories of employees such as professors and lecturers can be found in the Higher Education Act, and the Higher Education Ordinance has introduced the regulation of higher education employees with employment contracts for a determined period.

Fundamental normative acts regulating the activity of higher education institutions in Sweden does not contain provisions relating to the bodies responsible for the recruitment procedure. Each higher education institution has the right to develop their own regulations. For example, under the internal rules of the Royal Institute of Technology Stockholm –

KTH, schools/departments are responsible for recruitment and employment in their field of activity, and the Faculty Councils are responsible for the preparation of procedural documents together with the Human Resources Department. Employment of Dean falls within the competence of the Rector.

To assess and to select the best performing candidates the Employment Committee is set up within the Faculty Council. Members of the Committee will be selected in such a way as to be able to evaluate both research as well as teaching activity.

Employment Committee submits to the Rector the proposal on the employment of professors, and the proposal on the employment of associate professors and assistant professors shall be submitted to the Dean. Decision regarding the employment of professors is taken by the rector, and decision on the employment of associate professors, assistant professors and lecturers is taken by the Heads of schools where the employee will work. If the Dean's opinion differs from that of the Employment Committee, hiring decision will be taken on by the Rector.

#### ***3.3.1.2. Recruitment and employment methods and procedures. Approval/confirmation of recruitment/employment***

Vacant teaching positions are advertised in the press, except for adjunct professor, visiting professor and in case of direct nomination. Professor functions will be announced in a Swedish newspaper published daily. The contents of all the ads that appear in the media, including the Internet will be coordinated with Human Resources Department.

The announcement shall contain the following information about the candidate's profile:

- Field of study;
- Description of the field;
- Description of the basic responsibilities;
- Qualification required;
- The evaluation criteria and their weightings;
- In specifying the conditions of employment for assistant professor position the terms of promotion to the position of associate professor will be indicated.

#### **Exceptions to the commitment procedure:**

- When the exercise of certain functions requires special skills, they will be specified in a separate document;
- Faculty Council and the Employment Committee will decide on job specific skills required to be stated in the announcement;
- In some cases, the rector may decide on deviation from the procedure of employment, if any justified reasons for deviation.

Decision on the completion of employment procedures is taken by those who initiated it. Decision concerning the completion is final and cannot be subject to appeal. The employee will be notified in writing about the decision on employment.

Documents used in recruitment procedures will be archived and kept for two years after the entry into force of the decision on hiring.

#### ***3.3.1.3. Types of employment and employment contracts***

Swedish universities are part of the public sector. Higher Education Act and Higher Education Ordinance are the main laws governing the system. Swedish Constitution and the

Law on public sector employment stipulate that staff employment must be made on criteria based on employees's skills and knowledge.

According to statistic data in the last decade there was a substantial increase in the number of employees in the higher education sector. This is due to increase in the sector financing.

According to Swedish law employees of higher education are divided into staff conducting research and training and administrative staff. The first category of employees involves, in particular, professors, senior lecturers, researchers and lecturers with different types of employment contracts. Responsibilities and rights of such staff are regulated by the Higher Education Act, but they have undergone changes, with the expansion of university autonomy. Currently, the Higher Education Act regulates the general conditions that the holder of position must meet. A legislative novelty of this Act is the introduction of the concept of fixed-term employment contract in higher education institutions.

The general rule is the conclusion of employment contracts for undetermined term. Contracts will be concluded after the hiring decision is final and cannot be subject to any appeal. The contract will specify the position and employment field, as well as the job description. The Rector of the university decides on the essential contractual clauses.

Rector, together with the Director of Human Resources will determine the amount of labor remuneration, taking into account the employment negotiations with each candidate. Information about wages and terms of employment will be presented by the Head of human resources. For the positions of professor, assistant professor and lecturer, salaries will be determined taking into account the opinion of the school in which the employee will work. The Rector decides on the methodology of development of employment contracts.

Given the employment negotiations the Rector will decide on the salary of professors, but the amount and mode of payment of salary supplements and allowances will be determined by the Head of Human Resources Department. The wages for associate professors, assistant professors and lecturers are decided by the Dean or by a person delegated by him. In this case, the employment negotiations will be taken into account, too.

#### ***3.3.1.4. Conditions for appointment to posts in higher education. Academic career.***

Recruitment and professional development in higher education institutions have mapped some strategic objectives. One objective is to focus on recruiting young staff wishing to grow in their careers. Another objective is the employment of skilled teaching and research staff; attention will be paid to research. Therefore to accede to academic career, staff of higher education institutions in Sweden must perform teaching and research activities. In this respect the institutions invest in staff potential by providing them opportunities for career development, promoting research excellence.

The objective of academic career in higher education institutions in Sweden is to recruit persons who obtained doctor's degree, to employ them by higher education institutions and to provide them opportunities for lasting development in academic career both in teaching as well as research. According to Higher Education Act academic career stages are: associate senior lecturer, senior lecturer and professor.

Academic career begins with an employment contract for a fixed period for the position of associate senior lecturer. The main selection criterion is to hold PhD degree or be a scientific expert in the field of activity. After a period of activity in this position, any person can



claim to career advancement. In this regard, the employee will be evaluated if he/she meets the requirements for the position of Senior Lecturer. In case of compliance to the requirements for the position, the person will sign an employment contract for an undetermined term for the position of Senior Lecturer; the last, in turn, can be promoted to the position of professor if he/she meets the criteria for the vacant position

***Conditions for employing academic staff.***

To occupy certain posts in Swedish higher education institutions it is necessary to meet certain qualification requirements. The degree of compliance with these requirements is a prerequisite for a specific employee to be hired. The general requirements are stipulated in Higher Education Act but each institution has the right to set their own additional requirements. Besides additional requirements, each institution develops evaluation criteria that determine how well a candidate meets the qualification requirements submitted (eg. Academic quality of the Doctoral thesis) or in some cases the candidates hold certain qualifications that are not necessary to occupy the position, but gives advantages over other candidates (eg. Doctor's degree is the qualification requirement and the quality of the thesis is the evaluation criterion).

The evaluation criterion is a selection tool and is used to decide between two or more qualified candidates. For example, management skills of the employee as well as its availability to conduct civic duties could be the evaluation criterion.

***Conditions to undertake positions within the academic career.***

- Associate Senior Lecturer will conduct teaching activities with the opportunity to carry out research activities. To occupy this position it is necessary to hold a doctoral degree;
- Senior Lecturer must have experience in teaching and hold the doctoral degree or the equivalent of expert research position. As a criterion for assessing the candidate profile will serve his experience in teaching and type of experience. Teaching skills will be demonstrated through teaching activities at cycle I and II and will be well documented;
- Professor will demonstrate competence in research and teaching. Evaluation criteria will target candidate's activity both in terms of quantity and quality. Teaching skills will be assessed by teaching activity at cycle I, cycle II and cycle III.

Both the institution and the departments, because of the specific research activity and profile, have the right to establish own conditions and criteria for evaluation.

***Conditions for employing staff outside the academic career.***

- Lecturer is the employee who performs teaching and assimilated activities. Teaching will be delivered generally to cycle I and does not require research skills. The candidate to the position of lecturer must have teaching experience and hold bachelor degree in the field. Employment period is usually one determined;
- Adjunct professor is the employee who is an expert in a specific University field and will be employed for a fixed period. Usually these are persons employed on part-time basis. Their main activity is carried out in the business environment or public sector;
- Visiting Professor is employed in order to use the experience of a person in the activity field of a department. Qualification requirements are the same as those submitted for the position of professor.

### **Conclusions through the Government-University interface**

The main laws governing the system of higher education are Higher Education Act and Higher Education Ordinance. These normative acts establish in principle general conditions that must be met by personnel employed at higher education institutions. It should be noted that both documents refer only to academic staff that participate directly in the teaching-research-knowledge transfer. KTH professors are public sector employees and the appointment of teaching staff is the exercise of public authority.

Namely this provision draws the intersection point in the **Government-University** relationship. Certain general provisions regarding employment of teaching staff can be found in the general labour legislation. The Swedish Constitution states that administrative authorities operation is based on the equality of all before the law and that the authorities should act objectively and impartially. It also states that at employment in the public sector, the selection of a candidate shall be carried out based only on merit and knowledge criteria. Transparency of the appointment procedure is guaranteed by the principle of public access to official documents.

According to statistics, higher education institutions employees represent  $\frac{1}{4}$  of public sector employees. According to information available at KTH, it aims to create an institution of excellence through investment in development of strong research environments in important areas. To achieve success, KTH must ensure recruitment of teaching staff in certain sectors considered of prime importance to the society. KTH has created a career system in order to attract prominent personalities.

In order to achieve these aims, KTH adopted a personnel policy that rewards teachers that take responsibility for education and research as well as for the relations of KTH with the outside world. This responsibility makes the connection with the role and qualifications of the employee, being an important part of the overall evaluation of recruitment and promotion. Higher education institution freedom to decide on personnel recruitment and employment procedures should not limit the rights and freedoms guaranteed to employees and employers through various legislative acts.

#### **3.3.2. Freedom of institutions to decide on the promotion of staff**

This criterion of university autonomy in the field of human resources materializes in the right of higher education institution to decide on ensuring career evolution of personnel by promotion to a higher rank, position or professional level.

##### **3.3.2.1. Procedures for staff evaluation and promotion**

Under Swedish legislation in effect in the sector of higher education every employee has the right to be promoted during his careers being entitled to apply for a higher position if meeting the job requirements. Every higher education institution establishes own procedures for evaluation of employees who want to advance in their career.

- promotion from associate senior lecturer to senior lecturer – shall be carried out for the candidate meeting the conditions necessary for position occupancy. After selection a labour contract for an undetermined period shall be concluded. The applicant must demonstrate research and teaching skills. In case of promotion the activity area shall not change;



- promotion from lecturer to professor – the applicant shall demonstrate competence in research at professor level, both quantitatively and qualitatively. Similarly, shall be taken account of research coordination skills, and teaching skills shall be verified through teaching activities at cycle I and II as well as at cycle III.

The promotion procedure is carried out similarly to the one used at employment. The structure responsible for promotion – the Employment Committee – shall verify the compliance of the candidate to position's profile. For every position there was developed a job description listing in detail employee's job duties as well as job requirements. Also, position's qualification criteria shall be examined in order to select the best performing candidate.

The decision on promotion or non-promotion of a candidate can be contested. The labour contract shall be modified respectively in the direction of promotion and implicitly, of salary increase, setting an employment period, after the promotion decision becomes final and irrevocable.

#### ***3.3.2.2. Rights and freedoms of higher education institutions' staff***

The academic staff from higher education institutions are autonomous with regard to the right to choose training and research methods. In 2012, an organization free from any political interference was founded in Sweden, called Bevakar den Akademiska Friheten I Sverige – Academic Freedom Rights Watch. This organization was founded in response to the implementation of New Public Management ideology which aims to address the public sector under similar conditions as the private sector where the managerial act is performed vertically and not collaboratively, or collegially. Swedish academia considers that such a management system jeopardizes the freedom of expression and decisions on what and how to teach and/or research should be taken at high level. The idea of transforming Swedish higher education institutions into providers of service to the customer distorts the freedom of expression of academic staff as well as academic freedom in general. Certain violations were accounted for and presented in the report of the association.

Association's conclusions were that university autonomy has brought more freedom to management than to academic staff, that is, academic freedom being the central element of a democratic society, without which the progress stagnates.

The association recommended to develop policies and regulations at institution's level that would not jeopardize academic freedom of staff from higher education institutions.

With the approval of new legal framework governing university autonomy in Sweden there is no central regulation regarding sabbatical leave. The granting method is decided locally. Every teaching staff applying for this leave shall negotiate with the Head of Department the period and conditions of the leave. Typically, the period is 3 years and the teaching staff shall present an activity plan for these three years. Upon returning the employee shall present an achievement report as well as the product of the activity.

#### ***3.3.2.3. Invited academic staff***

Swedish higher education institutions are entitled to invite academic and research staff from abroad to work at the institution under contracts concluded for a determined period usually not exceeding 3 years. Individuals meeting the criteria for holding the position applied for shall be invited by the Head of Department without any competition, just based on the written invitation on behalf of the department.

### **Conclusions through the Government-University interface**

The Higher Education Act establishes the general framework for employees' promotion, however every institution is autonomous in determining the criteria and conditions required to hold a certain position as well as the procedure to be followed.

#### **3.3.3 Freedom to decide on workloads**

Freedom to decide on labor norming lies with the right of higher education institution to decide on the distribution of working time, work norms, establishing the time period required for qualitative performance of employee obligations.

##### **3.3.3.1. Structure of teaching / academic workload**

The teaching workload of academic staff from Swedish higher education institutions consists of a total number of hours distributed monthly during the academic year.

According to internal regulations of higher education institutions, the working hours of academic personnel must be planned within the department of the employee following discussions between him and the Head of Department. When planning the working hours, operational requirements, financial situation and general analysis of teaching tasks shall be taken into account. At the department level, the total number of hours for teaching and research which must be evenly distributed among members of the department shall be accounted.

According to statistics provided by the Swedish Higher Education Agency, the following structure of academic staff workload in Swedish higher education can be noticed:

- 41% of the total number of hours is allocated to research and development work;
- 22% of the total number of hours are allocated to teaching at cycle I and II;
- 3% of the total number of hours is assigned to teaching at cycle III.

Teaching activities at cycle I and II are performed mostly by lecturers and senior lecturers. A university lecturer spends 60% of the total number of hours for teaching. A senior lecturer assigns 42% of his total hours for teaching. At the same time, these two categories of employees dedicate little time of their work to research and development. The category of staff spending most of the work time for research and development, namely 70% of total work time, includes scientific researchers and post-doctoral students, part of research staff group, and other teaching staff. University professors allocate 17% of the working time for teaching at I and II cycles, 10% for teaching at cycle III and 42% for research and development.

##### **3.3.3.2. Working time. Obligations of higher education institutions' staff**

The normal working period of teaching personnel is established between 1700-1756 hours per year. The criterion for differentiation is the age of personnel. For academic staff reaching the age of 40 years a normal working time period is 1700 hours, for those who have reached the age of 30 years the working period is 1732 hours per year and employees under the age of 30 shall work 1756 hours per year.

According to the Higher Education Act, employees from higher education institutions have the following obligations: carrying out educational, research and development and administrative activities. Besides, teaching personnel should monitor the development of material they teach as well as the general development of society and of other areas related to their work.

All teaching and research activities are planned within the department. The distribution of work tasks is done based on the annual plan of teaching and research activities assigned to the department, after an overall evaluation within the institution. The Head of Department shall supervise the fact that there is a balanced teaching and research activity. A work schedule shall be elaborated for every teacher at the beginning of every study year. The activity plan of every employee shall be prepared in writing and shall be signed by the latter.

The activity plan of every employee must also be approved by unions' representatives operating at the institution. They shall evaluate in principle the complexity of the course, the nature and methods of training to be used, the number of students etc.

Distribution of tasks among teachers varies within different periods. Institutions have the right to grant after a certain period of time, usually once every three years, an exemption from duties to be used for research and development as well as for professional training.

For non-teaching personnel the normal working time period is 40 hours weekly, with the possibility of a flexible work regime depending on position's particularity and complexity.

Working hours, in addition to the basic workload, shall be carried out only by consent of the supervisor and with a thorough justification of the relevant reason.

### **3.3.4. Freedom to decide on the salary system**

In Sweden, the freedom of higher education institution to decide on the remuneration system consists of their right to develop own remuneration rules and mechanisms for the work performed by employees, in consultation with unions and based on a social dialogue.

#### ***3.3.4.1. Salary determination system***

##### **Remuneration criteria**

The employer and employee representatives negotiate the establishment of remuneration criteria for different groups of employees. Based on these criteria the school director/head of department shall evaluate every employee in order to establish its rightful wage. These criteria negotiated by parties of the employment relationship in higher education institutions shall serve as the basis for salary negotiation between the employee and the head of department etc.

Given the fact that every employee from higher education institutions is evaluated based on certain criteria, his salary shall be individualized and differentiated. The essential criteria for employee evaluation refer to his skills and work results obtained. According to the Higher Education Ordinance, work obligations of academic personnel include teaching, research, development and administration. Similarly, according to the same act, when evaluating an employee his leadership skills and ability to work with local community environment shall be taken into consideration. The vast majority of institutions have developed own criteria for evaluation of teaching personnel with regard to wage determination. Evaluation of academic personnel shall be conducted according to three [four] components, as follows:

1. Teaching capacity, including the following factors:
  - implementation, development and promotion of high level teaching;
  - demonstration of commitment and interest toward the course taught;
  - development of quality teaching material etc.

2. Research work, including the following factors:
  - national and international publications, both quantitatively and qualitatively;
  - quoting in national and international papers, both quantitatively and qualitatively;
  - ability to apply for external research funds;
  - ability to coordinate research activities etc.
3. Administrative work, evaluated based on the following factors:
  - participation in the work of various committees and management structures within the institution;
  - ability for cooperation, understanding and appreciation of colleagues from own unit, ability to understand and manage career opportunities;
  - understanding of internal structure of higher education institution and decision-making mechanisms.
4. Cooperation with external community, evaluated based on the following factors:
  - collaborative associations with the external environment, start-ups initiation, etc;
  - participation in the public life of the community, including participation in public debates, appearance in the media etc.;
  - membership in doctoral theses defence committees outside own institution;
  - collaboration with national and international partners.

The criteria must be applied proportionately to the work carried out by the academic staff. In addition to general criteria outlined above, every institution has established own criteria depending on their particular aspects. At the same time, there should not exist enormous disparity when setting wages, both among employees of a department and among employees from several departments.

Staff working as chairmen of research and teaching committees enjoy salary bonuses.

Swedish higher education institutions stimulate professional training, paying various bonuses to employees obtaining Ph.D. degrees.

#### **3.3.4.2. Bodies authorized to set salaries**

Every higher educational institution in Sweden is free and autonomous to establish own remuneration system. The institution shall adopt remuneration policies that must relate to all employees. Decisions on salary amounts are taken considering the difficulty of assigned tasks, skills and knowledge of the employee and evaluation of individual results. Every head of department/division of higher education institution is responsible to notify all employees about institution's remuneration policies.

Establishment of motivation policies for employees aims the following purposes: stimulation of excellence and professional development of employees, as well as retention within the institution of well-qualified personnel.

Decisions on the remuneration of staff of higher education institutions are taken individually and are differentiated. The main feature of an individualized remuneration system is that it is based on individual negotiation of the head of department/subdivision with every employee. The remuneration level is based on transparency principles. Following collective negotiations remuneration criteria shall be approved and employees shall be individually evaluated each year. When establishing salary levels the following issues shall be taken

into account as wages conventions approved at institutional and sector level, institution's remuneration policies, individual results of the employee and his contribution to the daily activity of the institution, as well as labour market situation.

The head of department/university subdivision that will make proposals to the human resource manager shall be responsible for salary-setting of the employees of higher education institutions. Remuneration of heads of departments/divisions of higher education institutions usually is the responsibility of vice-chancellor of the institution (Executive Manager).

Negotiation and mutual consultations between employees and the head of department/division of an institution of higher education is a prerequisite for a functional and viable remuneration system. With regard to employees evaluation and remuneration level we are in the presence of an enlarged autonomy, internal autonomy, that is, well-motivated human resource is a key element for the proper functioning of the institution, with a major impact on the quality of provided services.

Higher education institutions are autonomous in terms of setting a maximal or minimal wage level, however they must establish their remuneration systems taking into consideration the Equal Opportunities Act. Here is the intersection point of **Government-University** interface because any institution including higher education institutions have to ensure equal pay for equal work and employees evaluation criteria must be non-discriminatory regardless of gender, ethnicity, sexual orientation, religion or age of employees.

### **3.3.5. Freedom to decide on the termination of employment contracts**

Employment contracts are usually concluded for an indefinite period. As an exception, some positions in higher education institutions are temporary and employment contracts are concluded for determined periods. The difference between an employment contract for indefinite period and a contract concluded for a fixed period is that in the first case the employer may terminate labour relations only based on legal grounds while in the second case labour relations terminate together with expiration of employment period.

The notice period for employees is two months if the employee has a labour relationship with the institution of more than one year and one month when the employee has worked at the institution less than a year

#### ***3.3.5.1. Termination of fixed-term employment and preemptive right to employment***

The employment contract concluded for a determined period terminates on the last day of the contract. If the employment contract shall not be extended and if the employee has been employed for more than 12 months during the last three years, and labour relations are not to be extended, the employer shall inform the local union organization and will send a written notice to the employee at least one month before contract termination. The notification shall indicate whether the employee has a preferential right to be re-employed. The right to be re-employed is valid beginning with the period when the notification was issued and before the expiration of nine months from the time of contract termination. The employee wishing to be re-employed must express his agreement in written form.

#### ***3.3.5.2. Termination of indefinite-period employment contracts***

As grounds for termination of employment contracts concluded for an indefinite period may serve employee-related reasons as well as reasons non-related to the employee. In



the situation when employment relationships terminate due to work volume reduction, the employee enjoys social protection from the state. With regard to employees from higher education institutions the Convention on public sector employees job protection applies. According to provisions of this convention employees must be advised on cancelling their position during a period depending on their work activity period. Also, employees receive free consultations from competent bodies with regard to employment.

As for termination of employment relationships with top management staff, it shall be confirmed by an external authority but the termination procedure shall be developed by every institution separately.

In case of management staff, e.g. department heads, deans, the institution can pay a compensation upon contract termination. Usually, its amount depends on the employment period of the manager within the institution.

### **Conclusions through the Government-University interface**

Swedish higher education institutions have the freedom to decide on economic reasons underlying the termination of employment relationships in case of work volume reduction, but shall observe all normative acts in force in the country on providing guarantees and compensations to employees in such a situation. Institution's unions also have a key role in carrying out that freedom.

## **3.4. Denmark**

### **3.4.1. Freedom / capacity to decide on recruitment and employment procedures**

According to the Danish Universities Act, universities are independent institutions financed from the public sector by the relevant Ministry. In accordance with Art. 49 of this Act, Danish universities must follow the rules established by the Ministry of Finance on employment and remuneration conditions for higher education institutions personnel in Denmark. The Ministry of Higher Education and Research has prepared an order regarding employment of academic staff. The purpose of this order is the establishment of a general framework and adjustment to it of internal regulations of every institution in order not to harm the interests of subjects of employment relationship. Provisions of this order refer to the academic staff described in the Memorandum regarding categories of academic staff in universities and the general framework for personnel positions, conditions for occupying vacant positions, evaluation procedures, establishing that universities have the right to set additional conditions.

#### ***3.4.1.1. Bodies responsible for recruitment and employment procedures***

According to the Danish University Act, the university Board is the highest authority of the higher education institution having the role of protecting the interests of the institution and determining its policies with regard to development and long-term activities. For example, at Aalborg University the Board is responsible for hiring the Rector and top managers. Rector's hiring is preceded by a public announcement regarding the vacant position and a contract with the selected person shall be concluded for the period decided by the Board, with the possibility of its extension.

The Board shall establish a Committee responsible for employment at the university. The Committee shall include representatives of academic, technical, administrative staff

and students. The Committee shall make an overall evaluation of candidates' profile and conduct interviews with selected candidates only. The employment Committee may recommend no more than three applicants for a position. The final decision on employment belongs to the Board. The chairman of the Board or his deputy also acts as chairman of the employment Committee. The Board, by Rector's recommendation, shall employ one or more vice-rectors. The vice-rector must be a recognized and notorious person in the area of research. The vice-rector is the deputy rector. If several vice-rectors are employed one of them shall be appointed as deputy rector. Employment of the vice-rector is preceded by the following procedure: the rector shall appoint an employment committee consisting of academic, administrative and technical staff representatives and students' representatives. This committee shall be assigned with the task of evaluating candidates' profile and with those selected an interview shall be conducted. The rector shall recommend only one candidate for a position. Similarly, following rector's recommendation the director of the university shall be employed (in case of Aalborg University the latter is responsible for administrative and financial aspects of the University). The vacant position is publicly announced and the rector establishes a committee responsible for selection of candidates, composed of executive management representatives, administrative staff representatives, a dean and a director of another university. The rector acts as the chairman of the Committee

Deans are employed by the rector. The vacant position is announced publicly and the employment Committee under the presidency of the rector meets. The Committee includes representatives of academic, technical and administrative staff as well as students' representatives. The Dean is employed for a determined period the length of which is decided by the Rector. The Committee shall evaluate candidates' applications and propose one for Rector's approval.

Deans, in turn, are responsible for employment of education programs managers, as proposed by the respective education council. The Dean may consult the department involved in the respective education program on applications of potential program directors. At the same time, the Dean must ensure that the recommended staff has the necessary competence required for the position.

Employment of library director is the responsibility of the Rector. Vacant position is announced publicly and the Rector shall establish, under his presidency, an employment committee including management, library employees and faculties' representatives. The committee shall also include external experts in the field of librarianship.

Other employees, including academic staff, are employed by the Rector.

#### ***3.4.1.2. Methods and procedures for recruitment and employment. Approval/confirmation of recruitment/employment***

With certain exceptions, all vacant academic positions are announced, including international announcements for professor position. After publication of the notice and after application deadline for a specific position, the rector shall establish an Employment Committee under his presidency. The Committee shall evaluate the records of candidates applying for employment. The number of committee members varies, depending on the position applied, from three to five persons. Committee members must be at least associate professors and, when recruiting professors, committee members shall include professors only. Committee



members are nominated by the Study Board and applicants are notified about its nominal composition.

Applicants' portfolio is evaluated by all members of the Committee which compile a collective evaluation report indicating whether the applicant complies or not with position's requirements. Evaluation indicators are described by the job structure. The report is presented to each applicant and to the head of the department applied, so that the latter can select the most suitable applicant for the vacant position. Before deciding on employment, the Head of Department and the Dean can interview the selected applicant. The Head of Department shall recommend to the Dean the person selected to be employed and the latter is empowered to take the final decision. The Dean may decide that there are no reasons for employment, based on the results and individual merits of the applicant, even if the latter is quite qualified for the position.

The Dean shall send a letter of nomination to the selected candidate, announcing him about the position offered within the university. In parallel, the employment contract of the employee is prepared. On average, the recruitment procedure lasts from four to fifteen weeks. This procedure does not apply to employees working part-time and to those invited to work at the university in a particular department, conducting certain activities.

#### ***3.4.1.3. Types of employment and employment contracts***

In Danish universities, the Rector of the institution is responsible for personnel employment. Decision on employment is taken no later than six months from the deadline date for submission of particular position employment applications. Usually, employment contracts are concluded for an indefinite period.

Universities have the right to hire employees for a determined period, not exceeding two year-period, as well as employees from abroad for professor or associate professor positions. These employees can be re-employed for a period not exceeding one year. In both cases employment shall be made without public notice, provided that the employee meets the conditions required by the academic position.

For employees outside Denmark, whose total period of employment, including re-employment, exceeds three years, positions shall be announced vacant and they shall participate in the competition according to the general rules.

Notorious personalities can be employed without carrying out the procedure of prior announcement for vacant position and without evaluation. The Rector can establish specialized committees to explore the labour market in search of a specific employee having certain capabilities. Employment contracts with such employees shall be concluded for an indefinite period.

#### ***3.4.1.4. Conditions for appointment to posts in higher education. Academic career***

Until 2007, Danish higher education institutions did not have the concept of academic career, which meant that employees had no guarantees regarding the conclusion of employment contracts after completion of their activity in post doctoral or assistant professor positions. Beginning with January 1, 2007 new types of employment contracts were developed providing continuity of the academic career. Academic career means continuity in academic positions from an entry-level position up to the highest position within the same institution.

*Assistant Professor / Researcher / Post-doc*

Applicants must hold a PhD degree. Employment for these positions is done either for an indefinite or a determined period, usually with a 4-year initial employment and a possible extension for a maximal 4-year period, with a possible extension for an indefinite period. The work regime can be full-or part-time, as decided by the university. Usually, employees, after the first 4 years of employment shall be promoted to the position of associate professor, senior researcher, senior consultant. The promotion shall be carried out only after evaluation given that the candidate meets qualification criteria. Typically, the evaluation takes place six months before the expiry of the labour contract. If employee's qualification is not confirmed, termination of employment shall be operated.

*Associate Professor/Senior Researcher*

Evaluation of candidates is conducted to verify the compliance of their profile with conditions required for occupation of the position, which are described in the vacancy notice. Employment period depends on research carried out during employment as assistant professor, researcher, post-doc. Candidates must be competent in supervisory, pedagogical, knowledge transfer and other aspects. Usually, the duration of labor contract is indefinite, with certain exceptions in case of special projects. The work regime can be full-or part-time activity.

*Professor*

Candidates for these positions are evaluated in compliance with the requirements described in the vacancy notice and must demonstrate relevant academic results internationally recognized as well as capacity to conduct research. Similarly, it is necessary to demonstrate competence in the area of technology transfer, leadership capacity for research and international cooperation.

Applications are evaluated by an Employment Committee, whose approval is required for application to vacant positions.

Establishment of minimal conditions for access to academic careers by means of the Memorandum on teaching positions structure, providing for all education institutions a unified description of teaching positions, comes to support the idea that university human resources autonomy should be correlated with the principle of public accountability of the institution, the university being free to select its staff and establish own criteria (which shall not be lower than the legally established ones) but the selection should be done among the best, that is: the state being aware of the university role in society, establishes rules leading to the fact that higher education institutions shall decide in favour of the best performing candidates.

**3.4.1.5 Staff of higher education institutions**

The staff working in Danish universities consists of academic, administrative and technical staff. The legal framework for employment relationship of staff from Danish higher education institutions is governed by a set of regulations approved both at central and institutional levels.

In Denmark there is no central-level methodology based on which the necessary number of academic positions in higher education institution is established. In general, the Ministry of Finance, according to budgetary mechanisms, distributes the total number of positions to the Ministry of Higher Education, and the latter distributes funds to every institution

separately. Every institution is free to set own list of personnel positions, however, there is a limitation introduced, imposed by the Ministry of Higher Education, on the number of professors' positions.

In general, the Study Board is responsible for determining the number of positions required for a particular education program.

When determining the required number of positions universities are quasi-autonomous, depending on state funding, but are free to decide internally on the positions and department where the former shall be assigned.

### **Conclusions through the Government-University interface**

The Universities Act and the Order of the Ministry regarding employment of academic personnel establish the structure of academic positions and personnel recruitment procedures, universities being entitled to develop these provisions through the adoption of internal regulations describing the details of these procedures. We are speaking of mixed regulatory procedures both at central and institutional levels.

#### **3.4.2 Freedom of institutions to decide on the promotion of staff**

This criterion of university autonomy in the area of human resources materializes in the right of higher education institution to decide on career evolution of personnel by promoting to a higher rank, position or professional level.

##### **3.4.2.1. Staff evaluation**

According to an Order of the Danish Ministry of Higher Education universities set their rules regarding academic evaluation of candidates for various positions within the institution.

The purpose of evaluation is to determine whether the candidate meets occupational requirements described in the job structure and also advanced requirements for positions described in the employment notice.

In particular, candidate's skills in teaching, research and communication are to be assessed. Evaluation results shall be recorded in writing and presented to the rector. If there is a different opinion within the evaluation committee, it shall necessarily be indicated in the minutes. The composition of the evaluation committee shall be decided at the university. In general, experts in the area subject to evaluation, holding at least necessary skills for the evaluated position, shall be appointed as members. Only persons holding, at least, the position of associate professor can be members of the evaluation committee. Only the chairman, secretary and ordinary members of the evaluation committee may participate in its work. All of them are obliged to act respecting the principle of privacy and gender equality.

The activity of invited teachers is not subject to evaluation.

Appointment of the chairman and members of the Evaluation Committee is within the authority of the Study Council and the Rector shall set the deadline for submission of the evaluation report. Evaluation criteria are set forth in the Memorandum regarding the job structure.

The result of the evaluation, noted as qualified (when the candidate meets job requirements) or unqualified (when the candidate does not meet job requirements), shall serve as basis for employment or where appropriate, promotion of employee within the academic career.

The task of the Evaluation Committee is to ensure an impartial, qualified and objective evaluation of academic skills of candidates for academic positions, presenting a detailed description of teaching, research, knowledge transfer and other relevant skills required for performance of specific activity. The commission shall not prioritize candidates for certain positions and every candidate shall be assessed individually

#### ***3.4.2.2. Students' role in the promotion of academic staff***

Students from Danish higher education institutions are encouraged to play an essential role in learning process and to be responsible for conducting a research activity within a small group of colleagues. Teachers' evaluation by students is part of internal quality management system and students are encouraged to address analytically both the quality of the course and the quality of teaching.

#### ***3.4.2.3. Academic mobility of teachers and internationalization policies***

Academic mobility of teachers is part of the internationalization policies of each institution. Universities participate in various projects and teachers are motivated to participate as well. In general, teachers have the right to work in other institutions as associated or invited professors. Due to opening of higher education system to students from other countries and offering education programs in English, knowledge of this language is a priority for academic staff.

#### ***3.4.2.4. Rights and freedoms of higher education institutions' staff***

The law provides the staff of higher education and research institutions with the following rights:

- to participate in competitions for research grants and funds;
- to become a member of various associations and trade unions from the country and from abroad;
- to work independently or join various research and creation groups;
- to publish own scientific work independently.

As for the right to rest for scientific and teaching personnel, these benefit from regular rest vacations as well as from sabbatical leaves. This type of vacation is granted for the completion of a thesis, development of scientific papers etc., the period and conditions of this vacation being governed by internal regulations of the institution. Usually, this kind of leave is not paid at the expense of the university but research funds can be used for its financing. Employees also benefit from maternity leave, women being entitled to six months leave keeping full salary and men enjoying a 3 month-period keeping full salary. In addition, women can benefit from one maternity leave lasting 6 months keeping 80% of the salary.

#### ***3.4.2.5. Invited academic staff. Honorary titles awarding.***

Higher education institutions are entitled to award honorary titles of affiliated professor and affiliated associate professor. Awarding procedure is governed by a ministerial order. These honorary titles are awarded to individuals having a connection with the university and whom the latter wants to honour.

Awarding of these securities neither involves any remuneration nor influences the remuneration of the main activity.

The title is awarded for a five year-period. When awarding these titles confidentiality is taken into account and award initiative comes from the rector who must make sure that the person awarded agrees to receive this honorary title.

### **Conclusions through the Government-University interface**

The Danish Universities Act establishes minimal conditions required for the evaluation of the academic staff; in order to achieve institutional freedom in terms of setting own criteria and procedures regarding personnel evaluation the universities establish own regulations. State intervention here is minimal given that performance indicators underlying the accreditation of institutions involve serious and strict assessment of personnel.

### **3.4.3 Freedom to decide on workload**

Danish universities are autonomous in terms of their freedom to decide on labour norming, research-related activities being part of academic staff work activity. At local level, institutions are very autonomous and departments are responsible not only for assignment and accounting of activities, but also for labour norming. The Head of Department, best knowing its staff, assigns specific tasks to every employee from the department and it is important to have both research and teaching results, thus the budget of the department consists of two components: teaching (financial means for enrolled students, for MBA attendants, bonuses from the Ministry of Finance for students who graduate on time) and research (basic financing, publications, external research grants etc.).

#### ***3.4.3.1. Structure of teaching/academic workload***

The workload of academic personnel consists of teaching and research activities. The share assigned for teaching activities amounts 50%, for research there is allocated a 40% share and the remaining 10% are assigned for administrative activities. This is the rule, but in practice there may be certain differences depending on the position held, specific work obligations and institutional rules.

Academic personnel enjoys freedom in teaching, including the right to choose the appropriate teaching material and to select the style of teaching.

The Study Council is responsible for monitoring teaching activities, ensuring their compliance with quality indicators.

Research activity represents 40% of the academic staff activity. These activities generally involve scientific publications in journals recognized nationally and internationally. At the same time academic staff have the right to choose research topic and methodology.

#### ***3.4.3.2. Working time. Obligations of higher education institutions' staff***

Working time is the time period used by employees from higher education institutions in accordance with the existing regulations to fulfill their work obligations. A working week for employees from higher education institutions amounts 37 hours. The annual volume of work for teachers is 1000 hours. About a quarter of this time is assigned for teaching activities, another part of educational activities is assigned for supervisory activity, including evaluation activity as well, and the distribution of working time follows the next scheme:

- 1 (student) group – 20 h;
- 2 group – 30h;



3 or more groups-40 h.

The maximal allowed number of groups is 25.

According to Danish higher education legislation, the academic community has a general obligation to comply with tasks and duties under the individual employment contract as well as to perform both qualitatively and quantitatively work obligations set out in the job description.

Generally, every higher education institution has its own Code of Ethics and its rules must be respected by all members of the academic community.

#### **3.4.4. Freedom/capacity to decide on the remuneration system.**

Danish universities are part of the public sector and their remuneration is done based on collective agreements.

##### **3.4.4.1. Salary structure. Incentive payments.**

Employees who are employed in similar positions having the same seniority and experience in work activity benefit from equal remuneration conditions. Collective agreement on remuneration in Danish universities is negotiated by the Ministry of Finance and the Confederation of Professional Associations. At employment of every employee the salary shall be negotiated with unions representatives. The basic salary of all teachers, except professor's salary is established within a remuneration scale from level 4 to level 8. As a rule, in order to be employed at level 4, the employee must have Master's degree or equivalent to Danish Master degree.

Remuneration scale rating shall be made annually for one level. The remuneration of professors is not carried out considering the seniority criterion in labour activity but based on a distinct salary for this position.

When hiring a representative of the teaching staff, under the job structure memorandum every employee shall receive an allowance specific to every academic position.

In addition to basic salary and allowance for different position categories, employees enjoy different supplements to salaries established under collective negotiations between (interested) employees' and managerial team representatives.

##### **3.4.4.2. Bodies empowered to set salaries**

According to the Danish Ministry of Finance Circular of 21.09.2009 regarding framework agreements of the new salary system, the right to negotiate and conclude agreements on the salary system is decentralized. Signing of these agreements lies with the competence of parties authorized to do so. Within the university such negotiations are held annually and refer only to salary increases. Basic salaries are regulated by government acts. Negotiations are conducted between two parties, employers' and employees' representatives. From the employer's side, negotiations shall be attended by management team representatives belonging to the level and unit to which the negotiation refers.

Managers empowered to negotiate the salary may request the assistance of the manager leading the unit where employees whose salary is subject to negotiation work. The negotiator must be aware of regulations governing remuneration and of unit's situation.

The employees shall be represented by union organizations. When there are no trade unions within the university the managers of the institution shall appeal to branch union organization.

The management team of the university is obliged to disclose information on financial resources assigned to labour remuneration.

However, this freedom, component of human resources autonomy, is limited by the state stipulating that every employer must comply with the principle of fairness when paying salaries, expressed through the fact that the institution must ensure equal pay for similar work activities. Another relevant Danish legislation provision, which also draws the intersection point for GOVERNMENT-UNIVERSITY interface, states that every institution including higher education institutions must guarantee priority payment of salaries before any other claims of the institution.

### **3.4.5. Freedom to decide on the employment contracts termination method**

Termination of employment contracts of personnel from Danish higher education institutions is governed by the law regulating employment relationships of the public sector employees.

#### ***3.4.5.1. Grounds for termination of employment contracts specific to higher education***

Any member of the academic community may quit by own initiative the position occupied through resignation. In this respect, there must be a notice period. Usually, at least one month before the date of resignation a written notice is dispatched.

Dismissal – termination of labour contract by employer initiative may occur in two cases:

- dismissal based on violation of labour discipline. Shall be operated only by previous record of employee's certain misconduct followed by application of disciplinary sanctions. Disciplinary sanctions must be operated having prior approval from department's union entity (subdivision where the employee works with the employee providing a written explanation regarding the disciplinary misconduct).
- dismissal based on economic reasons, which can occur either after position reduction or under other institutional circumstances such as budget financing cuts, education program closing etc. General conditions regarding non-discrimination based on various criteria of employees subject to dismissal for economic reasons shall be observed. When dismissed for economic reasons employees shall receive a legally established allowance.

In both cases university unions shall be consulted in and the following notice periods shall be observed:

- 1 month for employees who have been employed less than 6 months;
- 3 months when the employment period exceeded 6 months;
- 4 months after three years of employment. For every 3-year period of employment one month shall be added, but not exceeding 6 months.

#### ***3.4.5.2. Termination of employment contracts with managerial staff***

The Council of the institution appoints the Rector for a fixed period and the duration of this period is also decided by the Council.

Termination of Rector's labour relations occurs under the same conditions as for the rest of teachers from higher education. Given that the rector recommends to the Council the employment of vice-rectors as well as of the university director, the Rector may also require



their resignation when there are reasonable grounds to do so, for example, when they do not fulfill their obligations in accordance with the labour contract. In all cases of labour contract termination for disciplinary or economic reasons, the employees concerned shall be assisted by union's representatives.

### **Conclusions through the Government-University interface**

The Danish state offers limited autonomy regarding the freedom to decide over the termination of labour contracts. The university is free to decide over one termination reason or another, to decide over prolonging these contracts in case of their expiry or to find solutions for retaining teachers in higher education, however, in all cases institutions are required to comply with the established procedure for public sector employees and to ensure legally provided guarantees.

## **3.5. Romania**

### **3.5.1. Freedom/ability to decide on recruitment and employment procedures**

Romanian Law on National Education no. 1 of January 5, 2011 provides that university autonomy is guaranteed by the Constitution and academic freedom is guaranteed by law. In this respect it is acknowledged the right of university community to establish its own mission, institutional strategy, structure, activities, organization and operation, material and human resources management in strict compliance with the legislation.

In accordance with the University Charter, employees' selection, hiring, periodic evaluation, training, motivation and termination of employment contract relations are the responsibility of the director in charge of personnel department, of the doctoral school manager or of the dean.

The above-mentioned law describes in detail recruitment procedures as well as the procedure for employment contract conclusion, higher education institutions being free to decide on the selection of candidates.

#### ***3.5.1.1. Bodies responsible for recruitment and employment procedures***

The procedures for recruitment/employment in Romanian higher education institutions are carried out in compliance with the provisions of Competition Framework Methodology for the occupation of vacant teaching and research positions in higher education, approved by Decision no. 457/2011, published in the Official Gazette no. 371 of 26.05.2011. Higher education institutions were required, within 60 days after the entry into force of this decision, to develop own competition Methodologies for the occupation of vacancies in strict compliance with the provisions of the Framework Methodology. Own methodology had to be approved by the University Senate and published on the higher education institution's website.

In accordance with these normative acts, a vacancy contest proposal is made by the director of the department or by the principal of the doctoral school at which the vacancy exists, by means of a reference approved by the department/doctoral school board and by the faculty board.

The Contest Commission is the body responsible for recruitment/employment procedures. Appointment of contest commission members is done after the publication of po-

sition contest notice for each announced vacancy. For example, at the “Ștefan cel Mare” University from Suceava, the Contest Commission is established and approved within 30 days after the publication of position notice in the Official Gazette of Romania. The Contest Commission may include deputy members. The board of the department/doctoral school at which the position exists makes proposals with regard to the nominal composition of the Contest Commission. Composition of the Contest Commission is proposed by the dean of the faculty taking into consideration the proposals of the department/doctoral school board and must be endorsed by the faculty board.

The nominal composition of the Contest Commission, together with faculty board endorsement notice, is submitted to the University Senate for approval. Following approval by the University Senate, the composition of Contest Commission is appointed by Rector’s decision. After that, within two working days the decision is transmitted to the Ministry of Education, Research, Youth and Sport and the nominal composition of the Contest Commission is published on contest website. For positions of associate professor, professor, II degree scientific researcher and I degree scientific researcher, the composition of the commission shall be published in the Official Gazette of Romania, Part III. In case of defense system, public order and national security higher education institutions, Rector’s decision is also transmitted to the relevant bodies.

#### **Contest Commission composition and activity:**

The Contest Commission consists of five members, including its chairman, specialists in the field of the announced vacant position or in related fields. When a member is unavailable for participation in the work of the commission, the respective member shall be replaced by a deputy appointed through the same procedure as commission members. Decisions are taken by secret vote of Contest Commission members. A commission’s decision is valid if taken by the vote of at least three members. The chairman directs the work of the Contest Commission. Commission members may be from inside or outside the institution of higher education, from the country or from abroad. In case of higher education institutions from abroad, these must be mandatorily from the list approved by the Minister of Education, Research, Youth and Sport. For positions of associate professor, professor, I and II degree scientific researcher, at least three commission members must be from outside the institution that organizes the contest, being from the country or from abroad. For a professor’s position, except for positions from specifically Romanian scientific fields as well as positions related to defense system, public order and national security, at least one committee member must have an employment contract, by the date of vacancy notice publication in the Official Gazette of Romania, Part III, with an institution of higher education and research from abroad included in the list approved by the Minister of Education, Research, Youth and Sports. Contest Commission members must hold a teaching or research degree senior or at least equal to the announced vacant position or, in case of members from abroad, meet relevant university standards with regard to the announced vacant position.

For the sole purpose of participating in the work of the Contest Commission, equivalence of teaching or research degrees of foreign members of the commission with Romanian teaching or research degrees is carried out through university senate approval of the nominal composition of commission members. The following persons can be appointed as

chairman of the Contest Commission: the director of the department or the principal of the doctoral school where the position exists; the dean or the vice-dean of the faculty where the position exists; a member of the department/faculty board delegated for this purpose through the vote of the respective board. The nomination of the chairperson is made by the higher education institution according to own methodology.

The Contest Commission evaluates the candidate in terms of the following aspects:

- a) candidate's relevance and impact of scientific results;
- b) candidate's ability to guide students or young researchers;
- c) candidate's teaching skills, for positions requiring teaching activity;
- d) candidate's ability to transfer own knowledge and results to the economic or social environment or to disseminate own scientific results;
- e) candidate's ability to work in a team and his/her scientific collaboration effectiveness depending on the particularities of candidate's field;
- f) candidate's ability to manage research and development projects;
- g) candidate's professional experience in institutions other than the institution which announced the vacancy, particularly the experience within higher education and research institutions from the list approved by order of the Minister of Education, Research, Youth and Sport.

Professional skills of the candidate shall be assessed by the Contest Commission based on the contest record and, additionally, through one or more contest examinations, including lectures, courses or other tests, according to relevant methodology. For all indefinite-term positions, at least one mandatory contest examination requires a public lecture lasting at least 45 minutes during which the candidate presents previous most significant professional results and academic career development plan. This examination contains a mandatory session of questions from the Commission and the public. Higher education institution announces on the contest web page the date, time and place of this examination at least 5 working days before the examination.

#### ***3.5.1.2. Recruitment and employment methods and procedures. Approval/confirmation of recruitment/employment***

According to Art. 219, paragraph (1), letter a) and Art. 295 paragraph (1) of the Law on National Education no.1/2011, for teaching and research positions in higher education can apply only persons meeting minimal and mandatory standards when registering for vacant teaching and research positions in higher education, approved by order of the Minister of Education, Research, Youth and Sport. Every higher education institution must provide in its own contest methodology regarding vacant positions the minimal standards for occupation of teaching and research positions of: assistant hired for an indefinite period, lecturer / activity leader, associate professor, professor, research assistant hired for an indefinite period, scientific researcher, II degree scientific researcher, I degree scientific researcher. Standards relevant to these functions are minimal and mandatory requirements for registration at the contest for these functions. They are established by the higher education institution and approval by the university senate. University standards cannot derogate from the national minimal standards approved by order of the Minister of Education, Research,

Youth and Sport. University standards are higher or equal to the national minimal standards. Higher education institution cannot establish by own methodology or through other documents equivalence of candidate's accomplishment of national minimal standards by means of standards, criteria and indicators other than those set by national minimal standards approved by order of the Minister of Education, Research, Youth and Sport.

Own methodology provides for the settlement of disputes within the institution which organized the contest. Appeals can be submitted exclusively for violation of legal proceedings. When an applicant has evidence that can prove failure to comply to legal proceedings of the contest, the applicant may submit an appeal within 5 working days after the communication of results. The appeal must be in writing, has to be filed at the registration office of higher education institution and must be settled by the contest commission. Failure to comply with the methodology by responsible persons involved in the procedure for organizing and conducting the contest is misconduct and shall be sanctioned in accordance with applicable law. Own methodology must be developed strictly observing the principles governing higher education that are provided in the Law on National Education and other legal acts in force.

### **Procedures**

The notice regarding the organization of the contest shall be published at least two months before the date of the first examination. Registration for the contest starts on the day of publication in the Official Gazette of Romania, Part III, of the competition for vacant position and end 15 calendar days before the first examination. Notices shall be published in compliance with the following minimum requirements: on a visible location from the main page of the higher education institution website; on a specialized website administered by the Ministry of Education, Youth and Sport; in the Official Gazette of Romania, Part III. The higher education institution and the Ministry of National Education may announce the contests by any additional means, including announcements in the media, in national and international scientific publications, on websites specialized in publishing job offers and the like. The contest website is the website presenting complete information about the contest directly from the specialized website administered by the Ministry of Education, Youth and Sport. On the contest website shall be published at least the following information: description of the vacant position; tasks / activities related to the vacant position, including teaching workload and types of activities included in it, for research positions – the research workload; minimal position's wage at employment; competition calendar; topics of contest examinations, lectures, courses or other similar, or themes based on which the Contest Commission can select effective examination themes; description of the contest procedure; full list of documents that applicants are required to include in their contest applications; address where applications are to be sent. Announcements regarding positions of associate professor, professor, II degree scientific researcher and I degree scientific researcher shall be published in English.

On the website of the contest as well as on the website of higher education institution, within 5 working days after the closing date for contest registration at the latest, for every candidate registered and in compliance with personal data protection the following information shall be published: curriculum vitae; sheet verifying compliance to minimal standards.

Competitions are open and persons eligible in terms of contest registration conditions may participate without discrimination under the law, and the contest methodology cannot contain discriminatory provisions with regard to candidates based on gender, ethnic or social origin, nationality, religion or belief, disability, political opinions, social or economic condition. Contest methodology cannot refer to age and cannot contain provisions that disadvantage candidates outside the institution or from abroad. The description of vacant position shall be made in comprehensive terms corresponding to the real needs of higher education institution, taking into consideration not to artificially limit the number of potential candidates.

The legislation imposes certain prohibitions for persons involved in the organization of the contest, namely: spouses, in-laws and relatives up to the third degree of one or more candidates; are employed at the same institution with a candidate holding an administrative position and are hierarchically subordinated to the candidate; are or have been paid within research projects in which a candidate has acted as project director in the last 5 years prior to the contest; receive or have received in the last 5 years prior to the contest services or benefits of any kind from a candidate. Are considered to be involved in the competition procedure persons who: participate in the decision process on the appointment of the contest commission; are members or deputy members of the Contest Commission; are involved in professional or administrative assessment decisions within the contest; are involved in complaints settlement. If, after a candidate wins the contest, one or more persons from the higher education institution are to be in an incompatibility situation mentioned above, appointment to the position and awarding of the academic title by the institution of higher education or of professional research and development degree can take place only after settling the situation of incompatibility. The settling manner of the incompatibility situation shall be communicated to the Ministry of Education, Youth and Sport, within two working days after the settlement.

Higher education institutions can organize the contest for a teaching or research position only if it was declared vacant. A position is considered vacant if this is envisaged in the positions list prepared annually, or if it becomes vacant during the academic year. The position becomes vacant through one of the following ways: legal termination of employment contract; transfer of the person occupying the position to another position within the same higher education institution after winning a contest. Teaching and research positions cannot be brought to contest by transforming the occupied position into a senior position. The institution of higher education can organize a contest for occupation of a teaching or research position for an indefinite period only after publication by the Ministry of National Education of the vacant position in the Official Gazette of Romania, Part III. For publication in the Official Gazette of Romania, Part III, higher education institutions submit to the Ministry of National Education the following documents: list of positions proposed for the contest and their structure, signed and stamped by the rector of higher education institution; extract from the positions list containing vacant positions brought to contest, signed by the rector, the dean and the head of department or the principal of the doctoral school; for teaching positions, sworn statement of the rector of higher education institution certifying that all teaching positions proposed for the contest have in their structure only subjects from



the legally established curricula of specializations/education programs, including the form of education and place where taught; own methodology. The request to the Ministry of National Education for publication in the Official Gazette of Romania, Part III, of the vacant position brought to contest shall be mandatorily carried out within the first 30 calendar days after the start of each semester of the academic year. The Ministry of National Education verifies positions structure based on legal provisions in force. Contest procedures can be initiated only after publication in the Official Gazette of Romania, Part III, of the vacant position brought to contest.

The proposal to organize a contest for a vacant position is made by the head of department or by the principal of the doctoral school in the structure of which the position exists, through a reference approved by the department board or doctoral school board and by the faculty board. The list of positions proposed for contest completion shall be endorsed by the dean and submitted to the board of higher education institution for approval. Contest results shall be approved by the university senate and employment shall be done starting with the first day of the semester following the contest. Heads of departments, deans and the rector are accountable to the University Senate for good organization of vacant position contests, in compliance with quality standards, academic ethics and current legislation. When discovering deviations from these, the Senate may apply sanctions specified in own methodology, including dismissal of deans or rector. In case of failure to comply with legal requirements during occupation of teaching and research positions, the Ministry of National Education may impose sanctions on the basis of report submitted by the Board of Ethics and University Management. When courts of law find infringement of contest procedures for occupation of teaching and research positions in universities, the contest is canceled and resumed.

### **Employment procedure for management positions**

In Romanian higher education institutions there are the following management positions: rector, vice-rectors, general director for university administration; dean and vice-deans at faculty level; head of the department at the department level. Deans are selected through public contest, organized by the rector at faculty level. The competition is open to persons from the university or from any relevant faculty in Romania or from abroad that, based on plenary hearings of the faculty board, received its approval for participation in the contest. The faculty board is required to approve at least 2 candidates. The dean shall appoint vice-deans after their appointment by the rector.

The rector may be appointed by one of the following procedures: through a public contest, based on a methodology approved by the newly elected university senate, in accordance with the Law on National Education or through the universal, direct and secret vote of all tenured teachers and researchers from the university as well as of student representatives from the University Senate and faculty boards. The proceeding for rector's appointment is established at least 6 months before every appointment of the rector, through universal, direct and secret vote of all tenured teachers and researchers from the university as well as of student representatives from the University Senate and faculty boards.

If the proceeding chosen for rector's appointment is based on a public competition, the designation procedure is as follows: the newly elected university senate creates a commis-

sion for selection and recruitment of the rector, composed of members of the university (50%) and of scientific and academic personalities from outside the university, from Romania and from abroad (50%). This commission shall be composed of at least 12 members, of which at least one student representative or a university graduate appointed by students from the Senate, in accordance with the university Charter. Also, the newly elected senate develops and approves the methodology for designation, selection and recruitment of the rector according to the law. The public contest for rector's appointment is conducted based on the methodology for hiring of teachers and researchers. The contest commission is the commission in charge of selection and recruitment. The contest for rector's position is open to scientific or academic personalities from Romania and from abroad, which, after hearings within the newly elected University Senate, were approved by the latter for participation at the contest. The approval shall be granted only based on the simple vote majority of the newly elected University Senate members. The newly elected University Senate is required to approve at least 2 candidates. Candidates approved by the newly elected Senate participate in the contest. The appointed rector is confirmed by the Minister of Education, Research, Youth and Sport within 30 days from the date of selection. After the release of the confirmation order, the rector can sign official documents, financial / accounting documents, diplomas and certificates. The rector, confirmed by the Minister of Education, Research, Youth and Sport, appoints vice-rectors after consultation with the University Senate. The rector, confirmed by the Minister of Education, Research, Youth and Sport concludes with the Senate a management contract that stipulates criteria and management performance indicators, rights and obligations of the contracting parties.

Deans are selected through a public contest organized by the new rector and approved by the University Senate. The competition is open to candidates approved by the faculty board through simple vote majority of its members and based on own methodology developed by the University Senate. The faculty board shall approve at least 2 candidates.

The general director for administration may remain in his position based on his written agreement regarding the executive support of the management plan of the new rector.

Rector's term of office is 4 years. This term may be renewed at most once and after a new contest according to the university Charter. A person cannot hold the rector's office of the same higher education institution for more than 8 years, regardless of the period in which appointments were made and interruptions occurred.

The administrative structure of higher education institutions is headed by an administrative director and is organized into directorates. The position of general director for administration is occupied by contest organized by the administrative board of the higher education institution. The chairman of the Contest Commission is the rector of the institution. The Commission is necessarily composed of a representative from the Ministry of Education, Research, Youth and Sport. Contest results validation is made by the University Senate and appointment into position – by the rector.

#### ***3.5.1.3. Types of employment and employment contracts***

The Law on National Education no. 1 of January 5, 2011 stipulates the general conditions for recruitment and hiring of personnel of higher education institutions. Employment for a teaching or research position is done for a fixed or indefinite period. Employment for an in-



definite period for any teaching or research position is only possible through public contest, organized by the institution of higher education following candidate's reception of a doctoral degree. The contest for a teaching or research position is open for participation to Romanian citizens or foreigners, without any discrimination, under the law. Employment for a fixed period is an exception and its maximal duration is three years. Doctoral students can be employed for a maximum period of 5 years. A fixed-term employment contract concluded between the university and members of the teaching and research personnel, following a contest, may be renewed depending on personal professional results evaluated according to the criteria established by the University Senate and depending on employment – and financial resources needs of the institution in accordance with the legal provisions in force.

Doctoral students can perform teaching activity according to the doctoral education contract, limited to 4-6 conventional teaching hours a week. Teaching activities that exceed this limit shall be remunerated in accordance with the legislation in force, under Labour Code provisions, respecting the rights and obligations of the employee and payment of due contributions, under the law, for state social security, unemployment insurance, health social insurance as well as for work accidents and occupational diseases. Throughout the whole activity period, the doctoral student benefits from recognition of professional and work seniority and also from free healthcare, without payment of state social insurance contributions, unemployment insurance, as well as health, work accidents and occupational diseases social insurance.

#### ***3.5.1.4. Conditions for appointment in higher education. Academic career.***

The minimal requirements for admission to the contest for a teaching position are provided by the Law on National Education and by other legal acts, approved at ministerial level. Higher education institutions have to establish own conditions which must be at least equal to those approved at the higher level.

For the position of university assistant, hired for an indefinite period, it is cumulatively required:

- a) to hold PhD diploma;
- b) to comply with the standards for filling teaching positions, specific to the post of assistant professor hired for an indefinite period, as provided by own methodology.

For the position of lecturer/reader it is cumulatively required:

- a) to hold PhD diploma;
- b) to comply with minimal standards required for filling teaching positions, specific to the post of lecturer/activity leader, as provided by own methodology.

For the position of associate professor it is cumulatively required:

- a) to hold PhD diploma;
- b) to comply with national minimal standards for filling teaching positions, specific to the post of associate professor, approved by order of the Minister of Education, Research, Youth and Sport;
- c) to comply with minimal standards for filling teaching positions, specific to the post of associate professor, as provided by own methodology. These standards should be higher or equal to the national minimal standards approved by order of the Minister of Education, Research, Youth and Sport;

For the position of professor it is required:

- a) to hold PhD diploma;
- b) to be holder of Certificate of Entitlement or have the right to conduct doctoral studies, obtained before the entry into force of the Law on National Education;
- c) to comply with national minimal standards for the occupation of teaching positions, specific to the post of professor, approved by order of the Minister of Education, Research, Youth and Sport;
- d) to comply with minimal standards for filling teaching positions, specific to the post of professor, as provided by own methodology. These standards should be higher or equal to the national minimal standards approved by order of the Minister of Education, Research, Youth and Sport.

To enter the contest for a research position, it is necessary to meet conditions set forth by the Law no. 319/2003 regarding the status of research and development personnel and by the Law on National Education, namely:

- a) for indefinite period positions it is required to hold PhD diploma;
- b) to meet national minimal standards for filling research posts, specific to these positions, as provided by own methodology.

In order to enter the contest for a teaching and research positions the candidate is required to submit a dossier containing, at least, the following documents:

- a) contest application, signed by the candidate, including an own responsibility statement regarding the truthfulness of information submitted in the dossier;
- b) proposal for academic career development of the candidate both from teaching standpoint, in case of teaching positions, and from the standpoint of scientific research activities; the proposal shall be developed by the candidate and comprise 10 pages at most; it is one of the main criteria for candidates' evaluation.
- c) hard copy and electronic version of Curriculum Vitae of the candidate;
- d) hard copy and electronic-version list of candidate's publications;
- e) check list in compliance with university standards regarding contest presentation, whose standard format is required by own methodology. The check list shall be completed and signed by the candidate;
- f) documents confirming possession of PhD diploma: certified copy of PhD diploma and, if the original PhD diploma is not recognized in Romania, the certificate of its recognition or equivalence;
- g) summary, in Romanian and in an international language, of the PhD thesis or, where applicable, of the habilitation thesis on more than one page for each language;
- h) applicant's own responsibility statement indicating incompatibility situations arising in case of winning the contest or indicating lack of such incompatibility situations;
- i) in case of contest for professor's position, a certified copy of Certificate of Entitlement is required;
- j) copies of other diplomas confirming candidate's education;
- k) copy of identity card or, if the candidate does not have an identity card, copy of the passport or other identity document issued for a purpose equivalent to that of an identity card or a passport;

- l) if the candidate has changed the name, copies of documents certifying change of name – marriage certificate or proof of name change;
- m) not more than 10 publications, patents or other papers of the candidate, in electronic version, selected by him and considered to be most relevant for own professional achievements.

The higher education institution shall specify regulations that apply to candidate's publications not available in electronic version.

Candidates for the positions of associate professor or II degree scientific researcher shall submit with the contest file at least 3 names and contact addresses of personalities in the respective field, from the country or from abroad, outside the institution of higher education whose position is brought to contest, which agreed to write letters of recommendation regarding candidate's professional qualities. Candidates for the positions of professor or I degree scientific researcher shall submit with the contest file at least 3 names and contact addresses of personalities in the respective field from abroad, from higher education and research institutions included in the list approved by order of the Minister of Education, Research, Youth and Sport, which agreed to write letters of recommendation regarding candidate's professional qualities.

Contest application file shall be compiled by the candidate and shall be submitted to the higher education institution address specified on contest's website, directly or through postal or courier services allowing confirmation of receipt. Contest Committee members must receive the application file starting with the closing date for submission of contest applications files, but not later than 5 working days before the first contest examination. Candidate's compliance with legal requirements for contest file submission is certified by the resolution of the legal department of higher education institution based on verification of information from the check list and from other documents required for application to the contest. The resolution shall be communicated to the candidate within 48 hours after it was issued, but not later than 5 working days before the first contest examination. Candidates meeting legal requirements for contest application shall be invited by the higher education institution to contest examinations.

#### ***3.5.1.5. Staff of the institution***

The list of teaching and research staff positions are drawn up annually, by establishing university workload, at least 15 days before the beginning of each academic year and these cannot be changed during the academic year. Teaching positions and the number of posts are established taking into account: curricula; study groups; university workloads.

Staff positions contain, in hierarchical order, teaching and research positions occupied or vacant, specifying the corresponding teaching and research positions and the weekly number of conventional hours distributed among teaching activities, seminars, practical or laboratory works, project guidance, students and Ph.D. students mentoring, professional and research practice and equivalent activities according to curriculum disciplines.

Staff positions are drawn up at department or graduate school levels, after consultations with their members and specification of teaching and research tasks by the faculty board. At departments providing disciplines taught within several faculties, staff positions are completed based on ordering forms, approved by the administration of higher education insti-

tution. Staff positions of teaching and research personnel shall be approved by the faculty board or, where appropriate, by the doctoral school board and shall be approved by the university senate. The number of positions for auxiliary teaching and research personnel is established by the University Senate, depending on budget and particularity of institution, faculty, education program, department or doctoral school. General classification of auxiliary teaching and research positions in higher education as well as the level of education required for these positions is developed by the Ministry of National Education together with the Ministry of Labour, Family and Social Protection.

### **Conclusions through the Government-University interface**

The autonomy of human resources in terms of the right of institutions to obtain freedom regarding the establishment of recruitment/employment procedures is considerably limited by the state. The state establishes minimal requirements and the institution has no right to derogate from them, only being entitled to apply more strict criteria. Limitation of university autonomy is reflected in the procedure for announcement of vacancies and contest organization.

#### **3.5.2. Freedom of institutions to decide on the promotion of staff**

This criterion of university human resources autonomy is materialized in the right of higher education institution to decide on ensuring career evolution of personnel by promotion to a higher rank, position or professional level.

##### **3.5.2.1. Staff evaluation**

Results and performance of teaching and research activity of university academic staff are evaluated periodically at periods not exceeding five years. This evaluation is made in accordance with a methodology approved and applied by the University Senate. Teaching and research staff employment contracts impose compliance with minimal standards for teaching and research results as well as provisions regarding termination of contracts in cases of non-fulfillment of these minimal standards. These standards are part of quality policies at every higher education institution. For example, at „Ștefan cel Mare” University of Suceava, quality policy implementation by the management of the institution and by the management of existing organizational structures envisages excellence, competence and responsibility. Their assessment is performed by means of a set of indicators allowing their numerical evaluation. The indicators are correlated with external requirements and represent benchmarking elements. They are covered through strategic plans adopted by the administration every four years and by annually developed operational plans. These indicators allow the development of internal quality control mechanisms for the implementation of quality assurance system approved by the University Senate. „Ștefan cel Mare” University employs for quality assessment the following components: areas (teaching, research, internships, international relations, activities of administrative nature), criteria, own procedures, standards and performance indicators, found in external evaluation methodologies for standards, for reference standards and for the list of performance indicators used by ARACIS. The evaluation of teachers has a complex and integrating character and involves self-evaluation, peer evaluation, evaluation by direct supervisor and student evaluation. Self-assessment/evaluation of teachers provides information on teaching performance, sci-

entific research, national and international recognition, work with students and work within the academic community, reported at various time periods. Evaluation results are public for department members, faculty and university administrations, without imposing any access restrictions. The evaluation is applied only to teachers carrying out activities based on job description within the university at least six months out of the calendar year. Peer review assesses the fulfilment of professional ethics by every teacher as well as personal qualities displayed as a member of the department. Criteria are developed for peer evaluation, including determination of the following activities: engagement in collective life, joint actions, responsiveness to additional requests; participation in college and university activities; teamwork: participation in collective achievements, projects, education programs, scientific exhibitions, research; taking over responsibilities: consistency and timeliness in carrying out tasks; promotion of college/university image; professional attitude and behavior: principiality, impartiality, expression of own views not infringing the rights of others by language and attitude; communication capacity: cultivation of positive climate; respect for colleagues: support to colleagues, compliance to group rules; promotion of creativity: initiative and organization of collective performant actions; concern for the quality of teaching activities performed.

Peer review activities shall be organized over a period of up to six days. All teachers are subject to peer review process once a year at the end of the calendar year. All members of the department at which the evaluated teacher works participate in the peer review.

The final mark shall be calculated by the following formula:

$$N_{\text{final}} = 0,8 \times (0,5 \times N1 + 0,2 \times N2 + 0,3 \times N3) + 0,2 \times N4$$

where:

**N1** – self-assessment equated mark;

**N2** – mark obtained after peer review;

**N3** – mark obtained after evaluation by the Head of department;

**N4** – mark obtained after students' evaluation.

The mark N1 for teachers who worked more than six months but less than 9 months shall be calculated by dividing the obtained scores by the number of months worked and multiplying by 12. Based on new scores the mark shall be determined. The mark N4, also taken into consideration, is obtained after the last evaluation performed by students. The final score of the evaluation is determined based on the final mark as follows:

between 1,00 ÷ 2,00 = unsatisfactory;

between 2,01 ÷ 3,00 = satisfactory;

between 3,01 ÷ 4,00 = good;

between 4,01 ÷ 5,00 = very good.

Final scores shall be communicated personally to teachers evaluated by the department head.

#### ***3.5.2.2. Students' role of in the promotion of academic staff***

In general, according to the Romanian Law on National Education no. 1 of January 5, 2011, students are guaranteed the right of free choice of courses and specializations accord-



ing to the actual education plan. Students are considered partners of the institution and equal members of the academic community.

Charters of several Romanian universities stipulate the right of students to participate in the evaluation of teachers. For example, „Alexandru Ioan Cuza” University of Iași, students have the right to participate in the evaluation of courses, seminars, practical work and other educational and/or organizational aspects related to the education programs attended. These evaluations serve as basis for evaluating the performance of these courses, seminars, internships, education programs and teachers.

At „Ștefan cel Mare” University of Suceava, student evaluation of teachers’ performance is mandatory. Evaluation results are public information.

### ***3.5.2.3. Academic mobility of teachers and internationalization policies***

According to Art. 118 of the Romanian Law on National Education no. 1 of January 5, 2011, the national higher education system is based on national and international mobility of teachers and researchers.

Academic staff holding teaching positions in the education system, being requested abroad for teaching, research, artistic or sport activity on a contract basis as provided by agreements and governmental, inter-university or inter-institutional conventions, or delegated for specialization, hold their teaching positions for the respective period. Academic staff holding teaching positions in the education system, which by own initiative request to specialize or participate in scientific research in Romania or abroad, are entitled to unpaid leave. This leave should not exceed 3 years in a 7-year period. Approvals in such situations fall under the responsibility of higher education institution administration or, where appropriate, of the administrative board, upon evidence of such activity.

For example, at „Alexandru Ioan Cuza” University of Iași the Regulation on international academic collaboration was developed. According to this regulation, official visits abroad of teaching or administrative personnel and students are carried out based on Rector’s Resolution. The request for such trip must be accompanied by an academic invitation. Mobility financing is carried out on the basis of several financing sources. Salary payment is guaranteed depending on mobility and program it belongs to.

### ***3.5.2.4. Rights and freedoms higher education institutions’ staff***

According to the university Charter, university Code of Ethics, individual employment contract and legislation in force, higher education institutions’ staff have rights and duties. Protection of employees’ rights as well as of intellectual property rights over scientific, cultural and artistic creation is guaranteed and ensured in accordance with the university Charter or specific legislation in force.

Members of the university community are guaranteed academic freedom. On this basis they can freely express academic opinions in the university environment and enjoy academic freedom in terms of teaching, research and creation according to the criteria of academic quality. In general, teaching and research personnel have the following rights:

- to publish studies, articles, books or artistic works;
- to apply for national and international grants, without restrictions on academic freedom;
- to be a member of professional and cultural, national and international associations and unions, as well as of legally constituted political organizations, in accordance with the law;



- to receive healthcare in medical and psychological facilities, in clinics and hospitals assigned by a protocol concluded between the Ministry of National Education and the Ministry of Health.

Teachers have the right to be on leave, such as:

- a) paid annual leave during university holidays, lasting at least 40 working days; in duly justified cases, the administration of the education institution may interrupt the leave of these persons remunerating them for the fulfilled work; methodological norms regarding legal leave shall be developed by the Ministry of National Education together with relevant trade union representatives at higher education level;
- b) the periods of annual leave for every teacher shall be established by the University Senate, depending on the interest of education and person concerned.

Professors and lecturers or grant directors that for 6 consecutive years have managed research grants and worked at the same university are entitled to sabbatical year. During the sabbatical year, they receive almost a basic salary, by approval of the university senate, and hold their position but are exempt from carrying out the activities as set in their job description.

Academic staff holding teaching positions in education, when elected to the Parliament, appointed to the Government or perform particularly specialized functions within the structures of the Parliament, the Legislative Council, the Constitutional Court, the Ombudsman, the Presidential Administration, the Government or within the Ministry of National Education as well as appointed by the Parliament within central state bodies, have the right to keep their positions while performing these functions. Throughout their office-or appointment term teachers can combine these functions with teaching and research activity.

Teachers elected or appointed to state public institutions or performing activities specific to public office in ministries or other specialized state bodies may carry out educational activities related to a teaching workload.

#### ***3.5.2.5. Invited academic staff. Honorary titles awarding.***

The Romanian Law on National Education no. 1 of January 5, 2011 establishes state distinctions awarded to teachers. According to this legal act, the following orders and medals can be conferred to the academic staff of higher education: Alma Mater Order with the ranks of Commander, Knight and Officer. Also, they can be awarded the Teaching Corps Honorary Member Medal; the medal is given to retired teaching staff for outstanding activity in education and professional training.

In accordance with their own rules, institutions are free to award their own honorary titles. For example, at „Ștefan cel Mare” University of Suceava the following titles are awarded: Professor Emeritus, Doctor Honoris causa and Honorary Senator. In terms of this sub-criterion institutions enjoy wide autonomy and have the right to award these titles if conditions established by internal regulations of the institutions are met.

#### **Conclusions through the Government-University interface**

The Romanian Law on National Education no. 1 of January 5, 2011 establishes minimal conditions required for the evaluation of academic staff, and, in terms of organization's freedom to establish own criteria and procedures for staff evaluation, institutions should develop their own regulations that are part of quality management system. Regulations devel-

oped at government level do not provide performance indicators, these being developed by the institution and the state closely monitoring evaluation procedures through the Romanian Agency for Higher Education Accreditation and Certification.

### **3.5.3. Freedom to decide on the workload**

Freedom to decide on the workload lies in the higher education institution's right to decide on the distribution of working time, working norms, most accurate determination of working tasks for a member of the academic community.

#### ***3.5.3.1. Structure of teaching/academic workload***

According to the Romanian Law on National Education no. 1 of January 5, 2011 a university workload includes: the teaching workload and the research workload. The teaching workload may comprise a number of activities including:

- a) teaching activity;
- b) seminar activities, practical and laboratory work, project papers guidance;
- c) Bachelor's thesis elaboration guidance;
- d) Master's thesis elaboration guidance;
- e) PhD thesis elaboration guidance;
- f) other teaching, practical and scientific research activity included in the curricula ;
- g) management of teaching and artistic/sport activities;
- h) assessment activities;
- i) tutoring, counseling, mentoring of student scientific group, of students within credit transfer system;
- j) participation in education-relevant councils and commissions.

The weekly teaching workload in higher education is quantified into conventional hours. The teaching workload is determined according to the educational plan and calculated as the weekly average workload, regardless of the academic semester period it is carried out. The weekly average workload is determined dividing the number of conventional hours from the individual job description by the number of weeks established by the curriculum for teaching and seminar activities for the whole academic year. A conventional hour is the teaching hour of Bachelor's level university education activities that were listed above. At Bachelor's level university education a teaching activity hour makes two conventional hours. At Master's and PhD university education a teaching activity hour makes 2.5 conventional hours and the hour which includes other activities listed above makes 1.5 conventional hours. When teaching in foreign languages at Bachelor, Master and Doctoral cycles, teaching, seminars or other activities can be standardized by an additional multiplicative coefficient – 1.25. The above languages teaching hours are an exception to this provision. The rest of activities listed above, included in the teaching workload, are quantified into conventional hours according to a methodology approved by the University Senate depending on the education program, profile and specialization, so that to a physical hour of activity correspond at least 0.5 conventional hours.

The minimal weekly teaching workload for activities listed shall be established as follows:

- a) professor: 7 conventional hours, of which at least 4 conventional hours of teaching activities;
- b) associate professor: 8 conventional hours, of which at least 4 conventional hours of teaching activities;

- c) university lecturer/activity leader: 10 conventional hours, of which at least two conventional hours of teaching activities;
- d) assistant professor: 11 conventional hours, comprising the following activities: seminars, practical work and laboratory, project papers guidance, Bachelor thesis elaboration guidance and other practical teaching activities.

A teaching workload cannot exceed 16 conventional hours per week. Teaching workloads set for every teaching position represent the minimal level of teaching activity workload. Based on university autonomy, the Senate can increase by regulation the minimal weekly teaching workload in accordance with quality assurance standards, without exceeding the maximal limit of 16 conventional hours. Within the limits of the existing legislation, the Senate differentiates the effective academic workload depending on the specialization area, percentage of disciplines for a specialization and size of educational structures.

The total amount of working hours for teaching or research workload, obtained by aggregating the corresponding shares of listed activities, is 40 hours per week. Teaching activities exceeding a teaching workload are paid according to an hourly payment regime. For positions holders the maximal number of hours paid according to an hourly payment regime, regardless of the paying institution, cannot exceed the minimal teaching workload.

#### ***3.5.3.2. Working time. Obligations of higher education institutions' staff***

The normal working time period averages 8 hours/day, 40 hours/week, carried out through 5-days working week. Activities assigned for teachers in higher education are established in the job description prepared by the employer together with the relevant unions or, where applicable, with employees' representatives. The teaching workload in higher education includes activities provided by Art. 287 of the Law on National Education, no. 1/2011, with subsequent amendments. Weekly teaching workload is quantified in conventional hours and reaches 16 conventional hours weekly, averaged over the two semesters. Research workload includes specific activities set out in the job description by the employer.

Obligations of the teaching, research and auxiliary teaching staff are regulated by the Law on National Education no. 1/2011, republished, with subsequent amendments. Every higher education institution specifies these obligations in the University Charter, acting autonomously in terms of establishing certain obligations that correspond to existing regulations and do not limit guarantees and individual freedoms of employees. For example, the University Charter of „Ștefan cel Mare” University of Suceava provides that all categories of staff employed under a working contract at the institution have, according to the Labor Code and the Law on National Education, the following obligations:

- to observe the work program;
- to precisely and timely fulfill their duties according to the job description and to hierarchically passed job instructions;
- to observe labour discipline, to maintain order and cleanliness at the workplace;
- to protect the integrity of university's property;
- to promote collegial relationships and correct behaviour within labour relations
- to use machinery, equipment, facilities and other property entrusted under normal parameters and overall safety conditions;
- to announce the supervisor as soon as there is a direct cause of disruption of the normal course of activity and when unable to perform the duties;

- to strictly observe the rules regarding labour protection, use of work – and protection equipment, prevention of fire or of any situation that might endanger university buildings and facilities or life, bodily integrity or health of a person;
- to observe the rules of internal regulations as well as provisions of the individual work contract and of the applicable collective labour contract;
- to be loyal to the university when carrying out duties and in all other cases;
- to respect the confidentiality of data and information classified thereby by law or internal rules of the university;
- to be subject to disciplinary and patrimonial liability for misconduct or damages to the university by own fault and in connection with own work;
- to wear at work protective equipment provided free of charge by the university in accordance with legal procedures.

#### **3.5.4. Freedom/capacity of institutions to decide on the salary system.**

The basic salary is regulated in accordance with the Framework Law no. 284/2010 regarding the uniform remuneration of personnel paid from public funds and with other regulations in this field.

##### **3.5.4.1. Salary structure. Incentive payments.**

In Romania, remuneration of teaching and auxiliary staff is carried out according to the Law no. 63 of May 10, 2011 on employment and wages of teaching and auxiliary staff involved in education. Thus, the mentioned act stipulates a maximal salary for a professor with an experience of over 40 years in education between 3733 RON and 6971 RON. In contrast, a junior lecturer with up to three years experience shall earn between 1123 RON and 1575 RON.

For auxiliary personnel, the salary ranges between the average salary per economy and amounts 2000 RON, thus a general director for administration, considered to be auxiliary personnel, shall have the highest remuneration being entitled to amounts between 2790 RON and 1415 RON. To this salary various bonuses are added, making up the basic salary. According to the law, the basic salary of the teaching staff consists of:

- position's employment salary which includes a stability bonus only for periods of experience in education for over 10 years as well as the bonus for neuropsychological overload existing within all periods of experience in education;
- management allowance;
- merit ranking;
- stability bonus.

In addition to the basic salary, salary bonuses are paid related to special working conditions and seniority. Working experience seniority in education consists of effective seniority and recognized seniority, as appropriate. *Effective seniority* in education is the period during which a person employed by individual labour contract carried out effective teaching activity at a department within an education entity or institution. *Recognized seniority* in education is the period during which the person engaged in education, when coming from other areas of activity, proves teaching practice in the specialty field stated in the diploma, in the case when this person holds a teaching position of the same specialty. This seniority is considered only when determining salary rights.

In addition to salary rights determined as required by law there can be established differentiated salaries from own revenues of higher education institutions and undergraduate education institutions, these amounts representing an increase of up to 30% of employment salaries provided by law and not forming the calculation basis for establishment of other salary rights.

Teachers in higher education benefit from merit ranking awarded through open competition. This ranking is awarded for 16% of teaching positions existing in the institution and makes 25% of the basic salary. Merit ranking is awarded for a 5-year period

#### **3.5.4.2. Bodies authorized to set salaries**

Responsibility for establishing the remuneration system and methodology rests solely with the higher education institution. The Senate of the institution is responsible for management, use and disposition of funds for labour remuneration of employees from the institution. The institution prepares an annual budget of revenues and expenditures, in which labour remuneration expenses are planned. Relevant competent bodies verify the correctness and legality of the use of funds assigned for labour remuneration.

However, this freedom – component of human resources autonomy, is limited by the state through the Framework Law no. 284/2010 regarding the uniform remuneration of personnel paid from public funds, which aims to establish a uniform remuneration system for public sector personnel paid from the general consolidated state budget.

Another provision of the Romanian Labour Code, also defining the intersection point of **GOVERNMENT-UNIVERSITY** interface, stipulates that any institution, including higher education institutions, must guarantee in a priority manner payment of salaries before any other liabilities of the institution.

#### **3.5.5. Freedom to decide on employment contracts termination method**

Termination of employment contracts of personnel employed by Romanian higher education institutions is carried out in strict accordance with the legal framework governing labour relations.

##### **3.5.5.1. Grounds for termination of employment contracts specific to higher education**

Dismissal from management position in education: it is applied to the employee who committed serious and repeated violations, for which he/she was punished before, and which caused material injury or seriously affected the image of the university. Being the penultimate disciplinary sanction before termination of the employment contract on disciplinary grounds, the application of this sanction is done considering that attitude correction of the sanctioned person is still possible.

Termination of employment contract on disciplinary grounds is the maximal penalty that can be applied both for purposely committing a particularly serious misconduct and repeated violation of employee's obligations, likely to seriously disrupt the order and work of the university. When ascertaining serious misconduct or repeated violations of labour discipline rules, the university dismisses the employee under Article 61, paragraph 1, letter (a) of the Labour Code.

##### **3.5.5.2. Termination of employment contracts with management staff**

The University Charter of „Ștefan cel Mare” University of Suceava provides certain dismissal cases for managerial personnel.



According to these provisions the Rector may be dismissed by the University Senate given at least one of the following conditions:

- a) does not accomplish performance indicators under the management contract and does not comply with other obligations specified in this contract;
- b) violates the legislation and university ethics standards;
- c) harms the interests and prestige of „Ștefan cel Mare” University of Suceava;
- d) is subject to one of incompatibility situations provided by law for the office of rector.

The Rector may be recalled from office by the relevant Minister, under the law, after consulting the University Senate.

Such situations occur when the Rector acts failing to observe the principle of public accountability. Recalling procedure is described in detail in the Law on National Education.

The Dean can be dismissed by the Rector, after consulting the Faculty Council, when detected at least one of the following violations committed by the former:

- a) violation of the university Code of professional ethics with regard to the conflict of interest;
- b) is subject to one of the incompatibility situations stipulated by legal acts in force and by the university Code of professional ethics;
- c) non-accomplishment of managerial performance indicators established by the appointment decision;
- d) violation of laws and university ethics standards;
- e) harms the interests and prestige of the university

Director of Department may be recalled from office by the Rector, with Senate approval, if one of the following situations occurs:

- a) violation of the university Code of professional ethics with regard to the conflict of interest;
- b) is subject to one of the incompatibility situations stipulated by legal acts in force and by the university Code of professional ethics;
- c) violation of position-related duties with respect to performance standards within teaching and research activity of the department;
- d) harms the interests and prestige of „Ștefan cel Mare” University of Suceava;
- e) at the request of simple majority of personnel occupying teaching and research positions within the department.

### **Conclusions through the Government-University interface**

Termination of employment relations with academic staff of higher education institutions takes place by law or at the initiative of the parties. The procedures are established by general labour law except cases of dismissal of staff occupying administrative positions. In situations not covered by the Law on National Education, institutions establish their own rules and conditions, and failure to comply with or their negligent carrying out leads to dismissal of the manager. University autonomy means public responsibility for the managerial act.

### **3.6. Conclusions**

The results of investigations mentioned above underlie the comparative study with reference to the autonomy of human resources in the universities from EU member countries, partners in this project, presented in the next paragraph.



## 4. BENCHMARKING STUDY

A comparative analysis of the level as well as occurrence and regulation degree of human resources autonomy in universities from Lithuania, Scotland, Sweden, Denmark and Romania was conducted based on criteria and sub-criteria identified and described in paragraph 3.

The table below gives an overview on the similarities and differences among the investigated systems with regard to the mentioned subject.

4.1. Lithuania	Scotland	Sweden	Denmark	Romania
<b>Freedom/ability to decide on recruitment and employment procedures</b>				
The higher education institution has the right to develop its own procedures, to set its own criteria of employment to the extent that they do not contravene the rules of labour law.	The institution is completely autonomous in deciding on these procedures. The exercise of this freedom should not contradict the principle of non-discrimination and equal opportunities.	All institutions are free/autonomous as regards the right to set their own recruitment procedures, taking into account the objectives of each institution.	Universities Act and Ministry Ordinance regarding academic staff employment establish the structure of academic positions, recruitment procedures, and universities are entitled to develop these provisions through the adoption of internal regulations, which describe the details of these procedures. We find some mixed regulatory procedures both at central and institutional levels.	The autonomy of human resources in relation to the right of the institution to achieve freedom establishing procedures for recruitment/employment is very limited by the state. The state establishes minimum requirements and the institution has no right to derogate from them being entitled to apply more stringent criteria. A limitation of university autonomy is reflected in the procedure of declaring vacancies and conducting the contest.
<b>Freedom of institutions to decide on the promotion of staff</b>				

Law on Higher Education and Research establishes minimum conditions necessary for evaluating academic staff and the institution is autonomous to set its own criteria and procedures for staff evaluation.	State interference in this area is very small, each higher education institution is entitled to establish its own assessment procedures, higher education institutions pledging to ensure that the principle of equal opportunities is observed and will not allow any discrimination on grounds of racial, national, ethnic origins, gender or disability, age, religion, sexual orientation or marital status.	Higher Education Act establishes the general framework for staff promotion, but each institution is autonomous in determining the criteria and conditions for holding a certain position, as well as the procedure to be followed.	Danish Universities Act establishes minimum conditions necessary for evaluating academic staff and for achieving the freedom of institution to set its own criteria and procedures for staff evaluation, universities establish their own regulations. State interference in this area is minimal, given that performance indicators underlying the institutions' accreditation involves a serious and rigorous evaluation of staff.	Regulations that are developed at the government level do not contain performance indicators, these being elaborated by the institution, but the state monitors the maximum achievement of assessment procedures through the Romanian Agency for Higher Education Accreditation and Certification.
<b>Freedom of the institutions to decide on the workload</b>				
The higher education institution decides on the distribution of working time, work norms, accurate determination of the work assigned that a member of the academic community must achieve	Higher education institutions are autonomous in terms of absolute freedom to decide on labor norming, each position is clearly described in the job description; for the fulfilment of work tasks 35 hours per week are allocated, institutions establishing their work program depending on the specific activity of each employee.	The teaching workload includes teaching and research activities, their weight varies from one to another teaching position and the actual distribution of activities is carried out at the department level.	Danish universities are autonomous in terms of their freedom to decide on labour norming, research activities being part of the academic staff work activities. Institutions are quite autonomous at local level, departments are responsible not only for the distribution and quantification of activities, but also for the workloads.	The teaching workload includes teaching and research activities. Quantification is done at the department level. Share of activities are regulated externally being unified over the country.

<b>Freedom of the institutions to decide on the salary system</b>				
The higher education institution is autonomous to decide on the pay system, bonuses, establishing various salary increases depending on the complexity and volume of work performed by an employee.	Payroll system is entirely internal. There is no external authority confirming the remuneration system. The higher education institution is free to set its own salary system and rewarding of staff. Internal payroll system is based on the principle of “equal pay for work conditions of the same kind”, organized under HERA system.	Higher education institutions are autonomous in terms of setting a maximum or minimum wage, but must establish the salary system taking into account the Equal Opportunities Act.	Danish universities are part of the public sector, and their remuneration is made based on collective agreements.	This criterion of human resources autonomy is limited by the State that through the Framework Law on the unitary remuneration of staff paid from public funds, no. 284/2010, which aims to establish a unitary pay system for public sector personnel paid from the general consolidated state budget.
<b>Freedom of the institutions to decide on the employment contract termination method</b>				
Termination of employment contracts with staff of Lithuanian higher education institutions is done in strict accordance with the precepts of the Labour Code of Lithuania	Higher education institutions have well-developed non-discrimination policies upon the termination of employment relationships and the grounds for termination are regulated under the general rules of the labour law.	Swedish higher education institutions are free to decide on the economic reasons underlying the termination of employment relationships in case of reduction of the workload, but shall comply with all regulatory acts approved at the national level regarding the granting of guarantees and compensation to employees who are in such a situation. A key role in the exercise of that freedom belongs to the unions of the institution.	Universities have the ability to create legal entities, both non-profit and commercial, but income from their activities may be used only for research and consultancy.	The procedures are those of general labour law, an exception being cases of dismissal of staff with managerial positions. Besides the cases as provided by the Law on National Education, the institutions set their own rules and conditions, failure of which or bad faith achievement lead to dismissal of manager.

Further, a comparative analysis of each criterion (sub-criterion) characterizing the autonomy of human resources in higher education institutions shall be performed.

#### **4.1. Freedom/ability to decide on recruitment and employment procedures**

This criterion refers to the freedom of higher education institutions to decide on recruitment and employment procedures. In general, universities are autonomous with regard to achievement of such freedom. Central authorities do not interfere into employment and/or recruitment procedures (to a lesser extent in Romania), universities are autonomous in terms of freedom to decide on recruitment and/or employment procedures. Freedom of higher education institution to decide on recruitment and employment procedures is correlated with general principles of labour law: higher education institutions, no matter how much autonomy, cannot establish internal regulations with regard to employment and recruitment that would not comply to national and Community labour legislation. The freedom of higher education institutions to decide on personnel recruitment and employment procedures should not limit the rights and freedoms guaranteed to employees and employers through various legislative acts. So, the institution has the right to develop its own procedures, to establish its own employment criteria to the extent that these do not contravene labour law rules.

##### **4.1.1. Bodies responsible for recruitment and employment procedures**

In all five examined countries universities have specialized collegial bodies responsible for recruitment procedures and/or employment: Payroll and Employment Commission in Lithuania, the Committee for human resources procedures and strategies in Scotland, the Employment Commission in Sweden and Denmark and the Competition Commission in Romania.

The structure of these commissions should not be approved by an hierarchical authority, except in Romania where rector's decision establishing the composition of the commission is submitted to the Ministry of Education, Research, Youth and Sport and the nominal composition of the Contest Commission is published on the contest's web page. For positions of associate professor, professor, II degree scientific researcher and I degree scientific researcher, the composition of the Commission shall be published in the Official Gazette of Romania, Part III. For higher education institutions of the defense system, public order and national security, Rector's decision is also transmitted to relevant entities.

In four countries the body responsible for the designation of the Rector is the Council, and in Romania the legislation provides two possibilities: a public contest, based on a methodology approved by the newly elected University Senate consistent with the Law on National Education or an universal direct and secret vote of all tenured teachers and researchers of the university as well as of student representatives in the University Senate and Faculty Councils. However, unlike other European countries where the autonomy of institution is total in this regard, in Romania the relevant Ministry confirms Rector's appointment.

#### **4.1.2. Recruitment and employment methods and procedures. Approval/confirmation of recruitment/employment**

Despite the fact that normative acts regulating the activity of higher education institutions describe the recruitment/employment procedures in a uniform manner for all institutions of the country, every university is free to ultimately decide on the optimal applicant.

The staff of higher education institutions does not have the status of public servants, except Sweden and Denmark where they are considered employees of the public sector, but in all countries employment of teachers does not require confirmation from a higher authority.

A very important detail worthy to be highlighted is that the election of Rector should not be confirmed by any external authority (except Romania, where the rector is confirmed by the Minister of Education, Research, Youth and Sport and concludes with the University Senate a management contract stipulating criteria and managerial performance indicators, rights and obligations of the parties), the institution being absolutely autonomous in terms of its right to recruit and elect the executive manager.

Vice-rectors are not subject to confirmation in office by any external authority.

Employment contests are open for participation to persons meeting contest application requirements without discrimination, under the law, and contest Methodology cannot contain discriminatory provisions for candidates based on gender, ethnic or social origin, nationality, religion or belief, disability, political views, social or economic condition. Contest Methodology cannot refer to seniority and cannot contain provisions that disadvantage candidates from outside the institution or from abroad. Description of the position brought to contest should be made in comprehensive terms that correspond to the real needs of the higher education institution, taking into consideration not to limit artificially the number of potential candidates.

#### **4.1.3. Types employment and employment contracts**

In all countries employment is made initially for a fixed-term period, afterwards, if the person meets the established criteria an employment contract is concluded for an indefinite period. In this sense, we cannot speak about autonomy since the institution respects the relevant legal norms. The autonomy of the institution is proved by the right to negotiate the work contract and to establish the exact duration in case of fixed-term contracts.

#### **4.1.4. Conditions for appointment to posts in higher education. Academic career**

Establishment of minimal conditions for hiring teaching and research staff by higher education framework law comes to support the idea that university autonomy of human resources should be correlated with the principle of public accountability of the institution, therefore the university is free to select its staff, to establish its own criteria (which should not be lesser than those established by law), but selection must be done among the best, meaning: the state, being aware of the role of university in the society, establishes rules that will lead to the fact that higher education institutions' option shall be the best performing candidates.

Even if all five countries have normative acts describing the conditions for access to higher education positions, including the stages of academic path-academic career, the university autonomy is large and the aim of regulating these conditions is not to interfere in the activity of institutions, but only prevention of certain possible abuses during employment and assurance of greater transparency.

The objective of academic career in higher education institutions of all five countries is to recruit people that obtained a Ph.D. degree, to employ them in higher education institutions and to provide them with opportunities for a lasting development in their academic career both in the field of teaching and research.

#### **4.1.5. Staff of institutions**

Elaboration of institutions' staff structure is carried out taking into account the education plans and the number of students enrolled at the institution. With regard to this sub-criterion higher education institutions are completely autonomous in all five countries. No external authority approves the staff structure. There are certain provisions, for example in Romania, where the general Classifier of auxiliary teaching and research positions in higher education as well as the level of education required for occupation of these positions is elaborated by the Ministry of Education, Research, Youth and Sport and also with the Ministry of Labour, Family and Social Protection. In Scotland, the only interference of the state in this area is the establishment of JOB FAMILIES system within higher education institutions, following a framework agreement signed with the National Confederation of trade unions. In order to equalize the multitude of positions within the system of higher education an analysis of sector's job positions based on 14 criteria, called HERA (Higher Education Role Analysis), was conducted. HERA is an abbreviation which translated from English means Analysis of the Role of Higher Education and represents a job evaluation system designed and developed by ECC in collaboration with higher education institutions (over 100 institutions have established a consortium together with representatives of national trade unions Confederation) for specific use by higher education institutions. HERA has been recognized by the Commission on Equal Opportunities as non-discriminatory job evaluation system. Most higher education institutions in Great Britain, including Scotland, have adopted HERA as their job evaluation system.

In the remaining countries, higher education institutions are totally autonomous with regard to the analyzed sub-criterion.

### **4.2. Freedom of institutions to decide on the promotion of staff**

This criterion denotes the right of higher education institution to decide on assurance of personnel career advancement by promotion to a higher degree, position or professional level.

#### **4.2.1. Staff evaluation**

Staff evaluation aims to determine promotion opportunities and remuneration criteria. Career promotion of staff in the universities from the five countries is done according to internal evaluation procedures, with certain exceptions in Romania regulated by the Law on National Education. Promotion to a higher position is conducted on a competitive basis after due examination. Similarly, employees evaluation is part of the quality management system in force in each institution.

In all five countries the autonomy is large and the institution is free to decide on the periodicity of the evaluation, on the structures responsible for evaluation as well as on the evaluation methodology.



No external authority supervises these procedures, however the institution must take care that the evaluation procedures shall be established taking into account the principle of non-discrimination and transparency.

#### **4.2.2. Students' role of in the promotion of academic staff**

With regard to this sub-criterion, universities in all five countries are autonomous. According to internal regulations of the institutions, students are guaranteed the right to free selection of courses and specializations, according to the existing education plan. Students are considered partners of the institution and equal members of the academic community.

#### **4.2.3 Academic mobility of teachers and internationalization policies**

Mobility of higher education institutions' staff is encouraged and internationalization is a strategic priority to European higher education institutions, all five countries being autonomous in terms of this sub-criterion. Every institution has the right to develop its own policies, establishing personnel motivation mechanisms with regard to mobility. These mechanisms shall take account of mobility type, program providing mobility and other elements.

#### **4.2.4. Rights and freedoms of higher education institutions' staff**

Academic staff of higher education institutions enjoy freedom in terms of their right to choose teaching and research methods. Also, they enjoy all rights and guarantees relevant to an employment contract concluded in accordance with the current legislation.

Higher education institutions in all five countries developed a number of policies regarding the enforcement of institutions' personnel rights. These policies also target the enforcement of the right to rest through ensurance of both ordinary and additional annual leave. Universities are autonomous in terms of the number of freedoms and guarantees offered to teachers, however they are responsible not only to their own employees, for example in Denmark and Sweden the enforcement of these freedoms and guarantees is strictly supervised by unions.

The institutions are autonomous in terms of granting the creation leave – the sabbatical leave with salary upkeep, thereby stimulating research activity.

#### **4.2.5 Invited academic staff. Honorary titles awarding**

With regard to this sub-criterion higher education institutions from the five evaluated countries are absolutely autonomous in terms of granting honorary titles. Every institution has its own honorific titles and is autonomous when establishing awarding criteria. With the exception of Denmark, having a ministerial order in this regard, in the remaining countries there are only internal regulations.

### **4.3 Freedom to decide on the workload**

Freedom to decide on labour norming lies in the right of higher education institution to decide on the distribution of working time, working norms, most accurate determination of working tasks that a member of the academic community must achieve.

#### **4.3.1 Structure of teaching/academic workload**

The teaching workload of academic staff in higher education institutions of Sweden and Denmark consists of a number of hours distributed monthly throughout the academic year.

According to the internal regulations of higher education institutions, academic staff working hours must be planned within the department where the employee works, following discussions between the latter and the Head of Department. When planning working hours, operational requirements, financial situation and general analysis of the teaching tasks should be taken into consideration. At the department level it should be taken into account the total number of hours for teaching and research evenly distributed among department members. In Lithuania, the workload of academic staff consists of teaching and research activity. In Scotland, the workload of academic staff consists of teaching, research, knowledge transfer and carrying out administrative activities. The share of an activity type in overall workload is determined by the Head of Department, who assesses the skills of each employee and organizes department activities in such a way as to have a reasonable balance between all members of the department. In Romania, the teaching workload may comprise a number of teaching and research activities.

In all five countries universities enjoy autonomy both at institutional and internal level.

#### **4.3.2 Working time. Obligations of higher education institutions' staff**

In all five countries academic staff enjoy a reduced working regime due to increased psycho-emotional effort made during their activity. The annual amount of hours is approximately 1000 hours, of which approximately  $\frac{1}{4}$  are assigned to direct-contract teaching activities. Institutions are autonomous in terms of annual distribution of working hours, which is the competence of departments.

Expressing university autonomy, the Code of ethics emphasizes obligations and ethical standards of the teacher. Besides these, teachers are obliged to observe labour discipline within the institution.

### **4.4 Freedom to decide on salary system**

Freedom of higher education institution to decide on labour remuneration system is demonstrated by its right to decide on the system of salary, rewards, establishing various salary increases depending on the complexity of work performed and on the volume of work carried out by an employee.

#### **4.4.1. Salary structure. Incentive payments**

In all five countries the salary consists of a fixed part (position salary: Lithuania, Scotland, Sweden and Denmark, and basic salary in Romania) and a variable part, which consists of various bonuses, allowances, incentive payments etc. In Lithuania, the fixed part of the salary is equal for similar academic positions and does not depend on the scientific degree and on the working experience of a particular employee; therefore the salary is not negotiated and salary scale for a particular position is not applied. The salary is different only for different academic functions, e.g. the position salary of a professor shall be different from the salary of a lecturer. The state guarantees the minimal salary to any employee of higher education institution, but does not limit the maximal amount of salaries that can be received. In Scotland, remuneration is carried out under the HERA system which analyzes positions families to ensure equal pay for equal work.

In Sweden, institutions are free to set their own remuneration systems given the financial situation of the institutions based on each employee's individual performance criteria, thus

registering a high degree of autonomy. In Denmark, every employment occurs under the Job Structure Memorandum and remuneration is carried out based on the principle of equal pay for employees performing the same functions. However, institutions provide a competitive level of salaries compared to the private sector. In terms of remuneration Danish institutions also have a high degree of autonomy internally – at department level.

In all these countries every institution is required to adopt remuneration policies which should contain provisions with regard to transparency when setting salaries, universities thus enjoying enlarged autonomy in terms of the right to determine remuneration conditions, less in Romania where there is a clear regulation in the Law on National Education regarding the amount of salaries and other incentive payments.

#### **4.4.2. Bodies empowered to set salaries**

Bodies empowered to establish salaries are usually collegial structures called Salary Commissions or Commissions for Labour Remuneration. In Sweden and Denmark the employer and employees' representatives negotiate the establishment of remuneration criteria for different groups of employees. Based on these criteria the school principal/head of department shall evaluate every employee in order to establish a proper wage. These criteria, negotiated by parties of employment relationship in higher education institutions shall serve as the basis for salary negotiation between the employee and the Head of Department etc. In Romania, the Senate of the institution is also responsible for regulation of remuneration procedures

### **4.5 Freedom to decide on the employment contracts termination method**

Employment contracts of higher education institutions' staff in all five countries may be terminated legally or at the initiative of either party. Higher education institutions have well-developed policies and grounds for termination are regulated by general rules of labour law.

#### **4.5.1 Grounds for termination of employment contracts specific for higher education**

There are no particular grounds for termination of employment contract specific for higher education in either country, but in all of them the disciplinary termination of the employment contract is the highest penalty that can be applied both for intentional commitment of a particularly serious transgression and for repeated violation of employee's obligations, likely serious disrupt of the order and activity of the university.

One cannot relate the degree of autonomy in this regard, but it is clear that institutions are autonomous in terms of the fact that the decision regarding termination of labour relations does not require approval from any external authority.

#### **4.5.2 Termination of employment contracts with managerial staff**

In all countries except Romania, the Board of the institution is responsible for the termination of employment relationship with the staff empowered with managerial functions. In Romania, higher education institution is not autonomous in this respect and the Rector may be dismissed by the relevant Minister, legally, after consulting the University Senate. Such situations occur when the Rector acts contrary to the principle of public accountability. The dismissal procedure is described in detail by the Law on National Education.

## 4.6. Conclusions

Analysis of relevant normative documents in the five EU countries have revealed certain similarities, but also certain differences in terms of human resources autonomy due to the particularities of applicable legal system as well as to the economic and social conditions of each country. In the Scandinavian countries – Sweden and Denmark, due to a well-developed social protection system, unions play a key role in the achievement of human resources autonomy thus being a key factor influencing the application of all criteria of human resources autonomy. Higher education employees in these two countries are employed by the public sector, but, as in the rest of the countries, their employment does not need to be confirmed by an external authority. In all countries the Rector or the Principal (Scotland) is the employer who concludes employment contracts, but the selection of personnel is made by collegial structures, called Employment Committees, that evaluate candidates. Any vacancy shall be announced publicly, both at national and international level. The state establishes minimal requirements for the occupation of a position and institutions are entitled to set their own conditions depending on the specifics of access to academic career. The objective of academic career in higher education institutions from the five countries is to recruit people who have obtained doctoral degree, to employ them and to provide them with opportunities for lasting development of academic career both in the area of teaching and in the area of research.

In all countries employment is initially made for a specific period, afterwards, if the person meets the established criteria an employment contract is concluded for an indefinite period. In this respect, one cannot speak of autonomy; the institution complies with the relevant legal rules. The autonomy of an institution occurs by means of its right to negotiate the employment contract as well as to establish the exact duration of contracts in the case of fixed period contracts. Except for Romania, the staff structure does not require approval from any external authority.

Career promotion of personnel from the universities of the five countries is done according to internal evaluation procedures, with certain exceptions in Romania, where the Law on National Education governs such procedures. Promotion to a higher position is conducted on a competitive basis after an examination. Similarly, the evaluation of employees is part of quality management system existing in each institution.

The teaching workload of academic staff consists of both teaching and research activities as well as activities of administrative nature.

Remuneration in Denmark and Romania is dominated by the public sector remuneration system and involves certain legal limitations. In Sweden and Scotland institutions have full autonomy with regard to remuneration system. As for Lithuania, the remuneration is not subject to public law, but there are certain limitations and the institution must meet a minimal salary guaranteed by the state. Entities in charge of establishing remuneration are collegial bodies.

The working contracts of staff in higher education institutions from all five countries may be legally terminated usually after expiration of the employment period or by initiative of either party. Higher education institutions have well-developed policies and grounds for termination are regulated by general rules of labour law.

## 5. FINAL CONCLUSIONS

Following an analysis of normative acts in the system of higher education from the countries that hosted study visits the following conclusions were drawn.

Relevant ministries of these countries are bodies that develop personnel policies, which must be considered and implemented by institutions taking into account the principle of non-discrimination. At the same time, ministries have an advisory role for the work of the institution. Less can be said about Romania, where the relevant ministry has one of the main roles, coordinating and monitoring all personnel related activities.

Employment contests are open for participation to persons meeting contest application conditions, without any discrimination, under the law, and the contest methodology cannot stipulate discriminatory provisions for candidates based on gender, ethnic or social origin, nationality, religion, disability, political opinions, social or economic condition. Contest methodology cannot refer to seniority work experience and cannot stipulate provisions disadvantaging candidates from outside the institution or from abroad. Job description of the position brought to contest shall be made in comprehensive terms corresponding to the real needs of higher education institution meaning not to limit, artificially, the number of potential candidates. All vacant positions should be announced both at national and international levels (except in Romania, where announced in the Official Gazette). Similarly, no external authority approves Rector's election (except Romania, where the Rector is confirmed by the Minister of National Education and concludes with the Senate a management contract providing management performance criteria and indicators together with the rights and obligations of the parties) and higher education institution is absolutely autonomous in terms of its right to recruit and elect the executive manager in all countries except Romania. The Board of higher education institution is responsible for the termination of labour relations with personnel performing managerial functions. In Romania, higher education institution are not autonomous in this respect and the Rector may also be dismissed by the relevant Minister, legally, after consulting the University Senate – a governing body elected by the personnel of higher education institution.

Collaboration with business environment is a mandatory activity for all visited universities. It is represented by the fact that every member of the teaching personnel must be involved in research and must undertake research projects. Research should be applied for a particular company, to be useful for the collaborating institution as well as to bring additional income to the institution and to the researcher. All institutions from these five countries have developed internationalization policies. The mobility of academic staff regarding teaching and especially research activities is an important criterion for the evaluation of academic staff.

Analysis of similarities and differences among the five systems reveals that there is no perfect model of human resource autonomy, but there are good practices of well-known universities, which after being taken over and adjusted to social and economic realities from our country could give good results, would strengthen institutional capacities of higher education and would increase the degree of autonomy with regard to the existing human



resource management, mandatorily correlating it with the principle of public accountability of every institution, thus: university autonomy besides freedom means a high level of responsibility.

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## APPENDIXES

### 1. Identified issues and questions for Lithuania

Autonomy type	Problem formulation	Material consulted <sup>1</sup>	Unresolved question/issue	Suggested meetings
	Capacity to decide on Recruitment procedures. If there are variances across universities, why is it the case?	Law on Higher Education and Research  The Statute of MRU  Labour Code of Lithuania  Law on the Employment Contract  On the approval of the model form of the employment contract  Vilnius University Statute	1. Internal\External procedures (i.e. if the recruitment procedures are developed solely by the HEI) ; 2. Does any external authority confirm recruitment? Maybe only for managerial positions? 3. What is the procedure for announcing vacancies? (national level, international level or just internal within HE) 4. Is there any methodology for establishing the necessary number of posts (as for academic staff so for other staff)? 5. Are number of posts regulated by any external authority? 6. Are rectors/vice-rectors public servants? 7. How are vice-rectors, deans, vice-deans, heads of departments appointed? Are the dean's/vice-dean's positions distinctive jobs or are an addition to the academic job? Which are the responsibilities of the dean? 8. What is the maximum workload for scientific and pedagogical activities of the University Administration Staff? 9. What kind of employment contract is used to establish labour relations with a person who is enrolled for doctoral studies? For what kind of activities are work arrangements used? 10. What is the maximum workload admissible for one person (depending on the position held)? 11. Are there any legal restrictions to be admitted to any position within HEI (except the subordination of relatives)?	Step 1. Any governmental regulation in the field if it is the case. Any internal regulation if it is the case Step 2. HR office. Legal office and other concerning.

	Capacity to decide on salaries.	<p>The Statute of MRU</p> <p>Labour Code of Lithuania</p> <p>Law on Higher Education and Research</p> <p>Vilnius University Statute</p>	<p>12. What are the conditions for the first enrollment in high education?</p> <p>13. Are there any probationary periods for teaching staff? If yes what is the procedure?</p> <p>14. How is the Recruitment Commission set up? How is the chairman appointed?</p> <p>15. Is there any restriction for teaching staff to work simultaneously in two or more HEI?</p> <p>16. The University Library Staff. How is the Recruitment and the execution of their labor contract regulated?</p> <p>1. Who is responsible for the salary policies? The HEI or another authority?</p> <p>2. What is the salary structure? Are there any other supplements (scientific degree, working years)?</p> <p>3. Is the salary distinctive for distinctive academic position or is distinctive for particular persons?</p> <p>4. Are established limits for the maximum amount of the salary for academic staff by the state? Other staff?</p> <p>5. Is there established a minimal amount of the salary in HEI?</p> <p>6. How are the norms of staff's scientific and pedagogical work regulated?</p> <p>7. Is there any preferential tax regime for people working in HEI?</p> <p>8. Does the payroll system for principals differ from one HEI to another? If yes what are the criteria?</p> <p>9. What kind of incentives are paid to the HEI staff? Procedures?</p> <p>10. Is there any administrative position in the HEI where is possible to negotiate the salary?</p> <p>11. Is there any annual adjustment of the minimal salary in HEI?</p> <p>12. Is staff evaluation essential for the work retribution?</p>	<p>Step 1. Any governmental regulation in the field if it is the case. Any internal regulation if it is possible.</p> <p>Step 2. HR office, Finance office (responsible for payroll).</p>
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	Capacity to decide on dismissals	<p>Law on Higher Education and Research</p> <p>The Statute of MRU</p> <p>Labour Code of Lithuania</p> <p>Law on the Employment Contract</p> <p>On the approval of the model form of the employment contract</p> <p>Vilnius University Statute</p>	<p>1. Is there any reason for the termination of an employment contract specific for HEI?</p> <p>2. For what legal reasons academic staff may be dismissed?</p> <p>3. Are there any procedures for staff redundancies?</p> <p>4. What is the procedure for staff dismissal if he fails the performance evaluation? Is there the possibility to continue his activity in the HEI, but in another position?</p>	<p>Step 1. Any governmental regulation in the field if it is the case. Any internal regulation if it is possible.</p> <p>Step 2. HR office, Legal office</p>
	Capacity to decide on promotions (senior academic/senior administrative staff)	<p>Law on Higher Education and Research</p> <p>The Statute of MRU</p> <p>Strategic Activities Plan of MRU 2010-2020</p> <p>Labour Code of Lithuania</p> <p>Law on the Employment Contract</p> <p>Vilnius University Statute</p>	<p>1. Are students involved in staff promotions?</p> <p>2. Have students the right to select a particular lecturer for a particular course?</p> <p>3. Have students the right to formulate complaints on a staff behaviour? Is there any appropriate structure?</p> <p>4. How is staff mobility regulated? Is it encouraged? Does a suspension of work contract operate in case of mobility? If yes in which cases and for how long?</p> <p>5. What kinds of measures are taken at the University Level for minimizing brain-drain?</p> <p>6. Is the supervisor of academic ethics and procedures in charge to examine complaints from employees regarding the violation of the promotion procedures?</p> <p>7. Does the same Supervisor examine complaints from students?</p> <p>8. What kinds of procedures are used for promoting of high level specialists?</p>	<p>Step 1. Any governmental regulation in the field if it is the case. Any internal regulation if it is possible.</p> <p>Step 2. HR office and other in charge with promotion maybe Recruitment Commission.</p>

		<p>Resolution on a Uniform Higher Education Policy in Baltic States</p>	<p>9. Is there any external structure for awarding the pedagogical scientific titles of professor and associate professor?</p> <p>10. What is the procedure for sabbatical leave? Is it paid? What kinds of works/activities are relevant for this?</p> <p>11. Every five years teaching staff members may be released for a period not longer than one year from their pedagogical work to conduct research and to improve their scientific and pedagogical qualifications and they are paid the average salary. What are the procedures? How many persons can benefit from this during one year?</p> <p>12. What are the reasons for an extraordinary performance evaluation?</p>	
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## Appendix 2. Identified issues and questions for Scotland

Autonomy type	Problem formulation	Material consulted <sup>1</sup>	Unresolved question/issue	Suggested meetings
Staffing	Capacity to decide on Recruitment procedures. If there are variances across universities, why is it the case?	Assessment of Recruitment Needs <sup>26</sup> ; Academic Job Level Descriptors <sup>27</sup> Support Staff Job Level Descriptors <sup>28</sup> Academic Probationary Period Guidelines <sup>29</sup> Indicators of Requirements for Internal Promotions to Senior Lecturer, Reader and professor <sup>30</sup> Fixed Term Contracts Use Policy <sup>31</sup>	1. Internal\External procedures (i.e. if the recruitment procedures are developed solely by the HEI) ; 2. Does any external authority confirm recruitment? Maybe only for managerial positions? 3. Is there any methodology for establishing the necessary number of posts (as for academic staff so for other staff)? 4. Are number of posts regulated by any external authority? 5. Are principals public servants? 6. How are vice-principal, deans, vice-deans, heads of departments employed? Is there any specific procedure (elections, contest)? Which is the period of employment for them? Are the dean's/ vice-dean's positions distinctive jobs or are an addition to the academic job? 7. Is there possible to cumulate an administrative job and an academic one (i.e. part time)? 8. What kind of employment contract is used to establish labour relations with a person who is enrolled for doctoral studies? 9. What is the maximum workload admissible for one person (depending on the position held)? 10. Are there any legal restrictions to be admitted to any position within HEI?	Step 1. Any governmental regulation in the field if it is the case. Step 2. HR office
	Capacity to decide on salaries.	The Scottish Code of Good HE Governance <sup>32</sup>  Salary Scales <sup>33</sup>  Payroll <sup>34</sup>	1. Who is responsible for the salary policies? The HEI or another authority? 2. What is the salary structure? Are there any other supplements (scientific degree, working years)?	Step 1. Any governmental regulation in the field if it is the case. Any internal

			<p>3. Is the salary distinctive for distinctive academic position or is distinctive for particular persons?</p> <p>4. Are there any established limits for the maximum amount of the salary for academic staff by the state? Other staff?</p> <p>5. Is there any preferential tax regime for people working in HEI?</p> <p>6. The payroll system for principals differs from one HEI to another? If yes what are the criteria?</p> <p>7. Based on what criteria are other members of staff, besides the principal, chosen in order that their salaries should be determined by the Remuneration Committee?</p> <p>8. Are there any financial stimulants besides salary for HEI staff?</p>	<p>regulation if it is possible.</p> <p>Step 2. HR office, Finance office (responsible for payroll).</p>
	Capacity to decide on dismissals	<p>Academic Probationary Period Guidelines<sup>35</sup></p> <p>Accountability and development Review Policy <sup>36</sup></p> <p><u>Promotion Procedure for Senior Academic Professional Staff</u><sup>37</sup></p> <p>Promotion from Lecturer A to Lecturer B<sup>38</sup></p> <p>Professional Development framework<sup>39</sup></p>	<p>1. Is there any reason for the termination of an employment contract specific for HEI?</p> <p>2. For what legal reasons academic staff may be dismissed?</p> <p>3. Are there any procedures for staff cutbacks?</p> <p>4. Are students involved in staff promotions?</p> <p>5. Have students the right to select a particular lecturer for a particular course/?</p> <p>6. Have students the right to formulate complains on staff behavior? Is there any appropriate structure?</p> <p>7. How is staff mobility regulated? Is it encouraged? Does a suspension of work contract operate in case of mobility? If yes in which cases and for how long?</p>	<p>Step 1. Any governmental regulation in the field if it is the case.</p> <p>Any internal regulation if it is possible.</p> <p>Step 2. HR office</p>
	Capacity to decide on promotions (senior academic/senior administrative staff)	<p>Regrading policy for non-academic staff<sup>40</sup></p>		<p>Step 1. Any governmental regulation in the field if it is the case.</p> <p>Any internal regulation if it is possible.</p> <p>Step 2. HR office and OSDU.</p>



### Appendix 3. Identified issues and questions for Sweden

Autonomy type	Problem formulation	Material consulted <sup>1</sup>	Unresolved question/issue	Suggested meetings
Staffing	1. Capacity to decide on Recruitment procedures. If there are variances across universities, why is it the case?	The academic career path at KTH <sup>42</sup>  Employment of assistant professors at KTH <sup>43</sup>  The Swedish HE Act <sup>44</sup>  The Swedish HE Ordinance <sup>45</sup>  KTH HR Policy <sup>46</sup>	1. Internal\External procedures (i.e. if the recruitment procedures are developed solely by the HEI) ; 2. Does any external authority confirm recruitment? Maybe only for managerial positions? 3. What is the procedure for announcing vacancies? (national level, international level or just internal within HE) 4. Is there any methodology for establishing the necessary number of posts (as for academic staff so for other staff)? 5. Are number of posts regulated by any external authority? 6. Are rectors/vice-rectors public servants? 7. How are vice-rectors, deans, vice-deans, heads of departments appointed? Are the dean's/vice-dean's positions distinctive jobs or are an addition to the academic job? Which are the responsibilities of the dean? 8. What's the period of the employment for deans, vice deans and directors of departments? 9. What is the maximum work load for scientific and pedagogical activities of the University Administration Staff? 10. What kinds of relations are established between the HEI and a doctoral student? 11. Is there any possibility to cumulate an administrative job with a teaching position? 12. Are there any legal restrictions to be admitted to any position within HEI (except the subordination of relatives)?	Step 1. Any governmental regulation in the field if it is the case. Any internal regulation if it is the case Step 2. HR office. Legal office and other concerning.

			<p>13. What are the conditions for the first enrollment in higher education?</p> <p>14. Are there any probationary periods for teaching staff? If yes what is the procedure?</p> <p>15. Is there any restriction for teaching staff to work simultaneously in two or more HEI?</p> <p>16. The University Library Staff. How is their Recruitment regulated and the execution of their labor contract? Are they academic or technical staff?</p> <p>17. In what cases are fixed-term contracts used?</p> <p>18. Is there a specific approved form for the labour contract (at the national level or only available for KTH)?</p> <p>19. What is the statute of the personnel from administrative structures (Financial, HR, Maintenance etc/)?</p>	
	Capacity to decide on salaries.	<p>Language policy at KTH<sup>47</sup></p> <p>Local agreement on salary during parental leave at KTH<sup>48</sup></p>	<p>1. Who is responsible for the salary policies? The HEI or another authority?</p> <p>2. What is the salary structure? Are there any other supplements (scientific degree, working years)?</p> <p>3. Is the salary distinctive for distinctive academic position or is distinctive for particular persons?</p> <p>4. Are there any established limits for the maximum amount of the salary for academic staff by the state? Other staff?</p> <p>5. How are the norms of staff's scientific and pedagogical work regulated?</p> <p>6. Is there any preferential tax regime for people working in HEI?</p> <p>7. Does the payroll system for principals differ from one HEI to another? If yes what are the criteria?</p> <p>8. What kinds of incentives are paid to the HEI staff? Procedures?</p>	<p>Step 1. Any governmental regulation in the field if it is the case. Any internal regulation if it is possible.</p> <p>Step 2. HR office, Finance office (responsible for payroll).</p>

			<p>9. Is there any additional payment for using English in the work activity?</p> <p>10. What social facilities are paid to HEI staff?</p> <p>11. Is staff evaluation essential for the work retribution?</p>	
	Capacity to decide on dismissals	<p>The Swedish HE Act<sup>49</sup></p> <p>The Swedish HE Ordinance<sup>50</sup></p> <p>KTH HR Policy<sup>51</sup></p>	<p>1. Is there any reason for the termination of an employment contract specific for HEI?</p> <p>2. For what legal reasons academic staff may be dismissed?</p> <p>3. Are there any procedures for staff redundancies?</p> <p>4. Is there the possibility for the academic staff to continue its activity if he fails self-evaluation?</p> <p>5. Do staff benefits from a specific training?</p>	<p>Step 1. Any governmental regulation in the field if it is the case. Any internal regulation if it is possible.</p> <p>Step 2. HR office, Legal office</p>
	Capacity to decide on promotions (senior academic/senior administrative staff)	<p>The academic career path at KTH<sup>52</sup></p> <p>The Swedish HE Act<sup>53</sup></p> <p>The Swedish HE Ordinance<sup>54</sup></p> <p>KTH HR Policy<sup>55</sup></p>	<p>1. Are students involved in staff promotions?</p> <p>2. Have students the right to select a particular lecturer for a particular course?</p> <p>3. Have students the right to formulate complaints on a staff behaviour? Is there any appropriate structure?</p> <p>4. How is staff mobility regulated? Is it encouraged? Does a suspension of work contract operate in case of mobility? If yes in which cases and for how long?</p> <p>5. What kinds of procedures are used for promoting high level specialists?</p> <p>6. Is there any external structure for awarding the pedagogical scientific titles of professor and associate professor?</p> <p>7. Do academic staff from Sweden benefit of so-called sabbatical leave?</p> <p>8. What is the length of a usual annual leave? Is there any specific period to be used by staff?</p>	<p>Step 1. Any governmental regulation in the field if it is the case. Any internal regulation if it is possible.</p> <p>Step 2. HR office and other in charge with promotion maybe Recruitment Commission.</p>

Autonomy type	Problem formulation	Material consulted1	Unresolved question/issue	Suggested meetings
Staffing	1. Capacity to decide on Recruitment procedures. If there are variances across universities, why is it the case?	<p>The Danish University Act<sup>57</sup></p> <p>Order on the appointment of academic staff<sup>58</sup></p> <p>Job structure for academic staff<sup>59</sup> Annex to Job structure<sup>60</sup></p> <p>HR forms<sup>61</sup></p> <p>HR forms<sup>62</sup></p>	<p>1. Internal\External procedures (i.e. if the recruitment procedures are developed solely by the HEI) ;</p> <p>2. Does any external authority confirm recruitment? Maybe only for managerial positions?</p> <p>3. What is the procedure for announcing vacancies, except positions of professor and associate professor? (national level, international level or just internal within HE)</p> <p>4. Is there any methodology for establishing the necessary number of posts (as for academic staff so for other staff)?</p> <p>5. Are number of posts regulated by any external authority?</p> <p>6. Are rectors/vice-rectors public servants? Other university staff?</p> <p>7. How are vice-rectors, deans, vice-deans, heads of departments appointed? Are the dean's/vice-dean's positions distinctive jobs or are an addition to the academic job? Which are the responsibilities of the dean?</p> <p>8. What's the period of the employment for deans, vice deans and directors of departments?</p> <p>9. What is the maximum work load for scientific and pedagogical activities of the University Administration Staff?</p> <p>10. What kinds of relations are established between the HEI and a doctoral student?</p> <p>11. Is there any possibility to cumulate an administrative job with a teaching position?</p> <p>12. Are there any legal restrictions to be admitted to any position within HEI (except the subordination of relatives)?</p>	<p>Step 1. Any governmental regulation in the field if it is the case. Any internal regulation if it is the case</p> <p>Step 2. HR office. Legal office and other concerning.</p>

		<p>Working contract in Denmark<sup>63</sup></p> <p>On the conferment of the titles of affiliated associate professor and affiliate professor<sup>64</sup></p> <p>Key HR performance indicators<sup>65</sup></p>	<p>13. What are the conditions for the first enrollment in higher education?</p> <p>14. Are there any probationary periods for teaching staff? If yes what is the procedure?</p> <p>15. Is there any restriction for teaching staff to work simultaneously in two or more HEI?</p> <p>16. The University Library Staff. How is their Recruitment and the execution of their labor contract regulated? Are they academic or technical staff?</p> <p>17. In what cases are fixed-term contracts used?</p> <p>18. Is there a specific approved form for the labour contract (at the national level or only available for KTH)?</p> <p>19. What is the statute of the personnel from administrative structures (Financial, HR, Maintenance etc/)?</p> <p>1. Who is responsible for the salary policies? The HEI or another authority?</p> <p>2. What is the salary structure? Are there any other supplements (scientific degree, working years)?</p> <p>3. Is the salary distinctive for distinctive academic position or is distinctive for particular persons?</p> <p>4. Are there any established limits for the maximum amount of the salary for academic staff by the state? Other staff?</p> <p>5. How are the norms of staff's scientific and pedagogical work regulated?</p> <p>6. Is there any preferential tax regime for people working in HEI?</p> <p>7. Does the payroll system for principals differ from one HEI to another? If yes what are the criteria?</p>	<p>Step 1. Any governmental regulation in the field if it is the case. Any internal regulation if it is possible.</p> <p>Step 2. HR office, Finance office (responsible for payroll).</p>
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			<p>8. What kinds of incentives are paid to the HEI staff? Procedures?</p> <p>9. Is there any additional payment for using English in the work activity?</p> <p>10. What social facilities are paid to HEI STAFF?</p> <p>11. Is staff evaluation essential for the work retribution?</p>	
	Capacity to decide on salaries.		<p>1. Is there any reason for the termination of an employment contract specific for HEI?</p> <p>2. For what legal reasons academic staff may be dismissed?</p> <p>3. Are there any procedures for staff redundancies?</p> <p>4. Is there the possibility for the academic staff to continue its activity if he fails self-evaluation?</p> <p>5. Do staff benefits from a specific training?</p> <p>6. Are students involved in staff promotions?</p> <p>7. Have students the right to select a particular lecturer for a particular course?</p> <p>8. Have students the right to formulate complaints on staff behaviour? Is there any appropriate structure?</p> <p>9. How is staff mobility regulated? Is it encouraged? Does a suspension of work contract operate in case of mobility? If yes in which cases and for how long?</p> <p>10. What kinds of procedures are used for promoting high level specialists?</p> <p>11. Is there any external structure for awarding the pedagogical scientific titles of professor and associate professor?</p> <p>12. Do academic staff from <i>Denmark</i> benefit of so-called sabbatical leave?</p> <p>13. What is the length of a usual annual leave? Is there any specific period to be used by staff?</p>	<p>Step 1. Any governmental regulation in the field if it is the case. Any internal regulation if it is possible.</p> <p>Step 2. HR office, Legal office</p>
	Capacity to decide on dismissals			
	Capacity to decide on promotions (senior academic/senior administrative staff)			<p>Step 1. Any governmental regulation in the field if it is the case. Any internal regulation if it is possible.</p> <p>Step 2. HR office and other in charge with promotion maybe Recruitment Commission.</p>



## Appendix 5. Data reporting and data analysis for Lithuania

### Data collection template 2: data per autonomy type (Lithuania)

Staffing autonomy

Short description about the meeting: 21.01.2014/MRUNI/Birute Mikulskiene

Problem/question formulation	Findings	Comments
<p><b>Capacity to decide on Recruitment procedures. If there are variations across universities, why is it the case?</b></p>	<p>17. <b>Q:</b> Internal\External procedures (i.e. if the recruitment procedures are developed solely by the HEI)? <b>A:</b> According to art. 20 of the Lithuanian Law of Higher Education and research, the Council of HEI sets principles for selection and assessment of employees of the higher education institution<sup>66</sup>;</p> <p>18. <b>Q:</b> Does any external authority confirm recruitment? Maybe only for managerial positions? <b>A:</b> There is no external authority which confirms recruitment, even for managerial positions, including rectors.</p> <p>19. <b>Q:</b> What is the procedure for announcing vacancies? (National level, international level or just internal within HE). <b>A:</b> The procedure for announcing vacancies is one open, as for teaching and research staff, also for administrative positions. According to the law, with not less than three months remaining before the expiry of the term of tenure of a teaching staff member and research staff member of a higher education and research institution, an open competition shall be announced to fill such position. A person who already holds this position may participate in the competition. An announcement about a competition to fill a position must be published in the websites of the institution and the Research Council of Lithuania, as well as in the Lithuanian mass media and, where appropriate, in the international mass media.</p> <p>20. <b>Q:</b> Is there any methodology for establishing the necessary number of posts (as for academic staff so for other staff)? <b>A:</b> Officially there is no methodology at MRUNI, but Mrs Birute Mikulskiene said, they try to balance the needs of the departments with the possibilities of the administration.</p> <p>21. <b>Q:</b> Are number of posts regulated by any external authority? <b>A:</b> No, the funding from the State, comes as price for the student, including the sum for the remuneration, but does not establish the number of posts for which this sum should be paid. This is all internal concerns of the institution.</p>	<p><i>In general, Lithuanian Universities are free to decide on their Recruitment procedures, even for managerial position. The only request is to respect the provisions of the Labour Law in the general matters of labour relations. Also, a good example to follow is the procedure established for management staff's appointment. In Lithuania there are no collective elections for the deans and also no Ministerial approval for vice-rectors. The described situations are good examples to follow for our HEIs, because only a consolidated managerial team is able to perform the management in accordance with University mission and strategy. Also the appointment by the rector of the managerial team at the faculty level is an example of good practice. The described situation allows avoiding team segregation within the faculty or department level.</i></p>

	<p>22. <b>Q:</b> Are rectors/vice-rectors public servants? <b>A:</b> No, they are not. The University Council is responsible for the Rector's employment and the following procedure will be used: an open competition will be announced to fill the position of the Rector. The Rector shall be considered to be elected, if at least six Council members vote for him. When electing the Rector, if no candidate is elected to the position of the Rector during the first round of voting, another round of voting shall be held. In this case not more than two candidates who have won the majority of votes during the first round of voting shall take part in the competition. The Rector may be a person who has an academic degree or is an established artist, who has the experience in pedagogy and management. The Chairman of the Council or any other person authorised by the Council shall sign in the name of the University an employment contract with the elected Rector for the duration of his term of office. The term of office of the Rector shall be five years. The same person may be elected Rector of the University for not more than two terms of office in succession and not earlier than after an interval of five years since the end of the last term of office, if the last term of office was the second consecutive term.</p> <p>23. <b>Q:</b> How are vice-rectors, deans, vice-deans, heads of departments employed? Is there any specific procedure (elections, contest)? Which is the period of employment for them? Are the dean's/vice-dean's positions distinctive jobs or is an addition to the academic job? <b>A:</b> The positions of vice-rectors and deans are announced in news paper. There is a selection of the candidates, based on CV, the rector selects the best performed candidates and he presents the candidate to the Faculty (dean's positions). Further, the rector submits to the Senate for approval candidates for a five-year term of: University Vice Rectors, University Chancellor, Faculty Deans, Department Heads and Institute Directors. Also, the Rector on the recommendation of the Deans, approve Faculty Deputy Deans and the Rector defines the functions and powers of the Vice Rectors and the Chancellor. The academic work for the deans is an additional to the managerial position. He may have maximum 0.5 academic workload.</p>
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	<p>24. <b>Q:</b> What is the maximum workload for scientific and pedagogical activities of the University Administration Staff? <b>A:</b> It is a distinctive job and they may have maximum 0.5 academic workload. The administration shall consist of employees of higher education and research institutions, with the exception of the heads of the academic units of higher education institutions, which are included into the composition of other academic units, and the heads of the academic units of research institutes, who shall have the right to give orders within the limits of their competence to subordinate employees. Besides the administrative duties, they may carry out pedagogical and/or research work. An academic unit of a higher education and research institution shall be such a unit whose main activities are the carrying-out of studies and/or research and experimental (social, cultural) development.</p> <p>25. <b>Q:</b> What kind of employment contract is used to establish labour relations with a person who is enrolled for doctoral studies? For what kind of activities are used work arrangements? <b>A:</b> There is no distinctive labour contract for persons enrolled in doctoral studies. University staff shall be provided with the conditions, in accordance with the procedure laid down by the Senate, to improve their qualification and to prepare to enter doctoral studies.</p> <p>26. <b>Q:</b> What is the maximum workload admissible for one person (depending on the position held)? <b>A:</b> It is maximum 0.5 academic workload.</p> <p>27. <b>Q:</b> Are there any legal restrictions to be admitted to any position within HEI (except the subordination of relatives)? <b>A:</b> When an employee is deprived of special rights to perform certain work in accordance with the procedure prescribed by laws. For the Rector is established the following limitation if the same person may be elected Rector of the University for not more than two terms of office in succession and not earlier than after an interval of five years since the end of the last term of office, if the last term of office was the second consecutive term.</p> <p>28. <b>Q:</b> What are the conditions for the first enrollment in higher education? <b>A:</b> There are no distinctive requirements. A person who has at least a Master's qualification degree or a higher education qualification equivalent to it may be a candidate for the position of assistant. An assistant must direct practical training of students (practical work, practical trainings,</p>
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	<p>internship etc.), help in carrying out research and experimental (social, cultural) development work.</p> <p>29. <b>Q:</b> Are there any probationary periods for teaching staff? If yes what is the procedure? <b>A:</b> Not the case.</p> <p>30. <b>Q:</b> How is the Recruitment Commission set up? How is the chairman appointed? <b>A:</b> A recruitment commission which evaluates candidates for the position of teaching staff members and research staff members, with the exception of postdoctoral grant holder, shall be set up in accordance with the procedure laid down by higher education and research institutions. Not less than one-third of the members of the recruitment commission must be persons who do not work in this higher education and research institution. When making arrangements for a competition to fill the position of the chief research staff member or professor, at least one international expert must be in the recruitment commission.</p> <p>31. <b>Q:</b> Is there any restriction for teaching staff to work simultaneously in two or more HEI? <b>A:</b> No, there is no restriction.</p> <p>32. <b>Q:</b> The University Library Staff. How is their Recruitment and the execution of their labor contract regulated? <b>A:</b> Recruitment and employment procedures for the library staff are established the same as for the other technical staff employed in Lithuanian HEI. Usually they are employed on indefinite period of time, based on simple recruitment procedure i.e. CV selection.</p>	
<p><b>Capacity to decide on salaries.</b></p>	<p>13. <b>Q:</b> Who is responsible for the salary policies? The HEI or another authority?  <b>A:</b> The HEI is solely responsible for remuneration. The Council of the HEI sets the procedure for managing, using and disposing of higher education institution's funds designated for remuneration of the institution's leadership and other employees</p> <p>14. <b>Q:</b> What is the salary structure? Are there any other supplements (scientific degree, working years)? <b>A:</b> The constant part of the salary is the same for a concrete academic position, is not negotiated and does not depend on scientific degree, working years.</p> <p>15. <b>Q:</b> Is the salary distinctive for distinctive academic position or is distinctive for particular persons? <b>A:</b> The base salary is distinctive for different academic positions,</p>	<p><i>Regarding remuneration policies and system, Universities in Lithuania are absolutely autonomous, with respecting the principles of responsibility and accountability. There are no limitations by the law, only internal rules in order to guarantee the payment for work.</i></p>

	<p>16. <b>Q:</b> Are there any established limits for the maximum amount of the salary for academic staff by the state? <b>A:</b> No, there are no limits for the maximum amount established by the state, there is only a guaranteed minimal amount of the wages.</p> <p>17. <b>Q:</b> Is there a minimal amount of the salary in HEI established? <b>A:</b> Yes</p> <p>18. <b>Q:</b> How are the norms of staff's scientific and pedagogical work regulated? <b>A:</b> One work load is equal to 1000 hours, consisting in 400 h research, 600 h teaching, including administrative work. Class hours: professors (160)&lt; associate (240); lecturer (280 h); assistant (320 h)</p> <p>19. <b>Q:</b> Is there any preferential tax regime for people working in HEI? <b>A:</b> Not the case</p> <p>20. <b>Q:</b> Does the payroll system for principals differ from one HEI to another? If yes what are the criteria? <b>A:</b> Differs, because it depends on Council decision within institution, each institution has its own financial situation and the rector is paid according to the decision of the council, upon hearing the decision of the Senate.</p> <p>21. <b>Q:</b> What kinds of incentives are paid to the HEI staff? Procedures? <b>A:</b></p> <p>22. <b>Q:</b> Is there any administrative position in the HEI where is possible to negotiate the salary? <b>A:</b> Maybe (our guide could not tell us about it).</p> <p>23. <b>Q:</b> Is there any annual adjustment of the minimal salary in HEI? <b>A:</b> Each institution may decide according to its financial capacity.</p> <p>24. <b>Q:</b> Is staff evaluation essential for the work retribution. <b>A:</b> Yes, it is, because on the evaluations promotions of staff are operated and a new level of salary is established.</p>	<p><i>The base part of the salary is paid to everyone, except 40% for the research, there is a set of criteria established (i.e. publications, participations at conferences etc.), if a person does not achieve is paid proportionally. The rest of the salary (the variable part) is paid based on internal regulations, but can not exceed the constant part.<sup>67</sup> In conclusion, I may say, that each member of the HEI staff is paid according to his or her individual merits, including for research, despite the situation in our country, where academic staff is paid only for teaching activities.</i></p>
<p><b>Capacity to decide on dismissals.</b></p>	<p>5. <b>Q:</b> Is there any reason for the termination of an employment contract specific for HEI? <b>A:</b> There are no legal provisions that specify a particular case for HEI, but there is a specific situation for the rector: if an annual report on the activities of the University is not approved by a majority of the Council members at a meeting of the Council, the Rector shall be dismissed from office by the majority of at least six Council members in accordance with the procedure laid down by legal acts.<sup>68</sup> Upon expiry of the Rector's term of office, the terms of office of Vice Rectors and the Chancellor shall also expire.<sup>69</sup></p>	<p><i>In general, an autonomous Lithuanian University should respect the legal provisions settled in the Labour Law concerning dismissals. In general, there will be no reason for the HEI staff dismissals if they will observe the Code of Academic Ethics and perform other duties set in the statute (regulations, statutes) of their institution and their employment contracts.</i></p>



	<p>6. <b>Q:</b> For what legal reasons academic staff may be dismissed? <b>A:</b> When an employee is deprived of special rights to perform certain work in accordance with the procedure prescribed by laws<sup>70</sup></p> <p>7. <b>Q:</b> Are there any procedures for staff redundancies? <b>A:</b> Yes, there is an established procedure, according to art. 130 of Lithuanian Labour Law</p> <p>8. <b>Q:</b> What is the procedure for staff dismissal if he fails the performance evaluation? Is there the possibility to continue his activity in the HEI, but in another position? <b>A:</b> There were not such situations at MRU, but theoretically it is possible and the University will offer a new position, but not an academic one.</p>	<p><i>These principles are similar with the ones from our country, the problems occur because of the contradiction between the Labour Code of RM, Law on Education and the Regulations for occupying academic positions in higher education institutions, approved by Government Decision No. 854 of 21.09.2010.</i></p>
<p><b>Capacity to decide on promotions (senior academic/senior administrative staff.</b></p>	<p>13. <b>Q:</b> Are students involved in staff promotions? <b>A:</b> Theoretically and according to the Law of HE, students have the right to choose a teaching staff member, if the same subject is taught by several teaching staff members</p> <p>14. <b>Q:</b> Have students the right to select a particular lecturer for a particular course? <b>A:</b> According to the Law of HE, students have the right to choose a teaching staff member, if the same subject is taught by several teaching staff members.</p> <p>15. <b>Q:</b> Have students the right to formulate complaints on a staff behaviour? Is there any appropriate structure? <b>A:</b> Students have the right to address the administration of a higher education institution, the dispute settlement commission regarding the violation of interests. The dispute settlement commission shall function in a higher education institution. This commission shall settle disputes of students and the administration or other employees related to research and study activities. The administration of a higher education institution and a students' representative body (if there is no students' representative body – a general meeting (conference) of students) shall each appoint an equal number of authorised persons to the dispute settlement commission. The statute of a higher education institution shall lay down the procedure for setting up a dispute settlement commission, settling disputes and implementing decisions</p> <p>16. <b>Q:</b> How is staff mobility regulated? Is it encouraged? Does a suspension of work contract operate in case of mobility? If yes in which cases and for how long? <b>A:</b> In any case it is encouraged; it is part of HEI strategy. During 3 months it is paid the full amount of salary, and after 3 months only 30% of salary.</p>	<p><i>Promotions criteria are very clear defined in HE LAW, also in the internal regulations of the MRU. Staff mobility is encouraged, by paying them the salary during a period of time: a good example for us, now according to Labour Code of RM only for a period up to 60 days is maintained the average salary. Even if an institution would try to establish other regulations, state controlling bodies will consider it as illegal, because during a mobility up to 60 days operates the suspension of the work contract and of all payments. Also the good practice is one with sabbatical leave that is granted to each employee.</i></p>



	<p>17. <b>Q:</b> What kinds of measures are taken at the University Level for minimizing brain-drain? <b>A:</b> It is difficult to say</p> <p>18. <b>Q:</b> Is the supervisor of academic ethics and procedures in charge to examine complains from employees regarding the violation of the promotion procedures? <b>A:</b> Supervisor of academic ethics and procedures shall be a state officer who examines complains and initiates investigation regarding the violation of academic ethics and procedures, including promotion procedures, but is relatively a new institution in HE system of Lithuania.</p> <p>19. <b>Q:</b> Does the same Supervisor examine complains from students? <b>A:</b> No</p> <p>20. <b>Q:</b> What kinds of procedures are used for promoting of high level specialists? <b>A:</b> The University Senate will approve the internal system of quality assurance in studies and control its implementation. Also, this body will set qualification requirements for positions of teaching and research staff members, lay down the procedure of performance evaluation of teaching and research staff members as well as the procedure of organization of a competition to fill a position.<sup>71</sup> A recruitment commission, set up in accordance with the procedure laid down by the Senate, shall evaluate candidates for the position of a teacher and a research worker, with the exception of postdoctoral fellowship holder. Not less than one-third of the members of the recruitment commission must be persons who do not work in the University. When making arrangement for a competition to fill the position of a chief research worker or professor, at least one international expert must be in the recruitment commission.</p> <p>21. <b>Q:</b> Is there any external structure for awarding the pedagogical scientific titles of professor and associate professor? <b>A:</b> There is no external structure for awarding the pedagogical scientific titles of professor and associate professor</p> <p>22. <b>Q:</b> What is the procedure for sabbatical leave? Is it paid? What kind of works/activities are relevant for this? <b>A:</b> It is paid average amount of salary and maximum duration is ½ year. As relevant activities may be considered publishing of a monograph, study etc.</p>	<p><i>For example at MRUNI average salary is maintained ½ year. Persons shall be accepted to the positions of teaching staff members and research staff members of higher education and research institutions, with the exception of postdoctoral grant holders and persons indicated in Article 61 and paragraph 4 of this Article, through an open competition for a five-year term of tenure. The procedure for organizing a competition to fill the positions of teaching staff members and research staff members of a higher education institution shall be laid down by the higher education institution, and the procedure for organizing a competition to fill the positions of teaching staff members and research staff members of a research institute – by the research institute. An employment contract of unlimited duration for holding this position shall be concluded with a person</i></p>
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	<p>23. <b>Q:</b> Every five years teaching staff members may be released for a period not longer than one year from their pedagogical work to conduct research and to improve their scientific and pedagogical qualifications and they are paid the average salary. What are the procedures? How many persons can benefit from this during one year? A: There is no special procedure and everyone may benefit if it is the case</p> <p>24. <b>Q:</b> What are the reasons for an extraordinary performance evaluation?</p>	<p><i>who has the second time in succession won the competition to hold the same position of the teaching staff member or research staff member. Performance evaluation of this person shall be carried out every five years in accordance with the procedure laid down by higher education and research institutions. A person who fails the performance evaluation shall be dismissed from the position. Persons shall be accepted to a higher position of a teaching staff member or research staff member by way of an open competition. – also an example of good practice</i></p>
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## Appendix 6. Data reporting and data analysis for Scotland

### Data collection template 2: data per autonomy type (to be filled in per each EU partner)

Staffing autonomy

Short description about the meeting: Date/place/person

Problem/question formulation	Findings	Comments
<p><b>Capacity to decide on Recruitment procedures.</b></p> <p><b>If there are variances across universities, why is it the case?</b></p>	<p>The Scottish system of higher education is regulated under a very complex legal structure that is made up of papal bulls, statutes, statutory instruments and royal charters. While the legislative and constitutional arrangements vary, universities are all independent corporate institutions with charitable status and with a governing body that is responsible for the overall direction and strategy of the institution, and is accountable, alongside the Principal, for its resources.<sup>72</sup> In the terms of staffing all Scottish Universities are very autonomous. University of Strathclyde, our host during this week, has a Committee responsible for HR procedures and strategies.<sup>73</sup> The Staff Committee is responsible for the strategic oversight of strategy and policy in relation to staffing matters as well as monitoring compliance with all relevant legislation. In particular the Committee is responsible for</p> <p>(a) the University staffing strategy and ensuring that it is consistent with the overall University strategy, and for proposing this to the Executive Team to ensure consistency with the wider strategic investment framework;</p> <p>(b) the scrutiny of policies and procedures to ensure that the University continues to attract, reward and retain the calibre of staff it requires to achieve its aims as set out in the Strategic Plan;</p> <p>(c) taking account of the wider external environment to ensure that the terms and conditions of employment for all staff remain appropriate and sustainable, and for reaching agreement on these following consultation with the Campus Unions;</p> <p>(d) staff development and performance management systems and monitoring the effectiveness of these;</p> <p>(e) ensuring compliance with any relevant legislative or professional requirements relating to the employment of staff;</p>	<p><i>All Higher Education Institutions in Scotland are independent public bodies. They enjoy a high level of institutional autonomy in the domain of staff recruitment.</i></p> <p><i>All universities in Scotland have senior management teams – groups of senior academic and administrative officers working with the Principal. Sometimes these teams have the status of a decision-making committee, whereas in other cases they operate as informal groups.</i></p> <p><i>The Principal leads the management of the institution, but also leads the community of staff and students overall. For all Principals this leadership is in some contexts one of representation, in others it is one of management, and in others again it is ceremonial. It is important to recognise all these aspects of the role. University Principals are now often described as their institution's 'chief executive officer', using language borrowed from the business world. In many ways the role is indeed comparable to that of a corporate CEO, but then again it may be that, for the leader of a societal institution such as a university, such comparisons are not altogether useful.</i></p>

<p>(f) ensuring that the staffing profile is such that it will ensure delivery of the University's aims as set out in its strategic plan;</p> <p>(g) regularly reviewing the staffing strategy to ensure that it remains relevant and sustainable.</p> <p>The Committee will be composed of:</p> <ul style="list-style-type: none"> <li>(a) Vice-Principal/Deputy Principal <i>ex officio</i> Convener</li> <li>(b) Principal <i>ex officio</i></li> <li>(c) Deputy Convener of Court (Staff) <i>ex officio</i></li> <li>(d) One further lay member of Court</li> <li>(e) Two Senior members of staff with staff management experience appointed by Senate</li> <li>(f) Chief Financial Officer <i>ex officio</i></li> <li>(g) Director of Human Resources <i>ex officio</i></li> <li>(h) Such other members as the Committee may wish to co-opt because of their expertise.</li> </ul> <p>University of Strathclyde has established a set of principles, guidance in their HR policy. According to this, the mission and the vision of the University, concerning HR are established as follows:<sup>74</sup></p> <ul style="list-style-type: none"> <li>• Developing their recruitment and selection methods and procedures to ensure that they attract exceptional staff from all backgrounds within the UK and from overseas</li> <li>• Ensuring that appropriate development, induction and probationary arrangements are in place for all new staff</li> <li>• Implementing a framework for performance management that facilitates regular supportive conversations between staff and their managers</li> <li>• Promoting staff development internally and externally by providing a useful suite of learning and development opportunities including mentoring, secondments, sabbaticals and placements, making the most of their contacts in industry, business, voluntary and public sectors</li> <li>• Ensuring effective succession planning is in place</li> <li>• Ensuring that their staff have a flexible and effective system of reward and recognition that is integrated and promotes high performance and innovation across the University</li> <li>• Establishing a culture of personal and professional development for all staff at all stages of their career</li> </ul>	<p><i>As we discuss about the principal and the whole executive team appointment it is good to mention the width of the autonomy enjoying by Scottish Universities. The principal is appointed by the Governing body of the institution, no need for an approval from Ministry, so there is no political mixture in the HEI's internal affairs.</i></p> <p><i>If we speak about the appointment of the rest of the executive team it is good to mention the same procedure as in Lithuania, i.e. the selection of the CVs, panel interview and the selection of the best performed candidate. We should insist on adopting such a procedure in our country because it is one efficient and absolutely democratic, regardless that the deans and the head of departments are not elected by the collective, but appointed upon a selection. It is obvious that the executive team should implement the managerial act and the University strategy alongside with the rector. For example according to our legislation the deans and the head of departments (chairs) should present their managerial plan before their elections. In this case it is not clear how it should be related to University's strategy.</i></p>
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	<ul style="list-style-type: none"> <li>• Ensuring that all staff understand what is expected of them and how their work contributes to organisational success</li> <li>• Supporting academic staff to develop a balanced portfolio of activity across the core activities of research, education and knowledge exchange</li> <li>• Reviewing their leadership initiatives to ensure they are suitable and appropriate to develop future leaders across the University</li> <li>• Implementing mentoring, coaching and feedback mechanisms for current and future leaders</li> <li>• Developing a new appointment procedure and personal support package for key managerial staff, such as Heads of Department</li> <li>• Delivering working practices that recognise the changing world of work and allowing our employees to be innovative and entrepreneurial</li> <li>• Establishing employee feedback initiatives to assess and learn from their internal culture</li> <li>• Developing an explicit set of organisational values and behaviours that supports One Strathclyde</li> <li>• Encouraging environmentally and socially responsible behaviour among all staff</li> <li>• Continuing to promote partnership working between professional services staff and academic colleagues to deliver One Strathclyde</li> <li>• Creating a positive working environment that promotes staff engagement and wellbeing</li> <li>• Providing opportunities for staff to have open and continuing dialogue with colleagues and senior management on a regular basis</li> </ul> <p>All Universities have the capacity to decide on Recruitment procedures, adopting their internal regulations on this matter. In this sense, University of Strathclyde has exhaustive internal regulations, because there are no external rules for recruitment procedures.</p> <p>According to the internal regulations University staff consists of:</p> <ul style="list-style-type: none"> <li>• <b>Senior officers of the University</b> (the principal, the vice-principal, the chief operating officer, the chief financial officer and executive deans);</li> <li>• <b>The Academic staff</b> (Academic, Research, Teaching, Knowledge exchange);</li> </ul>	<p><i>In my opinion I think the appointment of the whole managerial team is a good example that should be taken by our system.</i></p>
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	<p>• <b>Support staff</b> (Administrative and Professional Services, Technical Services, Operational Services).</p> <p>The University of Starthclyde manages a wide range of policies and procedures relevant to the employment with the University. They are intended to provide practical and consistent advice and guidance to managers and staff about the University's position and approach to employment related matters and to support the University's vision, strategy, values and culture.</p> <p>Subject to consultation, they may be added to, reviewed or amended from time to time to reflect changes in employment law or best practices in effective people management or in light of changes required to better support the University's strategy for research, education and knowledge exchange.</p> <p>The appointment of the staff is established according to different procedures, depending on the position.</p> <p>No external authority confirms appointment, even for senior officers of the University and no external authority regulates the number of posts within the University.</p> <p>The recruitment procedures starts with the fulfilling of the document called <b>Recruitment schedule</b>, used for completion by the recruiting manager and HR responsible. The document contains details about the vacancy, the advertising procedures etc.<sup>75</sup></p> <p>Before advertising a new position, all the issues should be economically justified. After all necessary documents are fulfilled are elaborated job descriptions and personal requirements, according to the internal rules.<sup>76</sup></p> <p>All the vacant position should be announced, both nationally and internationally, in order to choose the best candidate. The advertising period and placement will depend on the nature of the post. The University advertises all posts on jobs.ac.uk and their own website as standard. Placement in other locations will depend on the type of post in question but it should be noted that the University will ordinarily advertise posts online only. For posts where the pool of candidates may be international in nature the advert should be live for a minimum of 28 days to satisfy UKBA regulations. Normally these posts would be of a skilled and/or specialist nature e.g. requiring a PhD.</p>	
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	<p>The University operates probationary periods for new staff, the duration of which will be specified in individual letters of appointment. The normal probation period differs for specific posts and from one category to another. The duration of the probation period will depend upon the complexity of the role and over what length of time the member of staff can reasonably be expected to complete most aspects of the role. Usually it lasts from 6 up to 36 months.<sup>77</sup> The primary purpose of the probationary period is to help the member of staff perform to the required standard and to ensure they are, in overall terms, the right fit for the role to which they have been appointed.</p>	
	<p>The probationary period accordingly provides an opportunity for the member of staff to demonstrate that they are able to fulfill the role and undertake the key responsibilities of the post. However, it is recognised that the University has a responsibility to assist members of staff in achieving the required standards and therefore during the probation period the University will assist and support new staff to:</p> <ul style="list-style-type: none"> <li>• be clear about and achieve the requirements of the post</li> <li>• identify training and development needs and undertake relevant training</li> <li>• where relevant, understand in which areas they are not performing to the required standard and what improvement is required</li> <li>• where relevant, be given sufficient time and support to achieve the required improvement</li> <li>• integrate into the University and become fully effective in the post as soon as possible.</li> </ul> <p>Performance will be assessed periodically throughout the probationary period and where areas for development are highlighted, every reasonable opportunity will be provided to assist in the improvement of performance. The relevant manager will make clear how these standards will be monitored and the frequency with which they will be formally reviewed.<sup>78</sup></p> <p>If we are talking about the appointment of the principals (rectors), the procedure is the same in all HEI. The following criteria should be applied in the appointment and remuneration of the principals:</p>	

	<ul style="list-style-type: none"> <li>• Appointed by the governing body, usually following an executive search and interview process. The contractual terms are determined by the governing body;</li> <li>• The remuneration is set by a Remuneration Committee or the Governing body. This subject will be developed later;</li> <li>• For appointment should be used transparent criteria and specifications for the post and should encompass more than managerial skills and cover the institution's need to interact with the community.</li> </ul> <p>Also, should be mentioned that principals are not public servants. The appointment of vice-principals, chancellor and deans is decided within the University. No exterior authority approves the appointment. The principals are free to establish the executive team, taking into account the criteria of transparency, professionalism and the lack of conflict of interests.</p>	
	<p>The Head of Department is appointed for a 3 years term. The appointment is based on an interview – a panel of 6 persons, usually the dean, senior officer from the University.</p> <p>The Head of Department shall be responsible for maintaining and promoting the efficiency and good order of the Department, shall be the official correspondent of the Department and shall under the Court exercise authority in and bear responsibility for the Department as a whole. The salary consists of a management allowance, the work load is 50% directed for administrative work. After the dismissal the Head of Department has the right to a sabbatical leave with duration with 1 month for 1 worked year, but has not to exceed 6 months.</p> <p>The appointment of vice-deans follows the same procedure; his work load is 50% administrative work and 50% academic.</p> <p><b>Senior Officers of the University</b></p> <p><i>The Vice-Principal</i> shall exercise such functions and responsibilities, and be engaged at such remuneration and upon such terms and conditions as the Court shall deem fit. During the absence of the Principal the Vice-Principal shall undertake any such functions and duties of the Principal as the Principal or the Court may delegate to him/her. The Vice-Principal shall normally hold office for a period of five years (unless otherwise determined by the Appointment Committee or the Court).</p>	

	<p><b>The Chief Operating Officer</b> shall be appointed as pursuant to the Charter and Statutes and shall, under the direction of the Principal, be responsible for the administration of the University and for providing secretarial services for the Court and the Senate.</p> <p><b>The Chief Financial Officer</b>, under the direction of the Principal, shall be responsible for the financial management of the University and the strategic management of the Professional Service functions in the broad areas of resources, including finance, estates and human resources.</p> <p><b>Executive Deans</b> An executive Dean shall be appointed for each Faculty. The functions and responsibilities of the office of Executive Dean shall be as determined by the Court and will include contributing to the overall leadership of the University.</p>	
	<p><b>General Conditions for the Appointment of University Officers – for the offices of Vice-Principal, Chief Operating Officer, Chief Financial Officer and Executive Dean</b></p>	
	<p>These senior University Officers shall be appointed, pursuant to any provisions within the Charter and Statutes, by an Appointment Committee established by Court and be engaged at such remuneration and upon such terms and conditions as the Court shall deem fit. The arrangements and constitution of the Appointment Committee shall be provided for within relevant policies and procedures approved by the Staff Committee, on behalf of Court. Notwithstanding such policies and procedures, an Appointment Committee shall have the power to seek external assessments for any or all candidates for any or all of the above posts. No person shall be a member of an Appointment Committee considering the appointment of his/her successor. The requirements above shall not prejudice office holders appointed prior to the implementation of these provisions.</p>	
	<p>As we talk about the specific of employment contract during the PhD. studies, it is necessary to highlight that doctoral research is highly demanding and may leave limited time or energy to pursue part-time work. However, it is not As we talk about the specific of employment contract during the PhD. studies, it is necessary to highlight that doctoral research is highly demanding and</p>	

	<p>may leave limited time or energy to pursue part-time work. However, it is not unusual for doctoral candidates to undertake part-time work, especially academic-related work such as teaching, for professional development purposes, or out of financial necessity. Some disciplines (sciences) expect their students to become laboratory assistants while others have specific teaching assistant posts linked to doctoral studentships.</p> <p>Specific criteria attached to research studentships may limit the number of hours per week a full-time doctoral candidate is permitted to work. Six hours per week is often the maximum in these cases, but you would need to check individual institutional regulations and/or the relevant funding organisation. It is not possible to work full-time while registered as a full-time doctoral candidate.</p> <p>If we refer to any limitation or legal restriction to work within HEI we must speak about the conflict of Interests. As we are speaking about Strathclyde University, we must say that there is an internal regulation of what limitation for employment are established.<sup>79</sup></p> <p>The University of Strathclyde does not preclude the appointment of spouses/partners or near relatives of present members of staff to posts within the University. All appointments are made on the basis of selecting the best candidate available for the post in question.</p> <p>However, staff involved in the consideration of applications must be aware of any near relationships which could lead, for example, to managerial problems in such matters as supervision and working relationships with other colleagues.</p>	
	<p>In addition staff are required to adhere to the procedures outlined below which are designed to ensure that no favour is given to relatives of existing members of staff.</p> <p>These are:</p> <ul style="list-style-type: none"> <li>• All appointments will be made in accordance with approved University procedures</li> <li>• All posts involving applications from near relatives will be advertised in accordance with the University's normal recruitment practices</li> <li>• No member of staff who is a near relative of an applicant shall be involved in any aspect of the recruitment procedure including:</li> </ul>	

	<p>o the selection of candidates for shortlisting</p> <p>o the giving of references to other candidates or the candidate in question</p> <ul style="list-style-type: none"> <li>– making arrangements for interview</li> <li>– the interviewing panel</li> <li>– contacting the applicants for any reason</li> <li>– decisions as to which candidate will be appointed.</li> </ul> <p>If a member of staff intends to name a spouse/partner or near relative as a prospective member of staff in a research grant application, the Deputy Director of Human Resources must be informed in writing at the earliest stage since the appointment would not be subject to the normal recruitment procedures.</p> <p>This policy applies to all posts within the University of Strathclyde, regardless of the duration of the contract, hours of work or salary. Where an appointment will not be subject to the normal recruitment procedures, no spouse/partner or near relative may be employed without the prior knowledge and approval of the Head of Department.</p>	
<b>Capacity to decide on salaries.</b>	<p>As we talk about University's autonomy in the terms of capacity to decide on salaries we must say that in Scotland Universities are indeed autonomous. Appointments at Strathclyde are made at an appropriate salary point on the University's grading structure, with initial placing determined according to qualifications and experience. The activity of the Universities should be highly transparent, all the minutes of Senate and other bodies should be public.<sup>80</sup> Also the current salary scales are published on the website of the University.<sup>80</sup> Also all the information concerning staff payment is public, accessible to all interested parts.<sup>81</sup></p>	<p><i>The payroll system is entirely internal. There is no external authority that authorise the remuneration system. The University is free to establish salaries and incentives for their employee.</i></p>
	<p>The tax regime applicable is not different from other employees in UK. The employees from a HEI pay the same taxes and there is no preferential tax regime.</p> <p>The payroll system is established based on job families, i.e. the same salary scale for similar positions. Responsible for the salary of an employee is the manager of the department, faculty, directorate etc. where the employee works.</p>	

<p>A special Committee is established for the remuneration of the executive team. It is so-called Remuneration Committee.</p> <p>The main responsibilities of the Committee are established as follows:</p> <ul style="list-style-type: none"> <li>• confirming the remuneration and conditions of service of the Principal, taking account, where relevant, of the provisions of the Charter and the Statutes (currently under review);</li> <li>• confirming the remuneration and conditions of service of the Secretary of the University/Chief Operating Officer, taking account, where relevant, of the provisions of the Charter and Statutes (currently under review);</li> <li>• confirming the remuneration and conditions of service of other employed Senior Officers required for the proper governance of the University, taking into account, where relevant, the provisions of the Charter, Statutes and Ordinances. These posts being the Vice-Principal, the Deputy Principals and the Chief Financial Officer;</li> <li>• confirming the remuneration and conditions of service of Deans of Faculty and Directors of Professional Services (as established by the Professional Services Review) required for the proper governance of the University, taking into account, where relevant, the provisions of the Charter, Statutes, Ordinances and Regulations;</li> <li>• reviewing the performance of the above post holders, normally on an annual basis, and determining what adjustments should be made to their remuneration and conditions of service;</li> <li>• confirming the terms of agreed severance and/or early retirement of any of the above post holders;</li> </ul>	<p><i>There is an internal scale for payment, established upon different criteria, one of this being the job families, i.e. the same salary grid for the same position, but concrete remuneration for each person, depending on personal professional merits.</i></p> <p><i>The remuneration system is very transparent; all information is posted on the University site and is accessible for all interested persons. The information is updated monthly, containing all financial documents and evidence.</i></p> <p><i>According to the Review of HE Governance in Scotland, by prof. Ferdinand von Prodzinsky, while the pay of Principals is public information, the method of its calculation or the reasons for any increases given are not. It is also not always clear what other benefits, or bonus payments, may be available to individual senior staff. He recommends – in the light of the wider public debate about executive pay and bonuses – that universities ensure that any payments that may be perceived as bonuses are either abolished or at least transparently awarded and brought into line with the scale of ‘contribution payments’ available to on-scale staff.</i></p>
<ul style="list-style-type: none"> <li>• deciding on any issues referred to it involving the remuneration and conditions of service of Senior Staff where such a referral would represent good practice in the conduct of public life;</li> <li>• confirming the University’s position on the affordability and acceptability of the terms of any national pay agreement proposed or entered into by the Universities and Colleges Employers Association;</li> </ul>	<p><i>For our system the payment of the rector is still approved by the Ministry of Education, on the recommendation of the Senate. From practice, I find this procedure one difficult and inutile because, the rector should act with accountability and I am sure no rector</i></p>



	<ul style="list-style-type: none"> <li>• reporting to Court as necessary.</li> </ul> <p>The composition of the Committee: The Convener of Court (in the Chair) The Treasurer The Deputy Convener of Court (Staff) The Deputy Convener of Court (Estates) The Convener of Audit Committee The Principal *</p> <p>Secretary: Director of Human Resources</p> <p>*The Principal is not a member of the Remuneration Committee when his or her own remuneration and/or conditions of service are determined, nor will he or she be present while these matters are considered. The Secretary (Director of Human Resources) will also withdraw when his or her case is being considered.</p>	<p><i>will be paid more than he/she deserves and no University Senate will establish a remuneration system that does not correspond to the legal provisions.</i></p>
<p><b>Capacity to decide on dismissals.</b></p>	<p>A HEI has the right to decide on dismissals according to the general provisions of Labour Law. The procedures for dismissals differ from situation to situation. There is a special procedure of the termination of the contract, which is distinctive for fixed term contracts and for contracts with an open date. The ending of a fixed-term contract is deemed to be a dismissal in law. It follows therefore that the University must adhere to a dismissal procedure which is compliant with the relevant statutory requirements. There may be some instances where the reason for dismissal upon the expiry of the contract is for „some other substantial reason“, e.g. upon the return of an absent member of staff for whom cover has been provided, but in the majority of cases the reason will be redundancy. There will also be cases where it is necessary for the University to consider the termination of open-ended contract as a result of redundancy, for example related to staff who has been engaged on open-ended contracts but where the underpinning fixed-term externally funded grants/initiatives come to an end without equivalent replacement. The process therefore for managing these scenarios is similar.</p>	<p><i>Each University in Scotland has the capacity to decide on dismissals within the provisions of the Labour Law. University has internal regulations establishing the procedure of the termination of employment contracts or the disciplinary dismissals. For disciplinary dismissals or even for disciplinary liability there are established a set of doings that may be considered as disciplinary misconducts and may lead to a disciplinary dismissals. Also the University has an Exhaustive Procedure for redundancies and for redeployment.</i></p>

<p><i>Regretfully in our system we do not have such well described procedures that will both correspond to the legal provisions of labour laws and to the economical needs of the University. Even the regulations for the academic staff appointment does not describe the legal context of the termination of the labour contract if a person does not pass the contest for a new academic position or for a new term.</i></p>	<p>A potential redundancy occurs where:</p> <ul style="list-style-type: none"> <li>• the volume of work diminishes either permanently or temporarily, eg. Upon withdrawal of external funding or</li> <li>• the volume of work remains undiminished but the University requires fewer staff to carry out work, e.g. upon a reorganization and reallocation of duties or</li> <li>• there is a change in the nature of the work but the overall volume of that work and the number of staff required remains the same, e.g. where significant changes bring about a requirement for different kinds of skills.</li> </ul> <p>In cases where two or more „in scope“ posts exist to undertake work as above, there may be a need to consider selection for redundancy where there is a need for a proportion of the work, and therefore one post or more, to continue. In these cases contractual status will not be the sole criteria for a factor in selection e.g. the redundancy pool can comprise those on open-ended as well as fixed-term contracts. The University will make all reasonable efforts to ensure the continuity of employment for individuals where possible and, towards this end, consideration will be given to a variety of measures including the use of bridging funding, retraining and, where applicable, redeployment.</p> <p>The following procedure shall apply where a fixed term contract is in operation or where an open ended contract is coming to an end, for example, as a result of withdrawal of fixed term funded grants or the ending of fixed term initiatives.</p> <p>Normally, at least four months before the due date of termination of the fixed-term contract or funding period the relevant Head of Department or Professional Services area will be reminded of the impending expiry of a contract. In the case of fixed-term contracts this reminder will be sent from Human Resources and, in the case of continuing contracts potentially impacted by expiry of funding, it will be sent from the Finance Office. The appropriate line manager shall discuss with the member of staff what alternative options are available. This discussion will be in line with the requirement for individual consultation outlined within redundancy legislation.</p>
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	<p>The employee may be accompanied by a colleague or trade union representative if they wish. The discussion of possible options will include:</p> <ul style="list-style-type: none"> <li>• a further renewal of the fixed-term contract arising from renewal of funding, the sourcing of additional funding, the requirement for work to continue for a further period and so forth.</li> </ul>	
	<ul style="list-style-type: none"> <li>• the relevance of considering transfer to an open-ended contract.</li> <li>• the expiry of the fixed-term contract with no renewal.</li> <li>• the termination of an open-ended contract subject to payment of the appropriate notice period for the contract.</li> <li>• where applicable, seeking alternative employment via the formal redeployment process, this to include reasonable retaining as applicable.</li> </ul> <p>The Head of Department or Service area, or their nominee, will advise Human Resources or the Finance Office and Human Resources of the outcome of these discussions on the appropriate form in sufficient time to allow for the undernoted.</p> <ul style="list-style-type: none"> <li>• Where practicable, three months before the due date of termination of the fixed-term contract the member of staff will receive from Human Resources confirmation of any likely changes in contractual terms, of the expiry of their fixed-term contract or the termination of the continuing contract.</li> <li>• Where the decision is that a contract should not be renewed the member of staff's attention shall be drawn to the formal University policy in respect to redeployment and to information on other positions within the University.</li> </ul> <p>In cases where it is established that it is necessary to consider the termination of an open-ended contract, as a result of the pending cessation of external funding or for other reasons, the termination will be subject to the approval of the Director of Human Resources, always with due regard to the provisions of the University's Statutes. Where approval is granted, the open-ended contract will be terminated by the issuing of notice, with due exploration of redeployment and other support options as detailed above and in other relevant University policies. The University pays statutory redundancy terms to staff whose employment is terminated by the University at the end of a fixed-term contract period and in any other redundancy cases where it has not proven possible to avoid termination of the contract. The University will not seek to enforce any redundancy waiver clauses.<sup>82</sup></p>	

	<p>An employee may Appeal against the termination of their employment on the grounds of redundancy. To do so, they should write to the Director of HR, setting out their grounds for appeal, within 10 working days from the date of the letter confirming the end of their employment. Appeals will be heard by a senior University employee who has not been previously involved in the case.</p> <p>A termination of the contract because of retirement age is not possible on University's decision. As the University will no longer be determining when a member of staff retires the process of retirement will therefore be voluntary and so is essentially a resignation. Members of staff can voluntarily retire at a time of their choosing and, where applicable, draw any occupational pension they are entitled to under the rules of their pension scheme.</p> <p>Some of disciplinary issues that can conduct to dismissals will be discussed further.</p>	
<p><b>Capacity to decide on promotions (senior academic/senior administrative staff.</b></p>	<p>Scotland's Universities recognize the necessity of performing staff so there are created appropriate conditions for staff's development and for staff's promotions.</p> <p>As we speak about staff development we must note that staff development<sup>83</sup> refers to the development of the individual's potential and career in terms of knowledge, skills, personal abilities, competencies and understanding to support the University's academic mission and the priorities as set out in the Strategic Plan. It embraces a wide range of learning experiences, both within and outside the workplace, and is a continuing process that can help individuals to:</p> <ul style="list-style-type: none"> <li>• Extend their range of performance</li> <li>• Identify and develop their potential</li> <li>• Respond positively to change, uncertainty and conflict</li> <li>• Increase their job satisfaction</li> <li>• Improve their self-confidence, motivation and initiative.</li> </ul> <p>Staff development can take place on-job or off-job. Other arrangements for staff development might include, as appropriate:</p> <ul style="list-style-type: none"> <li>• Having a mentor or coach</li> </ul>	<p><i>Speaking about promotions it is good to notice that Strathclyde University, as well as other HEI from Scotland have a set of internal regulations for describing staff promotions and staff development. An example of good practice is the Department of Learning and Development. It offers a series of courses for the employees in the field of management, leadership, pedagogical skills etc.</i></p> <p><i>Also this Department supports the new enrolled staff during their probationary period which is very well regulated at Strathclyde University. This example is also very</i></p>

<p><i>interesting, and may be helpful for our University if we want to enroll and to maintain performed employees. It is a good practice for young academic staff to have this probationary period and I find the idea with the supervisor for the newly enrolled a very efficient one in promoting and educating high-developed employees.</i></p>	<ul style="list-style-type: none"> <li>• Job enrichment, e.g. participation in working parties or project groups, or involvement in other activities which are outside the individual's normal job responsibilities, and therefore enhance or enrich that person's professional life</li> <li>• Job shadowing, particularly for those either new to the University or about to take up a senior position</li> <li>• Job rotation or swapping</li> <li>• Exchange visits, for example to an overseas institution</li> <li>• Secondment, either internally or to another institution or organisation</li> <li>• Study leave</li> <li>• Release time to undertake a (further) qualification/</li> </ul>	
	<p>At Starthclyde University staff development is encouraged and supported financially. It is a special department, called Learning and Development. It offers a series of courses for the employee in the field of management, leadership, pedagogical skills etc.<sup>84</sup></p> <p>PROMOTIONS. There are two different situations of promotions from Lecturer A to Lecturer B grade and promotion for senior academic professional staff.</p> <p>Promotion from Lecturer A to Lecturer B grade are dealt with by the Faculty Probation Review Panels in accordance with the relevant criteria.<sup>85</sup></p> <p>For the Senior academic staff is set the following procedures. To ensure consistency of approach in Academic promotions, the arrangements for consideration of cases for promotion to Senior Lecturer, Reader and Professor have been brought together and rationalised under one procedure. This procedure also provides a mechanism for the consideration of cases of transfers to the Academic staff category for staff whose posts are currently assigned to a staff category other than Academic. This procedure also provides a mechanism for the regrading of posts to Grade 10 within the Research, Teaching and Knowledge Exchange staff categories i.e. for regrading to Principal Research Fellow, Principal Teaching Fellow or Principal Knowledge Exchange Fellow.</p>	

	<p>In addition, this procedure defines how cases for the conferment of Emeritus Professor status will be considered.</p> <p>The Academic Professional Appointments Panel (APAP) will meet twice a year, normally in March and September, to consider cases made under the terms of this procedure.</p> <p>The procedure for internal promotion to the Academic staff grades of Senior Lecturer, Reader and Professor and for Grade 10 within the other Academic Professional staff categories involves five stages if a promotion is to occur:</p> <ol style="list-style-type: none"> <li>5. The submission of a written case for promotion by the candidate's Head of Department/School to the Executive Dean.</li> <li>6. Consideration of the written case by the Faculty (Executive Dean and two Vice Deans) to determine whether it should be referred to the Academic Professional Appointments Panel (APAP).</li> </ol>	
	<ol style="list-style-type: none"> <li>7. Consideration of the written case by APAP resulting in a decision that External Assessors' views should be sought (Reader, Principal Research Fellow, Principal Teaching Fellow, Principle Knowledge Exchange Fellow and Professor), that promotion is approved (Senior Lecturer) or that the case should not progress.</li> <li>8. In the case of promotion to Reader, Principal Research Fellow, Principal Teaching Fellow, Principal Knowledge Exchange Fellow or Professor, consideration by an appropriately constituted Ordinance 4.2 Committee, informed by External Assessors' views, in order that a final decision on promotion can be made.</li> <li>9. Outcome letter issued to the candidate by Human Resources.</li> </ol> <p>Twice a year, Heads of Department/School will be advised that nominations can be made for internal candidates for promotion to Senior Lecturer, Reader, Principal Research Fellow, Principal Teaching Fellow, Principal Knowledge Exchange Fellow or Professor and noting that any cases for transfer to the Academic staff category may also be considered.</p> <p>The Head of Department/School will submit to the Executive Dean a case for promotion/re-categorisation that will include:</p>	



	<ul style="list-style-type: none"> <li>• An up-to-date CV of the candidate</li> <li>• The candidate's most recent Review Record Form</li> <li>• A recommendation supplied by the Head of Department/School</li> <li>• For Reader, Principal Research Fellow, Principal Teaching Fellow, Principal Knowledge Exchange Fellow and Professor cases, a statement compiled by the candidate in support of his/her application</li> <li>• Names and contact details of suggested External Assessors (six for Reader, Principal Research Fellow, Principal Teaching Fellow or Principal Knowledge Exchange Fellow and seven for Professor, including two or three names respectively nominated by the candidate). Cases for promotion/re-categorisation to Lecturer or Senior Lecturer do not require external assessment.</li> </ul>	
	<ul style="list-style-type: none"> <li>• Exceptionally, a candidate may submit a case for promotion/re-categorisation to Lecturer, Senior Lecturer, Reader or Professor directly to the Executive Dean of the Faculty for consideration; such a case will contain a CV, the most recent ADR Review Record Form, a statement provided by the candidate in support of his</li> </ul>	
	<p>or her application and names of two External Assessors for Reader, or three for Professor. Such a personal case can also be made, on the same basis, for promotion to Principal Research Fellow, Principal Teaching Fellow, Principal Knowledge Exchange Fellow.</p> <p>The Executive Dean and two Vice Deans will meet to review submissions, carefully vetting every case against the relevant criteria to ensure consistency. Thereafter, the Executive Dean will:</p> <ol style="list-style-type: none"> <li>a) Professional Appointments Panel, if the submission is supported.</li> <li>b) where relevant provide the names of the recommended assessors (six for a Readership or equivalent level Research, Teaching or Knowledge Exchange role, in total, and seven for a Professorship). These names must include those nominated by the candidate, who should be clearly identified, and should include others recommended by the Department/School and the Faculty in order to ensure an overall balance of expertise and an appropriate spread of international esteem.</li> </ol>	

	<p>c) provide feedback to the candidate if the nomination is rejected, including information that the candidate has the right to make a personal submission to APAP. (The composition of APAP will not include the Executive Dean when deciding upon a personal submission.)</p> <p>APAP will normally be convened in March and September each year and will be remitted to take decisions on cases for Lecturer and Senior Lecturer and to determine whether cases for internal promotion to Readership, or its equivalent level Research, Teaching or Knowledge Exchange role, or Professorship merit being submitted to external assessment. If a recommendation for Reader, Principal Research Fellow, Principal Teaching Fellow, Principal Knowledge Exchange Fellow or Professor is accepted by APAP, the formal process of external assessment will be initiated. The Director of HR will convene a meeting with the Principal as soon as possible after the APAP meeting and select a set of external assessors to be approached from the nominations. The Executive Deans of Faculty will then write to the assessors seeking their response within a month. Where APAP approve a promotion/re-categorisation to Lecturer or Senior Lecturer, HR will confirm their decision in writing to the candidate and the promotion will be effective from the beginning of the month following the APAP meeting. If the recommendation is rejected, the candidate will be</p>	
	<p>informed in writing and oral feedback will be provided by the Dean if requested by the candidate. If APAP rejects a case it cannot be resubmitted until at least two years have elapsed. An appeal mechanism will be available where APAP rejects a case for promotion to Senior Lecturer.<sup>86</sup></p> <p>In the mean time University has its regrading policy that aims to reflect the University's commitment to equality of opportunity with respect to pay, development and career progression for staff.<sup>87</sup></p> <p>It is also established a comprehensive Disciplinary Procedure which will be applied to all staff categories. The University reserves the right to commence disciplinary procedures at any appropriate level of formal warning depending on the seriousness of an offence or where there has been an earlier pattern of unacceptable standards with no satisfactory improvement. Warnings issued for different reasons will be cumulative.<sup>88</sup></p>	

## Appendix 7. Data reporting and data analysis for Sweden

### Data collection template 2: data per autonomy type (Sweden)

Staffing autonomy

Short description about the meeting:

Problem/question formulation	Findings	Comments
<p><b>Capacity to decide on Recruitment procedures. If there are variations across universities, why is it the case?</b></p>	<p>An analysis of the laws governing labour relations in the higher education in Sweden shows that all institutions are free/autonomous as regards the right to set their own recruitment procedures, taking into account the objectives of each institution. That is the case including the Royal Institute of Technology (KTH) in Stockholm, which has developed its own internal procedures relating to the recruitment of the necessary personnel<sup>89</sup>. KTH opportunities to maintain the position of a successful technical university at national and international levels largely depend on its employees. The goal of KTH Human Resource Policies is to gain from the competence of its employees in the best possible way. Implementation of this policy is a strategic issue that is the responsibility of all employees, or: KTH is a university where people from different backgrounds and with different experiences are working together for a common goal: to manage, to renew and to transfer knowledge. High levels of quality and ethics, a free and open exchange of ideas and opinions – this is the essence of KTH personnel policies at all levels. In this respect KTH is an employer where the desire to achieve personal development and to accept human responsibility will be stimulated. Recruitment policies target at filling positions at all levels with employees as competent and able to successfully perform their work tasks as possible. Any employment is intended to strengthen the overall competence of the institution. Any employment shall be made only after the testing procedures will be carried out and completed. Competence development and knowledge transfer will take place continuously as a natural element of work commitments. This balanced competence management is achieved, by conducting the recruitment of new staff both in the internal environment, as well as in the external one. As mentioned, recruitment of performant employees has no boundaries: the best will be employed, regardless of where they live and what nationality are; as long as they have the necessary skills demanded by the institution those employees will be among KTH staff.</p>	<p>Fundamental normative acts regulating the activity of higher education institutions in Sweden do not contain provisions relating to bodies responsible for the recruitment procedure. Each higher education institution has the right to develop its own regulations. For example, under the internal rules of the Royal Institute of Technology in Stockholm – KTH, schools /departments are responsible for recruitment and employment in their field, and Faculty Councils are responsible for drafting procedural documents together with the Human Resources Department. Deans are commonly appointed by the rector.</p>

	<p>The main laws governing higher education system are HE ACT (Higher Education Act) and HE Ordinance (Higher Education Ordinance). In principle, these laws establish the general conditions which the personnel hired by the higher education institutions must meet. It should be mentioned that both documents refer only to the academic staff, who participate directly in the teaching-research-knowledge transfer. KTH teachers are public sector employees and the appointment of teachers is the exercise of public authority.</p> <p>Some general provisions regarding the hiring of teachers can be found in the general labour legislation. Swedish Constitution states that administrative authorities operation is based on the equality of all before the law and that the authorities act objectively and impartially. It also states that employment in the public sector means that the selection of a candidate will be based only on merit and knowledge criteria. Transparency in the appointment procedure is guaranteed by the principle of public access to official documents. According to statistics, employees of higher education institutions make up 1/4 of public sector employees. During the study visit at KTH, it comes out that the university aims to create an institution of excellence through investment in the development of strong research environments in important areas. To achieve success, KTH must ensure recruitment of teachers in certain sectors considered of real importance for society. KTH has created a career system in order to attract prominent individuals. In order to achieve these aims, KTH adopted a personnel policy that rewards teachers who take responsibility for education and research, and for KTH relations with the outside world. This responsibility connects with the role and qualifications of the employee, being an important part of the overall evaluation of recruitment and promotion.</p>
<p><b>Capacity to decide on salaries.</b></p>	<p>25. Who is responsible for the salary policies? The HEI or another authority?</p> <p>Salaries for all KTH staff except rector are determined locally. This includes both academic staff and administrative staff. KTH has clearly defined policy in the area of remuneration. The work is led by the rector. Salaries are reviewed on yearly basis and are defined as the result of negotiation of the rector and the unions.</p> <p>26. What is the salary structure? Are there any other supplements (scientific degree, working years)?</p>

	<p>Upon negotiations, the level of the salary increase is determined for each year. The salary is individual and is being set annually on the base of a performance review. Each manager, who has responsibility for personnel is responsible for carrying out a performance review with the staff and decides on the level of the salary increase for each person.</p> <p>27. Is the salary distinctive for distinctive academic position or is distinctive for particular persons? According to KTH Salary Policy: "Salary shall be individual and differentiated". The salary is decided on the base of the requirements for the particular position and the person's way to comply with these requirements.</p> <p>28. Are there established limits for the maximum amount of the salary for academic staff by the state? Other staff? Swedish Government decides on the salary for the rector of the university. Decisions on staff salaries are taken locally. Each full professor negotiates with the rector the salary on yearly basis. The amount of salary for every full professor is decided as result of negotiations between the professor and the rector.</p> <p>29. How are the norms of staff's scientific and pedagogical work regulated? Activities of the academic personal are to be carried out according to the internal instructions: <a href="http://intra.kth.se/en/regelverk/personal/rekrytering/tenure-track-den-akademiska-karriarvagen-1.57367">http://intra.kth.se/en/regelverk/personal/rekrytering/tenure-track-den-akademiska-karriarvagen-1.57367</a> According to this document there are no regulated norms for educational and/or research activities. The Tenure Track instructions only give guidance regarding the content of work on each academic position.</p> <p>30. Is there any preferential tax regime for people working in HEI? No, there are no preferences for the university staff in terms of taxation.</p> <p>31. Does the payroll system for principals differ from one HEI to another? If yes what are the criteria? As it was mentioned before, the rector's salary is decided by the government.</p>	<p>Employer and employee representatives negotiate salary determining criteria for different groups of employees. Based on these criteria the school principal/ head of department will evaluate each employee in order to establish the rightful wages. These criteria negotiated by the parties of the employment relationship in higher education institutions will serve as basis for salary negotiation between the employee and the department head etc.</p> <p>Given the fact that every employee of higher education institutions is evaluated based on certain criteria, the salary will be individualized and differentiated one. The basic criteria for staff evaluation are referring to skills and work results obtained.</p> <p>According to the Higher Education Ordinance work obligations of the academic staff include teaching, research, development and administration. Similarly, according to the same act, the employee's evaluation will account for its leadership skills and the possibility to cooperate with the local community and the environment. The great majority of institutions have developed their</p>
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	<p>32. What kinds of incentives are paid to the HEI staff? Procedures? There are no specific incentives for the staff. At the same time, in the framework of yearly performance review the manager shall decide on the salary of each individual person on the base of personal performance. There is also a possibility to apply for a special addition to the salary for a particular person due to his/her performance.</p> <p>33. Is there any additional payment for using English in the work activity? No. Knowledge of English is the regular requirement for most of the positions.</p> <p>34. What social facilities are paid to HEI staff? It is the national system for social security.</p> <p>35. Is staff evaluation essential for the work retribution? Yes.</p>	<p>own criteria for the assessment of didactic staff in order to determine salaries.</p>
<b>Capacity to decide on dismissals.</b>	<p>9. Is there any reason for the termination of an employment contract specific for HEI? If not enough students for the courses where a teacher is involved, his/her position can disappear which results in termination.</p> <p>10. For what legal reasons academic staff may be dismissed? In case if the funding of certain activities has finished.</p> <p>11. Are there any procedures for staff redundancies? The Head of Department reports to the Human resources that certain position is no longer needed. Human resources consider a possibility to move the person to another job. If this doesn't work out, the employee's contract is terminated.</p> <p>12. Is there the possibility for the academic staff to continue its activity if he fails self-evaluation? To be clarified</p>	<p>Higher education institutions in Sweden have freedom to decide on economic reasons underlying the termination of employment in case of workload reduction, but universities shall observe all agreed normative acts at country level regarding guarantees and compensations for employees who are in such a situation. Unions have a key role in exercising that freedom.</p>
<b>Capacity to decide on promotions (senior academic/senior administrative staff.</b>	<p>33. Is there any methodology for establishing the necessary number of posts (as for academic staff so for other staff)? This is decided on the School level. In case new positions are needed, the School Board applies to the Faculty Board in order to confirm the position. In certain cases when the position of professor becomes available (for example, due</p>	<p>According to the legislation of the higher education sector in Sweden every employee is entitled to be promoted during his/her career having the right to apply for a higher post</p>



	<p>to retiring of a professor or moving to another institution) the Faculty Board reviews the situation and makes decision whether the position shall be filled or a new position for a professor in another subject area shall be opened.</p> <p>34. Are number of posts regulated by any external authority? No. The number of positions is decided internally by the university.</p>	<p>if he/she meets the requirements of the job submitted. Each higher education institution establishes its own procedures for employees' evaluation in case they want to advance in their careers.</p>
	<p>25. Are students involved in staff promotions? No.</p> <p>26. Have students the right to select a particular lecturer for a particular course? Usually no. Students have possibility to move to another group for lab works or seminars if a specific course is divided on several groups.</p> <p>27. Have students the right to formulate complains on a staff behaviour? Is there any appropriate structure? Yes. It is available for each course and is strongly encouraged.</p> <p>28. How is staff mobility regulated? Is it encouraged? Does a suspension of work contract operate in case of mobility? If yes in which cases and for how long? A lot of possibilities for mobility are offered to the staff. All of them shall be approved by the Head of the Department.</p> <p>29. What kind of procedures are used for promoting high level specialists? See Tenure Track description on KTH web.</p>	<p>The promotion procedure is similar to the one applied at employment. The body responsible for promotion is the Employment Committee which will verify the degree of compliance of the candidate with the position profile. Job description is developed for each position; it lists in detail the employee's job duties as well as the requirements to position filling. Also, the qualification criteria will be considered for the given position in order to select the best performing candidate.</p> <p>Decision on promoting or not promoting a candidate is likely to be appealed. Since promotion decision becomes</p>
	<p>30. Is there any external structure for awarding the pedagogical scientific titles of professor and associate professor? No. Everything is done internally.</p> <p>31. Do academic staff from Sweden benefit of the so-called sabbatical leave? Yes. But they have to raise their own funds for this purpose. Normally, the leave is 1 year.</p> <p>32. What is the length of a usual annual leave? Is there any specific period to be used by staff? For administrative staff it is 7 weeks – 35 working days. For the academic staff it is normally during the summer period.</p>	<p>final and irrevocable, the employment contract will be modified in order to promote and implicitly increase salary, and to define the period of employment.</p>

## Appendix 8. Data reporting and data analysis for Denmark

### Data collection template 2: data per autonomy type (Denmark)

Staffing autonomy

Short description about the meeting:

Problem/question formulation	Findings	Comments
<b>Capacity of higher education institutions to decide on Recruitment procedures. If there are any differences across universities, why is it the case?</b>	According to the Danish Act on Universities, universities are independent institutions, government-funded within the public administration under the Ministry of Science, Technology and Innovation. According to Art. 49 of the Act, the universities in Denmark should follow the rules established by the Ministry of Finance, regarding the terms of employment and remuneration of staff in higher education institutions of Denmark. The Ministry of Science, Innovation and Higher Education in the Ministerial Order on the Appointment of Academic Staff at Danish Universities laid down the rules regarding the employment of academic staff. The purpose of this Order is to establish a general framework and to adjust to it the internal regulations of each institution in order not to violate the interests of the employer/employee relationships. The provisions of this Order refers to the academic staff described in the Memorandum on Job Structure for Academic Staff at Universities and the general framework of staff positions, terms of position filling, evaluation procedures, establishing that universities have the right to set additional rules.	The Danish Act on Universities and the Ministerial Order on the Appointment of Academic Staff at Danish Universities establish the structure of academic positions, recruitment procedures for staff, universities having the right to develop these provisions through the adoption of internal laws, which will describe in detail these procedures. It is obvious that mixed regulatory procedures are present both at central and institutional level.
	According to the Danish Act on Universities, the University Council (The Board) is the supreme authority of the higher education institution, with the role of protecting the interests of the institution and determining its policies related to the development and long-term activities. For example, the University of Aalborg Board is responsible for employing the rector and the top managers. Rector's employment procedure is preceded by a public announcement about the vacancy, and a fixed-term contract will be concluded with the person selected; the period of the fixed-term contract is decided by the University Council, with the possibility of its extension.	
	The University Council sets up a Committee in charge of employment. The Committee is composed of representatives of academic, technical, and administrative staff and students representatives, as well. The Committee will make an overall assessment of the candidates' profile and will carry out interviews with	

	<p>selected candidates only. The appointment Committee may recommend only three applicants for a position. The decision on who will be employed belongs to the Council. Chairman of the Board or its deputy is also Chairman of the appointment Committee. The University Council, on the recommendation of the rector, will employ one or more pro-rectors.</p> <p>The pro-rector should be a well-known and notorious person in the field of research. The Pro-rector shall be the Rector's deputy. If more than one Pro-rector is appointed, the Rector shall nominate one to be the deputy. The employment of pro-rector is preceded by the following procedure: The Rector will appoint a Committee consisting of representatives of academic, administrative and technical staff and student representatives, as well. This Committee shall assess the candidates' background and those selected will be recommended to take an interview. The Rector will appoint one candidate for a position. Similarly, the University Director is employed on the recommendation of the Rector of the university (in the case of Aalborg University the Director undertakes administrative and financial responsibility of the University). Vacant position is advertised publicly, and the Rector sets up a selection committee, composed of executive management and administrative staff representatives, a dean and the director of another university. The Rector is the Chairman of the Committee.</p> <p>Deans are employed by the rector. The vacancy is announced publicly and the Rector shall set up an appointment Committee, chaired by the Rector. The appointment Committee is composed of representatives of academic, technical and administrative staff and students' representatives, as well. The employment of Dean is done for a fixed duration period determined by the Rector, subject to renewal. The Committee will assess candidates' files and will recommend only one candidate for approval to the Rector.</p>	
	<p>Deans, in turn, are responsible for hiring Heads of Departments at the proposal of the respective study board. The Dean may consult the department, involved in the respective study programme, regarding the appointment of programme directors. At the same time, the Dean must be sure that the recommended candidates have the necessary skills for filling the given position.</p> <p>Library director shall be employed by the rector, following public announcement. The Rector will appoint</p>	

	<p>a recruitment committee chaired by the Rector, with representatives of the library staff and management and the faculties. The committee will also include external experts in the field of librarianship. The other employees, including academic staff are employed by the Rector.</p>	
<b>Capacity to decide on salaries.</b>	<p>Employees with the same seniority and experience in labour activity who are employed in similar positions receive equal remuneration conditions. Collective agreement on wages in Danish universities is negotiated by the Ministry of Finance and the Danish Confederation of Professional Associations. The salary of each employee will be negotiated with representatives of trade unions. The basic salary of all academic staff, with the exception of professor, is established within a pay scale from level 4 to level 8. As a rule, to be employed at level 4, the employee must be holder of Master's degree or equivalent degree of Danish Master. Pay scale rating will be made annually for a level. The remuneration of academic staff is not done with the account of seniority criterion in labour activity, but based on a distinct salary for this position.</p> <p>At the employment of each representative of academic staff under the MoU on the job structure each employee will be awarded a bonus specific to each academic position. In addition to the basic salary and bonuses for different categories of positions, the employees are awarded pay supplements to the wages set under collective negotiations between the University management and the negotiating employee organisation/representative.</p>	<p>According to the Danish Ministry of Finance Circular of 21.09.2009, regarding the Framework Agreement on the new pay system, the right to negotiate and conclude agreements on pay system is decentralized. The signing of these agreements is for the parties who are authorized to do so. Within the university these negotiations are held annually and refer only to salary supplements. Basic salaries are regulated by government acts. Negotiations are carried out between two parties, employers' and employees' representatives.</p>
		<p>Representatives of the University management will participate in bargaining depending on the level and subdivisions to which negotiations refer. Managers who have the power to negotiate wages may appeal to the assistance of subdivision's manager where the employees, whose salary is subject to negotiation, work. The negotiator must be</p>

		<p>aware of the acts regulating and the state-of-art in subdivision. The employees are represented by unions. Where there are no trade unions in the university, the managers of the institution will appeal to the sectoral trade union. The University management is obliged to disclose information on financial resources intended for wages payment.</p>
<b>Capacity to decide on dismissals.</b>	<p>Any member of the academic community may terminate via resignation their employment contract on their own initiative. In this respect, there must be a period of notice. Usually a written notice is dispatched at least one month before the date of resignation. Dismissal – termination of employment contract by the employer can occur in two situations:</p> <ul style="list-style-type: none"> <li>• dismissal on the violation of labour discipline. It will operate only when several disciplinary violations on the part of employee were previously recorded and disciplinary sanctions have been applied to the employee.</li> </ul>	<p>The Danish state offers limited autonomy as regards the freedom to decide on the termination of employment contracts.</p>
	<p>Disciplinary sanctions must be made with the prior approval of the departmental trade union body (subdivisions where the employee works and the employee must present a written explanation on the committed disciplinary offense).</p> <ul style="list-style-type: none"> <li>• dismissal for economic reasons, which can occur either by reducing positions or under other institutional circumstances such as reduced budget financing, closing a program of studies etc. General conditions regarding non-discrimination on various criteria of employees subject to dismissal for economic reasons should be observed. The dismissal of employees on economic grounds will lead to awarding a dismissal bonus established under the laws in force. In both cases the trade unions will be consulted within universities and the following periods of notice will be observed:</li> <li>• 1 month for employees who have been employed for less than 6 months;</li> </ul>	<p>The university is free to decide on the opportunity of a motive or another one, to decide on the extension of working agreements in case of their expiration or find solutions for retention of academic staff in higher education, but in all cases the institutions are required to comply with the established procedures for employees of the public sector and ensure guarantees provided for by law.</p>

	<ul style="list-style-type: none"> <li>• 3 months if the employment period exceeded 6 months;</li> <li>• 4 months after three years of employment. For each 3-year period of employment one month is added, but the period of 6 months will be not exceeded.</li> </ul>	
<b>Capacity to decide on promotions (senior academic/senior administrative staff.</b>	<p>According to the Order of the Danish Ministry of Higher Education, universities set their rules on the academic evaluation of candidates for various positions within the organization.</p> <p>The purpose of evaluation is to determine whether the candidate meets the requirements described in the job occupational description (job structure) and requirements for the position described in the employment announcement.</p> <p>In particular the candidate competences in teaching, research and communication will be assessed. Evaluation results shall be recorded in writing and will be presented to the Rector. If the evaluation committee has a different opinion, it will necessarily be indicated in the minutes. The composition of the evaluation committee is decided at university level. Generally, as members of the committee, experts in the evaluated field, holding at least the skills necessary for the assessed position, will be appointed.</p>	<p>Danish Act on Universities establishes minimum conditions necessary for the evaluation of the academic staff. However, to fulfill the university freedom regarding its own criteria and procedures for personnel evaluation, universities establish their own regulations. State intervention in this area is minimal, given that performance indicators underlying the institutions accreditation involves a serious and rigorous assessment of staff.</p>
	<p>The members of the evaluation committee should hold at least the position of associate professor. The work of the evaluation committee is carried out by the chairman, the secretary and ordinary members only. They are all obliged to operate under the principle of confidentiality and gender equality.</p> <p>The activity of invited academic staff is not evaluated. Appointment of Chairman and members of the evaluation committee is the competence of the Academic Council; the Rector will establish the deadline for submission of the evaluation report. The criteria for evaluation are set forth in the Memorandum on the Job structure.</p> <p>The result of the evaluation, which will be qualified (when the candidate meets the requirements) or unqualified (when the candidate does not meet the requirements), will serve as the basis for employment or where appropriate, promotion of employee within the academic career.</p>	



	<p>The purpose of the Evaluation Committee is to ensure an impartial, qualified and objective evaluation of academic skills of the candidates to academic positions presenting a detailed description of teaching, research and knowledge transfer and other relevant skills required for a certain activity.</p>	
	<p>The Committee should not take prioritization of candidates for certain positions, and each candidate is assessed individually.</p> <p>Students of Danish higher education institutions are encouraged to play a crucial role in learning and take responsibility for conducting research activity within a small group of colleagues. Teacher evaluation by students is part of the internal Quality management system, students are encouraged to address analytically both the quality of the course, as well as the quality of teaching.</p>	

## Appendix 9. Data reporting and data analysis for Romania

### Data collection template 2: data per autonomy type (Romania)

Staffing autonomy

Short description about the meeting:

Problem/question formulation	Findings	Comments
<p><b>Capacity to decide on Recruitment procedures. If there are differences across universities, why is it the case?</b></p>	<p>Procedures for recruitment/employment in higher education institutions in Romania is in compliance with the provisions of the Framework Methodology for filling vacant teaching and research positions in higher education, approved by Decree no. 457/2011, published in the Official Gazette no. 371 of 26.05.2011. Higher education institutions were required, within 60 days from the date of entry into force of this decision, to draw up their own methodology for filling vacancies in strict accordance with the provisions of the Framework Methodology. Own methodology is approved by the University Senate and is published on the website of higher education institution.</p> <p>In accordance with these normative acts, the proposal for organizing the contest for a vacancy is made by the director of department or head of the doctoral school in the structure of which the position is found, by reference approved by the Department Council or Doctoral School Board and the Faculty Council.</p> <p>The Recruitment Commission is the body responsible for recruitment / employment procedures. The composition of the Recruitment Commission is determined after publication of the announcement regarding the vacant positions, for each vacancy. For example at the “Stefan cel Mare” University of Suceava, the Recruitment Commission is established and approved within 30 days since the publication of the announcement in the Official Gazette of Romania. The Recruitment Commission may include deputy members. The Council of the Department or Doctoral School, announcing the vacant position, makes proposals for the nominal composition of the Recruitment Commission. The composition of the Recruitment Commission is proposed by the Dean, taking into account the proposals of the Council of Department or Doctoral School, and is approved by the Faculty Council.</p>	<p>In Romania the National Education Law no. 1 of 5 January 2011 establishes that university autonomy is guaranteed by the Constitution, and academic freedom is guaranteed by law. In this connection, it is recognized that the university community has the right to establish its own mission, institutional strategy, structure, activities, organization and operation, infrastructure and human resources management, in strict compliance with the law. Selection, employment, periodic evaluation, training, motivation and termination of employment agreement are the responsibility of the personnel department director, the head of the Doctoral school or dean, according to the University Charter.</p>

	<p>The nominal composition of the Recruitment Commission accompanied by the approval of the Faculty Council is submitted to the University Senate for approval. Following approval by the University Senate, the Recruitment Commission is appointed by the Rector's decision. Within two working days after the Rector's decision it is sent to the Ministry of Education, Research, Youth and Sports, and the nominal composition of the Recruitment Commission is published on the website of the contest. If positions of associate professor, professor, II degree scientific researcher and I degree scientific research are announced then the composition of the Recruitment Commission is published in the Official Gazette of Romania, Part III. If higher education institutions of the defense system, public order and national security are recruiting its academic staff, Rector's decision is sent also to the relevant ministries.</p>	<p>Above-named law describes in detail the recruiting procedures, how to conclude employment agreements, higher education institutions being free to decide on the selection of candidates.</p>
<b>Capacity to decide on salaries.</b>	<p>Responsibility for establishing the system and methodology of labour remuneration rests solely with the higher education institution. The University Senate is responsible for the management, use and disposition of funds for labour remuneration of the university employees. The institution draws up its annual budget of revenues and expenditures, which includes expenses for wages. The accuracy and legality of the use of funds for wages is verified by the competent bodies empowered with this right.</p>	<p>In Romania, the remuneration of academic staff and auxiliary didactic personnel is realized according to Law (no. 63 of 10 May 2011) on employment and wages of teaching staff and auxiliary didactic personnel in 2011. Thus, this normative act sets a maximum salary for a professor with an experience of over 40 years in education, which is situated between 3733 RON and 6971 RON. In contrast, a junior lecturer with experience up to three years will earn between 1123 RON and 1575 RON.</p>

		Salaries in terms of support staff ranges between the minimum salary in economy and amounts not exceeding 2000 RON, a Chief Operating Officer having best remuneration, believed to be part of the auxiliary personnel, the amount being between 1415 RON and 2790 RON. To these are added bonuses of various kinds, which together make up the basic salary.
<b>Capacity to decide on dismissals.</b>	Dismissal from the management position in education applies to the employee who committed serious and repeated violations, for which he was punished already, and which caused material injury or seriously affected the image of the University. Being the last but one disciplinary sanction before termination of the employment agreement, the application of sanction is done with the assumption that the correction of the person who was sanctioned is still possible. Disciplinary termination of the employment agreement is the maximum penalty that can be applied both for intentionally committing particularly serious and repeated violations and for violating repeatedly the obligations of the employee, such as to seriously disrupt the work order and the University activity. The finding of serious misconduct or repeated violations of the rules of labour discipline will lead to employee dismissal by the University under Article 61, paragraph 1, letter a of the Labour Code.	Termination of employment relations of the teaching staff of higher education institutions takes place by law or at the initiative of the parties. The procedures are those of the general labour law, an exception being cases of staff dismissal from management positions. Besides situations as provided by the National Education Law, the institutions establish their own rules and conditions, failure or achievement of which lead to bad faith dismissal of the manager. University autonomy means public responsibility for managerial act.

<p><b>Capacity to decide on promotions (senior academic/senior administrative staff).</b></p>	<p>Results and performance of teaching and research activity of the academic staff in universities are evaluated periodically at intervals not exceeding 5 years. This assessment is made in accordance with a methodology approved and applied by the University Senate. The remuneration of the academic staff is done according to their results and performance. The employment agreements of teaching and research staff include the assumption of minimum standards of teaching and research results and clauses regarding the termination of agreements in terms of non-fulfillment of those minimum standards. These standards are part of the policies referring to the quality of each higher education. For example at the “Stefan cel Mare” University of Suceava, the implementation of the quality policy by the institution management and the management of existing organizational structures envisages excellence, competence and responsibility. Their assessment is done through a set of indicators that allow their numerical evaluation. The indicators are correlated with external requirements and involve elements of benchmarking. Their coverage is achieved via the strategic plans adopted every four years and the annual operational plans developed. Indicators allow the development of internal quality control mechanisms to implement the quality assurance system approved by the University Senate. The following components are used by the “Stefan cel Mare” University of Suceava to assess quality: areas (teaching, research, internships, international relations, activities of administrative nature), criteria, own procedures, standards and performance indicators, found in methodologies of external evaluation of standards, reference standards and list of performance indicators used by ARACIS. The evaluation of teachers is complex and integrating and involves self evaluation, peer evaluation, evaluation by the direct supervisor and student evaluation. Self-assessment / evaluation of academic staff provides information on teaching, scientific research, national and international recognition, work with students and work in the academic community, reported at various time periods. The evaluation results are open publicly for members of the department, faculty leadership and university governing bodies without imposing any restriction of access.</p>	<p>National Education Law no. 1 of 5 January 2011 establishes minimum conditions necessary for the evaluation of the academic staff, and for the realization of the freedom of universities to establish their own criteria and procedures for the evaluation of personnel, institutions develop their own regulations, which are part of the quality management system. Regulations developed by the government do not contain performance indicators, these being elaborated by the institution; but the state monitors the fulfilment of assessment procedures via the Romanian Agency for Higher Education Accreditation and Certification.</p>
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	<p>Assessment applies only to teachers who have carried out tasks in the university according to the job description at least six months in a calendar year. Peer review seeks the fulfillment of professional ethics by each teacher and personal qualities manifested as a member of the department. Criteria for peer evaluation comprise the quantification of the following activities: participation in departmental activities (engage in collective life, joint actions, respond to supplementary requests); participation in faculty and university actions; teamwork: participation in joint activities, projects, programmes of study, scientific and research activities; assuming responsibilities: consistency and promptness in carrying out tasks; promoting the image of faculty / university; professional attitude and behaviour: being objective, expressing views, but the language and attitude do not infringe the rights of others; communication skills: cultivating positive climate; showing respect for colleagues: provide support to colleagues, comply with the rules of the group; promoting creativity: initiating and organizing performant actions in the department; concern for the quality of educational activities provided. Peer review activities will be organized over a period of up to six working days. All teachers are subject to peer review process once a year at the end of the calendar year. The procedure of peer review involves all members of the department where the evaluated teacher works.</p> <p>The University Charter of many higher education institutions in Romania stipulates the right of students to participate in the evaluation of teaching work. For example, the students of “Alexandru Ioan Cuza” University of Iasi have the right to participate in the evaluation of courses, seminars, internships and other education and/or related organizational aspects relevant to the study programs envisaged. These assessments serve as basis for evaluating the performance of these courses, seminars, internships, curricula and academic staff. The assessment of academic staff performance by students is compulsory at “Stefan cel Mare” University of Suceava. Evaluation results are public information.</p>	
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- <sup>37</sup> [http://www.strath.ac.uk/media/ps/humanresources/promotion/Promotion\\_Procedure\\_for\\_Senior\\_Academic\\_Professional\\_Staff.pdf](http://www.strath.ac.uk/media/ps/humanresources/promotion/Promotion_Procedure_for_Senior_Academic_Professional_Staff.pdf)
- <sup>38</sup> [http://www.strath.ac.uk/media/ps/humanresources/promotion/promotionformsnew/Promotion\\_from\\_Lecturer\\_A\\_to\\_Lecturer\\_B\\_Additional\\_Guidance.pdf](http://www.strath.ac.uk/media/ps/humanresources/promotion/promotionformsnew/Promotion_from_Lecturer_A_to_Lecturer_B_Additional_Guidance.pdf)
- <sup>39</sup> <http://www.strath.ac.uk/hr/learninganddevelopment/>
- <sup>40</sup> [http://www.strath.ac.uk/media/ps/humanresources/Regrading\\_Policy\\_for\\_Non\\_Academic\\_Staff.pdf](http://www.strath.ac.uk/media/ps/humanresources/Regrading_Policy_for_Non_Academic_Staff.pdf)
- <sup>41</sup> In this column provide just citation (e.g., von Prondzynski (2012), but in the end note provide full reference with the link; if the link is too long, use <http://goo.gl/> to shorten the links; the link in end note ii coincides with the place where the documents are – so it is ok to use the link as it is – however, in most cases you need to provide exact link to the download of the document (using <http://goo.gl/> to display the link)
- <sup>42</sup> <http://intra.kth.se/en/regelverk/personal/rekrytering/tenure-track-den-akademiska-karriarvagen-1.57367>
- <sup>43</sup> <http://intra.kth.se/en/regelverk/personal/rekrytering/anstallningsordning-for-larare-bilaga-3-anstallning-som-bitradande-lektor-1.278756>
- <sup>44</sup> <http://www.uhr.se/sv/Information-in-English/Laws-and-regulations/The-Swedish-Higher-Education-Act>
- <sup>45</sup> <http://www.uhr.se/sv/Information-in-English/Laws-and-regulations/The-Higher-Education-Ordinance/>

- <sup>46</sup> <http://intra.kth.se/en/regelverk/policyer/personalpolicyer>
- <sup>47</sup> <http://intra.kth.se/en/regelverk/policyer/sprakpolicy-for-kth-2010-1.60909>
- <sup>48</sup> <http://goo.gl/S8JadS>
- <sup>49</sup> <http://www.uhr.se/sv/Information-in-English/Laws-and-regulations/The-Swedish-Higher-Education-Act>
- <sup>50</sup> <http://www.uhr.se/sv/Information-in-English/Laws-and-regulations/The-Higher-Education-Ordinance/>
- <sup>51</sup> <http://intra.kth.se/en/regelverk/policyer/personalpolicyer>
- <sup>52</sup> <http://intra.kth.se/en/regelverk/personal/rekrytering/tenure-track-den-akademiska-karriarvagen-1.57367>
- <sup>53</sup> <http://www.uhr.se/sv/Information-in-English/Laws-and-regulations/The-Swedish-Higher-Education-Act>
- <sup>54</sup> <http://www.uhr.se/sv/Information-in-English/Laws-and-regulations/The-Higher-Education-Ordinance/>
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- <sup>57</sup> <http://fivu.dk/en/legislation/prevailing-laws-and-regulations/education/the-danish-university-act.pdf/view>
- <sup>58</sup> <http://fivu.dk/en/legislation/prevailing-laws-and-regulations/education/ministerial-order-on-the-appointment-of-academic-staff-at-universities.pdf>
- <sup>59</sup> <http://fivu.dk/en/legislation/prevailing-laws-and-regulations/education/memorandum-on-job-structure-for-academic-staff-at-universities-2007.pdf>
- <sup>60</sup> <http://fivu.dk/en/legislation/prevailing-laws-and-regulations/education/annex-to-memorandum-on-job-structure-for-academic-staff-at-universities.pdf>
- <sup>61</sup> <http://www.en.hr.aau.dk/forms/>
- <sup>62</sup> <http://www.en.hr.aau.dk/forms/>
- <sup>63</sup> [https://www.workindenmark.dk/en/Find\\_information/Til\\_arbejdstagere/Naar\\_du\\_arbejder\\_i\\_Danmark/Ansattelseskontrakt/Det\\_skal\\_kontrakten\\_indeholde](https://www.workindenmark.dk/en/Find_information/Til_arbejdstagere/Naar_du_arbejder_i_Danmark/Ansattelseskontrakt/Det_skal_kontrakten_indeholde)
- <sup>64</sup> <http://fivu.dk/en/legislation/prevailing-laws-and-regulations/education/ministerial-order-on-conferment-of-the-titles-of-affiliated-professor-and-affiliated-associate-professor.pdf>
- <sup>65</sup> <http://www.en.hr.aau.dk/key-hr-performance-indicators/>
- <sup>66</sup> Law on HE and Research.
- <sup>67</sup> MRUNI Staff salaries description, MRUNI rector order staff payment conditions,
- <sup>68</sup> The Statute of MRUNI
- <sup>69</sup> The Statute of MRUNI
- <sup>70</sup> Labor Law
- <sup>71</sup> The Statute of MRUNI, Law on HE and Research
- <sup>72</sup> Report of the Review of Higher Education Governance in Scotland, chaired by Professor Ferdinand von Prondzynski
- <sup>73</sup> University Regulations
- <sup>74</sup> Strathclyde University Strategic Plan 2011-2015
- <sup>75</sup> Strathclyde University Recruitment schedule
- <sup>76</sup> Guidance on developing job descriptions and job descriptions templates
- <sup>77</sup> National Agreement on Procedure and Criteria for Probation
- <sup>78</sup> Guidelines for probationary period at Strathclyde University
- <sup>79</sup> Appointment of relatives
- <sup>80</sup> [http://www.strath.ac.uk/media/ps/humanresources/pay/salaryscales/Salary\\_Scales\\_Web\\_Version\\_-\\_01.08.2013.pdf](http://www.strath.ac.uk/media/ps/humanresources/pay/salaryscales/Salary_Scales_Web_Version_-_01.08.2013.pdf)
- <sup>81</sup> <http://www.strath.ac.uk/finance/financialservices/payroll/staffpayments/#d.en.200708>
- <sup>82</sup> Use of fixed term and open ended employment contracts Policy
- <sup>83</sup> Staff development policy
- <sup>84</sup> <http://www.strath.ac.uk/hr/learninganddevelopment/>
- <sup>85</sup> Promotion from Lecturer A to Lecturer B Procedures
- <sup>86</sup> Promotion procedures for senior staff
- <sup>87</sup> Regrading fro Research, Teaching, Administrative and operational services Policy
- <sup>88</sup> Disciplinary procedure
- <sup>89</sup> Kungliga Tekniska högskolan (KTH) Human Resources Policy

# **Benchmarking Analysis on Academic Autonomy in Lithuania, Scotland, Sweden, Denmark and Romania**

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# 1. INTRODUCTION

The most relevant definition of academic autonomy can be considered the one presented by Estermann Thomas and Terhi Nokkala in the study presented in 2009 “*University Autonomy in Europe I*” (European University Association. [www.eua.be](http://www.eua.be)): Academic autonomy relates to the university’s ability to make decisions on vision, mission and academic profile on the introduction or withdrawal of educational programs, their structure and content, and issues such as the admission of students and ways to ensure the quality of programs and awards. The ability to decide on the areas, scope, aims and methods of research are important subcomponents of academic autonomy.

In the second study on university autonomy (Estermann Thomas, Terhi Nokkala and Monica Steinel (2011): *University Autonomy in Europe II Tableau de Bord*, European University Association. [www.eua.be](http://www.eua.be)), is found that academic autonomy can be assessed with seven quantifiable indicators namely, the ability of the institution to decide on: the total number of students; selection students; to form study cycles; to choose the language of study; to select quality assurance mechanisms and the provider of such services; to design study programs’ content.

Based on these definitions, and multiple problems that are put into discussion in recent years in the education system in the Republic of Moldova, there were set the spectrum of criteria and sub-criteria for the analysis of academic autonomy in five European Union countries, partners in the project. The classification of criteria and sub-criteria is presented in Chapter 2 of the Report (Table 1).

In Chapter 3, there are presented the results of the analysis of academic autonomy in Lithuania, Scotland, Sweden, Denmark and Romania in the light of 10 criteria and 37 sub-criteria set out in Chapter 2.

In Chapter 4, there are presented the results of the comparative analysis carried out for 5 EU countries. The nominated criteria and sub-criteria are at the basis of this analysis.

Chapter 5 contains some general conclusions on the academic autonomy in the EU countries examined.

The list of references (total 244 sources) is presented separately by country, for working convenience. The list includes: basic laws that relate to the higher education system in the country; normative acts issued by ministries and agencies pertaining to academic autonomy; internal normative acts issued by the university.

Eight annexes contain intermediate results of data collection process on academic autonomy in the reference countries and universities.

## 2. METHODOLOGY

The aim of this report was to conduct a comparative analysis of academic autonomy in the EU partner countries, namely Denmark, Lithuania, Romania, Scotland and Sweden. Data were collected on the basis of preset templates (see Tables 1 and 2 of the Consolidated Report).

Before each mission in a target country, the author collected and analyzed available information on academic autonomy in the respective target country and identified problems and questions related to various aspects of academic autonomy, which could not be clarified when consulting these sources of data available. At the same time, the author proposed possible data sources. Identified problems and questions for each task are presented in Annexes 1-4.

Within one week after each mission, the author continued the analysis using data gathered in Annexes 1-4 and the data that were collected during each mission, from new sources, detected during visits and further explanation. Consolidated data collected on academic autonomy in the target countries are presented in Annexes 5-8.

Based on data analysis, a set of criteria and sub-criteria appeared for academic autonomy benchmarking (Table 1).

Case analysis on countries focuses on the emerging criteria and is presented in Chapter 3. The discussion of each criteria and sub-criteria in question is oriented particularly towards their definitions, concepts, separation between government and university, possible links and relationships between academic autonomy criteria and other types of autonomy and the positioning (where possible) of the occurred criteria in the interfaces of university autonomy.

***Table 1: The criteria and sub-criteria appeared as a result of comparative analysis***

Criteria	Sub-criteria
1. Establishment and termination of study programs	1.1 Levels in higher education 1.2 Introduction of study programs at cycle I 1.3 Introduction of study programs at cycle II 1.4 Introduction of study programs at cycle III 1.5 Language of instruction
2. Admission to studies	2.1 Procedures for admission to Cycle I 2.2 Procedures for admission to Cycle II and III 2.4. Admission of foreign students 2.5. Formation of contingent
3. Recognition of studies	3.1 Recognition of study periods undertaken abroad 3.2 Recognition of documents of studies done abroad
4. Accreditation of study programs	4.1 Internal quality assurance structures 4.2 Methodology, evaluation criteria, procedures 4.3 Freedom in the choice of external quality assessment body 4.4 Relations of cooperation of the accreditation body with the Ministry of Education in the accreditation process



5. The National Qualifications Framework (NQF)	5.1 The body responsible for NQF in the country 5.2 Participation of universities in the development of new qualifications 5.3 How are NQF requirements reflected in the study programs (compulsory provisions, internal control procedures, external evaluation)? 5.4 Educational standards 5.5. Credit system
6. The content and implementation of the study program (organization of studies)	6.1 Designing the content of study programs 6.2 Allocation of tasks among academic structures 6.3 Internships 6.4 Final evaluation on cycles
7. Employability	7.1 The occupational framework (ISCEO). The link between the level of studies – qualification 7.2 Place of MA and PhD in the occupational network 7.3 Career guidance structures (state level, institution level)
8. Teachers' workload	8.1 Planning the didactic workload 8.2 Distribution of the didactic workload 8.3 The accounting of performing teaching and research workload
9. University scientific research	9.1 University structures involved in the organization of scientific research 9.2 Students' involvement in the process of scientific research (incentive mechanisms) 9.3 Scientific research of the didactic staff 9.4. Integrated research, education and business centers
10. The doctorate	10.1. The right to offer doctoral studies 10.2 Doctoral Schools 10.3 Completion of studies, conferring of degrees 10.4 Postdoctorate, habilitate

The comparative analysis is presented in Chapter 4. The criteria and subcriteria identified (Table 1) were the basis for comparative analysis. A comparative analysis template has been developed for this purpose (see Table 3 in the Consolidated Report). Data analysis of the comparative study is presented in Table 2 (Chapter 4).

### 3. ACADEMIC AUTONOMY BY COUNTRY

#### 3.1. Lithuania

According to the Law on Education and Research [1] a higher education institution *shall enjoy the autonomy which covers academic, administrative, economic and financial management activities, and is based on the principle of self-government and academic freedom. Pursuant to the procedure laid down by the Constitution and other laws the autonomy of a higher education institution shall be harmonized with the accountability to the public, founders and members of the legal person.*

*A higher education institution shall have the right to: choose study fields and forms and the development of a person, research, social and cultural development, cultural and scientific knowledge communication; define a procedure of studies; fix a tuition fee in accordance with the procedure laid down by Law of; prepare and approve study programmes which meet the requirements laid down by legal acts; provide other educational, qualification improvement, expert services; publish study, scientific and other literature; establish its own structure, internal working arrangements, staff number, their rights, duties and conditions of payment for work, position requirements, procedure of organization of competitions to fill positions and of performance evaluation of employees, adhering to laws and other legal acts; admit and exclude students in accordance with the procedure laid down by its statute; award students scholarships from its own or sponsors' funds; set forms of cooperation with natural and legal persons of the Republic of Lithuania and foreign countries; manage, use and dispose of assets in the manner prescribed by this Law and other legal acts; exercise other rights laid down by legal acts.*

*A higher education institution must: ensure academic freedom of members of the academic community; inform the founders, members of a legal person and the public about quality assurance measures in studies and research activities, and in case of state higher education institutions – also about their financial, economic and research activities and the use of funds; the results of external quality evaluation and accreditation of their study programmes; furnish in due time official information to institutions authorised by the Government (statistical data and subject-specific information) which is necessary for the management and monitoring of the higher education and research system; provide career consultations to students; perform other obligations established by legal acts.*

In the following, we analyze how academic autonomy is achieved by legislative delineation of functional / operational rights and obligations of the higher education institutions from those of central state authorities.

##### 3.1.1 Establishment and termination of study programs

###### 3.1.1.1 Levels in higher education

Two types of higher education institutions (HEIs) are provided by the Law of Higher Education: university colleges [1.1, Art. 6] and institutions offering higher education services and developing high level applied research [Article 9, p. 8], [Article 35, 36]. The right to provide higher education services is granted to state institutions by Authorization, and

to private institutions – by License. It set up a state registry that lists institutions offering educational services [art. 38, 12], and it is made public.

A state university shall be established, restructured or liquidated by the Seim on the recommendation of the Government. *A higher education institution may be established if there is a material base and other conditions indicated in this Law which are necessary to ensure the quality of planned study programmes, research and/or artistic activities, and to meet the requirements of presented higher education qualifications.* The state college shall be established, reorganized or liquidated by Government Decision. The order of organization of state institutions and licensing of private ones is described in [3].

Articles 7 and 8 of the Law on Education [1] give a clear answer to the question – what is different between the objectives of the two types of institutions?

*The university [1.art.8] shall carry out university studies, conduct research, experimental (social, cultural) development and/or develop high-level professional art. The name of a higher education institution must contain a word ‘university’ or ‘academy’, or ‘seminary’. More than half of the teaching staff of a university must be scientists and/or established artists. Objectives of the university: to carry out studies which provide university higher education based on research and corresponding to the modern level of knowledge and technologies, a higher education qualification, develop a thoroughly educated, ethically responsible, creative and entrepreneurial person; to harmoniously develop scientific cognition of various fields, to conduct high-level research and experimental (social, cultural) development, to train scientists, to cooperate with national and foreign partners in the field of sciences and humanities; when cooperating with public and economic partners, to promote the development of regions and the whole country through research, educational, artistic and other cultural activities; to develop society receptive to education, sciences, arts and culture, which is able to effectively make use of science and compete in the market of high technologies, products and services.*

*The college [1. Art.9] shall carry out college studies, develop applied research and/or professional art. The name of a higher education institution which carries out such activities must contain a word ‘college’ or ‘higher education institution’. Objectives of the college: to carry out studies which provide to a person the college higher education and a higher education qualification and which satisfy the needs of the State, society and economy of Lithuania, and conform to the level of science and latest technologies; to develop applied research necessary for the region, to provide consultation to local government and economic entities; to create conditions for persons to improve their acquired knowledge and skills; to develop society receptive to education and culture, which is able to work under the conditions of rapid technology change.*

*More than a half of the teaching staff of a college must have at least three-year practical work experience in the sphere of a subject they teach. The qualification in the sphere of a taught subject must be improved in accordance with the procedure laid down by the college. Subjects which must be taught at colleges by the teaching staff members with a scientific degree shall be determined by descriptions of a study field, a set of study fields or a study area.*

### **3.1.1.2 Introduction of study programs at cycle I**

Requirements for the first cycle programs, in general form, are determined by the Law on Education [1, 48 and 1.4]. By Ministry of Education’ order [1.8] shall be approved general

and specific requirements for study programs at the college level, cycle I and integrated studies. At cycle I double specialties programs are also accepted [1, article 48 (7)], which can be implemented by two universities in the country or abroad.

New programs should correspond to specialties designated in the list / nomenclature approved by the Minister of Education [1.20]. For some fields of study, such as Law, the Ministry of Education also approves specific requirements to those programs of study [6].

#### ***3.1.1.3. Introduction of study programs at cycle II***

Article 48 (2) of the Law on Education states that institutions with research in the field can organize master programmes. The Ministry approves the general and special requirements for fields of study of second cycle Master's degree. New programs are developed by program committees, they are discussed in the institute / department, and they are approved by the Senate and proposed for approval to the Council of Higher Education of the Ministry of Education and Research. If the program meets the requirements defined in [9], it is approved having permission to proceed.

In [2.39] are mentioned procedures of formation of program committees, their composition, their rights and obligations and rules to develop new programs in the University of Mykolas Romeris in Vilnius.

#### ***3.1.1.4. Introduction of study programs at cycle III***

The Ministry of Education decides which institutions may organize doctoral studies. The decision shall be based on the evaluation (according to the Regulation on Doctoral Studies approved by the Government on the recommendation of the Committee of Science) of scientific research led by the institution. Doctoral studies can be organized in consortia with other research institutes or universities in the country or abroad.

Doctoral studies are organized in the field of natural sciences, humanities and arts [1.1, Article 48 (4.5)]. The degree offered is Doctor of Science or Doctor of Arts. The degree of Doctor Habilitate is not stipulated by law [1, article 48 (6)].

#### ***3.1.1.5. Language of instruction***

Article 11 of the Lithuanian Law on state language [2] states: *The State shall guarantee the residents of the Republic of Lithuania the right to acquire general, vocational, higher post-school and university education in the state language.*

So, the teaching language in higher education institutions is Lithuanian. The legislation [1, article 49] provides that studies may be in other languages only at programs where studies are not provided in the national language.

### **Conclusions**

1. Two types of higher education institutions: colleges offering professionalized programs and universities that offer programs for three levels – Bachelor, Master (in some specialties of integrated study) and Doctorate. A new institution is established by decision of the Seim. It is established a Register of institutions entitled to offer educational services, which is made public.

2. The Ministry of Education determines / approves the general requirements for college study programs, study programs at cycle I, integrated studies and master. New college and

Bachelor programs should correspond to the List / Nomenclature approved by the Ministry of Education. Institutions develop programs in accordance with those requirements.

3. The Ministry of Education provides entitlement to master and doctoral programs to institutions conducting scientific research in the field (based on assessment results). The name and content is determined by the institution based on the general requirements.

4. Studies are in the national language in all programs. In parallel, other languages may be used at the discretion of the institution.

### **3.1.2. Admission to studies**

#### **3.1.2.1. Procedures for admission to Cycle I – Bachelor. Commitment of the Government concerning the admission**

According to Article 52 of the Law on Education [1] *persons having at least the secondary education shall be admitted by way of competition to a study programme of the first cycle and an integrated study programme in a higher education institution, taking account of learning results, entrance examinations or other criteria laid down by a higher education institution. A list of competitive subjects according to study fields and principles of composition of a competitive grade, a lowest passing entrance grade and other criteria shall, upon the evaluation by a students' representation, be set by higher education institutions and announced by them not later than two years prior to the beginning of an appropriate academic year.*

*A general number of student places shall be fixed by a higher education institution, taking into consideration the possibilities of quality assurance in studies.*

Admission is organized centrally for all colleges and universities. It is created a common association.

The Ministry determines the admission plan (budgetary places, vouchers for specialties). Based on the contest of candidates, the grades in secondary education diploma, applicants can obtain or not the claimed voucher. The application is submitted for a particular specialty and at a specific institution. The student comes to university with the state paid voucher. Those who did not receive vouchers come to study places with tuition fees, the number of study places is defined by the capacity of the institution. The groups are formed for programs if there are 15 students or more (option of the institution).

#### **3.1.2.2. Procedures for admission to Cycle II and III**

*Persons having a higher education qualification shall be admitted to a study programme of the second cycle in accordance with the procedure laid down by the higher education institution [1, art.52(2)]. Persons having a Professional Bachelor's qualification shall have the right to enter study programmes of the second cycle, if they meet the minimum requirements approved by the Ministry of Education and Science.*

The following procedures are established for admission to Masters: the contest is done based on the Bachelor degree in related programs; college graduates are admitted after one compensatory year (see Rules). There are several provisions regulating the conduct of master studies depending on the type of previous studies (prerequisites and difference credits).

Admission to PhD is based on the Regulation developed by the Research Committee. The Master's degree or the integrated studies diploma in the respective field of studies serves as the basis for admission (more details, see criterion 10).



### **3.1.2.3. Admission of foreign students**

Admission of foreign students is only on tuition fee basis, which is different from that for national students. Their number is not limited. The equivalent level of education of 12 years (high school) is required for admission. In this respect universities have broad autonomy.

### **3.1.2.4. Formation of contingent**

Mechanism of student contingent formation – student orientation: various measures are undertaken at university, faculty, and program level. These measures have become central for all universities due to the reducing number of students, the freedom to choose the university, having won the voucher.

## **Conclusions**

1. The government determines the quota / number of vouchers (state scholarships) that can be allocated, universities will get places (students with vouchers) through competition (according to the prestige of the institution in the vision of candidates). For admission to the master the same methodology is used. It was created, with the consent of universities, a centralized body for online admission to cycle I, which is coordinated by the Ministry of Education and Research. This mechanism provides a large freedom to students and objective competition between institutions.

2. For admission to Masters, the contest is done based on the Bachelor degree in related programs; college graduates are admitted after one compensatory year.

3. Admission to PhD is based on the Regulation developed by the Research Committee. The Master's degree or the integrated studies diploma in the respective field of studies serves as the basis for admission

4. The admission of foreign students is carried out by university admission committees. No admission quotas are imposed.

5. Universities are autonomous in the use of different methods of vocational guidance, various measures are taken at university, faculty, and program level.

## **3.1.3. Recognition of studies**

### **3.1.3.1. Recognition of study periods undertaken abroad**

Article 50 of the Law on Education [1] states that the results of studies partially achieved and certified in another country, in a local institution or another program of the same institution must be recognized. General recognition procedures are established by the Government under which each institution develops its own rules. As an example, you can examine the Regulation of the University Mykolas Romeris in Vilnius "Procedure for recognition of academic credits" [2.17]. The document states that *the recognition of academic credits of the undergraduate (bachelor's) studies and graduate (master's) studies at Mykolas Romeris University shall be the responsibility of faculty deans, and the recognition of academic credits of post-graduate (doctor's) studies – the Doctoral Commission of a respective discipline.*

### **3.1.3.2. Recognition of documents of studies done abroad**

Diplomas and qualifications acquired in EU and other countries are assessed and recognized under the rules set by the Government [14]. *Ministry of Social Security and Labour to issue relevant documents for the nationals of the European Union, European Economic*



*Area or Swiss Confederation moving in the European Union, European Economic Area or Swiss Confederation for the purpose of taking up or pursuing a regulated profession or regulated professional activity, as indicated in Directive 1999/42/EC of the European Parliament and of the Council of 7 June 1999 establishing a mechanism for the recognition of qualifications in respect of the professional activities covered by the Directives on liberalisation and transitional measures and supplementing the general systems for the recognition of qualifications. The Lithuanian Centre for Quality Assessment in Higher Education to act as an information centre.*

### **Conclusions**

1. In Lithuania, at the level of Government, there are determined general rules for the recognition of periods of study and academic credits obtained abroad or in another local institution. Each institution sets independently (by internal rules) procedures for recognition and transfer between programs.

2. A state authority is appointed for the recognition of diplomas, which operates under the rules and requirements set by the Government.

### **3.1.4. Accreditation of study programs**

#### **3.1.4.1. Internal quality assurance structures**

The Law on Education [1.1, article 41] defines that internal quality assurance is the responsibility of educational and / or research institutions which establish internal quality management structures. The institution shall inform stakeholders about the quality of education and research, organize systematic self-assessment.

Universities determine independently: the policy, quality management strategy, and system structure. Responsible of quality assurance are: head of the QMS department, dean of the Faculty, head of the program [2.42]. An important role is given to students' participation in quality assurance process [2.38]: members of the evaluation committees, courses and teaching quality assessment (questionnaires).

#### **3.1.4.2. Methodology, evaluation criteria, procedures**

Article 42 of the Law on Education defines that the external evaluation and accreditation of study programs is mandatory. Higher education institutions have the right to provide education only at externally assessed and accredited programs [1, article 42]. External evaluation is carried out by the Centre for Quality Assessment in Higher Education (Central Evaluation body) or another agency, indicated by MES, appearing in the EAQAHE Register. Accredited programs are included in the Register of accredited programs accessible to all stakeholders.

The Ministry of Education and Research initiates every six years the external evaluation and accreditation of higher education and research institutions [1, article 43]. Evaluation is done on all fields indicated in the Statute of the institution and based on compliance criteria. The methodology and assessment criteria descriptors are approved by the Government.

External evaluation results are used for accreditation. If the results are negative, the institution is given two years to fix the situation, followed by further external evaluation. If repeated evaluation's results are not satisfactory, the Ministry of Education initiates proceedings to revoke the authorization or license of organization of studies.

External evaluation of research institutions is carried out by the Research Committee of Lithuania. The respective descriptors are approved by the Government. Negative results of the evaluation lead to the closure or restructuring of the institution by Government Decision. The methodology, criteria and procedures for external evaluation are presented in [13], which are approved by MES's order. The methodology for the selection of experts for external evaluation committees is presented as a separate document.

In Lithuania subsidiaries of foreign institutions operating in the country are also subject to evaluation and accreditation.

#### ***3.1.4.3. Freedom in the choice of external quality assessment body***

External evaluation is carried out by the Centre for Quality Assessment or another agency, indicated by MES, appearing in the EAQAHE Register.

#### ***3.1.4.4. Relations of cooperation of the accreditation body with the Ministry of Education in the accreditation process***

The Centre for Quality Assessment in Higher Education is a budgetary organization created by MES, and the Regulation of the Centre is approved by MES. The basic objective of the Center is to encourage quality. The agency has a committee of 11 members appointed by the Seim on the recommendation of the Council of Higher Education of the Ministry of Education, Science and Culture Committee, Government etc. The Director is the sole manager and is elected by the Council for a term of 5 years [1.1, Article 17]

The accreditation of study programs, Institutions of Higher Education and Research is based on the findings of the external evaluation.

New institutions are subject to accreditation no later than two years after their foundation. An additional external evaluation by the Centre will be submitted. The accreditation is followed by the recall of the functioning authorization (MES decides) or license revocation (non-state institutions).

The accreditation process procedures are approved by the Government. Accredited study programs and institutions are listed in the Register which is made public [1, Article 44, 37].

### **Conclusions**

1. Internal quality assurance is the responsibility of educational and / or research institutions which establish internal quality management structures, they determine independently the policy, and quality management strategy. Responsible of quality assurance are: head of the QMS department, dean of the Faculty, head of the program, and students are involved. The institution shall inform stakeholders about the quality of education and research.

2. Higher education institutions have the right to provide education only at externally assessed and accredited programs. The Ministry of Education and Research initiates every six years the external evaluation and accreditation of higher education and research institutions. Evaluation is done on all fields indicated in the Statute of the institution and based on compliance criteria. The methodology and assessment criteria descriptors are approved by the Government. In Lithuania subsidiaries of foreign institutions operating in the country are also subject to evaluation and accreditation.

3. External evaluation is carried out by the Centre for Quality Assessment or another agency, indicated by MES, appearing in the EAQAHE Register.

4. External evaluation methodology and criteria are developed by the Accreditation Council but are approved by the Government on the recommendation of the Ministry of Education. Accreditation of study programs and educational institutions by ME is based on the results of external assessments coming from the committee.

### **3.1.5. The National Qualifications Framework (NQF)**

#### ***3.1.5.1 The body responsible for NQF in the country***

In Lithuania the General Qualifications Framework is designed with 8 levels of qualifications, similar to the EQF, approved by GD in which there are determined criteria for each qualification level [5]. When comparing the descriptors of the national system with the EQF one, there has not been observed something very essential. NQFLIT determines / sets four levels that correspond broadly to the degrees / qualifications in higher education: 5 – corresponds to the professional Bachelor, offered by colleges, 6 – university Bachelor degree 7 – Master's degree 8 – PhD degree. Descriptors for higher education levels are defined in detail in the three orders of the Ministry of Education: Order 2212-2011 [7] sets higher education study cycles in Lithuania; Order 501 of 2010 [8] establishes general criteria for the first cycle and integrated studies; Order 826 of 2010 [9] defines the specific descriptors for the second cycle, Master.

#### ***3.1.5.2 Participation of universities in the development of new qualifications***

The general competences being established in [7, 8, 9], the initiative to create new study programmes most often comes from the departments / institutes or program committees, which are formed freely. The Ministry and the Quality Assurance Centre engage at the stage of external evaluation and approval of operation of these programs.

#### ***3.1.5.3 How are NQF requirements reflected in the study programs (compulsory provisions, internal control procedures, external evaluation)?***

Universities have to develop (design) study programs and the process of implementation so that competences determined by the descriptors of the respective levels of education to be achieved by the student. The requirements specified above will serve as criteria and indicators (reference standards) at the final evaluation of studies, preparation of self-assessment reports and external evaluation for the accreditation of programs.

#### ***3.1.5.4. Educational standards***

Educational standards on fields are developed as an exception, such as specific requirements determined for the field of Law [6].

### **Conclusions**

1. In Lithuania, it is approved the General Qualifications Framework with 8 levels of qualifications, with qualification levels descriptors similar to those recommended by the EQF. Four higher levels of the Framework correspond to qualifications offered by college, Bachelor, Master and PhD study programs.

2. The general competences being established by state institutions (MES, Government), the initiative to develop new study programs comes from departments / institutes and program committees, which are formed freely. The Ministry and the Quality Assurance Centre engage at the phase of external evaluation and approval of operation of these programs.

3. In order to be implemented, new study programs are evaluated if they meet the requirements defined by descriptors for the respective levels of education. The same descriptors serve to define criteria and indicators for the final evaluation of studies, for the preparation of self-assessment and external evaluation reports for the accreditation of study programs.

4. Educational standards on fields are developed as an exception, such as specific requirements determined for the field of Law.

### **3.1.6. The content and implementation of the study program (organization of studies)**

#### **3.1.6.1. Designing the content of study programs**

Program content is developed by a program team (committee) formed usually at the initiative of teachers. Designing the content is based on transversal and professional competences, which must be achieved by the graduate during his/her studies.

General requirements for program structure, distribution of credits between groups of university disciplines, specialized and practical training are specified in [8, 9], document similar to the Framework Plan implemented in RM.

A special role in the guidance process of the program, from design to implementation, is assigned to the Programme Committee [2.39].

Requirements on the organization of studies, assessment of students, organization of internships, organization and realization of the final assessment are the responsibility of each institution and are defined by the internal normative acts [2.29, 2.31, 2.33, 2.34, 2.36, 2.37, 2.39].

Among the specific requirements there are mentioned:

*Studies shall be done by modules which – shall mean a part of the study programme comprised of several content-related subjects, having a defined objective and oriented towards certain abilities of the student; the least possible scope of the module – 10 credits credits. The number of subjects in a studied programme may not exceed 7. Studies of each subject or module shall be completed with the examination or assessment of independent work (project) carried out by the student. If a system of accumulative assessment is used, intermediary assessments may make part of the grade of the examination.*

*Aims and curriculum of studied subjects, methods of studies, requirements for the entrants must be based on the aims of the study program. The volume of the study program, qualification of pedagogical and scientific staff, material base of studies must be sufficient to achieve the aims of the study program.*

*The study programme must be periodically updated. Over the programme's accreditation period, a higher education institution, on the decision of the senate (academic council), may change study subjects of the major field declared in the programme description so that their total scope does not exceed 20 per cent of the scope of all subjects of the major field in the study programme. Changes must be communicated using a web site of the higher education institution.*

*At Bachelor – not less than half of the subjects of the study field must be delivered by scientists or established artists (subjects of art). In the case of college programmes – not less than 10 per cent of the amount of the subjects of the study field must be delivered by scholars or established artists (subjects of art). At Master's – not less than 80 per cent (or 60 per cent when study programs are centered to practical activity) of university teachers of all study subjects must hold a scientific degree, of them there must be not less than 60*



*per cent (or 40 per cent when study programs are centered to practical activity) of subject teachers whose field of scientific activity must match the subjects taught by them.*

#### **3.1.6.2. Allocation of tasks among academic structures**

A study program is provided by the program team, working within a department. As necessary, some modules are provided by teachers from other specialized or general departments. Due to significant competition between departments, the share of the task provided from outside definitely reduces.

The Department and the Dean of the faculty have task of organizing the process of studies (student records, schedules, accommodation etc.), the program committee is responsible for ensuring teaching, quality assurance and popularization of the respective specialty, work with alumni.

#### **3.1.6.3. Internships**

In the regulations [8] and [9], adopted by the Ministry of Education, among general requirements related to study programs there can be found specific requirements on the practical training of future specialists. In [8, Art. 10] is defined:

*Practice is a separate subject of studies included in the number of 7 subjects, when it is not connected to any of the studied subjects or, if it is connected to it, it must be reasonably stated by the executors of the study program as separate from the study subject. Practice is not a separate subject of studies if it is an integral part of the studied subject, such practices may not be in the list of studied subjects. At the Bachelor level (undergraduate studies) the volume of practices should be no less than 15 credits.*

In the case of Bachelor studies in colleges (professional orientation programs) *practices and other practical training must comprise not less than one third of the volume of the study program. The volume of practices (practices of training, knowledge, occupational activity and others) must be not less than 30 credits [8, art. 28].*

Master programmes [9, art. 17.3] should provide: *not more than 30 (until 1 September 2011 – 20) study credits may be made of university-prescribed and student-elected subjects intended, depending on the character of the study programme, to prepare for doctoral studies (research work (creation of art)), practical activity (practice of professional activity) or for subjects of another field, when a study programme subject to the aims related with cross studies is implemented, also for general university study subjects and subjects that are freely selected by a student and necessary to achieve the aims of the study programme.*

#### **3.1.6.4. Final evaluation on cycles**

According to [8, art. Art.18], a Bachelor programme, *is completed by the evaluation of the graduate's competency during the defense of the final work (project) and by final examinations (if provided for by regulatory legal acts) giving to them not less than 12 credits. If a double bachelor's degree is conferred, final works (projects) of the main field (branch) and minor field (branch), as well as final examinations (if provided for by regulatory legal acts) must be foreseen giving to them in total not less than 15 credits.*

College programmes [8, art.26] are also completed by *the evaluation of the graduate's competency during the defense of the final work (project) and by final examinations (if provided for by regulatory legal acts) giving to them not less than 9 credits. If, upon completing*

*the program, a double bachelor's degree is conferred, final works (projects) of the main field (branch) and of the minor field (branch), as well as final examinations (if provided for by regulatory legal acts) must be foreseen in it by giving to them in total not less than 12 credits.*

*Not less than 10 per cent of the amount of the subjects of the study field must be delivered by scholars or established artists (subjects of art). More than half of the university teachers of the study program must have not less than 3 years' experience of practical work in the area of the taught subject.*

*In Master programmes [9, art.17.3, 20, 22] not less than 30 (by September 1, 2011– 20) study credits are allocated for the preparation and defense of the final work or for the final work or final examination (final examinations if they are prescribed by the legal acts of the Republic of Lithuania or international legal acts). The final work must be substantiated by independent scientific or applied research, application of knowledge or it must be prepared as a project revealing abilities conforming to the aims of the program. Postgraduate's work (project) must demonstrate his level of knowledge and understanding, ability to analyze the selected topic, assess the works of respective field (branch) previously carried out by other persons, independently study and carry out research in that field (branch), describe his research work, clearly and reasonably formulate findings of the research following the requirements approved by the university. The graduation project of the postgraduate of art study fields must reveal his level of creativity, capability to apply independently latest practical knowledge and technologies in creative work.*

*The commission assessing the final work (project) and its defense must be comprised of specialists competent in the study field (branch) – scientists (artists), practitioners-professionals and representatives of social partners. At least one member of the commission (best – chairman of the commission) must come from the other institution of science and studies than that in which master's studies took place. Composition of the final examination commission must be the same where such an examination is set in the study program [2.39, art. 147-157].*

## **Conclusions**

1. General requirements for program structure, distribution of credits between groups of university disciplines, specialized and practical training are determined by the Ministry of Education. Program content is developed by a program team (committee) formed usually at the initiative of teachers. Designing the content is based on transversal and professional competences, which must be achieved by the graduate during his/her studies, which are described in the Qualifications Framework. A special role in the guidance process of the program, from design to implementation, is assigned to the Programme Committee. Requirements on the organization of studies, assessment of students, organization of internships, organization and realization of the final assessment are the responsibility of each institution and are defined by the internal normative acts.

2. A study program is provided by the program team, working within a department. As necessary, some modules are provided by teachers from other specialized or general departments. Due to significant competition between departments, the share of the task provided from outside definitely reduces.



3. In the regulations adopted by the Ministry of Education, among general requirements related to study programs there can be found specific requirements on the duration (expressed in credits) of the practical training, which depends on the type of programme. Institutional normative acts establish the organization, reporting and evaluation of internships.

4. The final evaluation is an act of appreciation of competences obtained by the student in relation to the outcomes prescribed by the program and is carried out through public defence of a project / thesis in front of the evaluation committee, consisting of specialists (researchers) in the field. Institutional normative documents define requirements for the graduation paper, procedures for the organization and conduct of the final evaluation.

### **3.1.7. Employability**

#### ***3.1.7.1. The occupational framework (ISCEO). The link between the level of studies – qualification***

In Lithuania, it is currently used the standard International Classifier of Occupations ISCO-88 (COM), recommended by the EC. For higher education, requirements on general and professional competences are expressed in the descriptors of levels 5, 6, 7 and 8 of the National Qualifications Framework and legislative documents [5, 8, 9] on the study programs for professional Bachelor level, (university) Bachelor, Master's and Doctoral studies.

Regarding employment, Lithuania faces the same problems as RM. Regulations and methodical materials have not been developed in Lithuania. Each team determines how to work with its alumni.

Employment is free; the employer determines what type of specialist he needs and what skill level should the employee have. There are a few areas which are clearly delineated, positions that can be occupied by holders of bachelor's and master's degrees [16].

In the university the responsibility for working with graduates is attributed to the program team. A register of graduates is made (MEC Commission), out of which it will be possible retrieve data on the employment of graduates, their jobs and salaries. Data taken from the database of the tax inspectorate are used, and the wage levels of graduates are estimated on the basis of the declared income.

#### ***3.1.7.2. Place of MA and PhD in the occupational network***

From discussions held with project partners from UMR we found that it would be good to determine positions that can be occupied by individuals with a level not lower than master. In Lithuania this fact is stipulated such as the Law on the jurisprudence [1.6].

In ISCO – 88 – are listed only the general requirements of specialties. The employer is free to choose between – college, Bachelor or Master graduates. There should be emphasized only areas with specific requirements, e.g. those related to human safety, environmental security etc. The right of becoming a specialist in construction design, for example, is granted only to those who have a master qualification plus special requirements.

#### ***3.1.7.3. Career guidance structures (state level, institution level)***

At UMP special structures responsible for vocational guidance of students are not created. Responsibility and core activities related to guidance of students, support of students in the process of looking for a job and their employment and career tracking is in the responsibility of departments and program committees.

## Conclusions

1. In Lithuania, it is currently used the standard International Classifier of Occupations ISCO-88 (COM), recommended by the EC. For higher education, requirements on general and professional competences are expressed in the descriptors of levels 5, 6, 7 and 8 of the National Qualifications Framework and legislative documents [5, 8, 9] on the study programs for professional Bachelor level, (university) Bachelor, Master's and Doctoral studies.

2. In ISCO – 88 – are listed only the general requirements of specialties. The employer is free to choose between – college, Bachelor or Master graduates. There should be emphasized only areas with specific requirements, e.g. those related to human safety, environmental security etc. The right of becoming a specialist in construction design, for example, is granted only to those who have a master qualification plus special requirements.

3. At UMP special structures responsible for vocational guidance of students are not created. Responsibility and core activities related to guidance of students, support of students in the process of looking for a job and their employment and career tracking is in the responsibility of departments and program committees.

### 3.1.8. Teachers' didactic workload

#### 3.1.8.1. *Planning the didactic workload*

Lithuanian Labor Code [2] establishes the working week of 36 hours and the annual workload of 1600 hours for teachers in higher education. Lithuanian law does not establish specific rules and regulations on the didactic workload of teachers and institutions, by themselves, develop internal regulations for calculating and allocating the workload. Other categories work under the general rules contained in the Labor Code and other legal acts.

#### 3.1.8.2. *Distribution of the didactic workload among chairs, teachers*

The annual workload of a teacher consists of 1,000 hours of didactic activities, 400 hours of research activities and 200 hours for other activities. Contact hours are the most important part of the teaching load and are determined after a certain scale, approved by the University Senate. At the University of Mykolas Romeris, for example, there were approved the following workloads: university professor – 180 hours, associate professor – 280 hours, university lecturer – 380 hours. It is accept internal part-time job of up to 1.5 time norms.

#### 3.1.8.3. *The accounting of performing teaching and research workload*

Program teams deal with the distribution and accounting of teaching workload achievement. Accounting of research results is based on published reports and papers. If research results are lower than planned, the teacher in question will have an increased teaching load in the following year. Research results also influence salary.

The study voucher has two components: learning and research. The salary that the teacher receives includes these two components. It is considered that for the teaching load, whose evidence is strict, the teacher receives a fixed part of the salary (the minimum salary set by law). Depending on performance it is determined the size of the variable part of the salary for the teacher. At UMR the constant part is 55%. Among the basic criteria for assessing performance are the results of scientific research (number and importance of publications, participation in developing new programs, participation in teams managing educational programs etc.

The payment for research projects is a separate article (budget line), and the money is divided among the team members. In this case there is a very large autonomy. Project funding is made by the Scientific Research Committee of Lithuania.

## Conclusions

1. Lithuanian Labor Code [2] establishes the working week and the annual workload for teachers in higher education. Institutions, by themselves, develop internal regulations for calculating and allocating the workload.

2. The annual workload of a teacher at UMR consists of 1,000 hours of didactic activities, 400 hours of research activities and 200 hours for other activities. Contact hours are the most important part of the teaching load and are determined after a certain scale, approved by the University Senate. It is accept internal part-time job of up to 1.5 time norms.

3. The accounting of hours of teaching load is done at the department level, while accounting for the hours devoted to scientific research, is a problem.

### 3.1.9. University scientific research

#### 3.1.9.1 University structures involved in the organization of scientific research

Research institutes are state and non-state [1 Article 10]. State institutions conduct long term research of social and economic development important to the state. The non-state institutions conduct research in an area that is defined by the founder. Objective – developing research relevant to the continuity and development of the national economy, culture, health and society.

Education and scientific research policy is defined and implemented (within the competence) by the Ministry of Education, other ministries, Research Council, the Lithuanian Studies Foundation and *the Centre for Quality Assessment in Higher Education*. The participation of Lithuanian institutions in international research projects is coordinated by *the Agency for International Science and Technology Development Programmes*.

Articles 11 and 12 of [1] establish the rights and duties of research institutions. State research institutions are autonomous to: *in compliance with laws and other legal acts, to determine its own structure, internal working arrangements, staff number, their rights and duties, and conditions of payment for work, the procedure for organising competitions to fill a position and the performance evaluation procedure; when fulfilling its mission, to cooperate with natural and legal persons of the Republic of Lithuania and foreign countries; to publish scientific and other literature, to choose ways to announce results of its research and experimental (social, cultural) development; in conjunction with universities and in accordance with the procedure laid down by this Law, to train scientists, to help in training specialists; to promote the use of the results of research and experimental (social, cultural) development in the fields of economy, social and cultural life; to carry out expert examinations, to provide scientific consultations and other services in the spheres of its research; to manage, use and dispose of assets in accordance with the procedure laid down by legal acts.*

*A research institute must: ensure academic freedom of members of the academic community; inform the founder (members of a legal person) and the public about the quality assurance measures in research activity, and in case of a state research institute – also inform about its financial, economic activities and the use of funds; furnish in due time*

*official information to institutions authorised by the Government (statistical data and subject-specific information) which is necessary for the management and monitoring of the higher education and research system; perform other obligations established by legal acts.*

The foundation of research institutions and their liquidation is done by GD [1.1, Art. 34].

*The Research Council of Lithuania [1, art.15] shall be an advisor to the Seimas and the Government on the issues pertaining to research and preparation of researchers. The Research Council of Lithuania shall participate in the implementation of research, experimental (social, cultural) development and other programmes, competition-based programme funding of research, experimental (social, cultural) development works and shall organise evaluation of research activities carried out in Lithuania.*

*The Research Council of Lithuania shall consist of the Board of the Research Council of Lithuania, the Research Foundation and two expert Committees: the Committee of Humanities and Social Sciences and the Committee of Natural and Technical Sciences. These Committees shall be set up in accordance with the procedure laid down in the regulations of the Research Council of Lithuania.*

In [1. Articles 15, 16] it is specified that higher education institutions can organize technology transfer parks and integrated research, education and business centers. The technology transfer park includes people who have the primary function to stimulate the communication of scientific knowledge and technological dissemination, creation of conditions for commercialization of research results. Integrated research, education and business centers are established by Government Decision [1. Article 16], the development of its program will be coordinated by a supervisory counselor approved by the institution.

### ***3.1.9.2. Students' involvement in the process of scientific research (incentive mechanisms)***

In Lithuania there is the scientific master of 90 -120 ECTS, which is a starting point for doctoral studies. Master students are integrated into applied research so as, when at cycle three, they could develop valuable scientific research autonomously.

### ***3.1.9.3. Scientific research of the didactic staff***

Annual workload of teachers includes 400 hours of research per year. Two publications in the country or one publication in international journals are mandatory. Other tasks, performed based on grants, are paid in addition to the basic salary. Performance in research is supported by increasing the variable part of the basic salary. Money for basic research is included in the voucher obtained by each budgetary student or in fees.

## **Conclusions**

1. Education and scientific research policy is defined and implemented (within the competence) by the Ministry of Education, other ministries, Research Council, the Lithuanian Studies Foundation and *the Centre for Quality Assessment in Higher Education*. The participation of Lithuanian institutions in international research projects is coordinated by *the Agency for International Science and Technology Development Programmes*. The Law on Education and Research establishes the rights and duties of research institutions. Higher education institutions can organize technology transfer parks and integrated research, education and business centers. The technology transfer park includes people who have the



primary function to stimulate the communication of scientific knowledge and technological dissemination, creation of conditions for commercialization of research results. Integrated research, education and business centers are established by Government Decision.

2. In Lithuania there is the scientific master of 90 -120 ECTS, which is a starting point for doctoral studies. Master students are integrated into applied research so as, when at cycle three, they could develop valuable scientific research autonomously.

3. Annual workload of teachers includes 400 hours of research per year. Two publications in the country or one publication in international journals are mandatory. Other tasks, performed based on grants, are paid in addition to the basic salary.

### **3.1.10. The doctorate**

#### **3.1.10.1. The right to offer doctoral studies**

The third cycle of higher education in Lithuania is doctorate [1, article 48], which is held in the fields of natural sciences, humanitarian sciences and arts.

*The purpose of doctoral studies in science and humanitarian sciences – shall be to prepare scientists who would be able to independently conduct research and experimental (social, cultural) development work, and to solve scientific problems. The Ministry of Education and Science shall grant the right of doctoral studies to universities and universities together with research institutes conducting high-level research in conformity with a field of sciences and humanities, or universities together with foreign higher education and research institutions. The right shall be granted on the basis of the evaluation, performed in accordance with the Regulations of Doctoral Studies, of a level of research in an appropriate field of sciences and humanities conducted by the institutes which apply for doctoral studies in the field of sciences and humanities. The Regulations of Doctoral Studies shall be approved by the Government on the recommendation of the Research Council of Lithuania. Persons who have defended their dissertation shall be awarded a Doctor of Science degree.*

In the field of arts, the purpose and organization of doctoral studies are specific, and differ substantially from other areas [1, Art. 48 (6)].

#### **3.1.10.2. Doctoral Schools, admission**

In general, the organization of doctoral studies is determined by Doctoral Studies Regulation [RSDLIT] and some specific elements are detailed in the regulations of each university, depending on their scientific field (see the example of medical universities [RSDHELS] and a technological university [RSDKAUNAS]).

Doctorship right is granted to University or University together with other Lithuanian or foreign academic institutions by Lithuanian Ministry of Education and Science, basing upon the recommendation of Lithuanian Research Council.

*University provides regular and extended doctoral studies. All PhD students, admitted into regular state funded doctoral programme, are awarded with scholarships.*

*Regular and extended doctoral studies might be financed from other sources as well. In such case the contract between the University and financing institution is signed.*

*Universities organizes doctoral schools which are functional entities with the purpose of implementation of doctoral studies. The school includes discipline and interdisciplinary doctoral committees, dissertation supervisors, PhD students and administrative staff.*

*University activities in doctoral studies are controlled by Vice-rector for research [RSDHELS] or .... According to the needs, a board might be formed for doctoral committees activity and doctoral dissertations quality evaluation.*

*Doctoral school is considered to be the organizational and administrative formation, which provides with the conditions/facilities to conduct doctoral studies. Doctoral school may be instituted by one university, or few (Lithuanian and foreign) universities, or universities and institutes of research (also Lithuanian and foreign) on the thematical or institutional basis (vezi, de exemplu, [RSDHELS]).*

*Oral examination of doctoral dissertation and conferral of doctoral degree is performed by academic discipline board (Further – board), that is being formed for each dissertation separately after the submittal of dissertation and positive dissertation review. The members and chairman of the board are appointed by doctoral committee and confirmed by University vicerector.*

*Admission to doctoral studies is based on the grades in the master degree/diploma, scientific papers published, recommendations from scientists and the appreciation mark of the argumentation letter submitted by the applicant. Each Applicant, along with other admission documents, submit an argumentation of his intention – written reasoning for the required doctoral place, precisely indicating the potential high competence scientist who would be responsible for dissertation project supervision, also substantial research place for planned doctoral research, additional financial means that might be used, a tabulation of the activities and experience relevant to the intended dissertation project.*

*University doctoral candidate admission board evaluates applications and foresees the number of available doctoral programme positions, considering the upcoming needs for University research staff, scientific competence of intended supervisors and scientific value of presented doctoral project. Doctorship school informs the Ministry of Education and Science about the decisions, mentioned above. After receiving the confirmation about the number of positions to be financed, doctorship council determines which departments can participate in the open contest.*

*More details on the development, approval and supervision of the fulfillment of the program of study and research in the doctoral school are defined in institutional regulations, for example, in [RSDHELS Chapter V]. Regulation [RSDLIT] provides that the doctoral student must obtain not less than 30 credits in 4 general courses defined by the doctoral school.*

*Rather considerable role in both acts is given to the supervisor of the doctoral student [RLIT, sec. 4, 13]. Dissertation supervisors are generally university professors, actively participating in research. The dissertation supervisor is permanently obligated to supervise the dissertation project and the supervision may not be delegated.*

### **3.1.10.3. Completion of studies, conferring of degrees**

*The form of doctoral dissertation was rather specifically regulated; the student was allowed to defend it only after all the exams of the subject-studies were passed, if two articles, representing the results of his research during the preparation of dissertation, were published (one publication should be in the journal with the impact factor, one publication can be accepted for printing), and if the special institution inside the academic institution (the commission of the doctoral studies of the corresponding field) approved that the dissertation is prepared properly (the sections 19, 20, 22 of [RSDLIT]).*



The dissertation was defended in the public session, before the Council, consisting of five members/scholars (at least four must be present), and at least two opponents from different academic institutions (according to the sec. 4 and 26 of [RSDLIT], the dissertation is defended in the public session, the Council of Defence shall consist of not less than 3 scholars, there are no opponents at all, the session is legitimate if at least half of the members of the Council of Defence are present (including those, who participate in the format of the teleconference); if the Council consists of only three members – all must be present). After successful completion of doctoral studies the person is awarded the degree of the *Doctor of Sciences*.

*After the application for the defending of the doctoral dissertation is received and the dissertation manuscript itself, Doctoral committee formally evaluates if the dissertation meets the formal requirements. The chair of the Doctoral Committee appoints one or more committee members to review the manuscript of the dissertation by the given date of the committee meeting.*

*The PhD student can make necessary corrections in the manuscript according the reviewers comments. If the dissertations manuscript is evaluated positively and follows all necessary regulations the research council for the defending of the dissertation (research council) is formed. One of the council members is appointed to chair the council. Research council is a group of 5 scientists, who evaluate the dissertation, its quality, scientific competence of the PhD student and after that decide about the awarding the student doctoral degree. No conflicts of interest can appear between the research board members and the PhD student, the supervisor and the PhD student, the person, defending dissertation extramurally and the scientific consultant. At least one research board member has to represent a foresight research and study institution. If the research has the multidisciplinary features of different scientific fields, 3 research council members can represent other different research fields. Lithuanian Ministry of education and Science regulates qualifications for the board members-till 2013*

*The dissertation is defended at a public session of the Defence Council. Main work results and conclusions are reintroduced by the PhD candidate. He gives feedback on his contribution to rovided publications. Members of the Defence Council evaluate a scientific level of dissertation, recentness and originality of results, reliability and validity of conclusions, give feedback on work lack and inaccuracy, scientific competence of the PhD candidate – on defence of the dissertation. The PhD candidate answers questions and commentates on stated remarks.*

*Members of Defence Council vote openly and decide whether a degree of Doctor is granted to a PhD candidate. A vote protocol is signed by all members of Defence Council. A signed protocol has be returned to Doctoral School. Doctoral School notifies a Research Council of Lithuania not latter than ten working days after dissertation defence.*

*Doctoral school when receives voting protocol-decision if Defence council decides that a scientific degree is granted to a PhD candidate, draws doctoral diploma on the base of Lithuanian Republic law. Doctoral diploma s signed by a Rector of the University and are granted to a PhD student at open doctoral session.*

#### **3.1.10.4. Postdoctorate, habilitate**

In Lithuania there is no other higher degree than the Doctor of Science or Arts.

Empowerment with the right to supervise PhD students belongs to the University / Department. *Scientific supervisor of doctoral candidate must meet the requirements, defined*

*in the decree of Lithuanian Ministry of Education and Science (dated April 12th, 2010, No.V-503). Appointment of dissertation supervisors by doctoral committee is validated by the decree of Rector.*

### **Conclusions**

1. The third cycle of higher education in Lithuania is doctorate [1, article 48], which is held in the fields of natural sciences, humanitarian sciences and arts. *The Ministry of Education and Science shall grant the right of doctoral studies to universities and universities together with research institutes conducting high-level research in conformity with a field of sciences and humanities, or universities together with foreign higher education and research institutions. The right shall be granted on the basis of the evaluation.*

2. Doctoral studies are organized in doctoral schools whose statute and organization is determined by Doctoral Studies Regulation [RSDLIT] and some specific elements are detailed in the regulations of each university. The institution is autonomous in selecting candidates for its study and research programs.

3. Doctoral Studies Regulation [RSDLIT] determines only the general requirements related to doctoral dissertation and procedures for its public defence. The institution conducting PhD defines specific requirements, procedures for completion and defence, conferring the degree of Doctor of Science or Arts. These procedures are greatly simplified without many elements of bureaucracy and formalism. The PhD Diploma shall be signed by the rector of the institution.

4. In Lithuania there is no other higher degree than the Doctor of Science or Arts. Particular attention is given to the selection of doctoral supervisors. Empowerment with the right to supervise PhD students is carried out by the institution based on criteria established by the Decree of the Ministry of Education and Science (scientific activity history and list of bibliography).

### **3.2. Scotland**

*Introduction.* Universities treat their activity through „responsible autonomy” concomitantly covering university autonomy and their accountability for public money spent. In the following we present the vision of the Council of rectors of universities in Scotland on university autonomy, a considerable part of which is academic autonomy [1, 2].

*Universities that enjoy autonomy are free to:*

- *determine their own mission and strategy, and set their own goals and priorities;*
- *establish their own research and teaching programs in accordance with academic freedom;*
- *manage their own staff;*
- *admit students based on academic achievement, real or potential, consistent with the their mission and strategy and their commitment to promote the common good;*
- *manage their own budgets and assets;*
- *engage in innovative and entrepreneurial activities.*

*Responsibility: Universities are an important part of the collective effort to promote the economic welfare, social and cultural development and the promotion of these benefits is*

*intrinsic to their missions. They have a moral responsibility to multiple stakeholders, including students, staff, business and the wider community and their political representatives and universities' governance should take into account these multiple responsibilities (as it is recognized in the new Scottish code for the governance of higher education).*

*Universities are partners with government in promoting the common good, and each can contribute to realizing the social, economic and cultural goals of the other. In many cases the ambitions of universities and government will be highly complementary. However, universities must not be understood as being primarily responsible to government for the exercise of their missions, including the promotion of the common good. Responsibility for discharge of the university's mission rests with the governing body. Universities also discharge their mission with regard to the interest of multiple stakeholders referred to above, among whom government is important. The distinct and long-term perspective which universities may take on issues, and the values of autonomy and academic freedom, mean that universities must have the liberty to decide how best to define and implement their commitment to the common good.*

*Universities should be formally accountable for the efficient and effective use of public money in discharging their core purposes in a way which is consistent with the common good and public funders may define expectations and set conditions which help to ensure this (e.g. through the Outcome Agreements framework). Conditions of public funding and accountability must be proportionate and consistent with responsible autonomy.*

*As autonomous institutions, universities also receive funding from a range of nongovernmental organisations, both public and private. Universities' accountability to government and its agencies needs to be established in a way which is proportionate and consistent with universities' accountability to these other funders.*

*Responsible autonomy needs to be an evolving frameworks, supporting universities to adapt to new challenges and opportunities to discharge their core purposes in a way which is consistent with the common good, and adapting the mechanisms of accountability with en this is necessary to support the successful outcome of public benefits. Universities will continue to evolve their practice and understanding of responsible autonomy in close partnership with the multiple stakeholders to whom they have responsibilities and to the funders and regulators to whom they have formal accountabilities.*

### **3.2.1. Establishment and termination of study programs**

#### **3.2.1.1 Levels in higher education**

In Scotland and other parts of the UK there are three types of institutions in Higher Education: colleges, institutes and universities. Colleges offer bachelor degrees or certificates, universities offer bachelor and master programs and integrated programs [45]. Specific for the UK is that the student can get a document of partial studies at intermediate stages: Higher Education Certificate (credits equivalent to one year of full time study), HE Diploma (credits equivalent to two years of full time study) and Bachelor certificate (three years of study). Bachelor's and master's degrees are offered having achieved a fixed number of credits and defended the graduation paper / thesis. These university programs are continuous, moving from a cycle of study to another

*Higher education is provided by three main types of institutions: universities, colleges and institutions of higher education and art and music colleges. All universities are autonomous institutions, particularly in matters relating to courses [1]. They are empowered by a Royal Charter or an Act of Parliament. As a result of the Further and Higher Education Act of 1992, the binary line separating universities and polytechnics was abolished and polytechnics were given university status (i.e., the right to award their own degrees) and took university titles. Most universities are divided into faculties which may be subdivided into departments. Universities UK examines matters of concern to all universities. Many colleges and institutions of higher education are the result of mergers of teacher training colleges and other colleges. The Department for Education and Skills is responsible for all universities. Non-university higher education institutions also provide degree courses, various non-degree courses and postgraduate qualifications. Some may offer Higher Degrees and other qualifications offered by most non-university higher education institutions are validated by external bodies such as a local university or the Open University. An institution can also apply for the authority to award its own degrees but it must be able to demonstrate a good record of running degree courses validated by other universities. Institutions can apply for university status but must satisfy a number of criteria, including the power to award its own first and higher degrees. Some higher education is also provided in further education institutions. This provision is funded by the Higher Education Funding Councils and the Department of Education Northern Ireland. The Further and Higher Education Act 1992 allows for the transfer of further education institutions to the higher education sector; if, the full-time enrolment number of the institution concerned...for courses of higher education exceeds 55% of its total full-time equivalent enrolment number (Further and Higher Education Act Year: 1992))*

### **3.2.1.2 Introduction of study programs at cycle I**

*University level first stage[1]: This stage lasts for three or four years and leads to the award of a Bachelor's Degree in Arts, Science or other fields (Technology, Law, Engineering etc.). In some Scottish universities the first degree is a Master's Degree (integrated studies). The Bachelor's Degree is conferred as a Pass Degree or an Honours Degree where studies are more specialized. The Bachelor's Honours Degree is classified as a First Class Honours, a Second Class Honours or a Third Class Honours. In some universities and colleges of higher education, a two-year course leads to a Diploma in Higher Education (DipHE). This is a recognized qualification in its own right. Some universities have adopted the credit-unit or modular system of assessment. In some universities students must follow a foundation course before embarking on the course leading to the Bachelor's Degree. Students of foreign languages are sometimes required to study or work for an additional year in the country of the target language. Sandwich courses generally involve an additional year's work experience. Some institutions have introduced accelerated two-year degrees which require students to study during the normal vacation period. It is now rare for the class of degree to depend entirely on student performance in final examinations. Most institutions base a component of the degree class on examinations taken during the period of study, especially those taken at the end of the second year, and many also use some form of continuous assessment. The majority of degree courses also involve the research and*



*writing of an extensive thesis or dissertation, normally making up around 50% of the final year assessment.*

The initiator of a new Bachelor program is the department in which they form a program committee, which discusses and then develops the program curricula. The program is discussed within the Department and then at the Academic Committee of the Faculty. A special role is assigned to professional associations, their opinion is required. [45]. In the Regulatory documents of each university are reflected general and specific rules for drafting and approving study programs. In [3] it is presented an very suggestive algorithm of approval of all new university study programs or their amendment applied by the quality assurance department in the University of Northumbria in Newcastle.

Bachelor programs in colleges have a technical orientation and are usually completed with the passing of qualification examinations. Graduates get a degree diploma.

### **3.2.1.3. Introduction of study programs at cycle II**

*Study at master's level is at the forefront of an academic or professional discipline. Students must show originality in their application of knowledge and advancement of knowledge. The normal entry requirement for a Master's degree is a good Bachelor's degree. A Master's degree is normally studied over one year. Some Master's programmes, including the M.Eng, are integrated in undergraduate programmes and result in a postgraduate qualification, not an undergraduate one and that is after four years of study. Online Master's degrees are also achievable, such as Masters in Secondary education, Nursing, Business Intelligence and Health Care to name a few. At an university, after two years of additional study and the successful presentation of a thesis, students obtain the Master of Philosophy (M.Phil) degree [1]*

College graduates with Bachelor certificates complete their studies up to a Bachelor degree during one year.

### **3.2.1.4. Introduction of study programs at cycle III**

*After usually three years' further study beyond the Master's Degree, the candidate may present a thesis for the Doctorate of Philosophy (D.Phil. or Ph.D.). A further stage leads to Higher Doctorates which may be awarded by a university in Law, Humanities, Science, Medical Sciences, Music and Theology after a candidate, usually a senior university teacher, has submitted a number of learned, usually published, works [1]*

New doctoral programs usually occur as development of research programs. Doctoral programs are accessible to people with Master's degree in the field.

### **3.2.1.5. Language of instruction**

Studies are held in English. Just some college programs are organized in the national language of the Gauls (in Scotland there is a minority). Admission for non UK students requires a good knowledge of English. Universities make efforts for linguistic preparation before the admission of foreigners (courses in the UK, but also in schools organized by embassies, representations etc.).

## **Conclusions**

1. In Scotland and other parts of the UK there are three types of institutions in Higher Education: colleges, institutes and universities. Colleges offer bachelor degrees or certificates,

universities offer bachelor and master programs and integrated programs. Specific for the UK is that the student can get a document of partial studies at intermediate stages: Higher Education Certificate (credits equivalent to one year of full time study), HE Diploma (credits equivalent to two years of full time study) and Bachelor certificate (three years of study). All universities are autonomous institutions, particularly in matters relating to courses.

2. University level first stag: This stage lasts for three or four years and leads to the award of a Bachelor's Degree in Arts, Science or other fields (Technology, Law, Engineering etc.). In some Scottish universities the first degree is a Master's Degree (integrated studies). The Bachelor's Degree is conferred as a Pass Degree or an Honours Degree where studies are more specialized.

The initiator of a new Bachelor program is the department in which they form a program committee, which dicusses and then develops the program curricula. The program is discussed within the Department and then at the Academic Committee of the Faculty an dis approved by the academic council of the institution.

3. Study at master's level is at the forefront of an academic or professional discipline. Students must show originality in their application of knowledge and advancement of knowledge. The normal entry requirement for a Master's degree is a good Bachelor's degree. College graduates with Bachelor certificates complete their studies up to a Bachelor degree during one year.

4. New doctoral programs usually occur as development of research programs. Doctoral programs are accessible to people with Master's degree in the field. After usually three years' further study beyond the Master's Degree, the candidate may present a thesis for the Doctorate of Philosophy (D.Phil. or Ph.D.).

5. Studies are held only in English.

### **3.2.2. Admission to studies**

#### ***3.2.2.1. Procedures for admission to Cycle I – Bachelor. Commitment of the Government concerning the admission***

In Scotland there are established rules and limitations that apply to admission to higher education at the level of Parliament. The Funding Council sets the share of admissions for each university and study program that can then be exceeded by no more than 10%. The admission to cycles differs substantially.

#### ***3.2.2.2. Procedures for admission to Cycle I, II and III***

For admission to universities and colleges in the UK to studies at cycle I is done centrally by a specialized body UCAS (Universities and Colleges Admissions Service) [1]. The Funding Council, subject to the Government, establishes the capacity of universities and universities determine admission requirements for candidate students (the level of grades at certain school subjects, work experience), specific admission requirements (tests, aptitude tests etc.). The candidate shall also submit a letter of motivation / rationale, bringing valuable arguments in support of admission application. The candidate may indicate in the application up to 4 universities. A special committee examines the dossiers and test results, which are passed within committees created by USCA, and determines which specialty and universities meet the conditions. The candidate decides which institution to enroll.



*UCAS receives and passes A-level examination results to HEIs in mid-August. Offers to students are confirmed where grades have been met, or are passed back to departments where decisions need to be reconsidered. Students may then log into the UCAS system to see if they have achieved a place on the course of their choice.*

*Entry requirements are a guideline of the recommended academic ability the course provider expects you to have. Each course has different requirements – usually a mix of **qualifications, subjects or exam grades** they recommend you should have or be working towards. Make sure you check when searching for courses [ 9].*

A typical example of policies in the admission of students at an institution of higher education in Scotland is found in the notmative documents of SUG [6, 7, 8]. [6] contains a detailed description of the procedures for admission to SUG (analogue with other universities in Scotland) and the cooperation of the University Admission Committee with the UCAS team.

The university Commission organizes the admission for all categories of programs except for cycle I. For undergraduate programs the information is submitted to UCAS unique center and from there the information comes to the university committee that determines whether the applicant meets the requirements defined for the program or is rejected, indicating the cause of rejection. UCAS decides on the admission of students with state scholarship. In rest, the university is autonomous and responsible for admission. This regulation can be entirely used to achieve ME's intention to centralize admission. This document can help ME avoid some serious mistakes. Universities must remain autonomous and accountable (responsible autonomy).

In the UK studies cycle I are charged. Candidates who have passed the competition can ask for information concerning the non-promotion. Students from low-income families can apply for exemption from tax after the first year of they have good results in studies. All students may apply for loans (scholarships). The loan is given at the beginning of the next school year if the year is passed. Borrowed money is returned after employment and the achievement of the net salary of £ 2,000, but not more than 15 years. Professional orientation of students is done by institutions and UCAS in the form of open day fairs.

In Scotland local (Scottish) students can get places paid from the state (local) budget at cycle I. Budgetary places are given to universities by performance criteria. Students from other parts of the UK pay the fee established at country level.

Every year in the spring the SFC receives a 'Letter of Guidance' from the responsible Government Minister which outlines the money it will be given in the following academic year along with a list of strategic priorities. The SFC then distributes this between institutions along with specific targets.

The number of study places at specialties related to the public sector (teaching, law, medicine, dentistry etc.) is strictly limited. For other areas there are held negotiations, the basic criteria being the capacity of the university, the support for good quality.

### **3.2.2.3. Admission of foreign students**

Matriculation in higher education of students from EU and other countries is based on a document of studies [20]. Particular attention is paid to the institution graduated and level of knowledge of English. Institutions organize recruitment companies in countries with potential candidates (Anglophone countries), special language courses (China, South Korea, Indonesia, Malaysia). Non EU students pay fees by 60% higher than UK citizens. At the UK level there are set general rules for immigration [19].

#### **3.2.2.4. Formation of contingent**

Mechanisms for contingent formation – student guidance: in the UK universities there are undertaken various measures at the level of institution, faculty, program. These measures have become central for all universities under the existing conditions of reducing number of students. *Universities and Colleges Admissions Service* has an important role in accurate and objective indormation of students.

*The Universities and Colleges Admissions Service (UCAS) is the organisation responsible for centrally managing applications to UK higher education courses. The Service processes more than 2 million applications for full-time undergraduate courses every year, and helps students to find the right course for them. The organisation's main purpose is to make the application process run as smoothly as possible by providing all the information applicants should need to make their application and tracking their offers both online and in other forms.*

*UCAS organises conferences, education fairs and conventions across the UK and produces wide range of publications. Staff at all universities are also involved in visiting schools to explain and describe the programmes and courses available at their establishment. This is all aimed at helping potential students to make informed decisions about higher education and to guide them, their parents and advisers through the application process.*

#### **Conclusions**

1. Admission to studies in Scottish universities in the UK is regulated by the state by determining the capacity of the university to provide quality education.

2. For admission to universities and colleges in the UK to studies at cycle I is done centrally by a specialized body UCAS (Universities and Colleges Admissions Service). The Funding Council, subject to the Government, establishes the capacity of universities and universities determine admission requirements for candidate students (the level of grades at certain school subjects, work experience), specific admission requirements (tests, aptitude tests etc.). The candidate may indicate in the application up to 4 universities. A special committee examines the dossiers and test results, which are passed within committees created by USCA, and determines which specialty and universities meet the conditions. The candidate decides which institution to enroll.

3. Matriculation in higher education of students from EU and other countries is based on a document of studies. Particular attention is paid to the institution graduated and level of knowledge of English. Non EU students pay fees by 60% higher than UK citizens. At the UK level there are set general rules for immigration.

4. In the UK universities there are undertaken various measures at the level of institution, faculty, program. These measures have become central for all universities under the existing conditions of reducing number of students. *Universities and Colleges Admissions Service* has an important role in accurate and objective indormation of students.

#### **3.2.3. Recognition of studies**

##### **3.2.3.1. Recognition of study periods undertaken abroad**

Studies done in mobility programs are recognized under trilateral agreements between student, University of origin and the host University. In [2 art.] there are mentioned rules of

migration from one program to another and from one form of study to another in the university. USG Quality Code [1, B6] establishes that:

*Higher education providers operate equitable, valid and reliable processes of assessment, including for the recognition of prior learning, which enable every student to demonstrate the extent to which they have achieved the intended learning outcomes for the credit or qualification being sought.*

Quality Code also defines legal documents the HEI must have for the external evaluation process. For example, the USG in its annual calendar [1, subchapter 11.1.4] shows credit transfer and recognition of prior learning.

*The relevant Board of Study (or nominee(s)) may admit an applicant and/or approve exemption from part of a course by credit transfer and/or Recognition of Prior Learning (RPL) provided this is done in accordance with University procedures and against criteria defined on a course by course basis.*

*Credit granted for credit transfer and/or RPL may only be used once and, when used to gain exemption, will normally relate to achievements within 5 years of registration on a University of Strathclyde course. Exemption granted on the basis of credit transfer and/or RPL will be allowed primarily where an applicant can demonstrate that the relevant specific learning outcomes have been achieved (i.e. primarily for specific rather than general credit). The extent of any allowed exemption shall preferably not exceed 25% and shall normally not exceed 50% of the credits appropriate to the course. Exceptionally, by formal resolution, the Senate may approve up to 75% exemption in special circumstances.*

*Where any such exemption is granted, the Board of Study will award the appropriate number of credits and may reduce the minimum and maximum periods of study appropriately.*

### **3.2.3.2. Recognition of documents of studies done abroad**

Recognition of educational documents obtained outside the UK is made by the National Recognition Center (NARIC) [3]. Services provided: recognition of diplomas for access to studies and professions; recognition and equivalence of information. Inside universities the Education Committee is dealing with these problems.

*The NARIC network is an initiative of the European Commission. The network aims at improving academic recognition of diplomas and periods of study in the participating countries of the Erasmus+ Programme. The NARIC network covers the EU Member States, the EFTA/EEA and the EU acceding countries and candidate countries. All NARIC member countries have designated national centres, the purpose of which is to assist in promoting the mobility of students, teachers and researchers by providing advice and information concerning the academic recognition of diplomas and periods of study undertaken in other States. The main users of this service are higher education institutions, students and their advisers, parents, teachers and prospective employers.*

## **Conclusions**

1. Studies done in mobility programs are recognized under trilateral agreements between student, University of origin and the host University. In normative documents of each institution there are mentioned rules of migration from one program to another and from one form of study to another in the university.

2. Recognition of educational documents obtained outside the UK is made by the National Recognition Center (NARIC). Services provided: recognition of diplomas for access to studies and professions; recognition and equivalence of information. Inside universities the Education Committee is dealing with these problems.

### **3.2.4. Accreditation of study programs**

#### **3.2.4.1. Internal quality assurance structures**

Responsible for quality assurance in the university is the Quality Assurance Committee [2, Art. 1.3.12]. The Committee is composed of persons responsible for education (vice-rector, four vice-deans, three personnel / auxiliary staff, two students, faculty managers, head of department, responsible for the strategy of studies and quality improvement). At faculties / schools responsibility for quality assurance lies with the faculty council, heads of departments and program directors.

Quality Assurance Committee is responsible for:

- (a) monitoring and reporting on student progress and retention;
- (b) monitoring External Examiner's reports and Department Answers to ensure that appropriate measures are taken and to inform policy development ;
- (c) monitoring and reporting on the Faculty Annual Reports on Quality;
- (d) monitoring reviews / analyses of departments regarding learning, teaching and assessment and the experience of students and dissemination of results to competent committees and individuals;
- (e) consideration of issues arising in the course's approval and review;
- (f) monitoring and reporting on general issues arising from student discipline, appeals and complaints;
- (g) advising on business processes and templates that support annual and cyclical quality assurance procedures of the University;
- (h) reporting regularly to the Committee of Education Strategy, in order to inform the development of policies and strategies for appropriate learning, teaching and assessment of the University.

Institutions shall have their own quality assurance code [3].

The UK Quality Code [1] is a point of reference for all higher education providers in the UK. It defines clearly what higher education providers are obliged to do, what they can expect from others, and what the general public should expect from them. The Quality Code is valid throughout the entire UK and providers from the UK operating abroad. Each chapter of the Code refers to a single expectation / purpose that expresses the key principle that the community in higher education identified as essential for ensuring academic standards and quality.

#### **3.2.4.2. Methodology, evaluation criteria, procedures**

External evaluation methodology, procedures and evaluation criteria are described very explicitly in the Quality Code [1]. Each quality criterion contains detailed and explicit instructions on regulatory documentation that the institution must have and which it should present to evaluators. The Code is an integrated document that meets the basic requirements for all stages of a life cycle of the university training process.

The Code contains three parts: A, B and C: Part A defines the qualifications framework; Part B – learning outcomes, criteria for quality assurance and enhancement (11 subchapters in each of which a key aspect of the educational process is reflected); part C contains information about the prospects of higher education.

The outcomes in each chapter are accompanied by a series of indicators that reflect profoundly the practice that each higher education provider will be able to demonstrate with regards to meeting relevant outcomes. Indicators are defined not to be used as a checklist, they have been identified to help providers to develop their own regulations, procedures and practices to demonstrate that the prescriptions of the Quality Code are satisfied / met. Each indicator is accompanied by an explanatory note with more information about it, as well as examples of how the indicator can be interpreted and applied in practice.

Each chapter of the Code was developed by the QAA following an extensive process of consultations with higher education providers, their governing bodies, national associations of students, professional associations, statutory and regulatory bodies, and other stakeholders.

Higher education providers are also responsible for performing other legislative and regulatory requirements, for example, those determined by the funding body. The Code does not interpret the law nor incorporates any statutory or regulatory requirements.

#### ***3.2.4.3 Freedom in the choice of external quality assessment body***

External evaluation is the responsibility of the UK's QAA [1,3]. The Quality Code is valid throughout the UK and the UK suppliers operating abroad. It protects the interests of all students who study full-time and part-time at the undergraduate or postgraduate cycle.

The control of higher education providers is conducted by the Quality Assurance Agency for Higher Education (QAA) which is a unique agency in the UK which requires to satisfy all the expectations of partners. The Review / Evaluation Commission of QAA controls whether these expectations/outcomes are met.

The results of external evaluations are made public, and are submitted to the Board of Financing.

### **Conclusions**

1. Responsible for quality assurance in the university is the Quality Assurance Committee, composed of persons responsible for education. At faculties / schools responsibility for quality assurance lies with the faculty council, heads of departments and program directors.

2. External evaluation methodology, procedures and evaluation criteria are described very explicitly in the Quality Code. Each quality criterion contains detailed and explicit instructions on regulatory documentation that the institution must have and which it should present to evaluators. The Code is an integrated document that meets the basic requirements for all stages of a life cycle of the university training process.

3. External evaluation is the responsibility of the UK's QAA. The Quality Code is valid throughout the UK and the UK suppliers operating abroad. It protects the interests of all students who study full-time and part-time at the undergraduate or postgraduate cycle.



### **3.2.5. The National Qualifications Framework (NQF)**

#### ***3.2.5.1. The body responsible for NQF in the country***

In [1] is presented the general structure of the UK Qualifications Framework, which is distinct for Scotland and other parts of the UK.

The Scottish Credit and Qualifications Framework (SCQF) [1, Section 2] was developed by the Scottish Qualifications Authority (SQA) jointly with the Council of Rectors (Universities) in Scotland, Quality Assurance Agency for Higher Education (QAA), by his Scottish office, Executive Scottish Enterprise and the Department of Lifelong Learning (SEELLD) and the Scottish Executive Education Department (SEED). SQA is a statutory accreditation and awarding body in Scotland for the qualifications delivered in schools, colleges, training centers, and workplaces in Scotland. SQA provides qualifications at most levels in the SCQF. These include national units, courses, and certificates from levels 1-7, HNC and HND at levels 7 and 8, and SVQ at levels 4 -11 [31]. Although it is self-funded, SQA is accountable to the Government and people of Scotland for the credibility, reliability and value of its qualifications. Its key functions are to maintain the quality of set qualifications and develop new ones where needed. It does this in partnership with people in education, industry, commerce and government to develop qualifications relevant to the needs of individuals, society and the economy.

The Scottish Credit and Qualifications Framework (SCQF) was created by bringing together all the main Scottish qualifications in a unified framework: qualifications of SQA higher education institutions and SVQ vocational institutions [16]. There are 12 levels – from Access 1 (National Qualifications) at SCQF level 1 up to Doctorate at SCQF level 12 [31]. Higher education with a degree of Bachelor, Bachelor with Honours degree, master's degree and doctorate (with respective degrees) correspond to levels 9, 10, 11, 12 (equivalent to 6, 7, 8 of the EQF). The Scottish Framework was extended to 12 levels to reflect lower qualifications obtained in the early stages of higher education: levels 7, 8 correspond respectively to higher education certificates (equivalent to a full year of study), higher education diploma (equivalent to two years of studies), and bachelor studies (with certificate). Qualification levels are described in terms of learning outcomes (as discriptori) and also in terms of Scottish credits (SCOTCAT points). In Table 2 of [3] is presented the description of the credits and options for obtaining them. The descriptors of qualifications on levels are presented in Annex 3 and largely correspond to those of the EQF, specific being only those for qualifications SCQF 7, 8 and 10.

Scottish credits (SCOTCAT points) are determined based on the amount of time an „average” student at a specified level might expect to have to obtain results. A SCQF credit represents the learning outcomes achieved during 10 notional hours of learning time.

SCQF also provides awarding qualifications based on practical experience gained at the workplace on the basis of continuing training courses of the respective level.

In the UK the qualification level 4 corresponds to HE Diploma (2 years), level 5 – Bachelor with 3 years of studies, level – Bachelor with Honours (four years), level 7 – Master's, level 8 – Doctor of Science [3. Section 1.1].

#### ***3.2.5.2 Participation of universities in the development of new qualifications***

When drafting a new study program it is based on the general requirements of the qualifications framework [16]. When approving its deployment (financing), the external evalu-



ation and accreditation of programs checks whether the learning outcomes of this program meet the educational standards prescribed by the Quality Code. A special role in this process lies with professional organizations. Particular emphasis is given to the flexibility of qualifications' system [3. Section 2.1]: *the framework must be able to accommodate new qualifications as the need for them arises. In general, it must also recognise and facilitate diversity and innovation, and promote a wider understanding of qualifications internationally. It should be regarded as a framework, not as a straitjacket. QAA will work with the higher education institutions in Scotland to ensure that any new higher education qualifications and other relevant developments are properly accommodated and described. In conjunction with Universities Scotland, we have established a new role for the Scottish Advisory Committee on Credit and Access (SACCA) as the body to advise QAA on the future development of the higher education section of the SCQF. In terms of the SCQF as a whole, a partnership of Universities Scotland, QAA, the Scottish Executive and the Scottish Qualifications Authority (SQA) has established a Joint Advisory Committee (JAC) as the vehicle for implementing and further developing the SCQF in line with the needs of the key stakeholders in education and training in Scotland.*

**3.2.5.3. How are NQF requirements reflected in the study programs (compulsory provisions, internal control procedures, external evaluation)?**

Study programs are developed based on the learning outcomes, which must correspond to general requirements reflected in the descriptors of the respective levels of qualification. The descriptors in question are also used as standard requirements / indicators used in external evaluation of programs [16]. In [3, Section 2.1, p Levels, credits and programs design] is stated:

*The qualifications framework has been designed to bring consistency and a common language within which institutions will describe the particular features and purposes of their individual programmes and qualifications. The framework also provides a tool for assisting programme design.*

*There is no expectation, however, that other than the minimum set out in table 2, any programme has to follow a set pattern of a specified number of credits at each level. It is for the institution and programme designers to determine the most appropriate structure and progression towards the final outcomes and the award of the qualification. In particular, there is no expectation that, for example, level 1 credits are always required to be taken in, and only in, year one. Many programmes offer learners some choice of levels within each year of study. In general, it is important to emphasise that it is not the purpose of the framework to prescribe the internal organisation of academic programmes.*

In the same context, in section 2.2 of the Quality Code [3] it is said: *Institutions should be able to demonstrate that each of their qualifications is allocated to the appropriate level of the framework. In considering the appropriate level for a qualification, institutions should consider:*

- *the relationship between the intended outcomes of the programme and the expectations set out in qualification descriptors*
- *whether there is a sufficient volume of assessed study that will demonstrate that the learning outcomes have been achieved*

- *whether the design of the curriculum and assessments is such that all students following the programme have the opportunity to achieve and demonstrate the intended outcomes.*

#### **3.2.5.4. Educational standards**

Educational standards are developed by each institution on the basis of criteria and indicators outlined in the Quality Code.

#### **3.2.5.5. Credit system**

A full year of full-time education usually consists of approximately 1,200 hours of learning activity. The results obtained are therefore valued / marked with 120 SCOTCAT points. Higher National and Higher Education Certificates, for example, correspond to the learning outcomes rated with 120 points, which are usually obtained in one year of full-time studies. No rigid time connection is involved in this system. This is very important for the development of part-time and distance education.

*The SCQF is designed to support lifelong learning by enabling, where appropriate, the transfer of credit between programmes and between institutions. There is no intention, however, that the framework should do other than facilitate this process. It is not a mandatory process, and individual institutions remain solely responsible for all matters of credit recognition towards their awards.*

*In Scotland, as elsewhere in the UK, academic review processes will focus on the qualification descriptors (as opposed to credit definitions). Within the minimum credit definitions, institutions will continue to structure programmes in whatever ways are appropriate to the achievement of the aims of the qualifications, the teaching and learning strategy, and the characteristics of the associated learner groups.*

### **Conclusions**

1. Scottish Qualifications Authority (SQA) is the Scottish statutory body for the award and accreditation of qualifications delivered by schools, colleges, training centers and work places. SQA provides SCQF qualifications recorded with various certificates for levels 1-7 for secondary education, HNC certificates and HND diplomas for levels 7, 8 of short higher education cycle and specific qualifications for three levels of SVQ vocational higher education – levels 9, 10, 11 and 12 (corresponding to the degrees – Bachelors, Bachelors Honours, Master and Doctor).

SCQF qualification levels for higher education are described together in terms of learning outcomes (as discriptori) and in terms of Scottish credits (SCOTCAT points).

2. When drafting a new study program it is based on the general requirements of the qualifications framework. When approving its deployment (financing), the external evaluation and accreditation of programs checks whether the learning outcomes of this program meet the educational standards prescribed by the Quality Code.

3. Study programs are developed based on the learning outcomes, which must correspond to general requirements reflected in the descriptors of the respective levels of qualification. The descriptors, in form of quality indicators (standard requirements) are also used used in external evaluation of study programs

4. Educational standards are developed by each institution on the basis of criteria and indicators outlined in the Quality Code.

5. Higher education institutions in Scotland use a specific system of credits (SCOTCAT points). A full year of full-time education usually consists of approximately 1,200 hours of learning activity. The results obtained are valued / marked with 120 SCOTCAT points. No rigid time connection is involved in this system. This is very important for the development of part-time and distance education.

### **3.2.6. Planning and deployment of study programs**

#### **3.2.6.1. Designing the content of study programs**

The design, approval and implementation of programs is carried out in accordance with the rules set on the Quality Code [1, Ch. B1]. The program team draws up the program within the department and, as a rule, relies on the results acquired in scientific research.

Chapters B2-B7 of the Code treat various aspects of program's deployment. Chapter B8 examines the mechanisms that higher education service provider relies on to enhance the quality of the implemented program. Also, here are examined mechanisms of closing / liquidation of a program. These rules shall apply concurrently with the general rules „Setting and Maintaining Academic Standards”, set out in Part A of the Code.

*UK higher education is based on the principle of the autonomy and responsibility of the degree-awarding body for the academic standards and quality of learning opportunities of the programmes it offers and the qualifications and credit it awards.*

*There is no national curriculum for higher education, and higher education providers decide what programmes to offer within the context of their organisational mission and other strategic factors. These may include government policy to stimulate economic growth and to support strategically important and vulnerable subjects, an assessment of student demand for existing and new programmes, and advice from external bodies such as employers and industry about workforce needs. This independence is a strength of UK higher education as it enables higher education providers to offer a variety of programmes reflecting the needs of an increasingly diverse range of students.*

*The processes of programme design, development and approval are an essential part of higher education providers' internal quality assurance and enhancement. They ensure that appropriate academic standards are set and maintained and the programmes offered to students make available learning opportunities which enable the intended learning outcomes to be achieved. Ultimate responsibility for the approval of programmes rests with degree-awarding bodies. Programme design, development and approval depend on reflection and critical self-assessment by individuals, groups and higher education providers. Designing a programme is a creative activity, which leads to an iterative process of development, depending on feedback from a range of sources, which may include other staff, students, employers and professional, statutory and regulatory bodies. Programme approval involves a number of steps, but there is clarity for all parties involved about the point at which the degree-awarding body definitively approves a programme for delivery. The programmes are continually evaluated and revised to improve the learning experience for students and to maintain the currency of the curriculum.*

*Programme design is followed by a process of development which leads to the creation of a programme. Through this process, the content, modes of delivery, structure and components of the programme, including assessment methods and the means by which students*

will be engaged with the curriculum, are considered. The development process may also be used to enhance an existing programme, for example in response to the outcomes of programme monitoring and review (see [1, Chapter B8: Programme monitoring and review]).

The Quality Code [1, Chapter B1] sets out the following Expectation about programme design and approval, which higher education providers are required to meet: Higher education providers, in discharging their responsibilities for setting and maintaining academic standards and assuring and enhancing the quality of learning opportunities, operate effective processes for the design, development and approval of programmes.

The following seven indicators of good practice are recommended to be considered when designing and redesigning a program:

- Higher education providers maintain strategic oversight of the processes for, and outcomes of, programme design, development and approval, to ensure processes are applied systematically and operated consistently.
- Higher education providers make clear the criteria against which programme proposals are assessed in the programme approval process.
- Higher education providers define processes, roles and responsibilities for programme design, development and approval and communicate them to those involved.
- Higher education providers evaluate their processes for programme design, development and approval and take action to improve them where necessary.
- Higher education providers make use of reference points and expertise from outside the programme in programme design and in their processes for programme development and approval.
- Higher education providers involve students in programme design and in processes for programme development and approval.
- Higher education providers enable staff and other participants to contribute effectively to programme design, development and approval by putting in place appropriate arrangements for their support and development.

#### **3.2.6.2. Allocation of tasks among academic structures**

The program team usually includes people from several departments and outside the institution.

*Programme design, development and approval may involve many different organisational and operational departments within the higher education provider, such as academic departments, professional services, and central registry, strategic planning or quality assurance functions. Design-ul programului : The balance of responsibilities is clearly defined and understood, and all those involved are made aware of the outcomes of decisions.*

#### **3.2.6.3. Internships**

It is part of the study program, provides practical skills training, *Quality Code [1, Chapter B1]*

#### **3.2.6.4. Final evaluation on cycles**

Programs are completed differently [18]. The gradual ones end with the public defence of a work/thesis. If non-gradual programs, certificate or diploma is issued based on credits earned under the rules set by the program.



## Conclusions

1. The design, approval and implementation of programs is carried out in accordance with the rules set on the Quality Code for higher education in the UK. The Quality Code contains a number of indicators of good practice on program's deployment, mechanisms that higher education service provider relies on to enhance the quality of the implemented program. Also, here are examined mechanisms of closing / liquidation of a program. These rules shall apply concurrently with the general rules „Setting and Maintaining Academic Standards”, set out in Part A of the Code.

2. The program team draws up the program within the department and, as a rule, relies on the results acquired in scientific research. The program team usually includes people from several departments and outside the institution.

3. It is indispensable part of the study program.

4. Programs are completed differently. The gradual ones end with the public defence of a work/thesis. If non-gradual programs, certificate or diploma is issued based on credits earned under the rules set by the program.

### 3.2.7. Employability

#### 3.2.7.1. *The occupational framework (ISCEO). The link between the level of studies – qualification*

Graduate competencies are defined by qualification level descriptors. Special requirements relating to employment are separately formulated to jobs and public services (education, police, judges etc).

#### 3.2.7.2. *Place of MA and Ph.D. in the occupational network*

Everything depends on the the employer. Prescriptions are made only for positions / specialties / public servants (medicine, law, other public servants).

#### 3.2.7.3. *Career guidance structures (state level, institution level)*

In the UK particular attention is given to the work with graduates. At universities (particularly at SUG) there are created special structures for these activities, the Office for Development of Relationships with Graduates (alumni). The main aim of the Office is to develop long-term relationships with individuals and organizations where graduates work, relationships that have the purpose of fundraising, information about university of graduates and operation with databases of graduates. The office is organized centrally by the management of the University. At the college level there are individuals who coordinate the activity with the graduates of the faculty concerned.

Fundraising activities are directed through the *Alumni Fund* to priority areas: Teaching and Learning – refers to the development of the library, improving the experience of students – extra curricular and social events, offering scholarships.

Office activity is divided into groups of alumni which are organized in cities in the UK and other countries. The groups are structured by goals: fundraising events – concerts, commemorative dates with fundraising; recruitment events – organizing meetings of pupils with alumni who have successhistories, joint alumni events etc.; entrepreneurial events – support through the Alumni network for young entrepreneurs – graduate already affirmed in business helps the beginner graduate.

## Conclusions

1. Graduate competencies are defined by qualification level descriptors. Special requirements relating to employment are separately formulated to jobs and public services (education, police, judges etc).

2. For non-regulated specialties, everything depends on the the employer. Prescriptions for positions that may be filled by graduates of cycle 1 and 2 are made only for public specialties (medicine, law, other public servants).

3. In the UK particular attention is given to the work with graduates. At universities (particularly at SUG) there are created special structures for these activities, the *Office for Development of Relationships with Graduates* (alumni). The main aim of the Office is to develop long-term relationships with individuals and organizations where graduates work, relationships that have the purpose of fundraising, information about university of graduates and operation with databases of graduates. The office is organized centrally by the management of the University. At the college level there are individuals who coordinate the activity with the graduates of the faculty concerned.

### 3.2.8. Teachers' workload

#### 3.2.8.1. Planning the didactic workload

The teaching load and workload of teachers: 110 of direct contact hours with students and 560 hours for consulting. They constitute 40% of the annual volume of work. The remaining 60% are devoted to research – 40% and 20% for activities in the interest of the community. Total workload is 35 hours per week.

#### 3.2.8.2. Distribution of the didactic workload

The head of the department, the dean and other teachers holding a leading position have reduced teaching load, the salary remains intact. Each member of the department has certain public responsibilities within the department, faculty or university.

#### 3.2.8.3 The accounting of performing teaching and research workload

The accounting of the academic task is based on the schedule. Scientific research is assessed primarily on the basis of publications of textbooks, monographs, articles in journals with impact-factor. The university establishes rules for different categories of teachers. Publications are rated with points depending on the category of the journal.

## Conclusions

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### **3.2.9. University scientific research**

#### ***3.2.9.1 University structures involved in the organization of scientific research***

The research activity in the universities of Scotland (and the UK) is carried out by Universities Research Council (URC with 7 subcommittees on branches) [1, B11]. Similar structures are found vertically: at college / school and department with identical roles. The management activity of committees is recognized in account of those 20% of tasks – for the benefit of society. The main tasks of the RC, see [51, 52, 53, 54, 55].

#### ***3.2.9.2. Students' involvement in the process of scientific research (incentive mechanisms)***

The organization of scientific research, commercialization of its results, protection of intellectual property rights, knowledge transfer are described in detail in the presentations made during the visit in June 2013 at SUG.

#### ***3.2.9.3. Scientific research of the didactic staff***

From the annual charge of the teacher, 40% constitutes scientific research that is well accounted for in the research group. There are special software to follow the progress and appreciate the work of teams. Funding science from Scotland and UK funds is based on these results.

#### ***3.2.9.4 Integrated research, education and business centers***

All master's programs have research elements. Other types of MAs in Scotland are not used [1, Part A].

Universities are classified into three groups: historical, legalized in 1965, and those formed under the act of 1992. The funding mechanism for each group is different. UK's Research Committee divides finances based on the criterion „results achieved (Excellence criterion)“.

All master's programs have research elements. Other master's programs in Scotland are not used [1, Part A].

### **Conclusions**

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2. All master's programs have research elements. Other types of MAs in Scotland are not used.

3. From the annual charge of the teacher, 40% constitutes scientific research that is well accounted for in the research group. Funding science from Scotland and UK funds is based on these results.

### **3.2.10. The doctorate**

#### ***3.2.10.1. The right to offer doctoral studies***

In the UK the basic form of doctorate is integrated doctorate or doctorate in philosophy (PhD). The name can also contain the scientific area (medicine, psychology, engineering).

The doctorate is regarded as research based studies. The minimum duration of the studies is usually equivalent to 3 years of full time studies, in engineering – 4 years [5]. The studies may be organized remotely.

The state grants a certain number of budget places, but institutions may admit PhD students on tuition fee basis. As compensation to the fee can serve the employment of the doctoral student in teaching position. The PhD student is assigned a scholarship from the budget [6, 11, 21].

Doctoral studies are completed with the defending of the doctoral thesis – written work based on research results. As autonomous structures, higher education institutions themselves make decisions on qualifications and form of certificate.

After 1990, the UK introduced a new type doctorate called professional and practice-based (or practitioner) doctorates (eg PhD in engineering – EngD), which is intended for specialists trained in a particular branch of the economy who develop applied research for the company which shall bear the expenses related to studies and research, USG example [11].

Comprehensive information about doctoral programs in the UK, goals, structure, content, titles and assessment methods can be found in [1, 5, 6]

### **3.2.10.2. Doctoral Schools**

Doctoral students' training takes place in doctoral schools organized by universities or doctoral centers [5,6, 11]

*Graduate schools were introduced to provide coherent research skills training and support for postgraduates; some combine taught and research postgraduates, others are solely for research candidates. The structure and coherence of the graduate school structure, whether single-subject, at faculty or school level, or as an institutional phenomenon (single institution or as part of a collaboration), also helps to encourage timely progress and completion and to provide postgraduates with a peer group network*

*Graduate school structure, whether single-subject, at faculty or school level, or as an institutional phenomenon (single institution or as part of a collaboration), also helps to encourage timely progress and completion and to provide postgraduates with a peer group network. Graduate schools may have a geographical location or may be virtual, with postgraduates from multiple institutions sometimes being part of a collaborative and possibly interdisciplinary graduate school.*

*During the twenty-first century another feature of doctoral education has been introduced, primarily initiated by the UK research councils, who have begun to focus their support through various forms of partnerships for doctoral training. Most are commonly known as doctoral training centre (DTCs). Most DTCs are organized in a similar way to graduate schools and although established initially for the benefit of research council funded doctoral candidates, are often extended to all research postgraduates studying in the relevant subject area, as long as resources permit. DTCs are often multi or interdisciplinary and reflect some of the major research themes supported by their respective research councils. They are seen by many as a model of effective practice in providing research methods and skills training for early career researchers. Universities are still in the process of integrating the DTC model with their existing governance and structures, and in many cases reporting lines and management, together with the DTCs' relationship with any existing graduates school(s) are still to be decided upon.*

*A residual concern for some is the potential creation of a ,two-tier' system for postgraduate training, with some doctoral candidates being part of a DTC and others not. Further information about doctoral training centres can be found on the individual research councils' websites, accessed from the Research Councils UK home pages.*

### **3.2.10.3 Completion of studies, conferring of degrees**

Each institution organizing doctoral programs develops its own regulations based on quality criteria shown in [1], for example see USG regulations [11,12].

Ph.D. degree is offered by the University, which issues the diploma without any approval from any higher authority. Thesis defending procedure is quite simple and is based on the authority and responsibility of the supervisor, faculty research council (2 persons) and two experts who review the thesis. Supervisors are not present at thesis defending. The degree is confirmed at the Academic Board. There follows an extract from the USG Regulation describing the organization of the final examination of doctoral studies [11, section 20.1]:

*The candidate shall be examined by a thesis, any necessary coursework and by oral examination.*

*The examination of a candidate shall be undertaken by an Examining Committee nominated by the relevant Head of Department, endorsed by the relevant Board of Study and appointed by the Senate. The Examining Committee shall include at least one External Examiner and one Internal Examiner. The Head of Department will identify a member of University staff, who is not one of the Internal Examiners or supervisors, to convene the Committee and must attend the oral examination. After consultation with the candidate and the Examiners, the Convener may invite one supervisor to attend the oral examination in a non-examining capacity. Only in exceptional circumstances shall the student's supervisor be appointed an Internal Examiner and in such cases a second Internal Examiner shall be appointed.*

*The Examining Committee shall: assess the thesis submitted by the candidate; act as the Board of Examiners for the award of the credits for the taught classes or research training undertaken under the provisions of Regulation 20.2.8; subject the candidate to the oral examination.*

*In all cases the examiners may subject the candidate to such additional examination, written or oral, as they deem necessary, and shall report to the appropriate Board of Study, which shall make recommendation to the Senate.*

*The Examining Committee may make the following recommendations to the relevant Board of Study and to the Senate: the candidate be awarded of the appropriate professional doctorate degree; subject to minor corrections to the thesis being carried out satisfactorily, the degree be awarded; re-submission of the thesis within a specified time limit when the Examining Committee will be reconvened to re-assess the thesis; the candidate be transferred to a Master's degree provided they satisfy the appropriate progress and curricular requirements; the candidate be awarded the degree of MSc or the Postgraduate Diploma in the relevant area; the award be withheld and the candidate be required to withdraw.*

*In the case of (ii) above, the candidate shall not normally be allowed to graduate until the amendments have been carried out to the satisfaction of the Internal Examiners.*

*Many institutions award the PhD/DPhil ,by publication' or ,by published work' which may then be reflected in the title (PhD by Publication, or by Published Work). Institutions have different eligibility requirements for this degree, which is awarded infrequently [5].*

#### **3.2.10.4. Postdoctorate, habilitate**

In the the UK and Scotland [5] a higher Ph.D. degree is set (*Higher Doctorate*), which follows after the PhD or another similar degree, is offered to individuals for valuable research or publications. The title is given to persons in education, based on published works, who don't have a distinct position in the qualifications and is considered honorific title. *Individual institutions' regulations specify a limited range of titles for higher doctorates, which can be awarded either for a substantial body of published original research of distinction over a significant period or as an 'honorary' degree, to recognise an individual's contribution to a particular field of knowledge.*

Post-doctorate is defined as an in depth research program for young researchers, to continue doctoral researches. There are admitted people who held a doctorate, but not later than 5 years after graduation. Studies are completed with the public defence of a report and the awarding of a certificate.

#### **Conclusions**

1. In the UK the basic form of doctorate is integrated doctorate or doctorate in philosophy (PhD). The doctorate is regarded as research based studies, organized within universities, the minimum duration of the studies is usually equivalent to 3 years of full time studies, in engineering – 4 years. The studies may be organized remotely. After 1990, the UK introduced a new type doctorate called professional and practice-based (or practitioner) doctorates (eg PhD in engineering – EngD), which is intended for specialists trained in a particular branch of the economy. They develop applied research for the company which shall bear the expenses related to studies and research.

2. Doctoral students' training takes place in doctoral schools organized by universities or doctoral centers.

3. Each institution organizing doctoral programs develops its own regulations based on quality criteria shown in the Quality Code (for example see USG regulations). Ph.D. degree is offered by the University, which issues the diploma without any approval from any higher authority. Thesis defending procedure is quite simple and is based on the authority and responsibility of the supervisor, faculty research council (2 persons) and two experts who review the thesis. Supervisors are not present at thesis defending. The degree is confirmed at the Academic Board of the University (Senate).

4. In the the UK and Scotland a higher Ph.D. degree is set (*Higher Doctorate*), which follows after the PhD or another similar degree, is offered to individuals for valuable research or publications. The title is given to persons in education, based on published works, who don't have a distinct position in the qualifications and is considered honorific title. Post-doctorate is an in depth research program that can follow immediately after the defence of the PhD thesis. It finishes with the awarding of a certificate, no distinct degree is awarded.

### **3.3. Sweden**

#### **3.3.1. Establishment of specializations / study programs**

##### **3.3.1.1 Levels in higher education**

In Sweden, overall responsibility for higher education and research rests with the Riksdag (Swedish Parliament) and the government. They decide on the regulations that are applied



in the higher-education area. They also determine objectives, guidelines and the allocation of resources for the area. All higher education is offered by public-sector higher education institutions or by independent education providers that have been granted degree-awarding powers by the government.

The Swedish Parliament decides which public-sector HEIs are to exist. The government can decide whether an HEI may use the title of university. (ref. National Qualifications Framework, Published by the Swedish National Agency for Higher Education 2011)

Higher education institution shall refer to universities and university colleges, for which the accountable authority is the Government, a municipality or a county council (ref. The Swedish Higher Education Act, 17 December 1992, Ch. 1, Sec. 1; The Higher Education Ordinance, 4 February 1993, Ch. 1, Sec. 2).

Thus, in Sweden there are 24 public HEIs (accountable to the government) and 3 independent HEIs entitled to offer degrees for cycle I, II and III and there are 10 public HEIs (accountable to the government) and 10 independent HEIs entitled to offer degrees for cycle I and II. (ref. Higher Education in Sweden, 2013 Status Report, by Swedish Higher Education Authority)

Higher education institutions provide: *courses and study programmes* based on scholarship or artistic practice and on proven experience, and research and artistic research and development as well as other forms of development activities (ref. The Swedish Higher Education Act, 17 December 1992, Ch. 1, Sec. 2).

Courses and study programmes shall be provided at:

- first cycle
- second cycle, and
- third cycle. (ref. The Swedish Higher Education Act, 17 December 1992, Ch. 1, Sec. 7)

Municipalities and county councils may establish higher education institutions only with the consent of the Government. This consent may be restricted to first-cycle courses and study programmes. (ref. The Swedish Higher Education Act, 17 December 1992, Ch. 1, Sec. 10)

The Swedish National Agency for Higher Education (now Swedish Higher Education Authority) decides on permission to award qualifications:

- in the third cycle at higher education institutions that are not universities, and
- in the first and second cycle at universities and higher education institutions.

The Government issues regulations on the qualifications that may be awarded at Swedish University of Agricultural Sciences and Swedish National Defence College. (ref. The Swedish Higher Education Act, 17 December 1992, Ch. 1, Sec. 12).

### ***3.3.1.2 Introduction of study programs at cycle I***

The central regulations that govern the way in which HEIs operate are contained in the Higher Education Ordinance, which is laid down by the government.

Within the framework of the regulations and parameters determined by the Swedish Parliament and the government, HEIs enjoy great freedom to decide how to organise their operations, use their resources and conduct their courses and programmes. (ref. National Qualifications Framework, Published by the Swedish National Agency for Higher Education 2011; ref. Higher Education in Sweden, 2013 Status Report, by Swedish Higher Education Authority)

The system is based on the principle of management by objectives. (ref. Higher Education in Sweden, 2013 Status Report, by Swedish Higher Education Authority)

The State / Government does not decide on the initiation of new programmes of study. This is done at the university level. At the Government level trends are only discussed (based on statistical data), they are made public and are presented to the community and at the university level these trends are discussed and it is decided on the initiation of new programmes of study.

The schools and/or professional organizations are usually the initiators of new study programmes, sometimes it is upon the president's suggestion. Subject areas are not directly mapped to KTH organization, there are overlaps between schools and there are existing programmes where more than one school provides courses. Same procedure as for all programmes, application is discussed in the educational committee, approved (or not) by the faculty board and final decision is made by the president.

According to the Swedish Higher Education Ordinance (1993:100) Chapter 6, Sec. 14-15, there must be a course syllabus for first and second cycle courses. First cycle courses are established by the Head of School following consultation with other schools concerned. A decision on the establishment of a course is made at the school the course is to be held. The continuing education courses offered are decided by the Vice-Dean of faculty following preparation by the Head of School and in the university administration. The director of undergraduate and master studies is responsible for the preparatory measures on the establishment of courses. A special form must be completed in order for a course to be formally set up. (ref. Establishment of courses at first – and second cycle at KTH, Internal instruction no. 27/05, Applicable from 01-07-2007, Changed from 01-01-2008)

All first and second-cycle study programmes shall be offered in the form of courses. Courses may be combined to create study programmes. A course shall have a course syllabus.

The course syllabus shall indicate the following: the cycle in which the course is given, the number of credits, objectives, specific entry requirements, how student performance is assessed and any other regulations required. A study programme shall have a programme syllabus. The programme syllabus shall indicate the following: the courses that the study programme comprises, specific entry requirements and other regulations required. (ref. The Higher Education Ordinance, 4 February 1993, Ch. 6, Sec. 13-17)

At KTH – Application and running of programmes:

- Schools apply for new programmes
- The President may give out assignment to a school to develop a new programme
- The application is handled by the Education Committee and thereafter by the Faculty Council
- The President decides to establish programme (or not)
- Dean of school determines the study-plan for the programme
- The President decides number of students to be admitted to each programme

Establishment of courses:

- Departments/units apply for new courses
- The application is handled within the school(s)
- Decision to establish a course is made by the Dean of school



Dean of school also:

- determines the syllabus
- appoints examiner

No accreditation process is required when launching a new study program. As a university KTH can make its own decisions in establishing programmes on second level due to the fact that KTH is granted examinations rights for the third level.

University colleges must apply when introducing programmes on second cycle in subject areas where they previously haven't been granted examination rights for third-cycle education. Swedish Higher Education Authority will scrutinize the application looking for teaching capacity, teacher's qualifications, research in the subject area and so on.

### ***3.3.1.3 Introduction of study programs at cycle II***

Given that in Sweden cycle I and cycle II form a whole process and are offered as integrated studies (*undergraduate studies*), the same rules apply when it comes to initiating or liquidation of study programmes.

### ***3.3.1.4 Introduction of study programs at cycle III***

A university or higher education institution entitled to award third-cycle qualifications shall determine the subjects in which third-cycle courses and programmes may be offered. For each subject in which third-cycle courses or study programmes are offered a general study syllabus is required. A general study syllabus shall indicate the following: the main content of the study programme, specific entry requirements and any other regulations required. (ref. The Higher Education Ordinance, 4 February 1993, Ch. 6, Sec. 25-27).

Third-cycle qualifications (ref. Higher Education in Sweden, 2013 Status Report, by Swedish Higher Education Authority; <http://www.doktorandhandboken.nu>):

- Completion of doctoral studies leads to the award of a doctoral degree – the most advanced degree awarded in Sweden.

Third-cycle programmes can lead to the award of the following degrees:

General qualifications:

- A licentiate degree, 120 higher education credits
- A doctoral degree, 240 higher education credits

Qualifications in fine, applied and performing arts:

- A Degree of Licentiate of Fine Arts, 120 higher education credits
- A Degree of Doctor of Fine Arts, 240 higher education credits

It is possible, therefore, to be admitted to a third-cycle programme even if this is intended to lead only to the award of a licentiate degree.

### ***3.3.1.5 Language of instruction***

The medium of instruction for the undergraduate and graduate level courses is Swedish. However, the master's degree programs and the PhD level programs usually use English as a medium of instruction.

A growing number of bachelor's courses have been made available in English in order to make them more accessible, but for the most part, programmes require a very good command of written and spoken Swedish. Most courses at the bachelor's level offered in English are intended for exchange students. If free movers are admitted, they must meet all

the normal requirements with regard to previous university studies and knowledge of English. Universities will normally require verification of language proficiency in the form of an international proficiency test certificate. (ref. [www.studyinsweden.se](http://www.studyinsweden.se))

### **Conclusions**

1. Swedish Parliament and Government is responsible for higher education and research, establishing regulations, objectives, guidelines and resource allocation per areas.
2. The government decides on the establishment or liquidation of a HEI.
3. HEIs are divided into two categories: universities and university colleges.
4. Swedish Higher Education Authority is the body that decides on the permission of awarding qualifications by the HEI.
5. HEIs offer programs and courses in cycle I, II and III.
6. HEIs are free to make decisions and act on the introduction or liquidation of study programmes at all levels of education.
7. Study programmes in cycle I and II have a programme syllabus and are offered in the form of courses, which are also accompanied by a course syllabus.
8. Accreditation is not required to initiate a new study programme if HIS was entitled with the examination of the third cycle. In the case of HEIs which were not given that right, in order to launch a new programme of studies it is necessary that they apply for its approval at the Swedish Higher Education Authority.
9. HEIs entitled to offer qualifications in Cycle III have the right to decide independently on the programmes and courses which they want to offer and their initiation or liquidation.
10. The language of instruction at cycle I is usually Swedish and at cycle II and III most of the programs are offered in English. The HEI has the right to decide on the language of instruction.

### **3.3.2. Admission to studies**

National admission regulations to first, second and third-cycle courses and programmes are laid down in the Higher Education Act, the Higher Education Ordinance and the regulations issued by the Swedish Higher Education Authority. (ref. National Qualifications Framework, Published by the Swedish National Agency for Higher Education in May 2011)

#### ***3.3.2.1. Procedures for admission to Cycle I – Bachelor. Commitment of the Government concerning the admission***

Specific prior knowledge is required for admission to higher education. Those who have the required knowledge qualify for entry. Entry requirements can be either general or specific. The general entry requirements apply to all courses and programmes in higher education; specific (additional) entry requirements can be found on the website of each higher education institution (<http://www.studyinsweden.se/Universities/>). All first-cycle courses and programmes, apart from those that lead to the award of a qualification in the fine, applied and performing arts, use more or less the same selection criteria. These are based mainly on school-leaving grades or results from the Swedish Scholastic Aptitude Test. (ref. The Higher Education Ordinance, 4 February 1993)

The Government has decided that the Swedish Council for Higher Education is to issue further regulations regarding admission, for example concerning applicants with for-

eign grades. The vast majority of admissions are pooled. The Swedish Council for Higher Education is responsible for pooled admissions on behalf of the HEIs (which means that students can apply for courses and programmes at all universities on the same application) (ref. [www.universityadmissions.se](http://www.universityadmissions.se)), but the individual HEIs decide on the admission of students. An appeal may be made to the Higher Education Appeals Board against a HEI's admission decision regarding eligibility but not regarding selection. (Higher Education in Sweden, 2013 Status Report; The Higher Education Ordinance, 4 February 1993, Ch. 7)

#### *Tuition fees*

For a long time Sweden was one of the few countries in Europe in which higher education was completely free of charge for both Swedish students and those from other countries. In June 2010 the Riksdag (Swedish Parliament) enacted a provision in the Higher Education Act that means that higher education is free for Swedish citizens and for citizens of the EU/EEA countries and Switzerland. Citizens of other countries, "third country students", have to pay an application fee and tuition fees for first and second-cycle higher education courses and programmes starting from the autumn semester of 2011. The HEIs are required to charge tuition fees that cover their costs in full for these students. (Higher Education in Sweden, 2013 Status Report)

#### **3.3.2.2. Procedures for admission to Cycle II and III**

According to The Higher Education Ordinance, 4 February 1993, *admission to the second cycle* is based on general and specific admission requirements.

A person meets the general entry requirements for courses or study programmes that lead to the award of a second-cycle qualification if he or she:

- possesses a first-cycle qualification comprising at least 180 credits or a corresponding qualification from abroad, or
- by virtue of courses and study programmes in Sweden or abroad, practical experience or some other circumstance has the aptitude to benefit from the course or study programme.

The specific entry requirements laid down shall be essential for students to be able to benefit from the course or study programme. These requirements may comprise:

- knowledge from one or more higher education courses, and
- other conditions determined by the course or study programme or of significance for the professional or vocational area for which students are to be prepared.

The higher education institution may decide which of the selection criteria are to be applied and how places are to be allocated. (ref. The Higher Education Ordinance, 4 February 1993)

To be admitted to *doctoral studies*, you need to have completed courses for at least 240 credits, of which at least 60 credits must be for Master's level studies. In most cases, students will hold a Bachelor's degree and a Master's degree, with a major in the same subject as the intended postgraduate study.

PhD studies are organised at the faculty level and the process for applying for PhD positions is specific to each faculty. There is no set application period for PhD positions. Some departments advertise their positions in spring, while others advertise on an ongoing basis, as and when positions arise. Admission to PhD positions is restricted and competition for advertised positions is usually tough. (ref. <http://www.doktorandhandboken.nu/english>)

The number of doctoral students admitted to third-cycle courses and study programmes may not exceed the number that can be offered supervision. A higher education institution

may only admit applicants to third-cycle courses and study programmes who have been appointed to doctoral studentships or awarded doctoral grants.

Decisions relating to admissions are made by the higher education institution. A person who wishes to be admitted to a third-cycle course or study programme shall apply within the time prescribed and in compliance with the procedures laid down by the higher education institution.

When a higher education institution intends to admit one or several third-cycle students, information shall be provided by the higher education institution through advertising or some equivalent method.

A higher education institution that has been entitled to award third-cycle qualifications within a field may permit a third-cycle student who has been admitted to some other university or some other higher education institution to transfer without a new admission process to the higher education institution and to continue his or her courses and study programmes and receive his or her qualification there.

A person meets the general entry requirements for third-cycle courses and study programmes if he or she:

- has been awarded a second-cycle qualification
- has satisfied the requirements for courses comprising at least 240 credits of which at least 60 credits were awarded in the second-cycle, or
- has acquired substantially equivalent knowledge in some other way in Sweden or abroad. (ref. The Higher Education Ordinance, 4 February 1993)

#### ***3.3.2.3. Admission of foreign students***

The Bachelor's programmes are open to all students who have completed their upper secondary level schooling and who meet the specific admission requirements of the programme. (ref. [www.universityadmissions.se](http://www.universityadmissions.se))

##### *Bachelor's studies*

Most undergraduate (bachelor's level) students come to Sweden as exchange students; their home university has an exchange agreement with a Swedish institution, either as part of an EU exchange program or through a bilateral scheme.

Opportunities for students to come to Sweden to study at the bachelor's level as degree students, or free movers — students who apply on an individual basis — are limited.

The largest exchange scheme is the Erasmus programme.

There are a certain number of places and grants available at each host university. These are awarded after a selection process organised by the student's home university.

It is necessary to have your grades translated into English or – at some universities – another major European language. Most universities and university colleges will accept translations by an authorised translator. The student should contact the institutions directly for their exact requirements.

The general requirements are:

- Completion of an upper-secondary school (high school) programme conferring eligibility for university studies in the same country and corresponding in level to the equivalent programme in Sweden.
- Language proficiency in English and/or Swedish, depending on the language of study.

Entrance requirements for a particular course or programme are established independently at each academic institution. These requirements vary and you will need to contact the institution directly for exact information.

Admission to all bachelor's level education is limited. All study programmes and courses have a fixed number of places, which are usually exceeded by the number of applicants. Every university and university college has its own procedure for selecting among eligible applicants. The criteria applied include: grades obtained, results from previous courses, assessment of work samples, interview results, special admission tests and work experience. These criteria vary from university to university.

#### *Language requirements*

If you plan to study in **English**, you need to show that you have attained a level of written and oral proficiency equivalent to that acquired on completion of Swedish upper-secondary (high school) education. You will need to support your application with an international proficiency test certificate. The required score is decided by the individual university and may therefore vary.

To apply for a bachelor's degree program or an individual course, you should use the on-line application system at [Universityadmissions.se](http://www.studyinsweden.se), which processes your application. (ref. <http://www.studyinsweden.se>)

#### *Master's degree programmes*

Some 600 master's degree programmes at Swedish universities are taught entirely in English.

#### *General requirements*

Before applying, the candidate should have completed a course of study leading to a degree or diploma equivalent to 180 ECTS (three years of full-time bachelor's level studies). In most cases a bachelor's degree will be regarded as fulfilling this requirement.

#### *Language requirements*

For English-language programmes, it is necessary to have documented proficiency in English, for example in the form of TOEFL or IELTS test results.

[Universityadmissions.se](http://www.studyinsweden.se) is a central application service where the candidate can apply for up to four different master's programmes at different universities around Sweden with just one application. (ref. <http://www.studyinsweden.se>)

#### *Admission of foreign students to doctoral studies*

Foreign students enrolled as PhD students at their home universities can register for postgraduate courses and seminars in Sweden for a limited period, provided there is an exchange agreement or some other link between the Swedish institution and its foreign counterpart.

Otherwise, admission to doctoral studies is restricted and universities and university colleges may only admit students who have funding for the entire study period. Many departments have no formal admission requirements with regard to Swedish language skills. However, it may be helpful to take some classes in Swedish.

To be admitted to a postgraduate research position, a student must hold a university degree equivalent to a bachelor's degree or higher, with a major in the same subject as the



intended field of study. In most cases a master's degree is required. The major must have included a degree thesis presenting the results of independent research.

Foreign students wishing to study for a PhD in Sweden are advised to prepare with a master's degree in Sweden first, if a relevant programme is available in English. A Swedish master's degree is likely to improve a student's chances of being admitted to a PhD programme.

Specific requirements are set for each subject. For information about these, you should contact the department you are interested in. An assessment will also be made of the applicant's suitability and his or her ability to complete doctoral studies. Students must also have a good command of English.

In some cases, students will be advised to attend Swedish language courses parallel to their doctoral studies. (ref. <http://www.doktorandhandboken.nu/english>)

#### ***3.3.2.4. Formation of contingent***

Students shall be provided with study and career guidance. Higher education institutions shall ensure that those intending to begin a course or study programme have access to the information about it that is required.

Higher education institutions shall also ensure that the admission regulations are available. The admission regulations comprise the regulations that apply at the higher education institution to applications, entry requirements, selection, and admission, as well as how decisions are made and how appeal can be made against them. (ref. The Higher Education Ordinance, 4 February 1993)

### **Conclusions**

1. Requirements for candidates for admission at cycle I and cycle II, may be general (apply to all courses and programmes in higher education) or specific (for each HEI in part) and are governed by three basic documents: Swedish Higher Education Act, Higher Education Ordinance and regulations issued by the Swedish Higher Education Authority.

2. Admission is centralized and the Swedish Higher Education Council is responsible for the centralized admission on behalf of higher education institutions. However, HEIs themselves decide on the admission of students.

3. According to the Higher Education Act, education is free for Swedish citizens and citizens of EU / EEA and Switzerland. Citizens of other countries must pay an application fee and tuition fees for courses and study programmes in higher education, cycle I and II. The tuition fee should cover the full costs for studies.

4. Admission to the third cycle, doctoral studies, is based on undergraduate and graduate degrees, integrated studies at cycle I and II where there have been accumulated 240 credits, of which at least 60 credits must be for Masters Degrees in the same area of specialization with the doctoral degree applied to.

5. HEI makes decisions on admission to the third cycle, sets deadlines and procedures for admission and makes them public through various means (advertisements, information on its website etc.). Doctoral studies are organized at faculty level and the application process for PhD positions is specific to each faculty.

6. Only those who have obtained a PhD scholarship or doctoral grants can be admitted to doctoral studies.



7. The number of places for doctoral studies is restricted and cannot exceed the number of doctoral supervisors the HEI can provide.

8. Persons admitted to doctoral studies can transfer from one HEI to another without going through a new process of admission and follow their courses and programmes of study and obtain their qualification at that institution.

9. Admission of foreign students to cycle I and II is mainly through mobility programs, exchange of students and the number of study places for students applying individually is limited and based on a tuition fee.

10. Admission requirements to cycle I and II for foreign students are basically the same as for local students, with some exceptions, e.g. knowledge of English or Swedish. Admission requirements are set independently by each HEI and vary from one institution to another.

11. Admission of foreign students to doctoral studies is restricted and HEIs can only admit students who have funding for the entire period of study. On the other hand, foreign students who are already doctoral students at a university in their home country may enroll to courses and seminars in Sweden for a limited period, if there is mobility / exchange agreement or another type of cooperation between the Swedish institution and its foreign counterpart.

12. Formal admission requirements for foreign students to cycle III are the same as for local students.

13. According to the law, HEIs in Sweden provide study and career guidance, work with school graduates and students, make public regulations, admission requirements, decision making process about admission and the procedure for contesting it, the entire activity is very transparent.

### **3.3.3. Recognition of studies**

#### ***3.3.3.1. Recognition of study periods undertaken abroad***

Recognition is a term that is often used in relation to the evaluation of qualifications so that they can be used in Sweden. There are two types of recognition:

- professional recognition for use in the labour market
- academic recognition to enable accreditation for the award of qualifications or admission to further studies and the transfer of credits from earlier studies – responsibility for the assessment of courses and programmes to enable credits to be transferred for the award of a qualification or for admission to further studies rests with the HEI offering the programme. (ref. National Qualifications Framework, Published by the Swedish National Agency for Higher Education in May 2011)

The Swedish Council for Higher Education (former Swedish National Agency for Higher Education) acts as an expert body for the academic recognition of qualifications from higher education outside Sweden. (ref. <http://www.uhr.se/en> (The Swedish Council for Higher Education))

The Swedish Council for Higher Education evaluates most foreign higher education programmes. The Swedish Council for Higher Education compares undergraduate and postgraduate programmes from other countries with those provided in Sweden. The comparison is expressed in terms of Swedish degree levels. The evaluation does not involve any award of a Swedish degree. The evaluation is intended to serve as a recommendation for an employer.

It can also serve as guidance for Swedish universities and higher educational institutions. All decisions regarding admissions and transfer of credits from prior learning abroad are made by the universities and higher educational institutions themselves. This is the case with both completed and uncompleted education programmes. Information is provided by study counselors at universities and higher education institutions. (ref. Recognition of Higher Education Qualifications from Abroad, by the Swedish National Agency for Higher Education (<http://www.hsv.se>))

### **3.3.3.2. Recognition of documents of studies done abroad**

There is no special recognition procedure for foreign students who want to study in Sweden. Their education and eligibility are assessed by the university or university college they apply to on the basis of the information given in their application and the attached documents. Their grades are translated, using set formulas, into the Swedish grading scale.

If their academic transcripts are in any language other than a Scandinavian language, English, French or German, they will need to submit a copy of their transcript in the original language PLUS provide an authorised translation. The authorised translation can be in English, Swedish, French or German.

### **Recognition of foreign degrees for purposes other than studies**

Recognition of general academic degrees is undertaken by the Swedish Higher Education Authority. The Authority is also the first point of contact for general EU directives on recognition of professional qualifications in the EU.

If the person is living in Sweden and looking for work, a formal recognition of his/her foreign diplomas or degrees may be helpful. Recognition of foreign upper-secondary diplomas is done by the Swedish Council Higher Education. (ref. <http://www.studyinsweden.se>)

### **Conclusions**

1. Recognition / evaluation of study periods undertaken abroad and diplomas for academic purposes is made by the Swedish Higher Education Council, which serves as a *recommendation or guidance* for HEIs admitting foreign students to study.

2. Studies, study documents and their eligibility are assessed properly by the HEI to which candidates apply, based on information provided in the application and the attached documents. Grades are converted, using the formulas established in the Swedish grading scale. Responsible for this activity are the study councils of HEIs and HEIs themselves. Recognition / evaluation of courses and programs is done in order to allow the transfer of credits for the award of a qualification or admission to studies.

3. It should be noted that the recognition / evaluation of study documents obtained abroad does not lead to the issuance of an equivalent Swedish study document.

4. Recognition of study documents for employment purposes is made by the Swedish Higher Education Authority in accordance with the general EU Directives on recognition of professional qualifications.

### **3.3.4. Accreditation of study programs**

#### **3.3.4.1. Internal quality assurance structures**

Quality assurance procedures are the shared concern of staff and students at higher education institutions. (ref. The Swedish Higher Education Act, 17 December 1992).

The Swedish quality-assurance system is based on the quality procedures of the universities and university colleges themselves. Within the framework of the regulations laid down by the Swedish Parliament and the government, they have a relatively large amount of freedom to organise their own quality assurance. However, each institution must determine targets that can be monitored, and then report to the government about the quality-assurance measures to which it assigns priority and how these measures contribute to raising standards. (ref. National Qualifications Framework, Published by the Swedish National Agency for Higher Education in May 2011)

The Government's proposals and considerations on quality in higher education are based on a policy directed towards increased autonomy for the higher education institutions. This has been developed in greater detail in the bill *An academy for today* (bill 2009/10:149). An important point of departure is that the higher education institutions shall themselves assume responsibility for the development of their operations.

KTH example:

QA Strategy:

*The quality process at KTH is to be based on the principle of continuous improvement*

Quality policy 2011-2015

- Education
- Research
- Interaction with the wider community
- Staff recruitment and professional development

Action plan to the quality policy

- Sets out priorities and activities for each year

Annual quality report

- Gives an overview of activities and results

QA – roles and responsibilities:

*Responsibility for quality is to be carried by the individual student, teacher and employee in their daily actions*

Formal organisation

- Faculty Council: academic responsibility for quality
  - Dean, Vice Dean
- President, University Board
- University Administration
  - Department of Strategic Planning and Resource Allocation: quality assurance support
- KTH Schools
  - Director of Undergraduate and Masters' studies
  - Director of Doctoral studies
  - Programme Director

External Advisory Group

Networks

The Faculty Council represents the entire faculty and acts as an advisory body to the President. The Council has overall responsibility for issues relating to the quality of education, research and community interaction. Within the university administration's there is a

quality coordinator who coordinates efforts made before/during/after external (and internal) evaluation is carried out.

The President has decided that course analyzes should be done for all courses at KTH (no exceptions are made). The course analysis is done by the course director. It should be based on an evaluation, discussion with students, talk with involved teachers and examiners, as well as own reflections. There are recommendations that course assessment should be completed within one month after the course and that the analysis is uploaded on the course web page. A summary of recent course analysis should be included in the course description. In addition, the course director at the first lecture of the course should outline the changes made to the course since the last time and what it was that caused them.

In all courses, the students will get the chance to do a course evaluation. Most often this is done in the form of a student questionnaire filled out anonymously. The questionnaire can be designed by student representatives, or by the course instructor or preferably in consultation between them. It is the course director's responsibility that a course evaluation is carried out.

The questions on the survey shall apply to all parts of the course (objectives, prerequisites, textbook, course content, teaching, examination). It is important that questions are asked on parts of the course that has not worked as well or as students may have specific comments on. It should be possible for the students to give general comments about the course at the end of the survey. A summary of results is included in the course analysis.

Internal evaluation was carried out in 2012 (Education Assessment Exercise-EAE). Courses are internally analyzed every year.

#### ***3.3.4.2. Methodology, evaluation criteria, procedures***

National responsibility for evaluating and monitoring higher education in Sweden rests with the Swedish Higher Education Authority (SHEA). The overall aim of the Authority's evaluation procedures is to ensure the fundamental quality of courses and programmes. (ref. National Qualifications Framework, Published by the Swedish National Agency for Higher Education in May 2011)

In general, authorization to provide a programme leading to a degree-level award in the first and second cycles ('degree-awarding powers') is granted by the SHEA (former Swedish National Agency for Higher Education) (with the authority of the Ministry) in the case of the public HEIs, and by the Ministry on the basis of the SHEA's advice in the case of independent HEIs. Degree-awarding powers in respect of the Swedish University of Agricultural Sciences and the National Defence College are in the gift of the Ministry direct. Authority's primary responsibilities for quality assurance in HEIs relate to the recognition of new programmes, and the periodic evaluation of recognised programmes. Both these activities are the responsibility of the Department of Quality Assurance in SHEA. (ref. Swedish National Agency for Higher Education: Review of ENQA Membership, April 2012)

The system for the quality assurance of higher education comprises two components:

Programme evaluation – The SHEA evaluates all first and second-cycle programmes. Evaluation of third-cycle programmes will start later. Courses and programmes have to be evaluated on the basis of how well they fulfil the requirements laid down in the Higher Education Act and the qualification descriptors in the statutes linked to the Act. In other

words, the SHEA assesses to what extent the learning outcomes achieved by the students correspond to the intended learning outcomes.

Appraisal of degree-awarding powers – Before a higher education programme can be started, entitlement to award a qualification is required. The SHEA awards degree-awarding powers to public-sector higher education institutions but can also revoke them if there are shortcomings in their courses and programmes. (ref. National Qualifications Framework, Published by the Swedish National Agency for Higher Education in May 2011)

The SHEA's evaluations are made by panels of external experts which include subject experts, students and representatives of the labour market. The panel has to propose an evaluation of each programme it assesses using a three-level scale:

- Very high quality
- High quality
- Inadequate quality

The report from the assessment panel provides the basis on which the SHEA then decides on the overall evaluation to be awarded for each course or programme. Those that are assessed as having “inadequate quality” will be reviewed within one year. After that the SHEA decides whether or not to revoke its entitlement to award a qualification. (ref. <http://www.uk-ambetet.se>) The material on which the experts base their assessments are independent projects (degree projects) produced by students, the higher education institutions' own self-evaluations, questionnaires sent to alumni and the students' own perceptions of the outcomes of their programmes of study in relation to the targets in the qualification descriptors. The self-evaluation is important for the Authority's evaluations but should also offer an important tool for the work of the institutions themselves on the quality assurance of their courses and programmes. (ref. General Guidelines for Self-Evaluation in the Swedish National Agency for Higher Education's Quality Evaluation System. 2011–2014, Published by the Swedish National Agency for Higher Education 2011)

The self-evaluation procedure is described in detail in ref. General Guidelines for Self-Evaluation in the Swedish National Agency for Higher Education's Quality Evaluation System. 2011–2014, Published by the Swedish National Agency for Higher Education 2011.

Today resources are allocated to the higher education institutions on the basis of student performance as indicated by the number of higher education credits awarded for first and second-cycle courses and programmes. In June 2010 the Riksdag (Swedish Parliament) decided that the results of the quality evaluations should also affect allocation of resources at these levels. Higher education institutions whose courses and programmes are considered to attain “very high quality” will receive the incentive of an extra funding increment. This quality-based allocation of funding applies for courses and programmes offered by public-sector higher education institutions. The same thing is stipulated in the Appropriations for Undergraduate Education, December 20, 1993, developed and approved by the Swedish Ministry of Education and Science, under the paragraph “Quality Premium”.

More information about the system of quality assessment, ie assessment methods and assessment process can be found in “The Swedish National Agency for Higher Education's quality evaluation system 2011–2014”, published by the Swedish National Agency for Higher Education in 2011.



### **3.3.4.3 Freedom in the choice of external quality assessment body**

External evaluation is carried out by the Swedish Higher Education Authority based on qualification descriptor for each qualification awarded by the higher education institutions laid down by the Government; The Swedish Higher Education Act, 17 December 1992; Qualifications ordinance, Annex 2 to the Higher Education Ordinance, 4 February 1993; National Qualifications Framework, Published by the Swedish National Agency for Higher Education in May 2011.

### **3.3.4.4 Relations of cooperation of the accreditation body with the Ministry of Education in the accreditation process**

The Swedish Higher Education Authority is to report its assessments to the Government Offices (Ministry of Education and Research). (ref. Task of evaluating the quality of first and second-cycle programmes in higher education, Swedish Government Decision based on the Government Bill *Fokus på kunskap — kvalitet i den högre utbildningen* [Focus on knowledge – quality in higher education] (bill. 2009/10:139), which has been enacted by the Swedish Riksdag (bet. 2009/10:UbU20, rskr. 2009/10:320)

### **Conclusions**

1. Swedish HEIs do not have separate organizational structures (e.g., departments, offices) for quality assurance, but all the actors / institutional entities are involved in this process (e.g., schools, departments, president, deans, teachers, students etc.). However, in HEIs the overall responsibility for issues related to the quality of education, research and interaction with society rests on the Faculty Council. Also, within the administration there is a person appointed as quality coordinator whose function is to coordinate activities related to quality assurance occurring before, during and after the external and internal evaluation.

2. HEIs are free to organize their own quality assurance processes and how to organize / conduct this process and must take responsibility for their good development.

3. Although they have a wide autonomy in this regard, all HEIs should establish quality objectives so that they can be monitored and then to report to the government priority quality assurance measures and explain how these measures can help improve educational and research standards of the institution.

4. The evaluation process (discussions with stakeholders – teachers, examiners, students, questionnaires etc.) and the course analysis at KTH are of particular interest, especially post-analysis activities such as publishing the analysis, reporting any changes made and the reasons behind them etc.

5. At national level, the Swedish Higher Education Authority is responsible for assessing and monitoring the quality of higher education, recognition of new programmes of study, and periodic evaluation of the programmes recognized (the latter two activities are the responsibility of the Quality Assurance Department of the SHEA). Based on the evaluation of HEIs by this entity and its opinion, the institution receives or is withdrawn the right to offer qualifications at cycle I or II, and in the case of independent higher education institutions by the Ministry on the basis of recommendations of SHEA.

6. Actual external evaluation of study programmes offered by a HEI is done by the SHEA which is appointing a committee of external experts for this purpose. This committee evaluates and assesses the program according to a three-level grading scales. All evaluations



and their results are presented by SHEA to the Ministry of Education. If, as a result of the evaluation, the HEI receives the highest rating (very high quality) for the courses and programs it offers, it will receive a quality bonus when allocating funding by the government.

### **3.3.5. The National Qualifications Framework (NQF)**

#### ***3.3.5.1 The body responsible for NQF in the country***

National Qualifications Framework was Revised in May 2011 and published by the Swedish National Agency for Higher Education in 2011 under the Reg.nr 12-5202-10. The Swedish qualifications ordinance (ref. Qualifications Ordinance, Annex 2 to The Higher Education Ordinance, 4 February 1993) with its qualification descriptors, could be described as forming the backbone of a national framework for qualifications in Sweden. The Swedish NQF was elaborated on the bases of the:

- Swedish Higher Education Act, 17 December 1992
- Higher Education Ordinance, 4 February 1993
- European Qualifications Framework (QF-EHEA)

There are provided the entry requirements and cycle descriptors for each cycle: first, second and third.

There are three categories of qualifications:

1. general qualifications
2. qualifications in the fine, applied and performing arts
3. professional qualifications

The Qualifications Ordinance provides:

- the qualifications that may be awarded in the first, second and third cycles, and
- the requirements to be fulfilled for the award of each qualification (qualification descriptors). (ref. National Qualifications Framework, Published by the Swedish National Agency for Higher Education in May 2011)

The targets in the qualification descriptors are grouped under three headings, or forms of knowledge, that apply for all courses and programmes:

- Knowledge and understanding
- Competence and skills
- Judgement and approach (ref. <http://english.uk-ambetet.se>)

Independent projects are required for all first – and second-cycle qualifications. For licentiates and doctorates, a scholarly thesis or a research thesis is required. Special regulations apply for doctorates in the fine, applied and performing arts.

The Swedish Higher Education Authority issues regulations and general advice on the translation of Swedish qualification titles to English. (ref. National Qualifications Framework, Published by the Swedish National Agency for Higher Education in May 2011)

Levels that correspond broadly to degrees / qualifications in higher education: 5 – high school certificate, 6 – bachelor degree 7 – Master's degree, and 8 – doctoral degree.

#### ***3.3.5.2 Participation of universities in the development of new qualifications***

The qualifications are set by the Government, based on previous discussion held with stakeholders (HEI, business, students and the society at large).

### ***3.3.5.3 How are NQF requirements reflected in the study programs (compulsory provisions, internal control procedures, external evaluation)?***

Universities have to develop (design) study programs and their implementation process so that competences determined by the descriptors to be achieved by the student. Requirements defined will serve as criteria and indicators for the final evaluation of studies for the preparation of self-evaluation reports and external evaluation for the accreditation of the program.

A course shall have a course syllabus. The course syllabus shall indicate the following: the cycle in which the course is given, the number of credits, objectives, specific entry requirements, how student performance is assessed and any other regulations required. A study programme shall have a programme syllabus. The programme syllabus shall indicate the following: the courses that the study programme comprises, specific entry requirements and other regulations required. (ref. The Higher Education Ordinance, 4 February 1993; National Qualifications Framework, Published by the Swedish National Agency for Higher Education in May 2011)

Courses and programmes have to be evaluated on the basis of how well they fulfil the requirements laid down in the Higher Education Act and the qualification descriptors in the statutes linked to the Act. In other words, the Swedish Higher Education Authority assesses to what extent the learning outcomes achieved by the students correspond to the intended learning outcomes. The courses and programmes that have to be evaluated are those that can lead to the award of a **first-cycle** or **second-cycle** qualification. (ref. <http://english.uk-ambetet.se>)

### ***3.3.5.4. Educational standards***

Branch educational standards are not developed.

## **Conclusions**

1. The national responsibility for the Swedish National Qualifications Framework lies on the Government. In establishing, developing and modifying the NQF many stakeholders are involved: HEI, Ministry of Education and Research, Swedish National Agency for Higher Education, students, society etc.

2. Study programmes for cycle I, II and III are developed in accordance with the NQF and Qualifications Ordinance which provides a detailed description of the qualifications and requirements for obtaining them. Internal and external evaluation of study programmes offered by the HEI is also based on compliance with the qualifications described in these two basic documents.

## **3.3.6. Planning and deployment of study programs**

### ***3.3.6.1. Designing the content of study programs***

Universities in Sweden have general degree awarding powers at:

- first cycle (Higher Education diplomas – 120 ECTS and Bachelors' degrees – 180 ECTS)
- second cycle (one-year – 60 ECTS and two-year – 120 ECTS Masters' degrees) and
- third cycle (licentiate – 120 ECTS and doctoral – 240 ECTS degrees) (ref. Higher Education in Sweden, 2013 Status Report, by Swedish Higher Education Authority)

The content of study programmes and courses is developed by the initiator(s) of the programme.

All first and second-cycle study programmes shall be offered in the form of courses. Courses may be combined to create study programmes. (ref. The Higher Education Ordinance, 4 February 1993)

At KTH, for instance, content is controlled by the program learning objectives and competences the student should achieve during his/her studies, described in the Qualifications Ordinance, Annex 2 to the Higher Education Ordinance, 4 February 1993. Programme management can receive development support in writing learning objectives from the Department of Learning at the School of Education and Communication in Engineering Science.

Requirements on organization of studies, student assessment, organization and deployment of the final assessment is made the responsibility of each institution and are defined by The Swedish Higher Education Act, 17 December 1992; The Higher Education Ordinance, 4 February 1993, but also through internal arrangements.

A university or higher education institution entitled to award third-cycle qualifications shall determine the subjects in which third-cycle courses and programmes may be offered. For each subject in which third-cycle courses or study programmes are offered a general study syllabus is required. (ref. The Higher Education Ordinance, 4 February 1993)

### ***3.3.6.2. Allocation of tasks among academic structures***

In Higher Education Ordinance, 4 February 1993 is set the structure of the academic year: one academic year comprises 40 weeks of full-time study which corresponds to 60 credits.

The number of HE credits awarded for each course is determined by the amount of study normally required to attain its objectives. The HE credits awarded in higher education in Sweden can be compared to European Credit Transfer and Accumulation System (ECTS) credits. (ref. Higher Education in Sweden, 2013 Status Report).

The university establishes the beginning and the end of semesters, and vacations. It is determined the credit structure of cycle I (120 or 180 ECTS), II (60 or 120 ECTS) and III (120 or 240 ECTS) depending on qualifications to be obtained upon completion of the study program (ref. Higher Education in Sweden, 2013 Status Report). Teachers from several schools specializing in a particular field participate in the deployment of a program.

The Academic Cycle at KTH:

- Starts in early September ends in June
- 40 weeks divided into four study periods
- Examination period after each study period

### ***3.3.6.3. Internships***

Normative documents do not provide the organization of internships in HEIs. At KTH internships are not organized. This was confirmed by the Head of Administration of KTH. However, practical activities are conducted when carrying out year projects, graduation projects / theses by students, providing solving specific problems derived from the economic environment.

#### **3.3.6.4. Final evaluation on cycles**

Unless otherwise provided by the higher education institution, a grade shall be awarded on completion of a course. The higher education institution may determine which grading system is to be used.

The grade shall be determined by a teacher specifically nominated by the higher education institution (the examiner).

The number of sessions laid down shall be at least five.

Upon request, a student who has successfully completed a course shall receive a course certificate from the higher education institution. If the course certificate is awarded for studies at more than one higher education institution, the certificate shall be issued by the institution at which the student completed the course. This does not apply, however, if the higher education institutions concerned have specifically agreed otherwise. A certificate shall be accompanied by a diploma supplement that describes the study programme and its place in the educational system (ref. The Higher Education Ordinance, 4 February 1993).

At KTH, the degree project area (the course) is established by the school committee. Proposal to the degree project is given within the school. The degree project must have a course plan according to regulations in the Higher Education Ordinance. The degree project is a course consisting of 15/30 credits, which means that the degree projects must correspond to 10/20 weeks of full-time studies. The degree project may not include other courses (courses with established course numbers). The degree project can include elements such as seminars, information searching, student teaching, or other elements which the examiner or supervisor deems suitable. The degree project can be performed at KTH or externally. The degree project can also be performed abroad. The degree project are carried out individually or together with another student. If the project is done by more than one student, it is the responsibility of the examiner to ensure that every student's work corresponds to the requirements for an individual degree project.

If the degree project is performed at another university and if it equals the degree project at KTH, then credit transfer should be made. The supervisor is appointed by the examiner. More than one supervisor can be appointed. If the degree project is done, for example, at a company, a supervisor should be appointed at the company as well. The examiner should be attentive of the responsibility distribution between the examiner and the supervisors. The degree projects should be reviewed in a seminar. The degree project report should be registered within the school. Much care should be taken to how the report is formed, especially with consideration to language usage. The degree project can be written and presented in Swedish or English. A summarization should exist in both languages. The degree project report must be checked for plagiarism. The degree project must be given a grade on the scale A-F based on those KTH common evaluation criteria. The school committee decides, based on these evaluation criteria, about rules and guidelines for the degree projects area, including methods for grading.

All degree projects should be evaluated based on three KTH-common evaluation criteria; engineering-related and scientific contents, process, and presentation. The president decides about further evaluation criteria after proposal from the school. (ref. Comprehensive rules and guidelines for degree project work 15 credits, regarding Master (60 credits), 2007-07-01; Comprehensive rules and guidelines for degree project work 30 credits, regarding Master (120 credits), 2007-07-01)

Doctoral studies consist of seminars, reading and methodology courses, individual literature surveys and independent research. The thesis must describe and account for organization and results of research, be published and be publicly defended. (ref. <http://www.euroeducation.net/prof/swedco.htm>)

At KTH the grading scale A-F is used starting with 1 July 2007 (mandate 708/06). (ref. Comprehensive rules and guidelines for degree project work 15 credits, regarding Master (60 credits), 2007-07-01).

Detailed information on the final evaluation at KTH are included in the internal regulatory acts of the institution:

- Regulations for written examinations at KTH, including instructions for invigilators (proctors), Internal regulation number 6/02, Applies from 2002-06-19, Amended from 2010-10-01
- Examiners at KTH, Internal regulation no. 4/2006, Valid from 01/02/2006, Amended from 18/10/2007
- The right for students to request an extra examination, Internal instruction no. 5/03, Applies from 01/02/2003, Revised from 08/04/2005
- Regulations for schools, examiners and invigilators regarding written examinations, Appendix 1 to Decision UF-2010-0416, 30-06-2010
- Regulations for students regarding written examinations, Appendix 2 to Decision UF-2010-0416, 30-06-2010
- Handling of plagiarism in education at KTH, Internal regulations 8/2011

## **Conclusions**

1. HEIs are responsible for organizing the whole process of study, independent design of study programmes and courses, current and final evaluation procedure. It should be noted that the entire content of study programmes must comply with the learning objectives and outcomes and competencies set out in Annex 2 to the Higher Education Ordinance on qualifications, which the student must possess at the end of studies.

2. From organizational point of view, an academic year consists of 40 weeks (full-time study) and corresponds to 60 ECTS. The HEI establishes itself the beginning and the end of the academic year, of semesters, and the period and duration of holidays.

3. Teachers belonging to different schools participate in the design and implementation of a programme of study.

4. Regarding internships, their realization and obligatoriness is not provided by any regulatory act. However, practical activities are incorporated in the realization of year projects by students.

5. Each course ends with an examination accompanied by a grade. The HEI appoints a teacher (examiner) who determines and decides on the final grade. Also, the HEI organizes at least five examination sessions. Under the legislation, the student has the right to request a certificate attesting the completion of the course, but this is not practical in HEIs.

6. Studies end with the development and public defense of a diploma project, for which 10/15 ECTS credits are provided, depending on the study programme followed by the student (full-time study), which corresponds to 10/20 weeks provided for this activity. The diploma project can be done at the host institution, at a different institution or abroad, by a



single student or group of students. Students defend the diploma project individually or in groups, and each student receives a grade. The defense takes place within the school that offers the programme to which the student is enrolled. The language the diploma project is written and defended is Swedish or English.

Also important is that each paper / diploma project is checked against plagiarism.

Diploma project evaluation is based on criteria established by each school committee separately.

7. There is no strict grading system at the country level and each HEI is entitled to establish its own system. For example, at KTH, since 2001, grading is done on a scale from *A* to *F* for cycle I and II and for the cycle III, doctorate – *pass / fail*.

### **3.3.7. Employability**

#### ***3.3.7.1. The occupational framework (ISCEO). The link between the level of studies – qualification***

In Sweden the demand for graduates has been rising for a long time and statistics also show that higher education increases the possibilities of becoming established in the labour market. The total number of graduates from higher education entering the labour market in Sweden is considerably larger than the number of graduates who retire each year. In today's labour market qualifications from higher education are required for a greater number of jobs than before. The number of places offered by HEIs in Sweden must meet student demand and the needs of the labour market. The increasing focus placed on the links between higher education and the labour market and its relevance is largely the result of the increased expectations from the labour market and the influence it exerts. (ref. Higher Education in Sweden, 2013 status report)

100% of KTH graduates find a job. This however does not happen immediately after graduation. Most graduates decide to spend a year to resolve some personal interests and only then begin to look for a job according to field of study graduated. The organizers of programmes, university departments are aware of the post-graduation activity of their former students. Based on discussions held with the Head of Administration at KTH it is a culture that university graduates announce whether they have been employed or not, where, position etc.

#### ***3.3.7.2. Place of MA and Ph.D. in the occupational network***

The Swedish Higher Education Authority assesses graduates as established if they were gainfully employed in November, earn more than a specific amount and have not been students, moved abroad or had periods of unemployment during the year or been involved in labour market policy measures. Establishment is measured 12–18 months after graduation and graduates are grouped in different categories on the basis of which sector of the labour market their qualifications relate to.

The proportion varies from discipline to discipline. The largest proportion of graduates who gained a footing in the labour market had qualifications in areas such as technology, medicine and health care. Nine out of ten graduates who qualified as physicians, dentists or had Master's degrees in engineering had established themselves within 1.5 years. (ref. Higher Education in Sweden, 2013 status report)



All students at KTH follow the “undergraduate” level which includes, in the form of integrated study: cycle I – Bachelor and cycle II – Master (financed from the state budget by 95%). Although, theoretically and according to Swedish law, it is possible to graduate only from cycle I, and that graduates can be employed in the labor market, this is not practical. All graduates receive upon completion of studies, the level of “undergraduate”, a certificate / diploma (to which the Diploma Supplement is attached describing the study programme and its place in the educational system) (ref. The Higher Education Ordinance, 4 February 1993).

Regarding the employment of graduates with the title of PhD (doctor), the employment rate is also 100%. The more advanced the educational qualifications acquired, the greater the chance of establishment in the labour market. The largest proportion of PhDs to establish themselves in the labour market were those with degrees in medical subjects and also in the technological sciences. The smallest proportion were those graduating in the humanities and religious studies. (ref. Higher Education in Sweden, 2013 status report)

According to the Higher Education Ordinance, 4 February 1993, HEIs can create / establish specific full-time positions (1 unit) within the institution for students from cycle III, who obtained a doctoral studentship, to help and enable them to finish their studies and are paid for their work (about 30 000 SEK). They must dedicate themselves to their studies first, but, however, they can also carry out, to a lesser extent, educational, research, creative development and administrative tasks as well. Also, if the student in the third cycle asks, he can be employed in the higher education institution at a part-time position. In addition, if necessary for example for the company / enterprise, it can finance its employees to undertake the doctoral studies required.

More detailed information on the employment of graduates from higher education institutions in Sweden is offered in “Higher Education in Sweden, 2013 status report”, pp. 41-45.

#### *Postdoctoral positions in Sweden*

In 2005 the Swedish Research Council also established national post-doc appointments.

This programme applies to those with doctorates awarded in Sweden and abroad. The universities can therefore choose either to recruit researchers with foreign PhD's or Swedish researchers from another faculty or university. Funding from the Swedish Research Council is paid to the higher education institution that establishes a position for a fixed term of two years.

In Sweden, it is increasingly common for higher education institutions to advertise post-doc appointments themselves.

In 2008, the Swedish Agency for Government Employers and union representatives reached a new agreement on fixed-term employment as a post-doc. This agreement also allows for the employment of a postdoctoral researcher until further notice, but for no more than two years, with the opportunity for an extension if there are special circumstances. (ref. <http://www.doktorandhandboken.nu/english>)

#### **3.3.7.3. Career guidance structures**

- Higher education institutions
- Swedish Research Council
- Swedish Agency for Government Employers

## Conclusions

1. The employment rate of people with higher education varies from one area to another and is virtually 100% due to the increase in the number of jobs that require highly qualified specialists.
2. The number of study places in HEIs must meet both student demand and labor market needs.
3. To meet the expectations of the labor market that are constantly growing, a pretty big focus is on the connection and cooperation between HEIs and businesses.
4. At institutional level, each HEI collects, and there is even a certain culture that HEI graduates provide data on their employment. At national level, these data are collected by the Swedish Higher Education Authority each November, once in 12 to 18 months after graduation, and then it makes public a report on the data collected and the employment rate of graduates in different fields.
5. Employment is not recorded when finishing cycle I – Bachelor, although this is permitted by law.
6. The employment rate of graduates with the title of PhD (doctor) is 100%. Being a PhD student, such a person, by law, can handle a full-time (1 unit) or part-time (part-time) job in a HEI and the HEI, in turn, is bound to create such posts. Also, companies can finance their employees to undertake the doctorate.
7. At national level, the Swedish Research Council finances post-doctoral positions, funding given to HEI establishing such posts with a fixed term of two years, where people with doctorates awarded in Sweden and abroad can apply. Also, a postdoctoral researcher can be employed in the labor market by a company for a period of two years with the possibility to extend the contract.
8. At the state level, career guidance of graduates from HEIs is done by the Swedish Research Council and the Swedish Agency for Government Employers and, at institutional level, studies and career guidance is carried out by HEIs themselves

### 3.3.8. Teachers' workload

#### 3.3.8.1 *Planning the didactic workload*

Swedish legislation does not lay down specific rules on the workload of teachers. The law only stipulates that a teacher employed at a HEI should combine research with teaching. Institutions develop internal rules regarding the allocating of tasks, remuneration rules.

#### 3.3.8.2. *Distribution of the didactic workload*

Since 2005 Statistics Sweden has conducted a questionnaire survey every other year covering a selected population of employees (with research and teaching duties) at the HEIs. The employees, including those appointed to doctoral studentships, are asked, for instance, how they divided their total number of working hours between different tasks.

The findings of the latest survey, which covers 2011, show that 41 per cent of the total number of working hours is allocated to research and development (R&D), 22 per cent to teaching in first and second-cycle courses and programmes, 3 per cent to teaching in third-cycle programmes and the remaining 35 per cent to other tasks.

Teaching in first and second-cycle courses and programmes is mainly undertaken by lecturers and senior lecturers. The lecturers state that they devote 60 per cent of their working

hours to this teaching, the senior lecturers 42 per cent. At the same time these two categories devote fewest hours to R&D. Those who spend most of their time on R&D are researchers and post-doctoral research fellows (who are included in the group of other research and teaching staff), 70 per cent of their working hours. The professors devote 17 per cent of their time to teaching on first and second-cycle courses and programmes, 10 per cent to teaching on third-cycle programmes and 42 per cent to R&D. (Ref. Higher Education in Sweden, 2013 status report).

### ***3.3.8.3 The accounting of performing teaching and research workload***

At KTH the salary is usually negotiated.

Total workload = 1700 astronomical hours / year.

1 astronomical hour = 4 academic hours

Respectively, 1700 astronomical hours / year = 425 academic hours / year, of which 30% teaching and 70% research.

A full-time lecturer = 600 academic hours / year, which includes: lectures, laboratories, examination.

At KTH: 200 academic hours / year.

Didactic workload varies from one university to another. There are teachers who only do research, others – teaching and research.

### **Conclusions**

1. Planning and didactic workload distribution is done at the school / HEI level.
2. A teacher should combine research and teaching, but the exact percentage, the exact hours for such balance is not established. Much of this depends on the position held by the teacher. According to statistics, on average, teachers devote about 40% for research, 25% for teaching and 35% for other tasks.
3. The distribution of the didactic workload varies from one university to another and the teacher has the right to decide whether to do only research or to combine research and teaching.
4. Teachers' salaries are negotiated at institutional level.

### **3.3.9. University scientific research**

#### ***3.3.9.1 University structures involved in the organization of scientific research***

Almost two thirds of publicly funded research in Sweden is conducted at universities and other higher education institutions. Other publicly funded actors conducting research include industrial research institutes, certain sectoral agencies as well as municipalities and county councils.

#### *Universities and other higher education institutions*

In Sweden there are 34 state higher education institutions. Research and postgraduate studies are also carried out at three private education providers. The large higher education institutions conduct teaching and research in many subjects and fields, unlike smaller higher education institutions which often have established profiles in specific areas, sometimes by concentrating on subject areas of relevance to the local business sector, or in a specific scientific field.

All state higher education institutions have their own research resources and conduct research.

#### *Industrial research institutes*

Some publicly funded research is also conducted at industrial research institutes. Central government ownership is channelled via IRECO Holding AB. IRECO has completed a restructuring process and the previously 16 institutes are now combined into 3-4 larger groups of institutes.

#### *The business sector*

The business sector in Sweden invests a lot in research compared to other countries. In comparison with the other Nordic countries, Sweden has industries that are varied and high-tech. Several different sectors allocate large amounts of money to research. Particular emphasis is placed on the automotive and pharmaceutical industries, as well as on the IT and telecommunications industries.

Innovations resulting from research are playing an increasingly important role. This is reflected in a clearer mandate for the higher education institutions to work in this direction. Collaboration with the business sector plays a major role in this. (ref. <http://www.government.se/sb/d/6949/a/88166>)

In Sweden, research and third-cycle courses and programmes receive finance from:

1. Direct government funding
2. Government agencies
3. Other public funding and EU funding
4. Private funding in Sweden
5. Sources outside Sweden excluding EU
6. Financial revenues

Less than half the funding for research and third-cycle courses and programmes (47 per cent) takes the form of direct government allocations and the state channels a considerable proportion of the funding (26 per cent) through research councils (ref. Swedish Research Council – <http://www.vr.se/inenglish.4.12fff4451215cbd83e4800015152.html>) and other government agencies. Other significant sources of funding for research are private foundations and non-profit organisations. (ref. Higher Education in Sweden, 2013 Status Report, by Swedish Higher Education Authority)

Research efforts at KTH are financed via two main sources. One is government appropriation for research, the "research grant", which includes both research and postgraduate education. The other is "external funding".

About one-third of KTH's activities are financed by means of appropriations or grants. The rest are met by various sources of external funding, which are applied for on a competitive basis. After being accepted by the allocating financier, external funds are allocated directly to the proper unit or body. So far, the faculty appropriation has been distributed directly to the various units. A small percentage of it has been reserved for support of special purposes. Supportive activities common to the entire KTH are mainly financed by a "college fee", which is set by the KTH University Board.

The internal allocation of resources was subject to investigation during 2006. A new model for this, based on the KTH President requesting specific efforts from each School, is being employed from 2007 onwards. One of its aims is to improve control of our activities, both strategically and financially. This applies not least to our research, as the demands for co-financing of these from outside financiers have increased considerably. Hence the distribution of the faculty appropriation has assumed increasing importance. (ref. <http://www.kth.se/en/forskning/finansiering>)

#### **3.3.9.2. Students' involvement in the process of scientific research**

In Sweden only the Master with a duration of 60 -120 ECTS is practiced, where students are involved in applied research and finishing this level serves as a starting point for doctoral studies. At doctoral level, PhD students are 70-80% involved in research.

#### **3.3.9.3. Scientific research of the didactic staff**

The duties assigned to teaching staff may comprise educational responsibilities, research or artistic research and development, and also administrative tasks.

Higher education institutions shall employ professors and senior lecturers to undertake teaching and research. (ref. The Swedish Higher Education Act, 17 December 1992).

More than 2,200 people are engaged in research at KTH. Some 1,500 of these are post-graduate/doctoral students, about 460 are researchers or research engineers (i.e., with a doctoral or licentiate degree) and some 235 are Professors.

A researcher at KTH is associated with one of KTH's Schools. Normally, each Professor is heading a research team of doctoral students and/or other scholars, and his/her team is involved in one or more research projects, running for a number of years. (ref. <http://www.kth.se/en/forskning/forska>)

A person who has demonstrated both research and teaching expertise shall be qualified for employment as a *professor*.

Those qualified for appointment as a *senior lecturer* are a person who has demonstrated teaching expertise and been awarded a PhD or has the corresponding research competence or some other professional expertise.

*Assistants' and teaching assistants'* duties shall comprise educational tasks, administration or participation in research. (ref. The Higher Education Ordinance, 4 February 1993)

#### **3.3.9.4 Integrated research, education and business centers**

KTH Royal Institute of Technology is a research intensive university where more than 60% of the total income is research related. This funding is acquired by KTH in competition with other universities and parties. In total, approximately 25% of research income is related to international funding and national funding, where collaboration with industrial or other parties is a prerequisite. Industrial collaboration is hence an important aspect of research at KTH. (ref. <http://www.kth.se/en/forskning/research-office>)

Research at KTH's is to a large extent conducted in co-operation with companies and various societal bodies. The co-operations are often organized as competence centres, connected to a certain KTH Department, but still conducting research on its own. Most of the centres have a board, with representatives from trade, business and society. (ref. <http://www.kth.se/en/forskning/sarskilda-forskningssatsningar>), others are autonomous units di-



rectly subordinate to the KTH President. The majority of centres are maintaining close connections with industry. Some of them are also acting as liaison offices between KTH and other universities. (ref. <http://www.kth.se/en/forskning/sarskilda-forskningssatsningar/centrumbildningar-1.11756>)

### **Conclusions**

1. The Swedish government allocates approximately two thirds of public funds to HEI research activities and other sources come from government agencies, other public funding and EU funding, private funding, sources outside Sweden, except EU, and financial revenues. Other public funds intended for research are directed by the government to industrial research institutes, some sector agencies as well as municipalities and county councils.

2. In HEIs, funding of research, doctoral courses and programs comes from: 47% direct government allocations and 26% through research councils and other government agencies.

3. HEI themselves decide on the internal allocation of financial resources for research and doctoral programs.

4. In order to carry out research a crucial role is played by the collaboration of HEIs with business for technology transfer and innovation purposes.

5. Students are actively involved in applied research activities and at doctoral level they allocate 70-80% of their time to research.

6. Teachers in HEI carrying out research activities are usually associated with a school, each teacher leads a research team comprised of PhD students and / or other scientists and the whole team works on long term research projects.

7. The collaboration of HEIs with the business environment is an important aspect of research and is an essential condition for HEIs. This collaboration is often organized as competence centers associated with the departments of HEIs, which are autonomous units led by a board whose members are representatives of the field of trade, business and society, and they report to the President of HEIs. Another role of these competence centers is to facilitate collaboration, connection between HEIs.

### **3.3.10. The doctorate**

#### ***3.3.10.1. The right to offer doctoral studies***

Courses and programs in cycle III are offered by universities and university colleges which were granted the right to award / offer qualifications for the third cycle.

Decision on granting the right to offer third cycle qualifications is done by the Swedish National Agency for Higher Education under the new rules applied from 2010.

As the accountable authority, the Government shall establish higher education institutions for the provision of:

- courses and study programmes, and
- research and artistic research and development as well as other forms of development activities.

The operations of higher education institutions shall be organised to ensure that there are close links between research, and courses and study programmes.

The following general principles shall apply to research:

- research issues may be freely selected



- research methodologies may be freely developed, and
- research results may be freely published.

### **3.3.10.2 Doctoral Schools**

Research at KTH is organised in five Research Platforms, designed to break down traditional barriers between academic disciplines. The goal is to deliver practical results that can help solve overarching global challenges. KTH's five Research Platforms are organised to deliver focussed, results-oriented study that meets the needs of governments and industries grappling with unprecedented threats — as well as promising new opportunities. (ref. <http://www.kth.se/en/forskning/forskningsplattformar>)

### **3.3.10.3 Completion of studies, conferring of degrees**

#### *Supervision*

At least two supervisors shall be appointed for each doctoral student. One of them shall be nominated as the principal supervisor. Doctoral students are entitled to supervision during their studies unless the vice-chancellor has decided otherwise. A doctoral student who so requests shall be allowed to change supervisor.

#### *Individual study plans*

An individual study plan shall be drawn up for each doctoral student. This plan shall contain the undertakings made by the doctoral student and the higher education institution and a timetable for the doctoral student's study programme. The plan shall be adopted after consultation with the doctoral student and his or her supervisors.

The individual study plan shall be reviewed regularly and amended by the higher education institution to the extent required after consultation with the doctoral student and his or her supervisors. The period of study may only be extended if there are special grounds for doing so. Such grounds may comprise leave of absence because of illness, leave of absence for service in the defence forces or an elected position in a trade union or student organisation, or parental leave.

#### *Entitlement to supervision and other resources*

If a doctoral student substantially neglects his or her undertakings in the individual study plan, the vice-chancellor shall decide that the doctoral student is no longer entitled to supervision and other study resources. Before such a decision is made, the doctoral student and the supervisors shall be given an opportunity to make representations. The case shall be considered on the basis of their reports and any other records available. The assessment shall take into account whether the higher education institution has fulfilled its own undertakings in the individual study plan. A written record of the decision shall be made, which is to include reasons for the decision.

Resources may not be withdrawn for any period in which the third-cycle student has been appointed to a doctoral studentship or is receiving a doctoral grant.

If study resources have been withdrawn pursuant to Section 30, the doctoral student may, on application to the vice-chancellor, recover his or her entitlement to supervision and other resources. The doctoral student must then demonstrate convincingly, by presenting prospective study results of considerable quality and scope or in some other way, that he or she can fulfill his or her remaining undertakings in the individual study plan.

*Examination grades*

Examinations that form part of third-cycle courses and study programmes shall be assessed in accordance with the grading system prescribed by the higher education institution.

The grade shall be determined by a teacher specially nominated by the higher education institution (the examiner).

*Public defences and grading doctoral theses*

The doctoral thesis shall be presented and defended orally in public. A faculty examiner (*opponent*) shall be appointed for this presentation.

At least one of those participating in the grading of a doctoral thesis shall be someone who does not have a post at the higher education institution awarding the degree.

A higher education institution may issue regulations on the grading system to be used and on public defences and grading in other respects. (ref. The Higher Education Ordinance, 4 February 1993)

The **actual period of study** stipulated for third-cycle programmes (the time devoted to third-cycle study) is four years for a PhD and two years for a licentiate degree.

The average length of time spent on these studies is, however, just under 4½ years for a PhD and just over 2½ years for a licentiate degree.

*Licentiate examination or the public defence of a doctoral thesis*

For a Licentiate or PhD, students are required to have passed the tests that are a part of the postgraduate programme and have written an academic thesis or thesis that has been accepted.

To be awarded a PhD, students must pass the courses that are included in the doctoral programme and have written a thesis corresponding to at least 120 higher education credits that has been given a pass grade.

*Requirements prior to the public defence*

1. **Printing the thesis**
2. **Posting of the thesis**
3. **Press release**

*Public defence of a doctoral thesis*

Supervisors should ensure that the thesis is good enough to be approved before the student is recommended to defend it.

The defence of the thesis is oral and public.

***One opponent***

According to The Higher Education Ordinance a faculty examiner (*opponent*) shall be appointed for this presentation.

The opponent should have good command of the thesis topic and study the thesis in detail. If the opponent comes from another country and is not certain about the Swedish educational system, it is the duty of the chairman to inform him or her about what requirements and expectations are entailed.

The opponent and/or in some cases the student gives a general overview of the topic with a description of how the thesis can contribute to knowledge in the field and a presentation of its contents.

Then there is a discussion, with the opponent offering questions and views on the scientific relevance, methods and results and the student then orally defending his or her thesis in relation to the questions raised by the opponent.

### ***Question session***

The members of the examination board then have the opportunity to ask the student questions. The floor is then opened up to the audience, with the public having the right to ask the student questions in the order determined by the chairman. Students always have the right to express themselves in Swedish or English.

### ***After the public defence or examination***

### ***The examination board***

The examining board consists of three or five members, who have to be professors or qualified for appointment as professors, although not necessarily active in the same field as the doctoral student. The board decides whether to award the doctoral thesis a pass grade or not.

The examining board is appointed by the faculty on the recommendations of subject representatives at the higher education institution. Normally the majority of the members of an examining board are recruited from other higher education institutions. At least one must come from another higher education institution. The members should not have unduly close relationships to the student submitting the thesis or the student's supervisors. The student's supervisor may not be a member of the board, unless there are exceptional grounds for this.

The faculty examiner and the supervisor are entitled to attend the meetings of the board. They may take part in discussions but not in decisions.

Normally, theses are awarded either a pass or fail.

### ***Degree certificate***

Students awarded a PhD or Licentiate degree will be given a degree certificate from their higher education institution upon request.

### ***The Licentiate degree***

A Licentiate degree of 120 higher education credits with an academic essay or thesis corresponding to 60 higher education credits may be a degree in its own right or a stage in the programme leading to award of a PhD.

Writing a Licentiate thesis naturally takes extra time, but many people find that in return the time is used more effectively after getting the Licentiate; taking notes becomes more systematic, and students have the training to write and an understanding of how much time it requires.

For students who do not complete their doctoral studies for some reason, the Licentiate degree is valuable proof of what they have achieved. The Licentiate degree is also recognised in the private sector.

### ***Licentiate seminar***

The Ordinance does not stipulate how the academic essay is to be examined, but it is customary that students seeking a Licentiate degree hold a seminar and discuss their work. Listeners can present their views and any criticism – it is like a mini-defence.

There must be an examiner who studies the essay, but in many instances there is an opponent as well as a more or less official examination board.

#### **3.3.10.4 Postdoctorate, *habilitate***

Postdoctoral research, as a post-doc, offers newly qualified PhD's the chance to acquire further research experience. The most usual thing is to find a post-doc position at a university or research institute abroad.

After obtaining a PhD, it is possible to undertake a postdoctoral period to acquire further experience and qualifications. However, there is a lot of competition for postdoctoral financing and most post-docs finance their studies through grants, which is the form of financing that has the poorest social safety net.

The majority of postdoctoral positions are financed through stipends.

Most post-doc stipends are awarded by the Swedish Research Council. The Swedish Research Council finances post-doc stipends in the areas of the Humanities and Social Sciences, Medicine, Natural Sciences and the Technological Sciences and Educational Sciences.

The stipends are valid for at least six months but no more than two years, and are announced twice per year. They are tax-free and are calculated on the basis of the general cost of living in the relevant country.

There are also a large number of other stipend donors, both large and small, private and public. The Bank of Sweden Tercentenary Foundation, for example, only provides support at post-doc level and above. Another major post-doc stipend donor is the Wenner-Gren Foundations.

### **Conclusions**

1. HEIs are established with the consent of the Government and their main purpose is to provide educational programs and organize research activities for all levels of education.

2. All universities and university colleges may offer programs and courses at third cycle – doctorate, only if this right was granted by the Swedish National Agency for Higher Education.

3. Aspects related to doctoral studies (designing programs, choosing problems to be investigated, research methodology, publishing research results etc.) are the choice of HEIs.

4. Doctoral studies and research are organized within research platforms in order to provide studies focused on outcomes and to meet the needs of governments and industries.

5. Each PhD student: must have at least two supervisors (one main supervisor); is entitled to change the supervisor; shall draw up a work plan to guide upon and to follow it the entire period of his doctoral studies; is entitled to all the resources of the HEI needed to achieve the research targets. The supervisor is appointed by the HEI. In some cases, the Vice-Rector of the HEI decides whether the PhD student is entitled to supervision.

6. Courses and study programmes in cycle III end with the exam and the HEI decides on the grading system to be used (e.g. at KTH – pass / fail). The grade is determined by the examiner (a special teacher appointed by the HEI) appointed by the faculty / school.

7. Defending of the PhD thesis is done orally and in public. The HEI decides on the evaluation, grading and defence procedure.

8. For the defence, the faculty / school appoints an opponent, a person with knowledge in the respective field, and a committee for the examination of the thesis and defence.

9. The examination committee of the thesis includes 3-5 members, professors, although not necessarily in the same field as the PhD student. Typically, they are recruited from other HEIs or at least one must be from another HEI. The supervisor and the opponent cannot be part of this committee, although they can participate in committee meetings, and cannot make decisions. Only the committee makes decisions regarding thesis' evaluation / grading and awarding of the doctoral degree.

8. There are two types of general qualifications that are awarded at Cycle III: Licentiate (120 credits) and Doctor of Philosophy (240 credits). Students who were awarded the title of PhD or Licentiate will be issued a certificate / diploma by the HEI.

9. Persons who have already obtained a PhD degree can continue their post-doctoral studies to gain experience and further qualifications. Studies and postdoctoral positions are funded through grants / scholarships by the Swedish Research Council, which are provided for at least six months but not more than two years, and are announced twice a year. Post-doctoral studies are usually done abroad.

### **3.4. Denmark**

#### **3.4.1. Establishment and termination of study programs**

##### **3.4.1.1. Levels in higher education**

In Denmark there are four types of institutions providing higher education programs, and each has its own specific profile and level [2; part. 2; 7, p. 8]:

- Academies – provide higher professional education such as business, technology, IT. Programs are 90 and 120 ECTS. Academies are highly specialized [22, tab. 1 and tab. 2]
- University colleges and specialized colleges – provide professional Bachelor programs of 180-240 ECTS. Programs are focused on practical activities and include more long-term internships in companies.
- Universities – provide higher education programs based on research: Bachelor's degree programmes comprising 180 ECTS credits, Master's (candidatus) degree programmes comprising 120 ECTS credits, PhD degree programmes comprising 180 ECTS credits [7, p. 4]. One year of full-time study corresponds to 60 ECTS points. Universities are accountable to the Ministry of Research, Technology and Innovation.
- Institutes of university level – they are within the Ministry of Culture, provide studies in the respective field of the first, second and third level.

According to [3. p.3 a. (1)] in collaboration with one or more foreign universities, the university may offer degree programmes abroad, in whole or in part. The individual components of the degree programmes are to be completed at the university and at one or more of the foreign partner universities. The components completed at the foreign universities may be elective or mandatory. If the entire degree programme is completed abroad, the university may allow the foreign university to offer the programme, if this takes place in collaboration with the Danish university.

According to [3, p.5] the university may offer the following research-based educational activities as part-time programmes of study, Part-time Master's degree programmes (Masteruddannelse), Other further and continuing education programmes, Supplementary stud-



ies undertaken in order to meet the admissions requirements for a Master's (candidatus) degree programme. The part-time study programmes offered by a university may also include all the degree programmes it is authorised to offer on a full-time basis, single subjects from these and courses in specific fields of study.

The minister lays down general rules governing education, including forms of assessment, examinations and external examination; titles awarded in connection with degree programmes; and on admission to and enrolment into degree programmes. The minister lays down specific rules regarding appeals of decisions connected with tests and examinations, including rules to the effect that reexamination and reassessment may result in a lower grade.

#### ***3.4.1.2 Introduction of study programs at cycle I***

The initiative to create a new program usually comes from a teacher or a group of teachers forming the program team. At the faculty there is a person with legal experience in the field of legal educational regulations who helps the team to create the package of documents. The dean signs the package after rigorous judicial scrutiny. The program is approved by the dean, and then it is subject to evaluation at the Academic Council level.

#### ***3.4.1.3. Introduction of study programs at cycle II***

Drafting and approval of the Master programs lies totally on university's competences [8].

#### ***3.4.1.4. Introduction of study programs at cycle III***

According to [9, art.1-4]: the PhD programme is a research programme aiming to train PhD students at an international level to undertake research, development and teaching assignments in the private and public sectors, for which a broad knowledge of research is required. The PhD programme mainly comprises active research training under supervision. The ministerial order [9] applies to PhD programmes at the universities and at the higher artistic educational institutions under the Ministry of Science, Innovation and Higher Education.

The institutions may award the PhD degree within fields within which they carry out research and within which they have set up a PhD school, either independently or in cooperation with other institutions covered by the ministerial order. The PhD degree is awarded to students who have successfully completed the PhD programme and successfully defended their PhD thesis. The PhD programme is equivalent to 180 ECTS points and normally takes the form of full-time studies; however, the institutions may lay down rules providing for part-time studies.

The university may collaborate with foreign universities in order to offer degree programmes in the context of Erasmus Mundus EU study programmes whereby the individual components of the degree programme are completed at the university and at one or more of the participating foreign universities subject to agreement between the universities in question (Erasmus Mundus Master's degree programmes).

#### ***3.4.1.5. Language of instruction***

The language of instruction in higher education institutions is Danish. Some programs are taught in English but they are paid. These programs are intended primarily for foreign students in mobility [35].



Danish legislation provides for offering a wide range of programs offered abroad by Danish universities with and without cooperation agreements with universities in these countries, joint programs, Erasmus-Mundus programs and programs within off-site institutions [3].

#### **3.4.1.6 Programs offered abroad**

According to the University Act [3, art. 8] universities in Denmark have the right to provide research-based educational programs for all three levels outside the country as well. Programs can be complete or partial. These programs are offered in consortium with other local universities or independently. University's responsibilities, rules of organization of extensions and quality assurance are specified in details in the order of the Minister [5, 6].

#### **Conclusions**

1. Four types of higher education institutions: professional academies; colleges that offer professional undergraduate programs; universities that offer programs at three levels – bachelor, scientific master and PhD; university institutes specialized in arts. Universities can provide full-time and part-time programs, can form foreign subsidiaries jointly or independently. A new state institution is established by Government decision.

2. The ministry lays down general rules governing education, including forms of assessment, examinations and external examination; titles awarded in connection with degree programmes; and on admission to and enrolment into degree programmes. The initiative to create a new program usually comes from a teacher or a group of teachers forming the program team. At the faculty there is a person with legal experience in the field of legal educational regulations who helps the team to create the package of documents. The dean signs the package after rigorous judicial scrutiny. The program is approved by the dean, and then it is subject to evaluation at the Academic Council level.

3. Drafting and approval of the Master programs lies totally on university's competences.

4. The PhD programme is a research programme aiming to train PhD students at an international level to undertake research, development and teaching assignments in the private and public sectors, for which a broad knowledge of research is required. The institutions may award the PhD degree within fields within which they carry out research and within which they have set up a PhD school, either independently or in cooperation with other institutions covered by the ministerial order.

5. At all programs, studies are in national language. In parallel, programs can be established with the use of English, especially at the Master's and Doctorate level at the institution's decision.

6. Universities in Denmark have the right to provide research-based educational programs for all three levels outside the country as well.

#### **3.4.2. Admission to studies**

In accordance with the University Act of Denmark [3, art. 8a] for degree programmes offered by the universities, the minister may lay down rules requiring that communication between the university and enrolled students, including PhD students, as well as applicants to the university's degree programmes must take place digitally, in full or in part. The minister may also lay down rules prescribing obligatory use of a specific digital system and

secure identification. The minister may lay down rules requiring that students' evaluations of the instruction they receive must be published on the university's website.

**3.4.2.1. Procedures for admission to Cycle I – Bachelor. Commitment of the Government concerning the admission**

Access to higher education programs at the first cycle, Bachelor, have graduates of upper secondary school (usually after 12 years of study). Access also depends on specific requirements: such as, the particular combination of subjects taken at school or the level of grades / marks. At some programs there may be provided entrance exams / aptitude tests [3].

Admission capacity: According to the rules on free education, it is the responsibility of the university to decide how many students it wants to admit at each Bachelor program, except when the Ministry of Science sets an annual limit for admission (see art. section 4 of the Act of University). For study programs with free contribution, the university establishes the admission capacity, based on the possibility to provide quality teaching based on adequate research using qualified teachers and sufficient research base. In this context, the university should also consider that the number of admitted students must be in accordance with the needs of society. Applicants with a master's degree (Candidatus) may be admitted at an undergraduate program only if there are vacant places.

Admission to an undergraduate program requires: prior completion of upper secondary education, compliance with specific requirements for admission regarding the grades (level grades: A, B, C), and compliance with all requirements of the degree. In addition, admission may require the applicant to pass an entrance examination in accordance with rules established by the university [7, art. 2, 4].

Specific admission requirements are set by the Ministry of Research / Ministry of Education on the recommendation of the university. Any new specific requirements regarding admission are notified, made public at least two years before the entry into force.

Conditions for admission to universities in Denmark are quite flexible [7, art. 5, 6, 7] and have the purpose to be enrolled to study all those who are able to complete an undergraduate program. At places where there are more applicants a competition is organized on quotas – three categories of candidates. Quotas are set by the university.

Organization of admission – Application and registration procedures are established by the Ministry of Research in accordance with the requirements determined by the university [7, art. 23]. Application is online. Some institutions may make the registration by themselves, but under the control of the Ministry.

Applications for admission through basic quotas shall be submitted electronically via the admissions portal [www.optagelse.dk](http://www.optagelse.dk), unless the university has accepted that applications may be submitted in other ways, cf. the ministerial order on digital communication in connection with applications for admission to higher education programmes [7, art. 14].

Applications for admission may be made to up to eight of the admission areas appearing from the admissions portal [www.optagelse.dk](http://www.optagelse.dk).

The applicant shall submit the application form and enclose documentation for the basis for admission to the educational institution(s) to which the applicant wishes to apply in order of priority. Where the applicant has not received a certificate etc., documentation for the basis for admission shall be enclosed with the application at the admissions portal [www.optagelse.dk](http://www.optagelse.dk).

optagelse.dk prior to the expiry of the deadline for application or by a later deadline fixed by the university at the latest.

Applications for admission through special quota (candidates with problems) shall be made in accordance with rules laid down by the university and published on the university's website.

A student, during his/her studies, may require switching to another undergraduate program at the same or another university. Transfer documents from the same undergraduate program to another university shall apply for admission under the rules outlined in [7, art. 28]. The same conditions apply to applicants who have previously been enrolled in a program without completing it and wishing to be admitted to the same program or another undergraduate program at the same university or another university.

#### **3.4.2.2. Procedures for admission to Cycle II and III**

The ministerial order [8] shall apply to admission requirements, admission, enrolment and leave concerning master's (candidatus) programmes (*kandidatuddannelser*).

The university may enroll students in a Master's degree programme and a PhD degree programme concurrently.

Admission to a master's (candidatus) programme shall require a relevant bachelor degree or other relevant Danish or foreign qualifications at the same level. The admission requirements for the individual master's (candidatus) programme shall appear from the curriculum for the programme. Any introduction of stricter admission requirements shall be subject to a minimum notice of one year before coming into effect.

Under special circumstances the university may register students who are admitted to and enrolled on a bachelor programme for subjects, subject elements and tests totalling up to 30 ECTS credits on a master's (candidatus) programme where the university deems that the student has the academic competencies to complete and pass the bachelor programme and, at the same time, take subjects or subject elements on the master's (candidatus) programme.

The admission requirements for the individual master's (candidatus) programme shall be laid down by the university. Further, the university shall decide on the application and admission procedure, including deadlines, and publish relevant information on its website.

If a study program or many parts of it are offered in English, the applicant must document English language skills with at least a B level before starting the program [8, art. 6].

For study programs with free contribution, the university establishes its admission capacity, taking into account the possibility to provide appropriate research-based teaching using skilled teachers and respective capabilities. In this context, the university must also take into account that the number of admitted students must be in accordance with society's need for education in the relevant subject. The Ministry sets quotas only for specialties related to medicine, dentistry, veterinary medicine [8, art. 8, 9, 10]. Organization of admission to Masters is all about university's power.

Admission to the PhD programme is based on a Master's degree or equivalent [9]. The university may decide to let the PhD programme start in connection with a Master's programme; however, it must be ensured that the entire study programme has the scope and level described. The university lays down rules thereon. The institution decides who is to

be admitted as PhD students. The institution's rules must stipulate the criteria on which admission is based. The PhD student is enrolled administratively on the PhD programme.

#### **3.4.2.3. Admission of foreign students**

Admission of foreign applicants is done based on national studies documents nostrified by the Danish Agency for Evaluation of foreign qualifications (Lov om af vurdering udenlandske uddannelseskvalifikationer [7, art. 3, 21]). Admission rules for foreigners are more complicated: there shall be assessed their knowledge of the Danish / English language and professional skills [7, art. 8].

#### **3.4.2.4. Formation of contingent**

Formation of the contingent of students is entirely the responsibility of the internal structures of the university. Professional orientation activities, recruitment of local and foreign students is one of the duties of each department.

### **Conclusions**

1. The Government approves quota for admission to study programs depending on the capacity of university structures to ensure quality education based on research.

2. Admission to an undergraduate program is done based on general requirements (completion of upper secondary education with a certain level of grades and specific requirements formulated by the university and approved by the ministry (the average grade or level of grades in certain subjects, passing an admission examination or aptitude test). Any new specific requirements regarding admission are notified, made public at least two years before the entry into force. Application is online. The purpose of the admission is to enroll to study all those who are able to complete an undergraduate program. There are prescribed general rules of transition from one program to another, switching to another university, return to studies.

3. The specific conditions for admission to the MA and PhD are determined by university at the level of study program. Organization and admission procedures are the responsibility of the university.

4. Admission of foreign students is carried out by universities' admissions committees. Not quotas are imposed on admission. Specific requirements for foreign applicants refer to the knowledge on the Danish / English and specialized skills.

### **3.4.3. Recognition of studies and qualifications**

Danish legislation on assessment and recognition academic and professional recognition of foreign qualifications in Denmark is governed by various regulations [16-18]

Assessment of foreign qualifications: Consolidated Act No. 371 of 13 April 2007. On the basis of the Act, the following ministerial orders have been made. Order No. 602 of 25 June 2003.

The Assessment of Foreign Qualifications Order has been amended by: Qualifications Board Order no. 447 of May 2007.

Professional recognition: Consolidated Act No. 189 of 12 February 2010.

On the basis of the Act, the following ministerial order implements parts of the European Directive 2005/36/EC on the recognition of professional qualifications: Order No. 575 of 1 June 2011 on the recognition of professional qualifications etc.

The coordinating function for the implementation of the European Directive is handled by the Danish Agency for universities and Internationalization (hereafter the Agency). As the coordinating authority, the Agency is responsible for coordinating the competent public authorities' activities and for ensuring that the Directives are implemented in a uniform manner in the vocational areas and professions in question.

#### ***3.4.3.1 Recognition of study periods undertaken abroad***

The rules for the recognition of study periods done abroad and obtained ECTS credits are included in the curriculum of the study program [33, art. 5.2; 34, art. 5.2; 35, art. 17.1]

#### ***3.4.3.2 Recognition of documents of studies done abroad***

The procedures for recognition of foreign qualifications are regulated by and founded on the Assessment of Foreign Qualifications Act, adopted by the Danish Parliament in 2007. The objective of the Act is: "to secure access to have foreign qualifications assessed with a view to easing access to the Danish labour market and the Danish education system and to improve the possibility of obtaining credit and foreign qualifications within a Danish programme of education" (Part One of the Consolidation Act).

It is up to the individual employers to decide whether they can use the educational qualifications and the occupational experience achieved outside Denmark. In addition, the assessment of foreign qualifications can serve the purpose of obtaining admission to vocational training, upper secondary education and to higher education. It is the general rule that the individual educational institution decides on the admission of applicants with foreign qualifications. The educational institution must, however, use any assessment of foreign qualifications by the Agency as a basis, when deciding whether the foreign qualification satisfies the general entry requirements.

### **Conclusions**

1. The rules for recognition of credits and periods of studies done in another university in the country or abroad shall be determined by the university and are component parts of the respective curricula of study programs.

2. The procedures for recognition of foreign qualifications are regulated by the Assessment of Foreign Qualifications Act. The objective of the Act is: "to secure access to have foreign qualifications assessed with a view to easing access to the Danish labour market and the Danish education system". It is up to the individual employers to decide whether they can use the educational qualifications and the occupational experience achieved outside Denmark.

#### **3.4.4. Accreditation of study programs**

The University Act [3, art. 3] provides: the university is free to decide which research-based degree programmes it wishes to offer in Denmark within its academic scope. The programmes offered must be accredited by the Accreditation Council (see the Act on the Accreditation Agency for Higher Education [16]). Special cases in which some components of a degree programme are offered at a foreign university (off-site instruction) are also considered courses offered in Denmark under the first sentence above. The Minister of Science, Technology and Innovation (MSTI) stipulates the exact rules regarding off-site instruction.



If an existing degree programme at a university is not accredited or loses its accreditation (see [16, section 10] of the Act on the Accreditation Agency for Higher Education), the university in question may not admit students to the degree programme. In such cases, the Minister is responsible for determining a plan to allow students already enrolled in degree programmes referred to in the first sentence above to complete their studies. In this context, the Minister may direct other universities to admit these students or take over the responsibility for their studies at the university in question.

At present, after the first external evaluation and accreditation of study programs, it is examined the issue of transition to evaluation of program clusters and universities as a whole (it is a general trend for EU countries). Separate assessment of study programs will probably be entrusted to university as internal accountability.

#### ***3.4.4.1. Internal quality assurance structures***

The structure and functions of the continuous quality assurance system are predetermined by criteria set out in The University Act [3, Article 3], and Ministerial Order “Criteria for the Relevance and Quality of University Study Programmes and on Procedures for Approval of University Study Programmes” [17, chap. 5] (Continuous internal quality assurance of the study programme). The institution providing study programs must demonstrate that it has:

- Policy and procedures for quality assurance.
- Approval, monitoring and periodic review of programmes and awards (cf. the University Act, [3].).
- Assessment of students (cf. the Examination Order [6a], the Grading Scale Order[6b].
- Quality assurance of teaching staff (cf. the Order on Admission and Enrolment [9]).
- Learning resources and student support (cf. the Order on Admission and Enrolment [6]).
- Information systems.
- Public information (cf. the Act on Transparency and Openness in Education)

As an example can be examined the quality assurance structure of Aalborg University [30].

#### ***3.4.4.2. Methodology, evaluation criteria, procedures***

For external evaluation and accreditation of study programs (existing and new ones) there was created in 2007 the Accreditation Agency for Higher Education (AAHE) [16, article 1]. The agency was created by the Ministry MSTI as independent public body and consists of the Accreditation Council (AC), the Council Secretariat and the Academic Secretariat with evaluation functions.

For an existing program, the Academic Secretariat (AS) forms an Accreditation Panel of relevant experts including foreign guests. Based on the results presented by the Panel, AS drafts the assessment report. The validity period of accreditation is determined by the AC, usually 4-5 years.

For new programs, AS drafts an evaluation report based on the documents submitted by the institution. In some cases the Council may decide to form an evaluation panel.

Accreditation is mandatory for all programs. State institutions’ accreditation is the basic criterion for funding from the budget [9, art. 3 (1)].



Program's external evaluation procedures and quality and relevance criteria are approved by order of MSTI [16, Appendix 1]. Evaluation is based on five fundamental criteria:

1. Demand for the study programme in the labour market;
2. The study programme must be based on research and connected with an active research environment of high quality;
3. Academic profile of the study programme and learning outcome targets;
4. Structure and organisation of the study programme;
5. Continuous internal quality assurance of the study programme.

A detailed description of the performance criteria and the stages of external evaluation and accreditation procedures of existing and new programs, can be found in "Guidelines on application for accreditation and approval of existing university study programmes" [4c] and "Guidelines on application for accreditation and approval of new university study programmes" [4d].

The Accreditation Council makes decisions concerning accreditation, conventional accreditation or non-accreditation. The Council consists of the Chairman, appointed by the Minister and eight members appointed at the proposal of MSTI (3pers.), MEd (3pers.), MCult (1 pers.), Students Association (1 pers.). Eligibility period – four years, the student – one year.

The Council developed criteria for relevance and quality of study programs, which were approved by order of MSTI [3]. Based on these criteria, from 1 January 2010, all higher education programs offered by the ministries mentioned above are evaluated.

The Council makes decisions based on the report prepared by the operators appointed by the Council for programs provided by institutions subordinated to MSTI or by the experts of the Danish Institute for Evaluation (EVA).

In Denmark the process of accreditation of institutions started. Repeated evaluation and accreditation of programs will entrust universities. Only new programs shall be subject to the accreditation procedure.

#### **3.4.4.3. Freedom in the choice of external quality assessment body**

Regarding higher education programmes under the Ministry of Science, Technology and Innovation: ACE Denmark prepares the accreditation report, and the Accreditation Council makes the accreditation decision. Due to academic considerations or in order to test the competitiveness of ACE Denmark, the Accreditation Council *may decide to use an internationally recognised institution other than ACE Denmark for the preparation of accreditation reports*. On its own initiative or following a request from a university, the Council may furthermore base its accreditation decision fully or partly on an accreditation report from another internationally recognised institution, to the extent that the report is prepared in accordance with the criteria for quality and relevance laid down by the Ministry.

#### **3.4.4.4. Relations of cooperation of the accreditation body with the Ministry of Education in the accreditation process**

The Ministry appoints the Director of the Accreditation Agency, approves the criteria for relevance and external evaluation procedures of the study programs. The Accreditation Council organizes the external evaluation, makes decisions concerning accreditation. The Ministry decides on the continuation or termination of funding of nonaccredited programs of state universities or termination of the activity of nonstate institutions.

## Conclusions

1. The structure and functions of the continuous quality assurance system are predetermined by criteria set out in The University Act, and Ministerial Order “Criteria for the Relevance and Quality of University Study Programmes and on Procedures for Approval of University Study Programmes”.

2. For external evaluation and accreditation of study programs (existing and new ones) there was created the Accreditation Agency for Higher Education by the Ministry MSTI as independent public bod. Program’s external evaluation procedures and quality and relevance criteria are approved by order of MSTI. Evaluation is based on several fundamental criteria: demand for the study programme in the labour market; the study programme must be based on research and connected with an active research environment of high quality; continuous internal quality assurance of the study programme.

3. On its own initiative or following a request from a university, the Council may furthermore base its accreditation decision fully or partly on an accreditation report from another internationally recognised institution, to the extent that the report is prepared in accordance with the criteria for quality and relevance laid down by the Ministry.

4. The Ministry appoints the Director of the Accreditation Agency, approves the criteria for relevance and external evaluation procedures of the study programs. The Accreditation Council organizes the external evaluation, makes proposals, and the Ministry decides on the continuation or termination of funding of state nonaccredited programs or termination of the activity of nonstate ones.

### 3.4.5. The National Qualifications Framework (NQF)

#### 3.4.5.1. *The body responsible for NQF in the country*

A qualifications framework for higher education has been implemented in Danish accreditation legislation. Denmark has had a national Qualifications Framework for Higher Education since 2003. The framework has been widely implemented and used by institutions of higher education.

The qualifications framework has been revised on the basis of evaluations of the knowledge and practical experience gained by the higher education institutions having implemented the framework. Approved by the Minister of Education and the Minister for Science, Technology and Innovation, the present qualifications framework [22] came into force on 1 July 2008. The qualifications framework has been certified and found compatible and in alignment with the overarching framework of qualifications for the European Higher Education Area, the Bologna Framework. This means that, from 2010, Danish institutions can refer to a level in the Bologna Framework in the Diploma Supplement.

The qualification framework is part of the Danish framework for lifelong learning, which is a comprehensive, systematic overview of officially approved degrees and certificates that can be taken in the Danish education system. Degrees and certificates are graded at the 8 levels on the basis of the knowledge, skills and competences achieved on the education programme. For example, vocational degrees, diploma degrees and master degrees are graded at levels 5-7. Certificates are awarded in the rest of the education system. Certificates are graded at levels 1-5.

The Danish qualification framework is comparable with EQE. This makes it easier to understand, compare and recognise qualifications across Europe.

National Qualifications Framework of Denmark [22] includes 8 levels of qualifications, four of them relate to higher education: Academy Profession level (5), Bachelor's level (6), Master's level (7), PhD level (8). These levels are presented in terms of descriptors: Knowledge and understanding, Skills, Competences. In the second part of the Qualifications Framework are presented descriptors / general requirements: Knowledge field, Understanding and reflection level, Type of skills, Evaluation and decision-making, Communication, Action space, Collaboration and responsibility and Learning for ordinary degrees of the Danish higher education. There are also defined the limits for the period of education expressed in ECTS, admission requirements, the prospects for further education, type of institution offering these degrees.

In [23, Chapter 4] is presented the Danish system of adult education and qualifications that can be achieved at all levels of education. The purpose of these programs is to complete studies of adults or training specialists in narrow fields required by the labor market.

NQF [5b tab. 3] defines the generic descriptors for three types of degrees offered by the higher education system for adults (Academy Profession Degree, Diploma Degree, Master Degree).

The Coordination Point for the EQF was set up under the auspices of the Danish Agency for International Education. The Danish Coordination Point is responsible for ensuring transparency between the NQF and the EQF and ensuring access to information about Danish qualifications and their referencing in relation to the EQF.

The national guidance portal ([www.uddannelsesguiden.dk](http://www.uddannelsesguiden.dk)) contains a database with information about all publicly validated education programmes and qualifications in Denmark, including type, duration, credit points, providers, admission requirements, detailed information about programme aims, content, structure and examinations, further education possibilities and typical job or employment possibilities.

#### ***3.4.5.2. Participation of universities in the development of new qualifications***

The inclusion of certificates and degrees into the NQF is based on an assessment of the learning outcomes that the individual degree/certificate documents in relation to the level descriptors of the framework [23, p. 5.4.2 ].

The assessment of new qualifications is to be based on one of the two principles: **best fit** – is used when referencing qualifications at levels 1-5 in the NQF. This applies to both certificates for qualifications and certificates for supplementary qualifications; **full fit** – is used when referencing qualifications at levels 6-8 in the NQF. The learning outcome of a qualification must correspond to the level descriptor, in terms of knowledge, skills and competences, for the level to which the qualification is referenced. All public recognised qualifications at level 6-8 has by law to be accredited as higher education degrees and thereby included in NQF-HE and the NQF on the basis of full-fit, which are the basis for the accreditation.

Inclusion of a qualification into the NQF-HE takes place when a programme leading to the qualification is accredited. An accreditation is an assessment of whether an education programme leading to a given qualification meets external, predefined criteria for quality, relevance and academic level.

The general competences being determined, the initiative of introducing new qualifications often comes from departments / institutes and program committees, which are formed freely. The Ministry and the QA Centre engage in the external evaluation and approval of operation.

**3.4.5.3. *How are NQF requirements reflected in the study programs (compulsory provisions, internal control procedures, external evaluation)?***

Universities have to develop (design) study programs and the implementation process so that competences determined by descriptors be achieved by the student. Requirements defined above will serve as the final assessment criteria and indicators of studies for drawing up the self assessment and external evaluation reports for the accreditation of the program.

**3.4.5.4. *Educational standards***

Descriptors for higher education qualifications (degrees), presented in Table 2 of the NQF [22], are used as reference quality standards / criteria both at the development and the evaluation and accreditation of study programs.

In [16, Article 3 (3)] it is stated: the descriptions of bachelor programmes, master's programmes (candidatus) and master's programmes (type descriptions) in the Qualifications Framework for Danish Higher Education (Kvalifikationsrammen for videregående uddannelser) shall be applied in connection with the assessment of the learning outcome targets of the study programmes.

**Conclusions**

1. The Danish qualifications framework has been certified and is compatible and in alignment with the overarching framework of qualifications for the European Higher Education Area, the Bologna Framework. The Danish qualifications framework is comparable to EQF. National Qualifications Framework of Denmark includes 8 levels of qualifications, four of them relate to higher education: Academy Profession level (5), Bachelor's level (6), Master's level (7), PhD level (8). The Coordination Point for the EQF was set up under the auspices of the Danish Agency for International Education.

2. The inclusion of certificates and degrees into the NQF is based on an assessment of the learning outcomes that the individual degree/certificate documents in relation to the level descriptors of the NQF.

3. Universities have to develop (design) study programs and the implementation process so that competences determined by descriptors be achieved by the student. These requirements serve as the final assessment criteria and indicators of studies for drawing up the self assessment and external evaluation reports for the accreditation of the program.

4. Descriptors for higher education qualifications (degrees), presented in Table 2 of the NQF, are used as reference quality standards / criteria both at the development and the evaluation and accreditation of study programs.

**3.4.6. The content and implementation of the study program (organization of studies)**

**3.4.6.1. *Designing the content of study programs***

University study programs in Denmark are usually designed at the initiative of the research groups with high results, based on human and material potential already obtained from research.

Each program is subordinated to a program team subordinated to a department (school) in the faculty. The basic document for a study program is curriculum that includes the following sections: legal basis (orders or ministerial acts, faculty and board of studies to be affiliated at); Admission requirements, Degree offered, temporary duration and profile competencies (knowledge, abilities, professional skills); Structure on semesters and modules; Description of the modules (prerequisites, objectives, activities, forms of examination, evaluation criteria); Rules regarding written work, including Bachelor thesis; Rules on transfer of credits, including the possibility to choose the modules component parts of another program at a university in Denmark or abroad, Rules that refer to the progress of Bachelor / Master programs, realization of the projects, examination rules.

The curriculum is developed following the provisions of legal acts issued by the Ministry: The Universities Act [3] Examination Order, Ministerial Order regarding study programs, the order of admission [7, 8], the order of the Minister regarding grading scale [23] and normative acts at institution and faculty level.

Bachelor and Master programs are structured in modules and are organized on the principle of problem-based learning and projects [37], principle that deserves attention. In Engineering study programs, realization of projects are core activities and represents a fundamental structure.

#### ***3.4.6.2. Allocation of tasks among academic structures***

A study program is provided by the program team within a department, but for some modules use is made of other departments such as for teaching mathematics modules. It is clear that the majority of modules are provided by the program team that conducts research and designed program content. For some modules / component elements there are invited foreign scientifically renowned professors [Visiting Professor]. An important stake is on the participation of representatives of economic and state structures as providers of problems and projects for the organization of research based studies.

#### ***3.4.6.3. Internships***

We did not find documents that refer to internships of students in cycle I and II, but as a result of the analysis of several curricula of programs provided by vocational Academies, colleges, Bachelor and Masters degree we can conclude: programs offered by vocational Academies provide a deep professional training (internships have a total substantial duration), at undergraduate (Bachelor and Master) programs in colleges professional orientation is also evident (one semester, 15 -20 %), while at the research bachelor and master programs in universities internships in enterprises are missing or are much more modest.

#### ***3.4.6.4. Final evaluation***

In the Danish system of higher education, the examination is specific both at the final phase of the study programs and at the evaluation of semester modules. One semester of study usually contains 4-5 modules with 5, 10 or 15 ECTS. Of these, at least one (10 or 15 credits) will have external examination, other modules are subject to internal examination.

Internal examinations are assessed by one or more teachers (internal examiners) appointed by the university from among the teachers at the university. External examinations are assessed by one or more internal examiners and by one or more external examiners appointed by the Danish Agency for Universities and Internationalisation.



Ministerial Order [23, Section 20 (4)] provides: External examinations must cover the important parts of the programmes, including the bachelor project, master's (candidatus) thesis and master's project. At least one-third of a programme's total ECTS points must be obtained at external examinations. The teacher of the course in question assesses the student's course participation,

The university may conduct examinations at a Danish representation or at other locations abroad, provided the reason for doing so is that the student is unable to participate in the university's examinations in Denmark for practical or financial reasons and if the student and the exam location reach an appropriate agreement.

The assessment consists of a grade based on the 7-point grading scale or the assessment Pass/Fail or Approved/Not approved. Bachelor projects, master's (candidatus) theses and master's projects are assessed according to the 7-point grading scale.

The Bachelor project, appreciated with 15 credits, is carried out in groups of up to 4 students. The project at the specialization *Mechatronics*, for example [23], takes its starting point in the design of a mechatronic product to address a given problem. The student may choose the type of system / component, e.g. an electric fan to control air flow or temperature of critical areas of a solar-heated room, an electric shutter to control light in offices, or the like. The content may also be "Reverse Engineering" of a successful mechatronic design.

A problem must be analysed and different solution concepts, generated, and assessed in terms of dynamic performance, complexity, expected costs etc. Based on the analysis, the most promising concept will be selected and designed in detail. During the design phase, models of the system will be constructed and used in the design process for dimensioning of actuators, controllers etc. It is important that the system be designed as a unified whole, where the interaction between the different technologies is actively exploited. Special emphasis is placed on the controller design (analog/ digital), and implementation of the controller should be an embedded part of the system design and not an "after-thought add-on."

The product will be manufactured in the laboratory and the operation and performance subsequently verified by experiment.

Scientific theory must be included as part of the project, e.g. by making an assessment of the scientific theories and methods that are used throughout the project.

Master thesis, worth 30 credits (lasting one semester), is examined externally, and performed individually or in groups of 2-3 people (see the example of the Faculty of Engineering and Science of AAU [31]). The final project may study new subjects or be an extension of the project work from previous semesters. The subject matter will remain in the area of Bachelor specialization, for example, mechatronic control engineering. The project may be of theoretical or experimental nature, and will often be in collaboration with an industrial company or other research institution performing research in the area of mechatronic control engineering, for example. Exam format: Individual oral examination with external adjudicator, in accordance with procedures established by the faculty.

## Conclusions

1. University study programs in Denmark are usually designed at the initiative of the research groups with high results. The curriculum is developed following the provisions of legal acts issued by the Ministry. Programs are structured in modules and are organized



on the principle of problem-based learning. In Engineering study programs, realization of projects are core activities and represents a fundamental structure.

2. A study program is provided by the program team within a department, but for some modules use is made of other departments such as for teaching mathematics modules. An important stake is on the participation of representatives of economic and state structures as providers of problems and projects for the organization of research based studies.

3. Programs offered by vocational Academies provide a deep professional training (internships have a total substantial duration), at undergraduate (Bachelor and Master) programs in colleges professional orientation is also evident (one semester, 15 -20 %), while at the research bachelor and master programs in universities internships in enterprises are missing or are much more modest.

4. In the Danish system of higher education, the examination is specific both at the final phase of the study programs and at the evaluation of semester modules. One semester of study usually contains 4-5 modules with 5, 10 or 15 ECTS. Of these, at least one (10 or 15 credits) will have external examination, other modules are subject to internal examination. The Bachelor project, appreciated with 15 credits, is carried out in groups of up to 4 students. Master thesis, worth 30 credits (lasting one semester), is examined externally, and performed individually or in groups of 2-3 people.

### **3.4.7. Employability**

#### ***3.4.7.1. Occupational framework (ISCEO). The link between the level of studies – qualification***

The existing links between the education level and qualification levels is explicitly set by the Danish qualifications framework [3, art. 9]

#### ***3.4.7.2. Place of MA and Ph.D. in the occupational network***

Master's is oriented towards research and continuing doctoral studies.

#### ***3.4.7.3. Career guidance structures (state level, institution level)***

According to [3, art. 9] the university must offer students guidance on the degree programme in which they are enrolled and on post-graduation job opportunities. The university is obligated to give students who have been delayed, compared with the prescribed duration of a study programme, special guidance to assist them in continuing their education.

The Minister may lay down rules on guidance. In addition, the Minister is responsible for laying down rules specifying when the university must offer guidance and the extent thereof.

### **Conclusions**

1. The existing links between the education level and qualification levels is explicitly set by the Danish qualifications framework.

2. Master's is oriented towards research and continuing doctoral studies.

3. The university must offer students guidance on the degree programme in which they are enrolled and on post-graduation job opportunities. The Minister may lay down rules on guidance.

### **3.4.8. Teachers' workload**

#### ***3.4.8.1. Planning the didactic workload***

Employment Act [24] provides workplaces possible in higher education of Denmark and the rules of appointment to these positions (assistant professor/researcher/postdoc, associate professor/senior researcher, professor with special responsibilities, and professor). The principal positions constitute coherent career progression. In the memorandum "Job Structure for Academic Staff at Universities 2007" [24] it is stipulated the structure of post tasks of teachers and scientific researchers in higher education.

The universities' core activities consist of conducting research and providing research-based teaching up to the highest international level. Therefore, the principal positions involve both research – including the duty to publish and disseminate academic material – and research-based teaching. The university may, furthermore, provide research-based Public Sector Consultancy, including guidance, public authority tasks, development work, communication and operational duties.

Teaching load of teachers is calculated starting from 37 hours per week. It consists of 490 hours of teaching per semester, which constitutes 60%, and 200 hours for scientific research (40%). For administrative work, a part of the academic load is reduced.

The Council of Studies calculates the number of units needed, announces the Employment Council dealing with searching and implementation of employment and enrollment procedures in accordance with the Employment Act [24] and the internal rules of the institution, developed under this Act. In [30] are given, as examples, employment rules at Aalborg University.

#### ***3.4.8.2. Distribution of the didactic workload***

The didactic workload calculation and its distribution among team members of a program of study and research is an internal matter dealt by the team leader, see Aalborg University status [30, Section 15].

The revision of the job structure has taken place within the framework of the University Act [3, art.2(2)]. The job structure must, therefore, be implemented in accordance with the provisions of the Act, including among other things the provisions regarding researchers' freedom of expression and freedom of research.

Thus, it appears from section 2 (2) of the University Act that the university has freedom of research and shall safeguard this freedom and ensure the ethics of science.

The Head of Department may allocate specific jobs to specific employees. Members of the academic staff are free to conduct research within the strategic framework laid down by the university for its research activities to the extent that they have not been allocated such jobs.

It appears, furthermore, from the explanatory notes that the individual researcher enjoys freedom of research within the academic field of his/her employment, although bound by the obligations arising out of the employment. This means that the individual researcher can freely choose methodology, approach and subject within the research strategies of the university as laid down in the performance contract. By virtue of his/her powers to issue instructions, the Head of Department can instruct a researcher to address a particular task.

To the extent that a researcher is not instructed to address any such tasks, a researcher is free to conduct research within the research strategies of the university.

As an example you can see what states / load structure of a lecturer [26, art.3.1]: the associate professorship consists mainly of research (including publication/academic dissemination duties) and research-based teaching (with associated examination duties). In addition to research and research-based teaching, the post may also include a duty to share knowledge with the rest of society – including participation in public debate. Furthermore, associate professors may be asked to manage research, provide guidance and supervision of assistant professors and researchers as well as take part in academic assessments. The university determines the exact ratio between the different responsibilities. The ratio may vary over time.

#### ***3.4.8.3 The accounting of performing teaching and research workload***

There are no official documents describing the methodology of the calculation the workload related research. The number of publications shall be reported, as a rule. The Head of the department is the person who must ensure the quality of research in close connection with academic work. In section 15 (2) of the Statute of AAU [30] is stated: The Head of Department shall ensure quality and coherence in the research and teaching activities of the Department, ensure that the department can supply research based teaching for relevant study programmes, and shall, in cooperation with study board and Head of School, follow up on the evaluation of study programmes and teaching within the areas in which the department is supplying teaching.

### **Conclusions**

1. Employment Act provides workplaces, the structure of position tasks of teachers and researchers in higher education. The universities' core activities consist of conducting research and providing research-based teaching up to the highest international level. It consists of 490 hours of teaching per semester, which constitutes 60%, and 200 hours for scientific research (40%). For administrative work, a part of the academic load is reduced.

2. The didactic workload calculation and its distribution among team members of a program of study and research is an internal matter dealt by the team leader.

3. There are no official documents describing the methodology of the calculation the workload related research. The number of publications shall be reported, as a rule. The Head of the department is the person who must ensure the quality of research in close connection with academic work, in cooperation with study board and Head of School, follow up on the evaluation of study programmes and teaching within the areas in which the department is supplying teaching.

### **3.4.9. University scientific research**

#### ***3.4.9.1. University structures involved in the organization of scientific research***

The integration of research sector in universities is determined by the University Act [3] Employment Act [24] and the Memorandum [8b] which stipulate: Positions at sector research institutes that are integrated into universities must in future be filled according to the universities' job structure. Sector research posts such as researcher, project researcher, senior researcher, project senior researcher and research professor have, in this connection, been integrated into the university positions of assistant professor, associate professor and

professor. At the same time, the post of postdoc has been integrated into the assistant professor position.

The new broad positions of assistant professor/researcher/postdoc and associate professor/senior researcher may be implemented in the job varieties described in the job structure. Positions at the level of associate professor will include associate professor and senior researcher. Positions at the level of assistant professor will include assistant professor, researcher and postdoc. The job title of the employee depends on the variety of the general position in which the person concerned is employed.

Transfer from one job variety to another may take place as a consequence of a change of tasks as these are allocated by the Head of the unit in question. It is recommended that changes to the composition of an employee's tasks should be discussed between the employee and his or her Head of unit. Similarly, in connection with transfer from one job variety to another, it should be taken into consideration that the employee should be ensured a composition of tasks enabling continued academic development. Transfer from one job variety to another requires no job advertisement. Pursuant to the Fixed-term Employment Act, job varieties are regarded as one general position.

#### ***3.4.9.2. Students' involvement in the process of scientific research (incentive mechanisms)***

The very principle of organization of study programs at all levels in Denmark requires a harmonious link between education and research – research based learning. The importance of this point is particularly strategic for programs of universities. For example, in [31, Article 9] it is stated: Secure the nursing of exceptional research talents through a high intake of PhD-students, strengthen the university's doctoral schools and strengthen cooperation between these and similar schools, in order to secure the recruitment basis for academic staff, among other things, and to contribute with research capacity to the business world.

#### ***3.4.9.3. Scientific research of the didactic staff***

Danish universities are required by law [3, Article 2 (2)] to ensure the freedom of research of the university and of individual researchers and ensure high standards of scientific ethics, and shall also disseminate knowledge of scientific methods and results and encourage university employees to participate in the public debate.

AAU Statute [30] in section 15 (2) sets: academic staff shall be subject to freedom of research within their own academic field of employment and may consequently carry out free research activity within the research strategic framework of the university during the time when they are not instructed to undertake other work. Academic staff must not be instructed, during an extended period of time, to undertake tasks for the entire duration of their working hours, so that in reality they are prevented from exercising their freedom of research.

Results of research in universities in Denmark are impressive. Aalborg University, which is the size of Technical University of Moldova, recorded in 2011: 3714 scientific publications, 47 inventions, 12 patents, conducted research funded in the amount of 1146 million Crone (154 million Euro), 716/439 budget funding / external funds; 960 doctoral students, 135 PhD theses defended. AAU experience in international scientific collaboration is of particular interest (see [32]).

#### **3.4.9.4. Integrated research, education and business centers**

In Denmark a part of university scientific research is conducted in specialized research institutes – component parts of universities. As an example, can be presented the Danish Research Institute in Constructions SBI, operating within Aalborg University ([www.http://aau.dk/en/organisations](http://www.aau.dk/en/organisations)). The institute deals with all subjects within constructions and buildings and develops research-based knowledge to improve buildings and the built environment. SBI identifies subjects that are important for professionals and decision-makers involved in building and built environment. And subsequently we communicate our knowledge to these groups. SBI has approximately 120 employees and an annual turnover of about 75 million DKK. Governing bodies of the Institute are appointed by the rector of the university in consultation with the deans and heads of departments [30, section 12, 13 and 24(2)].

#### **Conclusions**

1. Scientific research is an indispensable part of the process of training specialists with higher education. The study programs can be formed only in the presence of adequate scientific potential (academic researchers and the appropriate material resources for research). The research is focused on the Department's thematic and is financed from the state and projects, non-budgetary research grants. Funds from non-budgetary grants together with grants from international collaboration are comparable in size to budgetary one.

2. Involving students in research is a fundamental principle of the Danish higher education. The special attention paid to PhD students, young researchers is a strategic direction of universities – which provides a good basis for recruitment of academic staff and increase research capacity of the institution.

3. Importance is given to results. Research conducted by a teacher must correspond to the strategic plan of research within the department and be appropriate the the field of study representative for the department.

4. In Denmark, the organization of Research Institutes (specializing in the field of a faculty or school) is practiced, which combines research with the academic process (transfer of knowledge acquired by the students).

#### **3.4.10. The doctorate**

##### **3.4.10.1. The right to offer doctoral studies**

In [9] are described requirements concerning: admission to doctoral studies, the structure of the study program, doctoral program content, program completion, doctoral thesis, the evaluation, correction of the thesis, PhD thesis defense procedure and conferring the degree of doctor. Article 25 of this document includes institutional rules regarding: admission to the doctoral program; the organization of the doctoral program; appointment of the main supervisor as well as any other supervisors, PhD students supervision rules, rules for writing, presentation and defense of the thesis. The University also sets rules on access to the PhD program. Rules should contain a provision to the extent that the institution may grant exemptions from the rules established by the institution. Institution rules and amendments thereto shall be made public on the institution's website.

The right to organize doctoral programs is attributed only to universities [9]. Granting the right to supervise PhD students – is the responsibility of the department in the university [9, art. 8].



### **3.4.10.2. Doctoral Schools**

Doctoral studies shall be organized in doctoral schools at faculty or department level (see AAU Statute, sections 18 and 29 [30]). A PhD program comprises 180 ECTS credits. Performing the didactic activity by the PhD student is mandatory.

In Denmark industrial doctorate is practiced. In this case the costs are covered by a company and the theme of the doctoral thesis includes the research of important issue for the company.

The Content of the PhD programme [2, art.7] is set up in accordance with rules laid down by the institution. During the programme, the student is required to:

- Carry out independent research work under supervision (the PhD project),
- Complete PhD courses or similar study elements totalling approx. 30 ECTS points,
- Participate in active research environments, including stays at other, mainly foreign, research institutions, private research enterprises etc,
- Gain experience of teaching activities or other form of knowledge dissemination which is related to the student's PhD project,
- Complete a PhD thesis on the basis of the PhD project.

For each PhD student, the institution designates a principal supervisor who is responsible for the overall PhD programme. The principal supervisor must be a recognised researcher within the relevant field, be employed by the institution and affiliated with the PhD school.

On its own initiative or following an application from the PhD student:

- The institution offers the PhD student a teaching course and teaching guidance.
- The institution ensures that the required resources are available for the PhD student to complete the PhD programme as laid down in the student's PhD plan.
- The institution lays down rules for the supervision provided to the PhD student.

At regular points in time during the PhD programme, the institution must assess whether the PhD student is following the PhD plan and, if necessary, adjust the plan. This assessment is based on an opinion from the principal supervisor, who, after having consulted the PhD student, confirms that the PhD programme is progressing in accordance with the PhD plan or justifies, in writing, why adjustments are required.

### **3.4.10.3. Completion of studies, conferring of degrees**

According to the University Act [3, Article 5] universities are entitled to offer doctoral degrees (PhD) in the respective fields of study and research.

The PhD thesis must document the PhD student's or the author's ability to apply relevant scientific methods and to carry out research work meeting the international standards for PhD degrees within the field in question. The institution lays down rules on the writing and submission of the PhD thesis [9, art.11].

Upon the submission of the PhD thesis at the latest, the institution appoints an expert assessment committee composed of three members. The institution appoints a chairman from among the committee members. The members of the assessment committee must be recognised researchers within the relevant field. Two of the members must be external researchers, of whom at least one member must be from outside of Denmark, unless this is not practicable considering the subject in question. The PhD student's supervisors must



not be members of the assessment committee; however, the principal supervisor assists the assessment committee without voting rights.

The PhD thesis must be defended publicly in accordance with rules laid down by the institution. At the defence, the PhD student or the author must be given the opportunity to explain his or her work and defend the PhD thesis before the members of the assessment committee. The institution must ensure that the PhD thesis is made available to the public in due time before the defence. The PhD degree may be awarded if the assessment committee submits a recommendation to that effect.

Offering the degree of Doctor (PhD) and “higher doctor” is one of the responsibilities of the Academic Council of the faculty (see section 24 of AAU Statute [30]).

#### ***3.4.10.4. Postdoctorate, habilitate***

Higher doctor degree (doktorgraden) is similar to the degree of doctor habilitate, but the requirements in this case are much simpler.

The Minister lays down the rules concerning the acquisition of the higher doctoral degree (doktorgraden) [3].

### **Conclusions**

1. The right to organize doctoral programs is attributed only to universities. Granting the right to supervise PhD students – is the responsibility of the department in the university.

The institution shall establish, based on The University Act, the rules regarding: admission to the doctoral program; the organization of the doctoral program; appointment of the main supervisor as well as any other supervisors, PhD students supervision rules, rules for writing, presentation and defense of the thesis. The University also sets rules on access to the PhD program.

2. Doctoral studies shall be organized in doctoral schools at faculty or department level. A PhD program comprises 180 ECTS credits. Performing the didactic activity by the PhD student is mandatory. In Denmark industrial doctorate is practiced. In this case the costs are covered by a company and the theme of the doctoral thesis includes the research of important issue for the company.

3. Offering the degree of Doctor (PhD) and “higher doctor” is one of the responsibilities of the Academic Council of the faculty.

4. Higher doctor degree (doktorgraden) is offered in Denmark which is similar to the degree of doctor habilitate, but the requirements in this case are much simpler than in RM.

## **3.5. Romania**

### **3.5.1. Establishment and termination of study programs**

#### ***3.5.1.1. Levels in higher education***

Romanian National Education Act (LEN) [1] provides the following levels of higher education: bachelor, master and doctorate. There are also provided two forms of postgraduate studies: advanced research postdoctoral programs and postgraduate programs of training and continuing professional development.

**Undergraduate studies** correspond to a number between minimum 180 and maximum 240 ECTS, and is completed by level 6 of EQF / CEC of EQF / CEC. In full-time education, the

specific duration of undergraduate studies shall be, where appropriate, of 3-4 years and corresponds to a minimum of 60 ECTS for a school year. Duration of Bachelor programs for higher education in the fields of engineering sciences, legal sciences and pastoral theology is 4 years.

**Master's degree programs** are cycle II of university studies and end with the level 7 of EQF / EQF and of the National Qualifications Framework. They have a normal duration of 1-2 years and correspond to the minimum number of transferable study credits between 60 and 120. For professions regulated by rules, guidelines or best European practices, cycle I and cycle II of university studies can be offered merged with a duration of between 5 and 6 years in full-time education. Degrees obtained are equivalent to the master's degree.

*Graduation or Bachelor Diploma of higher education graduates from the period before the implementation of the three Bologna cycles is equivalent to master's degree.*

Master's degree programs are: a) professional master, oriented towards professional skills training; b) research master, oriented towards scientific research skills training. Learning conducted under the research master can be equated with the first year of study at the doctoral study programs. Research master is only in the form of full time education and can be organized within doctoral schools; c) didactic master, organized exclusively as full-time education.

**Doctoral studies** are the third cycle of university education and allow the acquisition of qualifications of the level 8 of the National Qualifications Framework. They follow a code of doctoral studies, approved by Government Decision.

The doctoral study program takes place in doctoral schools in the institutions organizing doctoral studies, IOSUD, recognized by MECTS (universities of category C according to the classifier).

Doctoral programs are of two types: a) scientific doctorate, which is to produce original scientific knowledge based on scientific methods, organized only in the form of full-time education. The scientific doctorate is a prerequisite for professional careers in higher education and research; b) professional doctorate in art or sport.

**Postdoctoral programs** of advanced research, see section 3.5.10.3

**Postgraduate training and continuing professional development programs.** Such programs can be organized by those higher education institutions that have accredited at least their Bachelor's degree programs in the respective scientific field. The programs shall follow own rules of organization and development, approved by the university senate. Upon completion of the program, the organizing institution issues a certificate authenticating the professional competence specific to the program.

Public and private higher education institutions are established by law, in compliance with the legal provisions on accreditation and quality assurance in education. The initiative of setting up the higher education institution lies with the Government and the private and religious institution – belongs to a foundation, association or a religious denomination recognized as such according to the law, called the founder.

### **3.5.1.2. Introduction of study programs at cycle I**

The National Education Act ([1], atr.150) defines: the accreditation of a Bachelor degree program and the establishment of the maximum number of students that can be enrolled in the program and which may be granted a certificate of completion is achieved by decision of the Government, following the external evaluation.

Requirements for the first cycle programs are determined by the National Qualifications Framework.

Eligible programs are listed in the National Register of Qualifications in Higher Education (NRQHE), which is updated annually and made public.

The degree conferred after promoting a Bachelor degree program is called bachelor's diploma, engineering diploma or, where appropriate, urbanist diploma and is accompanied by a diploma supplement in Romanian language and in a international language.

#### ***3.5.1.3. Introduction of study programs at cycle II***

Higher education degree programs in one area can be organized by those higher education institutions that are accredited or provisionally approved for this purpose.

Accreditation for a university of a master's degree area with setting the maximum number of students that can be enrolled and who may be granted a certificate of completion is performed by Government decision, following the external evaluation performed by ARACIS or by another quality assurance agency.

Within the accredited or provisionally accredited area for master degree studies, the educational programs promoted are set annually by the university senate and communicated to MECTS to be published centrally.

Higher education institutions can establish partnerships with businesses, professional associations and / or public institutions to develop master's degree programs that meet labor market needs.

#### ***3.5.1.4. Introduction of study programs at cycle III***

Doctoral study programs are organized in doctoral schools accredited or provisionally approved. Doctoral schools can be organized by a university or a university consortium or by consortia or partnerships that are legally established in a university or a university consortium and research and development units. Universities and partnerships or consortia organizing one or more doctoral schools accredited or provisionally approved are an institution organizing doctoral studies, IOSUD, recognized as such by MECTS on provisional authorization, accreditation and periodic evaluation.

Each doctoral school is evaluated individually for each domain, for accreditation. The evaluation of the doctoral school is based on the doctoral school's performance and the institutional capacity of IOSUD that the doctoral school is part of. The evaluation of doctoral schools is done by ARACIS or by another quality assurance agency based on CNCS reports on the quality of research and CNATDCU reports on the quality of human resources. The criteria system and the evaluation methodology are established by order of MECTS based on joint proposals of ARACIS, CNCS and CNATDCU. Each doctoral school is regularly evaluated once in five years [1, Article 158, paragraph 4].

Article 159, par. 6 of the NEA specifies: the training curriculum and the research program are determined by the doctoral supervisor and the doctoral school.

Doctoral studies can be organized in co-supervision, where the PhD student is working simultaneously under the guidance of a doctoral supervisor from Romania and a doctoral supervisor from another country or under simultaneous supervision of two PhD supervisors from different institutions in Romania, based on a written agreement between the organizing institutions involved.

### **3.5.1.5. Language of instruction**

In Romania, education is a public service being conducted in Romanian language and in minority languages and foreign languages. In the national education system, official school and university documents, nominated by order of MECTS, are written only in Romanian. The other school and university documents can be written in the language of instruction [1, Article 10].

### **Conclusions**

1. There are 3 levels of higher education: bachelor, master and doctorate. There are also provided two forms of postgraduate studies: advanced research postdoctoral programs and postgraduate programs of training and continuing professional development.

2. Requirements for the first cycle programs are determined by the National Qualifications Framework.

Programs become eligible when they are listed in the National Register of Qualifications in Higher Education (NRQHE), which is updated annually and made public.

3. Master degree programs in one area can be organized by those higher education institutions that are accredited or provisionally approved for this purpose. The educational programs promoted are set annually by the university senate and communicated to MECTS to be published centrally.

4. Doctoral study programs are organized in doctoral schools accredited or provisionally approved. Doctoral schools can be organized by a university or a university consortium or by consortia or partnerships that are legally established in a university or a university consortium and research and development units. Doctoral studies can be also organized in co-supervision.

5. Education is a public service being conducted in Romanian language and in minority languages and foreign languages

### **3.5.2. Admission to studies**

#### **3.5.2.1. Procedures for admission to Cycle I – Bachelor. Commitment of the Government concerning the admission**

Admission to degree programs ([1], art. 142):

MECTS develops annually a framework methodology for organizing admission to public and private higher education institutions from Romania. Each higher education institution develops and applies its rules to organize admission in degree programs offered under the framework methodology. The conditions of admission, including enrollment quotas must be made public each year by the university, with at least 6 months before entrance examination.

High school graduates with a baccalaureate diploma or an equivalent diploma can participate in admission to higher education, cycle I. Within their own methodology, higher education institutions may establish facilities for admission of students who have received awards during high school in school competitions and / or other national or international competitions.

Bachelor studies in the form of full-time education may be organized under funding from the state budget or a fee. MECTS allocates for bachelor studies in the form of full time ed-

education a number of grants financed from the budget for state universities (art. 15, al.5 [1]). A person may receive funding from the budget for a single bachelor program, one master program and one doctoral program.

#### ***3.5.2.2. Procedures for admission to Cycle II and III***

MECTS allocates for master degree studies in the form of full time education a number of grants financed from the budget for state universities.

Graduates with a bachelor diploma or an equivalent diploma can participate in admission to higher education, cycle II.

The diploma conferred after promoting a master's program and successful defending of the dissertation thesis is called master's diploma and includes all the necessary information to describe the graduated study program, including the form of education. This is accompanied by the Diploma Supplement that is issued free of charge, in Romanian and an international language.

Doctoral studies are organized with funding from the state budget, for a fee or from other legal sources. MECTS allocates annually, by the Government decision, a number of multiannual doctoral grants for a period of at least 3 years. The doctoral grant includes the amount of the individual scholarship and the costs for the advanced education program and research program. These grants are adjusted by appropriate coefficients on disciplinary and professional areas of the doctorate. Grants are awarded through a national competition of scientific projects among doctoral schools or national competition of scientific projects among doctoral supervisors, members of doctoral schools. Competitions are organized in coordination with CNCS.

The annual number of doctoral grants allocated to the two types of competitions and the methodology of the competition is determined by the order of MECTS.

Only graduates with master's diploma or equivalent have the right to participate in the competition for admission to doctoral studies.

#### ***3.5.2.3. Admission of foreign students***

For admission to public and private higher education, for each cycle and study program, citizens of Member States of the European Union, Member States of the European Economic Area and the Swiss Confederation can candidate under the same conditions provided by law for Romanian citizens, including tuition fees.

The Romanian state grants annually, by Government decision, a number of scholarships for foreign students. These scholarships are awarded only to those universities and study programs that meet the highest quality standards, whether they are public or private (art. 206, [1])

#### ***3.5.2.4. Formation of contingent***

Mechanisms of formation of the contingent – pupils' orientation: various measures are undertaken at faculty, department level. These measures have become central to all universities given the reduction of the number of students.

### **Conclusions**

1. MECTS develops annually a framework methodology and each higher education institution develops and applies its rules to organize admission in degree programs offered. Bachelor studies in the form of full-time education may be organized under funding from



the state budget or a fee. MECTS allocates a number of grants financed from the budget for state universities

2. MECTS allocates for master degree studies in the form of full time education a number of grants financed from the budget for state universities. Own admission methodologies are used.

3. Doctoral studies are organized with funding from the state budget, for a fee or from other legal sources. MECTS allocates annually, by the Government decision, a number of multiannual doctoral grants which include the amount of the individual scholarship and the costs for education and research.

4. For admission to public and private higher education, for each cycle and study program, citizens of Member States of the European Union can candidate under the same conditions provided by law for Romanian citizens. Citizens of other countries are enrolled based on tuition fees.

### **3.5.3. Recognition of studies and qualifications**

#### ***3.5.3.1. Recognition of study periods undertaken abroad***

Article 149 of the Education Act establishes: the number of transferable study credits are the reference element that universities can use to recognize legal studies or study periods previously made in the same fundamental field for the purpose of equivalence and transfer of transferable study credits and possible continuation of studies in a study program.

For equivalence, continuation or completion of studies and recognition abroad of diplomas issued before the introduction of transferable credits system, using existing information in their own registry book, accredited higher education institutions may issue, upon request, documents in which they award a number of transferable study credits to the courses followed by the graduate. For this operation, higher education institutions may charge fees in the amount approved by the university senate.

It also specifies (Article 159, para. 4 [1]) that a doctoral school can recognize, according to its own rules of organization and deployment of doctoral studies and in accordance with this law, the completion of some previous doctoral internships and / or some scientific research internships, carried out at home or abroad, in universities or prestigious research centers and the recognition of some courses taken in the research master programs.

#### ***3.5.3.2. Recognition of documents of studies done abroad***

MECTS organizes the recognition and equivalence of diplomas and certificates according to internal rules and in accordance with European standards; develops the methodology by which it can automatically recognize degrees and certificates obtained at universities in EU Member States as well as prestigious universities in other countries, based on a list approved and updated by MECTS; organizes the automatic recognition of university teaching positions and the quality of doctoral supervisor, according to its own methodology (art. 216, [1])

### **Conclusions**

1. The Education Act establishes that the number of transferable study credits are the reference element that universities can use to recognize legal studies or study periods previously made in the same fundamental field.



2. MECTS organizes the recognition and equivalence of diplomas and certificates according to internal rules and in accordance with European standards.

### **3.5.4. Accreditation of study programs**

#### **3.5.4.1. Internal quality assurance structures**

The Education Act stipulates that quality assurance in higher education and university research is an obligation of the institution. Each university develops its own quality assurance system, defines responsibilities by levels: top management, faculty, department, teacher (see also OUG84 / 2005). The presence of the system and its functionality is one of the criteria for external evaluation of the institution (see also Annex to the MEd order no. 3928 / 21.04.2005 The quality assurance system at the level of higher education institution). In these legislative acts it is emphasized the importance of student participation in quality assurance of education and research [23-29].

#### **3.5.4.2. Methodology, evaluation criteria, procedures**

The external evaluation of study programs and universities, provided by art. 193 of the Education Act, is performed for: a) temporary authorization and accreditation; b) ranking of study programs and classification of universities.

The evaluation for temporary authorization and accreditation is carried out by ARACIS or other agency registered in EQAR. The methodology and evaluation criteria are developed by ARACIS and meet international standards in the field [24].

The evaluation for ranking of study programs and classification of universities is based on an evaluation methodology proposed by MECTS and approved by Government Decision. The application of this methodology falls under the responsibility of the Ministry. The evaluation is performed periodically.

Universities are classified based on the evaluation referred to in paragraph (3) into 3 categories: a) universities centered on education; b) education and scientific research universities or education and artistic creation universities; c) advanced research and education university.

The evaluation for ranking is made by a consortium composed of: ARACIS, including student representatives, CNCS, CNATDCU and an international body, qualified in the field of classification and ranking of educational institutions, selected on a competitive basis.

For Bachelor and Master programs, the funding of state higher education institutions from public sources is differentiated by category of universities and depends on the position in the hierarchy of study programs, according to the ranking, based on a methodology developed by MECTS and approved by minister order. The state can fund programs of excellence in research and education from any category of universities.

The evaluation of study programs and higher education institutions is done periodically at MECTS initiative. The evaluation results are public to inform beneficiaries of education and for institutional transparency (art. 194, [1]).

Each university has an obligation to carry out, at intervals not exceeding five years, the internal evaluation and classification of departments on 5 levels of performance in research, according to a framework methodology developed by CNCS and approved by minister order. The evaluation and classification results are public. The University Senate, at Rector's proposal, based on internal evaluation, may decide on the reorganization or dissolution of inefficient departments or institutes, without prejudice to the students.

The temporary authorization and accreditation of study programs is made separately for each form of education, each language of teaching and each geographic location in which it is conducted.

#### ***3.5.4.3. Freedom in the choice of external quality assessment body***

For the external evaluation of study programs the institution may opt for services of the national agency for quality assurance, ARACIS, or another agency in the country or abroad, registered in the European Quality Assurance Register for Higher Education (EQAR) (art. 150, al. 1 [1]).

#### ***3.5.4.4. Relations of cooperation of the accreditation body with the Ministry of Education in the accreditation process***

Quality assurance of higher education and university research is an obligation of the higher education institution and a fundamental task of MECTS (art.192, LEN). In performing this task, the Ministry collaborates with ARACIS, with other agencies listed in EQAR and with CNCS, CNATDCU, the Board of Ethics and University Management (CEMU) and other bodies with relevant expertise as required by law.

Annually, it is established by Government Decision and promoted by MECTS the Nomenclature of areas and study programs, areas and study programs temporarily accredited or authorized to function, the geographical locations of deployment, the number of transferable study credits for each study program, form of education or language of instruction, and the maximum number of students that can be enrolled, proposed by quality evaluation agencies that evaluated each program.

### **Conclusions**

1. Quality assurance of education and scientific research is an obligation of the higher education institution. Each university develops its own quality assurance system whose presence is mandatory

2. The evaluation for temporary authorization and accreditation is carried out by ARACIS based on the methodology and evaluation criteria developed by it according to international standards in the field.

3. For the external evaluation of study programs the institution may opt for services of the national agency for quality assurance, ARACIS, or another agency registered in EQAR.

4. The Ministry of Education collaborates with ARACIS, with other agencies listed in EQAR and with CNCS, CNATDCU, the Board of Ethics and University Management (CEMU) and other bodies with relevant expertise in quality assurance.

### **3.5.5. The National Qualifications Framework (NQF)**

#### ***3.5.5.1. The body responsible for NQF in the country***

**National Qualifications Framework (NQF), approved by GD 918/2013 [30]**, establishes 8 levels of qualifications that can be acquired through formal education system and professional training in Romania and through recognition of learning outcomes acquired through non-formal and informal learning, from the perspective of lifelong learning. NQF also establishes the correspondence between levels, study documents that are issued, the type of education and training programs in Romania by which can be acquired the qualifica-

tion levels and reference levels of the EQF. National Qualifications Framework for Higher Education (NQFHE) is developed based on the NQF.

Level 5, discussed repeatedly in RM, is of interest to us. Learning outcomes corresponding to level 5 are – comprehensive and specialized factual and theoretical knowledge in a field of work or study and the awareness of the limits of that knowledge – a broad range of cognitive and practical skills required to develop creative solutions to abstract problems – management and supervision of work or study situations where there is unpredictable change; self and others review and development of performance. This qualification is certified by a Graduation / Qualification Diploma and the Supplement of this certificate issued by a higher education institution alone or in partnership with training providers accredited for this purpose. Level 5 is obtained by short-term higher education graduates who passed the certification exam.

The National Council of Qualifications and Vocational Training of Adults, CNCFPA, subordinated to MECTS, is the National Qualifications Authority (NQA). The executive unit of this Council, UECNCFPA, established by GD 885/2010, provides legal, technical, economic, financial and logistical conditions for the operation of the Council. One of the tasks of UECNCFPA is administering the **National Register of Qualifications in Higher Education (NRQHE)**.

NRQHE is a software application developed as a national database, which includes all qualifications awarded by higher education institutions in Romania.

#### ***3.5.5.2. Participation of universities in the development of new qualifications***

Universities can develop new qualifications which must comply with the NQF, be legally subject to external evaluation. According to art. 4, paragraph 3, of the Ministerial Order no. 5703 / 18.10. 2011 [31], „higher education institutions are required to record information regarding the qualifications they develop through their offer of study ...”.

MO 5703 stipulates that „NRQHE is developed in close connection with the NQFHE and is a tool for identification, registration, permanent consultation and updating of qualifications, namely degrees and certificates issued by higher education institutions. NQRHE is a common structure, involving NQA, higher education institutions, employers, professional associations etc.

#### ***3.5.5.3 How are NQF requirements reflected in the study programs (compulsory provisions, internal control procedures, external evaluation)?***

Education Act (Article 137 [1]) establishes: the curriculum of the university study program is consistent with the qualification profile defined in the National Qualifications Framework. The curriculum of a university study program is established so as to maximize the chances of obtaining the desired qualifications and is approved by the university senate. The concordance between curriculum and qualifications provided by the university study program is a mandatory criterion for assessing quality assurance.

#### ***3.5.5.4. Educational standards***

Educational standards approved by MECTS are part of the Guide of external evaluation of study programs used by ARACIS.

### **Conclusions**

1. The National Council of Qualifications and Vocational Training of Adults, CNCFPA, subordinated to MECTS, is the National Qualifications Authority (NQA). An executive unit

provides legal, technical, economic, financial and logistical conditions for the operation of the Council and the administration of the **National Register of Qualifications in Higher Education (NRQHE)**.

2. Universities can develop new qualifications which must comply with the NQF. Higher education institutions are required to record information regarding the qualifications they develop through their offer of study.

3. Education Act establishes that the curriculum of the university study program is consistent with the qualification profile defined in the National Qualifications Framework. The concordance is a mandatory criterion for assessing quality assurance.

4. Educational standards approved by MECTS are part of the Guide of external evaluation of study programs used by ARACIS.

### **3.5.6. The content and implementation of the study program (organization of studies)**

#### ***3.5.6.1. Designing the content of study programs***

The organization of study programs is the responsibility of higher education institutions, in compliance with legislation. For each cycle of study organized, the university senate approves its own organization and operation regulation, in accordance with general and specific national and international quality standards (art. 138, [1]).

The curriculum of the study program is initiated by one or more departments of the institution, and is developed in strict accordance with the qualification profile defined in the National Qualifications Framework and is approved by the university senate. The curriculum of a study program is established so as to maximize the chances of obtaining the desired qualification. Concordance between curriculum and qualifications provided by the study program is a mandatory criterion for assessing quality assurance.

A study program is legal if provisionally authorized or accredited and operates under the Act for authorization or accreditation. The organization and deployment of study programs that are not conducted legally shall be sanctioned with non-recognition of education for beneficiaries and a fine for the organizers, according to criminal law, and the immediate withdrawal by MECTS of the temporary functioning authorization or accreditation for the institution concerned.

#### ***3.5.6.2. Allocation of tasks among academic structures***

A department specialized in the field is responsible for a study program or group of related programs but other departments may be also involved, as appropriate, in didactic activities.

#### ***3.5.6.3. Internships***

Internships are mandatory in bachelor programs. Universities are required to provide a minimum of 30% of the required internship places, of which at least 50% outside universities ([1], art. 150, para. 4).

#### ***3.5.6.4. Final evaluation***

According to art. 143 of the Education Act, the graduation examinations in higher education are: a) bachelor graduation exam for bachelor cycle or diploma exam for education in engineering sciences; b) dissertation exam for master cycle; c) examination of public

defence of the thesis; d) certification exam for postgraduate programs of specialization type. Exams are organized and carried out only by accredited higher education institutions on the basis of their own regulation approved by the senate and complying with the Framework methodology approved by order of MECTS. Graduates of the study programs of higher education institutions authorized provisionally complete their studies through examination within the higher education institutions that have similar profile study programs, accredited, and designated by MECTS.

Tutors of bachelor, diploma and doctoral dissertation works are responsible, together with their author, for the originality of their content.

Educational diplomas and certificates awarded by higher education institutions, under the law, for the same study programs, regardless of the graduated form of education, are equivalent. The methodology for the organization of examinations, verified skills and knowledge, the correlation between learning outcomes and grades, diplomas and certificates awarded must be identical for any form of education corresponding to a particular study program in a higher education institution (art. 140 [1]).

### **Conclusions**

1. The organization of study programs is the responsibility of higher education institutions. The curriculum of the study program is developed in strict accordance with the qualification profile defined in the National Qualifications Framework and is approved by the senate

2. A department specialized in the field is responsible for a study program or group of related programs but other departments may be also involved, as appropriate, in didactic activities.

3. Internships are mandatory in bachelor programs. Universities are required to provide students with internship places.

4. The graduation examinations in higher education are: a) bachelor graduation exam for bachelor cycle or diploma exam for education in engineering sciences; b) dissertation exam for master cycle; c) examination of public defence of the PhD thesis and are conducted on the basis of a regulation approved by the senate.

### **3.5.7. Employability**

#### ***3.5.7.1. Occupational framework (ISCEO). The link between the level of studies – qualification***

The Occupational Code of Romania, similar to that of Moldova, lists and classifies occupations without reference to the level of education or competences required to exercise it.

In Annex. 2 of the Romanian National Qualifications Framework it is defined the correspondence between levels of qualifications of the Framework, study documents that are issued, the type of education and training programs in Romania by which may be acquired the qualification levels and the reference levels of the Common European Qualifications Framework (EQF).

The Education Act clearly defines what level of education is compulsory for teaching positions and auxiliary teaching positions at all levels of pre-university and university education system. Thus each ministry specifies (in the job description) the skills needed for the job.



### **3.5.7.2. Place of MA and Ph.D. in the occupational network**

For education area, the place of the master student is well defined – the secondary school. The same was done in jurisprudence. In the Register of limited specialties at EU level there are also mentioned restrictions on educational level. For the rest, the employer decides what level of education, general and vocational competences are necessary for the performance of the planned function.

### **3.5.7.3. Career guidance structures (state level, institution level)**

By law, universities are required to have in their composition structures responsible for career guiding of students and of support for graduates on their insertion in the labor market (see details OMECTS nr. 6012 of 21.11.2008. [39]).

Article 130, para. 2 of the Education Act stipulates that the Rector's annual report will necessarily include a separate compartment on the situation regarding the employability of graduates from previous promotions.

## **Conclusions**

1. The Romanian National Qualifications Framework clearly defines the correspondence between levels of qualifications of the Framework, study documents that are issued, the type of education and training programs in Romania by which may be acquired the qualification levels and the reference levels of the Common European Qualifications Framework (EQF).

2. For education, jurisprudence, and other public areas of activity the place of the master student is well defined. In the Register of limited specialties at EU level there are also mentioned restrictions on educational level. For the rest, the employer decides what level of education, general and vocational competences are necessary for the performance of the planned function.

3. By law, universities are required to have in their composition structures responsible for career guiding of students and of support for graduates on their insertion in the labor market.

## **3.5.8. Teachers' workload**

### **3.5.8.1. Planning the didactic workload**

The personal establishments of teaching and research staff are prepared annually by setting common university rules and can not be changed during the academic year. The teaching functions and the number of posts shall be established taking into account: a) curricula; b) study formations; c) academic standards.

In the personal establishments are entered teaching and research positions, occupied or vacant, specifying appropriate teaching and research functions and weekly number of conventional hours spread over teaching, seminars, practical or laboratory works, project guidance, students and Ph.D. students supervision, professional practice, research and equivalent activities, the subjects in the curriculum.

Personal establishments are drawn at the level of departments or doctoral schools as a result of specifying the teaching and research tasks by the faculty council. At departments with courses/subjects at several faculties, the personal establishments are completed based on order notes, approved by the board of the higher education institution.



The personal establishments of the teaching and research staff shall be endorsed by the faculty council or, where appropriate, the doctoral school board and approved by the university senate.

The general Nomenclature of auxiliary teaching and research functions in higher education and the level of education required for these positions are developed by MECTS together with the Ministry of Labour, Family and Social Protection.

#### ***3.5.8.2. Distribution of the didactic workload***

The university workload comprises: a) teaching workload; b) research workload.

The teaching workload may include: teaching activities; seminars, practical and laboratory works, guidance of year projects; guidance in the development of the bachelor, master and doctoral theses; other didactic, practical and research activities included in curricula; evaluation activities; tutoring, consultations, mentoring student scientific circles, students in the credit transfer system; participation in councils and commissions in the interest of education.

Weekly teaching workload in higher education is quantified in conventional hours. In bachelor education, an hour of teaching activities represents two conventional hours, at Masters and PhD – 2.5. The average weekly teaching workload can not exceed 16 conventional hours per week and can not be less than 7 conventional hours of teaching for a professor, 8 hours for an associate professor, and 11 hours of seminars for an assistant.

The teaching workload of teachers who do not conduct research or equivalent activities is higher than the minimum one, without exceeding the maximum limit as determined by the Faculty Council, on a proposal from the department director or doctoral school board's decision.

#### ***3.5.8.3. The accounting of performing teaching and research workload***

The achievement of the teaching workload is rigorously supervised, while for the research workload there is a more formal procedure.

The teaching workload of teachers who do not conduct research or equivalent activities is higher than the minimum one, without exceeding the maximum limit as determined by the Faculty Council, on a proposal from the department director or doctoral school board's decision.

As an exception, if the teaching workload can not be made as provided above, the differences up to a minimum teaching workload shall be supplemented by scientific research activities, with the consent of the faculty council at the proposal of the Director of the department and with the consent of the doctoral school board.

### **Conclusions**

1. The personal establishments of teaching and research staff are prepared annually by setting common university rules. The teaching functions and the number of posts shall be established taking into account: curricula; study formations; academic standards. Personal establishments are drawn at the level of departments or doctoral schools, are endorsed by the faculty council / doctoral school board and approved by the university senate.

2. The university workload comprises: a) teaching workload (teaching activities; seminars, practical and laboratory works, guidance of year projects; guidance in the develop-

ment of the bachelor, master and doctoral theses; consultations); b) research workload. The average weekly teaching workload can not exceed 16 conventional hours and can not be less than 7 conventional hours.

3. The achievement of the teaching workload is rigorously supervised, while for the research workload there is a more formal procedure (there are no legal documents relating to the accounting of research workload achievement).

### **3.5.9. University scientific research**

#### ***3.5.9.1. University structures involved in the organization of scientific research***

In accordance with Article 219 of the Education Act, a National University Research Council (CNCS) is established within MECS that: a) establishes quality standards, criteria and indicators for scientific research approved by minister order; b) periodically audits, at the request of the Ministry or on its own initiative, the university scientific research or in the research and development units; c) manages research programs and processes to evaluate research projects that are proposed for competitive funding; d) submits an annual report on the state of scientific research in universities to the Ministry.

The university is autonomous in establishing its own of structures for the organization and deployment of scientific research (art. 131, [1]): centers or laboratories, design units, consulting centers, university clinics, small production and services units, experimental stations, or other entities for production activities and transfer of knowledge and technology. There can be set up short-term and project-research units distinct in terms of revenue and expenditure, which are also autonomous and have their own statutes approved by the university senate.

#### ***3.5.9.2. Students' involvement in the process of scientific research (incentive mechanisms)***

In Romania, the 90-120 ECTS scientific MA is in place, which serves as a starting point for doctoral studies (some credits may be considered). MA students are integrated into applied research. PhD students are an important part of university research structures.

#### ***3.5.9.3. Scientific research of the didactic staff***

Research workload of the teacher is 400 hours / year, and there are required publications in the country or international journals. Other tasks based on grants are paid separately.

The state encourages excellence in higher education institutions through specific financial incentives: additional funding based on quality criteria and standards, distinct funds for institutional development, study or research grants from other universities in the country or abroad, awarded on a competitive basis.

#### ***3.5.9.4. Integrated research, education and business centers***

In accordance with Article 129 of the Education Act, higher education institutions may establish, alone or in association, businesses, foundations or associations, with the approval of the university senate. The condition for them to be set up is that they contribute to increasing the performance of the institution and do not adversely affect, in any way, educational, research and consultancy activities. They can be set up consortia with research and development units, based on a partnership agreement, as required by law.

## **Conclusions**

1. The university is autonomous in establishing its own of structures for the organization and deployment of scientific research: centers or laboratories, design units, consulting centers, university clinics, small production units, experimental stations, or other production and knowledge and technology transfer entities. There can be set up distinct temporary research units which are also autonomous and have their own statutes approved by the university senate.

2. In Romania, the scientific MA is in place, which serves as a starting point for doctoral studies. MA students are integrated into applied research. PhD students are an important part of university research structures.

3. Research workload of the teacher is 400 hours / year, and there are required publications in the country or international journals. The state encourages research excellence of teachers through specific financial incentives: additional funding for institutional development, research grants from other universities in the country or abroad.

4. Higher education institutions may establish, with the approval of the university senate, may establish consortia with research and development units, based on a partnership agreement, as required by law.

### **3.5.10. The doctorate**

#### ***3.5.10.1 The right to offer doctoral studies***

Doctoral study programs shall be organized in doctoral schools accredited or provisionally approved [46-53].

The quality of doctoral supervisor is given by order of the Minister of Education, Research, Youth and Sports, on the proposal of CNATDCU for granting habilitation certificate in accordance with the standards and procedures developed by MECTS. These standards are established on the basis of the relevant assessment criteria proposed by CNATDCU and approved by order of MECTS.

To supervise doctorates, didactic and research staff who have acquired this right must conclude an employment contract with an IOSUD or a member institution of a IOSUD and be members of a doctoral school. A doctoral supervisor can not simultaneously supervise Ph.D. students than in one IOSUD, except for doctorates conducted in co-supervision. The number of Ph.D. students who can be supervised simultaneously by a doctoral supervisor is determined by the university senate.

PhD supervisors are evaluated every 5 years. Evaluation procedures are established by MECTS, on a proposal from CNATDCU.

#### ***3.5.10.2. Doctoral Schools***

Doctoral schools can be organized by a university or a university consortium or by consortia or partnerships that are legally established between a university or a university consortium and research and development units. Universities or partnerships or consortia organizing one or more doctoral schools accredited or provisionally approved, constitute an institution organizing doctoral studies, IOSUD, recognized as such by MECTS based on provisional authorization, accreditation or periodic evaluation.

### **3.5.10.3. Completion of studies, conferring of degrees**

The PhD thesis is developed as required by IOSUD through the Rules of organization and development of doctoral study programs and in accordance with the regulations set out in the code of doctoral studies.

The Commission of public defence of the PhD thesis is proposed by the doctoral supervisor and approved by the management of IOSUD. The doctoral committee consists of at least 5 members: the president, as representative of IOSUD, the doctoral supervisor, and at least 3 official reviewers from the country or abroad, specialists in the field in which the PhD thesis was developed and of which at least two of them are outside IOSUD. The members of the doctoral committee have a PhD title and have at least the teaching position of associate professor or scientific researcher of II degree or are doctoral supervisors in the country or abroad.

The PhD thesis is defended in a public hearing in front of the doctoral committee, after evaluation by all reviewers. The public presentation includes a session of questions from members of the doctoral committee and the public.

Based on the public presentation of the PhD thesis and the reports of official reviewers, the doctoral committee evaluates and deliberates over the qualification to be attributed to the thesis: „Excellent”, „Very good”, „Good”, „Satisfactory” and „Unsatisfactory”.

If the PhD student has met all the requirements of the scientific research program and the PhD thesis assessments allows the assignment of the mark „Excellent”, „Very good”, „Good” or „Satisfactory”, the doctoral committee proposes to award the title of doctor, proposal that is submitted to CNATDCU for validation. CNATDCU, after evaluating the dossier, suggests MECTS granting or not granting the title of doctor. The PhD title is awarded by order of MECTS. The PhD thesis is a public document.

Following the completion of scientific doctoral studies, IOSUD issues the PhD diploma and title of Doctor in science.

### **3.5.10.4. Postdoctorate, habilitate**

The Education Act (Article 172 [1].) provides for setting up advanced research postdoctoral programs *for people who have obtained a PhD degree not more than five years before admission to the postdoctoral program* and which ensures the institutional framework for the development of research after completion of doctoral studies.

Postdoctoral programs have a duration of minimum one year, are financed by public institutions or by economic operators and are conducted in a doctoral school on the basis of a research plan proposed by the postdoctoral researcher and approved by the doctoral school.

Within higher education institutions, postdoctoral programs can be organized only in doctoral schools accredited for the organization of doctoral programs. Postdoctoral programs can be organized within research and development units.

Admission to postdoctoral programs is made based on the methodology developed by the host institution in accordance with the law. Upon completion of the postdoctoral program, IOSUD or the host institution awards a certificate of postdoctoral studies.

## **Conclusions**

1. Doctoral study programs shall be organized in doctoral schools accredited or provisionally approved. The quality of doctoral supervisor is given by order of MECTS, on the proposal of CNATDCU for granting habilitation certificate.

2. Doctoral schools can be organized by a university or a university consortium or by consortia or partnerships that are legally established between a university or a university consortium and research and development units.

3. The PhD thesis is developed as required by the institution organizing the doctorate through the Rules of organization and development of doctoral study programs and in accordance with the regulations set out in the code of doctoral studies.

The PhD thesis is defended in a public hearing in front of the doctoral committee, after its evaluation by all three reviewers. The PhD title is awarded by order of MECS after the validation of the dossier by the National Council for the Attestation of Titles.

4. The Education Act provides for setting up advanced research postdoctoral programs with a duration of minimum one year for young people who have obtained a PhD degree which finishes with the awarding of a certificate of postdoctoral studies

## **4. BENCHMARKING STUDY**

### **4.1. Database on criteria of academic autonomy for five European countries**

The comparative analysis (cross-case analysis) will be based on 10 criteria and 37 sub-criteria outlined in Chapter 1 (Table 1) and the data accumulated as a result of examination of the documentation available for each country (Lithuania, Denmark, Scotland, Sweden and Romania), of the internal regulations and discussions with managers and teachers held during working visits conducted in 5 representative universities in these countries (Mykolas Romeris University in Lithuania, University of Strathclyde and Caledonia University, Glasgow, Scotland, KTH in Sweden and Aalborg University in Denmark). The data collected are shown in Table 2. The following is a brief description of the criteria for the analysis of academic autonomy.

Criterion 1 “Establishment and termination of study programs” aims at the freedom of higher education institutions to initiate and terminate study programs at three levels – Bachelor, Master and Doctorate – universities analyzed featuring a wide autonomy in this respect without interference from some government bodies and the right to provide study programs at all levels in the national language or foreign language (eg. English).

In the light of criterion 2 “Admission to studies”, it is considered the freedom of universities to organize independently the admission process at all levels of education, to establish specific requirements and admission procedures for students both local and international. Another important aspect analyzed under this criterion are procedures or arrangements and structures for education and career guidance present in the educational institution.

Criterion 3 „Recognition of studies” provides the analysis of procedures and methods for the recognition of periods of study undertaken abroad and study documents obtained and bodies responsible for recognition, which, as evidenced by the study, are some special structures (eg. National Recognition Centre (NARIC) in the UK, Swedish Higher Education Authority and the Ministry of Education in other countries).

Under criterion 4 „Accreditation of study programs” are analyzed and specified institutional arrangements for quality assurance and quality assurance agencies that are autonomous entities, having established their own procedures, methodologies, criteria for internal and external evaluation of the quality of studies and which are consistent with the recommendations of the „Standards and Guidelines for quality Assurance in the EHEA”, and the procedures for evaluation and accreditation of study programs and higher education institutions. Another aspect relates to the freedom of institutions to choose the quality evaluation body. No less important in this respect is the analysis of quality assurance bodies’ relations with governmental structures, such as the Ministry of Education, the study revealing that regardless of autonomy enjoyed by the Agency, the Ministry is the one that ultimately makes final decisions.

Criterion 5 „National Qualifications Framework” provides for the establishment of the body responsible for NQF, degree of participation of universities in setting up / initiation of new qualifications, the way to reflect the NQF requirements of the study programs offered,



the existence of educational standards and credit system applied in the country. NQF in the countries surveyed provides 8 levels of qualifications, with descriptors on qualification levels similar to those recommended by the European Qualifications Framework. When establishing new qualifications all stakeholders are involved (universities, ministries, businesses etc.). ECTS credit system is used, except Scotland, which has its own system of credits expressed in SCOTCAT points, and is fully compatible with ECTS.

Criterion 6 „The content and implementation of the study program” examines in detail how to organize the educational process in the European higher education institutions, with special emphasis on the freedom of institutions to design study programs content, their approval and implementation, but also who are usually the initiators of study programs. Another aspect covered under this criterion is the involvement of business in education, achievement of students internships and how to organize the final evaluation at all three study cycles.

Criterion 7 „Employability” is aimed at the existence of the occupational framework and employment of graduates with different qualification levels. It also examines the place occupied by the master and doctorate in the occupational network, the study revealing that the rate of employment and the opportunity to easily find a job is significantly higher for those with master’s and PhD qualifications in a particular field. In the study, under this criterion, there are also highlighted internal (at institution level) and external (state level) structures of career guidance, their role and functions. It was found that universities are responsible for advice and career guidance, whether there is a separate guidance structure or not.

Criterion 8 „Teachers’ workload” provides an analysis of the planning and distribution of the teaching workload with the establishment of teaching workload and the workload that is usually divided into teaching activities and scientific work, but also the accounting of the teaching workload. The result of the study found that 40% of the total work is assigned to research activities and universities set their own methodology for calculating the salary of teachers.

Criterion 9 „University scientific research” emphasizes academic structures involved in the organization of scientific research, the participation of universities in national and international research projects, the mechanisms used by institutions to encourage the active participation of students and teachers in the process of research. Thus, students are involved in research starting with cycle II – Master and there are several mechanisms to encourage teachers, offered at both state and institutional level, such as additional funding, research grants etc.

Criterion 10 „The doctorate” analyzes the right of higher education institutions to offer doctoral programs, types and duration of doctoral studies, authorization bodies, empowerment with the right to be a doctoral supervisor, rules for writing, presentation and defending of the thesis, the existence and organization of doctoral schools, right to offer doctor and doctor habilitate degrees. The study showed that universities that are authorized and have the right to offer doctoral studies are autonomous in organizing the whole process of education and have the right to confer the degrees in question.

**Table 2: Comparative analysis on criteria**

Country	Criterion, Subcriterion
<b>Criterion 1. Establishment and termination of study programs</b>	
	<b>Subcriterion 1.1. Levels in higher education</b>
Lithuania	Two types of higher education institutions: colleges offering professionalized programs and universities that offer programs for three levels – Bachelor, Master (in some specialties of integrated study) and Doctorate. A new institution is established by decision of the Seim. It is established a Register of institutions entitled to offer educational services, which is made public.
Scotland	In Scotland / UK there are three types of institutions in Higher Education: colleges, institutes and universities. Colleges offer bachelor degrees or certificates, universities offer bachelor and master programs and integrated programs. The student can get a document of partial studies at intermediate stages: Higher Education Certificate (60 credits), HE Diploma (120 credits) and Bachelor certificate (three years of study). All universities are autonomous institutions, particularly in matters relating to courses.
Sweden	The government decides on the establishment or liquidation of a HEI. HEIs are divided into two categories: universities and university colleges. Swedish Higher Education Authority is the body that decides on the permission of awarding qualifications by the HEI.
Denmark	Four types of higher education institutions: professional academies; colleges that offer professional undergraduate programs; universities that offer programs at three levels – bachelor, scientific master and PhD; university institutes specialized in arts. Universities can provide full-time and part-time programs, can form foreign subsidiaries jointly or independently. A new state institution is established by Government decision.
Romania	There are 3 levels of higher education: bachelor, master and doctorate. There are also provided two forms of postgraduate studies: advanced research postdoctoral programs and postgraduate programs of training and continuing professional development.
	<b>Subcriterion 1.2 Introduction of study programs at cycle I</b>
Lithuania	The Ministry of Education determines / approves the general requirements for college study programs, study programs at cycle I, integrated studies and master. New college and Bachelor programs should correspond to the List / Nomenclature approved by the Ministry of Education. Institutions develop programs in accordance with those requirements.
Scotland	The first stage / cycle lasts for three or four years and leads to the award of a Bachelor's Degree in Arts, Science or other fields (Technology, Law, Engineering etc.). The initiator of a new Bachelor program is the department in which they form a program committee, which discusses and then develops the program curricula. The program is discussed within the Department and then at the Academic Committee of the Faculty and is approved by the academic council of the institution. Institutions are free to decide on the introduction or liquidation of study programs at all levels of education.
Sweden	Study programmes in cycle I and II have a programme syllabus offered in the form of courses, which are also accompanied by a course syllabus. Accreditation is not required to initiate a new study programme if HIS was entitled with the examination of the third cycle. In the case of HEIs which were not given that right, in order to launch a new programme of studies it is necessary that they apply for its approval at the Swedish Higher Education Authority.

Denmark	The ministry lays down general rules governing education, including forms of assessment, examinations and external examination; titles awarded in connection with degree programmes; and on admission to and enrolment into degree programmes.
Romania	Requirements for the first cycle programs are determined by the National Qualifications Framework. Programs become eligible when they are listed in the National Register of Qualifications in Higher Education (NRQHE), which is updated annually and made public.
	<b>Subcriterion 1.3. Introduction of study programs at cycle II</b>
Lithuania	The Ministry of Education provides entitlement to master and doctoral programs to institutions conducting scientific research in the field. The name and content is determined by the institution based on the general requirements.
Scotland	Studies at master's level are at the forefront of an academic or professional discipline. New master programs must show originality in their application of knowledge and advancement of knowledge. College graduates with Bachelor certificates complete their studies up to a Bachelor degree during one year. The programs are proposed and developed by universities in accordance with the general requirements.
Sweden	Is similar to cycle I programs.
Denmark	Drafting and approval of the Master programs lies totally on university's competences.
Romania	Master degree programs in one area can be organized by those higher education institutions that are accredited or provisionally approved for this purpose. The educational programs promoted are set annually by the university senate and communicated to MECTS to be published centrally.
	<b>Subcriterion 1.4. Introduction of study programs at cycle III</b>
Lithuania	The Ministry of Education provides entitlement to master and doctoral programs to institutions conducting scientific research in the field (based on assessment results). The name and content is determined by the institution based on the general requirements.
Scotland	New doctoral programs usually occur as development of research programs. Doctoral programs are accessible to people with Master's degree in the field. <i>Usually, after usually three years' further study beyond the Master's Degree, the candidate may present a thesis for the Doctorate of Philosophy (D.Phil. or Ph.D.).</i>
Sweden	Accreditation is not required to initiate a new study programme if HIS was entitled with the examination of the third cycle. In the case of HEIs which were not given that right, it is necessary that they apply for its approval at the Swedish Higher Education Authority for approval. HEIs entitled to offer qualifications in Cycle III have the right to decide independently on the programmes and courses which they want to offer and their initiation or liquidation.
Denmark	The institutions may award the PhD degree within fields within which they carry out research and within which they have set up a PhD school, either independently or in cooperation with other institutions covered by the ministerial order. The title of PhD is awarded to students who have successfully completed the program and successfully defended the PhD thesis. The doctoral program is equivalent to 180 ECTS points. The name and content of programs is determined by the institution based on general requirements.

Romania	Doctoral study programs are organized in doctoral schools accredited or provisionally approved. Doctoral schools can be organized by a university or a university consortium or by consortia or partnerships that are legally established in a university or a university consortium and research and development units. Doctoral studies can be also organized in co-supervision.
	<b>Subcriterion 1.5. Language of instruction</b>
Lithuania	Studies are in the national language in all programs. In parallel, other languages may be used at the discretion of the institution.
Scotland	Studies are held only in English.
Sweden	The language of instruction at cycle I is usually Swedish and at cycle II and III most of the programs are offered in English. The HEI decides on the language of instruction.
Denmark	At all programs, studies are in national language. In parallel, programs can be established with the use of English, especially at the Master's and Doctorate level at the institution's decision.
Romania	Education is a public service being conducted in Romanian language and in minority languages and foreign languages.
<b>Criterion 2. Admission to studies</b>	
	<b>Subcriterion 2.1. Procedures for admission to Cycle I</b>
Lithuania	The government determines the quota / number of vouchers (state scholarships) that can be allocated, universities will get places (students with vouchers) through competition (according to the prestige of the institution in the vision of candidates). It was created, with the consent of universities, a centralized body for online admission to cycle I, which is coordinated by the Ministry of Education and Research. This mechanism provides a large freedom to students and objective competition between institutions.
Scotland	For admission to universities and colleges in the UK to studies at cycle I is done centrally by a specialized body UCAS (Universities and Colleges Admissions Service). The Funding Council establishes the capacity of universities and universities determine admission requirements for candidate students and specific admission requirements. The candidate may indicate in the application up to 4 universities. A special committee examines the dossiers and test results, which are passed within committees created by USCA, and determines which specialty and universities meet the conditions. The candidate decides which institution to enroll. Admission to studies in Scottish universities in the UK is regulated by the state by determining the capacity of the university to provide quality education.
Sweden	Requirements for candidates for admission are general (apply to all courses and programmes in higher education) or specific (for each HEI in part) and are governed by state basic documents. Swedish Higher Education Council is responsible for the centralized admission on behalf of higher education institutions. Education is free for Swedish citizens and citizens of EU. Citizens of other countries must pay tuition fees which cover the full costs for studies.

Denmark	Admission to an undergraduate program is done based on general requirements (completion of upper secondary education with a certain level of grades and specific requirements formulated by the university and approved by the ministry (the average grade or level of grades in certain subjects, passing an admission examination or aptitude test). Any new specific requirements regarding admission are notified, made public at least two years before the entry into force. Application is online. The purpose of the admission is to enroll to study all those who are able to complete an undergraduate program. There are prescribed general rules of transition from one program to another, switching to another university, return to studies. The Government approves quota for admission to study programs depending on the capacity of university structures to ensure quality education based on research.
Romania	MECTS develops annually a framework methodology and each higher education institution develops and applies its rules to organize admission in degree programs offered. Bachelor studies in the form of full-time education may be organized under funding from the state budget or a fee. MECTS allocates a number of grants financed from the budget for state universities.
	<b>Subcriterion 2.2 Procedures for admission to Cycle II and III</b>
Lithuania	For admission to Masters, the contest is done based on the Bachelor degree in related programs; college graduates are admitted after one compensatory year. Admission to PhD is based on the Regulation developed by the Research Committee. The Master's degree or the integrated studies diploma in the respective field of studies serves as the basis for admission.
Scotland	The specific requirements for admission to Masters and PhD are determined by the university. The organization and admission procedures are the responsibility of the university.
Sweden	Admission to the third cycle, doctoral studies, is based on undergraduate and graduate degrees, integrated studies with 240 credits, of which at least 60 credits must be for Masters Degrees in the same area of specialization. HEI makes decisions on admission to the third cycle, sets deadlines and procedures for admission. Doctoral studies are organized at faculty level and the application process for PhD positions is specific to each faculty. Only those who have obtained a PhD scholarship or doctoral grants can be admitted.
Denmark	The specific conditions for admission to the MA and PhD are determined by university at the level of study program. Organization and admission procedures are the responsibility of the university.
Romania	MECTS allocates for master degree studies in the form of full time education a number of grants financed from the budget for state universities. Own admission methodologies are used.
	<b>Subcriterion 2.3. Admission of foreign students</b>
Lithuania	The admission of foreign students is carried out by university admission committees. No admission quotas are imposed.
Scotland	Matriculation in higher education of students from EU and other countries is based on a document of studies. Particular attention is paid to the institution graduated and level of knowledge of English. Non EU students pay fees by 60% higher than UK citizens. At the UK level there are set general rules for immigration.

Sweden	Admission of foreign students to cycle I and II is mainly through mobility programs, exchange of students and the number of study places for students applying individually is limited and based on a tuition fee. Admission requirements to cycle I and II for foreign students are basically the same as for local students. It is required the knowledge of English or Swedish. Admission requirements are set independently by each HEI. Admission of foreign students to doctoral studies is restricted and HEIs can only admit students who have funding for the entire period of study.
Denmark	Admission of foreign students is carried out by universities' admissions committees. Not quotas are imposed on admission. Specific requirements for foreign applicants refer to the knowledge on the Danish / English and specialized skills.
Romania	Doctoral studies are organized with funding from the state budget, for a fee or from other legal sources. MECTS allocates annually, by the Government decision, a number of multiannual doctoral grants which include the amount of the individual scholarship and the costs for education and research.
<b>Subcriterion 2.4. Formation of contingent</b>	
Lithuania	Universities are autonomous in the use of different methods of vocational guidance, various measures are taken at university, faculty, and program level.
Scotland	In the UK universities there are undertaken various measures at the level of institution, faculty, program. These measures have become central for all universities under the existing conditions of reducing number of students. UCAS has an important role in accurate and objective indormation of students.
Sweden	According to the law, HEIs in Sweden provide study and career guidance, work with school graduates and students, make public regulations, admission requirements, decision making process about admission and the procedure for contesting it, the entire activity is very transparent.
Denmark	The formation of the students' contingent is the full responsibility of univeristy's internal structures. The activities of vocational guidance, recruitment of students from home and abroad is one of the tasks of each department.
Romania	Universities are autonomous in choosing strategies for vocational guidance.
<b>Criterion 3. Recognition of studies</b>	
<b>Subcriterion 3.1. Recognition of study periods undertaken abroad</b>	
Lithuania	The Government determines general rules for the recognition of periods of study and academic credits obtained abroad or in another local institution. Each institution sets independently (by internal rules) procedures for recognition and transfer between programs.
Scotland	Studies done in mobility programs are recognized under trilateral agreements between student, University of origin and the host University. In normative documents of each institution there are mentioned rules of migration from one program to another and from one form of study to another.



Sweden	Recognition / evaluation of study periods undertaken abroad and diplomas for academic purposes is made by the Swedish Higher Education Council, which serves as a recommendation or guidance for HEIs admitting foreign students to study. Studies, study documents and their eligibility are assessed by the HEI to which candidates apply, based on information provided in the application and the attached documents. Recognition / evaluation of courses and programs is done in order to allow the transfer of credits for the award of a qualification or admission to studies.
Denmark	The rules for recognition of credits and periods of studies done in another university in the country or abroad shall be determined by the university and are component parts of the respective curricula of study programs.
Romania	The Education Act establishes that the number of transferable study credits are the reference element that universities can use to recognize legal studies or study periods previously made in the same fundamental field.
<b>Subcriterion 3.2 Recognition of documents of studies done abroad</b>	
Lithuania	A state authority is appointed for the recognition of diplomas, which operates under the rules and requirements set by the Government.
Scotland	Recognition of educational documents obtained outside the UK is made by the National Recognition Center (NARIC). Services provided: recognition of diplomas for access to studies and professions; recognition and equivalence of information. Inside universities the Education Committee is dealing with these problems.
Sweden	The recognition / evaluation of study documents obtained abroad does not lead to the issuance of an equivalent Swedish study document. Recognition of study documents for employment purposes is made by the Swedish Higher Education Authority in accordance with the general EU Directives.
Denmark	The procedures for recognition of foreign qualifications are regulated by the Assessment of Foreign Qualifications Act. The objective is to secure access to have foreign qualifications assessed with a view to easing access to the Danish labour market and the Danish education system. It is up to the individual employers to decide whether they can use the educational qualifications and the occupational experience achieved outside Denmark.
Romania	MECTS organizes the recognition and equivalence of diplomas and certificates according to internal rules and in accordance with European standards.
<b>Criterion 4. Accreditation of study programs</b>	
<b>Subcriterion 4.1. Internal quality assurance structures</b>	
Lithuania	Internal quality assurance is the responsibility of educational and / or research institutions which establish internal quality management structures, they determine independently the policy, and quality management strategy. Responsible of quality assurance are: head of the QMS department, dean of the Faculty, head of the program, and students are involved. The institution shall inform stakeholders about the quality of education and research.
Scotland	Responsible for quality assurance in the university is the Quality Assurance Committee, composed of persons responsible for education. At faculties / schools responsibility for quality assurance lies with the faculty council, heads of departments and program directors.

Sweden	Swedish HEIs do not have separate organizational structures (e.g., departments, offices) for quality assurance, but all the actors / institutional entities are involved in this process. The overall responsibility for issues related to the quality of education, research and interaction with society rests on the Faculty Council. Also, within the administration there is a person appointed as quality coordinator whose function is to coordinate activities related to quality assurance occurring before, during and after the external and internal evaluation.
Denmark	The structure and functions of the continuous quality assurance system are predetermined by criteria set out in The University Act, and Ministerial Order “Criteria for the Relevance and Quality of University Study Programmes and on Procedures for Approval of University Study Programmes”.
Romania	Quality assurance of education and scientific research is an obligation of the higher education institution. Each university develops its own quality assurance system whose presence is mandatory.
<b>Subcriterion 4.2 Methodology, evaluation criteria, procedures</b>	
Lithuania	Institutions have the right to provide education only at accredited programs. The Ministry initiates a new evaluation and accreditation of higher education and research institutions once in six years. Evaluation is done on all fields indicated in the Statute of the institution and is based on compliance criteria. The methodology and assessment criteria descriptors are approved by the Government. Subsidiaries of foreign institutions are also subject to evaluation and accreditation.
Scotland	External evaluation methodology, procedures and evaluation criteria are described very explicitly in the Quality Code. Each quality criterion contains detailed and explicit instructions on regulatory documentation that the institution must have and which it should present to evaluators. The Code is an integrated document that meets the basic requirements for all stages of a life cycle of the university training process.
Sweden	HEIs are free to organize their own quality assurance processes and how to organize / conduct this process and must take responsibility for their good development. Although they have a wide autonomy in this regard, all HEIs should establish quality objectives so that they can be monitored and then to report to the government priority quality assurance measures and explain how these measures can help improve educational and research standards of the institution. The evaluation process and the course analysis at KTH are of particular interest, especially post-analysis activities such as publishing the analysis, reporting any changes made and the reasons behind them.
Denmark	For external evaluation and accreditation of study programs there was created the Accreditation Agency for Higher Education by the Ministry MSTI as independent public bod. Program’s external evaluation procedures and quality and relevance criteria are approved by order of MSTI. Evaluation is based on several fundamental criteria: demand for the study programme in the labour market; the study programme must be based on research and connected with an active research environment of high quality; continuous internal quality assurance of the study programme.
Romania	The evaluation for temporary authorization and accreditation is carried out by ARACIS based on the methodology and evaluation criteria developed by it according to international standards in the field.

	<b>Subcriterion 4.3. Freedom in the choice of external quality assessment body</b>
Lithuania	External evaluation is carried out by the Centre for Quality Assessment or another agency, indicated by MES, appearing in the EAQAHE Register.
Scotland	External evaluation is the responsibility of the UK's QAA. The Quality Code is valid throughout the UK and the UK suppliers operating abroad. It protects the interests of all students who study full-time and part-time at the undergraduate or postgraduate cycle.
Sweden	At national level, the Swedish Higher Education Authority is responsible for assessing and monitoring the quality of higher education, recognition of new programmes of study, and periodic evaluation of the programmes recognized (the latter two activities are the responsibility of the Quality Assurance Department of the SHEA). Based on the evaluation of HEIs by this entity and its opinion, the institution receives or is withdrawn the right to offer qualifications at cycle I or II by the Ministry.
Denmark	On its own initiative or following a request from a university, the Council may furthermore base its accreditation decision fully or partly on an accreditation report from another internationally recognised institution, to the extent that the report is prepared in accordance with the criteria for quality and relevance laid down by the Ministry.
Romania	For the external evaluation of study programs the institution may opt for services of the national agency for quality assurance, ARACIS, or another agency registered in EQAR.
	<b>Subcriterion 4.4. Relations of cooperation of the accreditation body with the Ministry of Education in the accreditation process</b>
Lithuania	External evaluation methodology and criteria are developed by the Accreditation Council but are approved by the Government on the recommendation of the Ministry of Education. Accreditation of study programs and educational institutions by ME is based on the results of external assessments coming from the committee.
Scotland	Final decisions are made by the Ministry.
Sweden	Actual external evaluation of study programmes offered by a HEI is done by the SHEA which is appointing a committee of external experts for this purpose. This committee evaluates and assesses the program according to a three-level grading scales. All evaluations and their results are presented by SHEA to the Ministry of Education. If, as a result of the evaluation, the HEI receives the highest rating (very high quality) for the courses and programs it offers, it will receive a quality bonus when allocating funding by the government. If it gets a negative evaluation, the Ministry makes the decision of ceasing financing.
Denmark	The Ministry appoints the Director of the Accreditation Agency, approves the criteria for relevance and external evaluation procedures of the study programs. The Accreditation Council organizes the external evaluation, makes proposals, and the Ministry decides on the continuation or termination of funding of state nonaccredited programs or termination of the activity of nonstate ones.
Romania	The Ministry of Education collaborates with ARACIS, with other agencies listed in EQAR and with CNCS, CNATDCU, the Board of Ethics and University Management (CEMU) and other bodies with relevant expertise in quality assurance.
<b>Criterion 5. The National Qualifications Framework (NQF)</b>	

	<b>Subcriterion 5.1. The body responsible for NQF in the country</b>
Lithuania	În Lithuania este aprobat Cadrul general al calificărilor cu 8 nivele de calificări, cu descriptori pe nivele de calificare similare cu cele recomandate de EQF. Patru nivele (5-8) superioare ale Cadrului corespund calificărilor oferite de programele de studii de colegiu, bachelori, master și doctorat.
Scotland	Scottish Qualifications Authority (SQA) is the Scottish statutory body for the award and accreditation of qualifications. SQA provides SCQF qualifications recorded with various certificates for levels 1-7 for secondary education, HNC certificates and HND diplomas for levels 7, 8 of short higher education cycle and specific qualifications for three levels of SVQ vocational higher education – levels 9, 10, 11 and 12 (corresponding to the degrees – Bachelors, Bachelors Honours, Master and Doctor). Qualification levels for higher education are described together in terms of learning outcomes (as descriptor) and in terms of credits.
Sweden	The national responsibility for the Swedish National Qualifications Framework lies on the Government. In establishing, developing and modifying the NQF many stakeholders are involved: HEI, Ministry of Education and Research, Swedish National Agency for Higher Education, students, society etc.
Denmark	The Danish qualifications framework is comparable to EQF and includes 8 levels of qualifications, four of them relate to higher education: Academy Profession level (5), Bachelor's level (6), Master's level (7), PhD level (8). The Coordination Point for the EQF was set up under the auspices of the Danish Agency for International Education.
Romania	The National Council of Qualifications and Vocational Training of Adults, CNCFPA, subordinated to MECTS, is the National Qualifications Authority (NQA). An executive unit provides legal, technical, economic, financial and logistical conditions for the operation of the Council and the administration of the National Register of Qualifications in Higher Education (NRQHE).
	<b>Subcriterion 5.2 Participation of universities in the development of new qualifications</b>
Lithuania	The general competences being established by state institutions (MES, Government), the initiative to develop new study programs comes from departments / institutes and program committees, which are formed freely. The Ministry and the Quality Assurance Centre engage at the phase of external evaluation and approval of operation of these programs.
Scotland	When drafting a new study program it is based on the general requirements of the qualifications framework. When approving its deployment (financing), the external evaluation and accreditation of programs checks whether the learning outcomes of this program meet the educational standards prescribed by the Quality Code.
Sweden	In establishing, developing and modifying the NQF many stakeholders are involved: HEI, Ministry of Education and Research, Swedish National Agency for Higher Education, students, society, etc
Denmark	The inclusion of certificates and degrees into the NQF is based on an assessment of the learning outcomes that the individual degree/certificate documents in relation to the level descriptors of the NQF

Romania	Universities can develop new qualifications which must comply with the NQF. Higher education institutions are required to record information regarding the qualifications they develop through their offer of study.
	<b>Subcriterion 5.3. How are NQF requirements reflected in the study programs (compulsory provisions, internal control procedures, external evaluation)?</b>
Lithuania	In order to be implemented, new study programs are evaluated if they meet the requirements defined by NQF descriptors for the respective levels of education. The descriptors serve to define criteria and indicators for the final evaluation of studies, for the preparation of self-assessment and external evaluation reports of study programs.
Scotland	Study programs are developed based on the learning outcomes, which must correspond to general requirements reflected in the descriptors of the respective levels of qualification. The descriptors, in form of quality indicators (standard requirements) are also used in external evaluation of study programs.
Sweden	Study programmes for cycle I, II and III are developed in accordance with the NQF and Qualifications Ordinance which provides a detailed description of the qualifications and requirements for obtaining them. Internal and external evaluation of study programmes offered by the HEI is also based on compliance with the qualifications described in these two basic documents.
Denmark	Universities have to develop (design) study programs and the implementation process so that competences determined by descriptors be achieved by the student. These requirements serve as the final assessment criteria and indicators of studies for drawing up the self assessment and external evaluation reports for the accreditation of the program.
Romania	Education Act establishes that the curriculum of the university study program is consistent with the qualification profile defined in the National Qualifications Framework. The concordance is a mandatory criterion for assessing quality assurance.
	<b>Subcriterion 5.4. Educational standards</b>
Lithuania	Educational standards on fields are developed as an exception, such as specific requirements determined for the field of Law.
Scotland	Educational standards are developed by each institution on the basis of criteria and indicators outlined in the Quality Code.
Sweden	Educational standards on branches are not developed.
Denmark	Descriptors for higher education qualifications (degrees), presented in the NQF, are used as reference quality standards / criteria both at the development and the evaluation and accreditation of study programs.
Romania	Educational standards approved by MECS are part of the Guide of external evaluation of study programs used by ARACIS.
	<b>Subcriterion 5.5. Credit system</b>
Lithuania	It is used the European Credit Transfer System ECTS.
Scotland	Higher education institutions in Scotland use a specific system of credits (SCOTCAT points). A full year of full-time education usually consists of approximately 1,200 hours of learning activity. The results obtained are valued / marked with 120 SCOTCAT points. No rigid time connection is involved in this system. This is very important for the development of part-time and distance education.



Sweden	It is used the European Credit Transfer System ECTS.
Denmark	It is used the European Credit Transfer System ECTS.
Romania	It is used the European Credit Transfer System ECTS.
<b>Criterion 6. The content and implementation of the study program (organization of studies)</b>	
	<b>Subcriterion 6.1. Designing the content of study programs</b>
Lithuania	General requirements for program structure, distribution of credits between groups of university disciplines, specialized and practical training are determined by the Ministry of Education. Program content is developed by a program committee. Designing the content is based on transversal and professional competences, learning outcomes which are described in the Qualifications Framework. The organization of studies, assessment of students, organization of internships, final assessment are the responsibility of each institution and are defined by the internal normative acts.
Scotland	The design, approval and implementation of programs is carried out in accordance with the rules set on the Quality Code which contains a number of indicators of good practice on program's deployment, mechanisms that higher education service provider relies on to enhance the quality of the implemented program. Also, here are examined mechanisms of closing / liquidation of a program. These rules shall apply concurrently with the general rules set out in Part A of the Code.
Sweden	HEIs are responsible for organizing the whole process of study, independent design of study programmes and courses, current and final evaluation procedure. The entire content of study programmes must comply with the learning objectives and outcomes and competencies set out in Annex 2 to the Higher Education Ordinance on qualifications, which the student must possess at the end of studies.
Denmark	University study programs are usually designed at the initiative of the research groups with high results. The curriculum is developed following the provisions of legal acts issued by the Ministry. Programs are structured in modules and are organized on the principle of problem-based learning. In Engineering study programs, realization of projects are core activities and represents a fundamental structure.
Romania	The organization of study programs is the responsibility of higher education institutions. The curriculum of the study program is developed in strict accordance with the qualification profile defined in the National Qualifications Framework and is approved by the senate.
	<b>Subcriterion 6.2 Allocation of tasks among academic structures</b>
Lithuania	A study program is provided by the program team, working within a department. Some modules are provided by teachers from other specialized or general departments.
Scotland	The program team draws up the program within the department and, as a rule, relies on the results acquired in scientific research. The program team usually includes people from several departments and outside the institution.
Sweden	From organizational point of view, an academic year consists of 40 weeks (full-time study) and corresponds to 60 ECTS. The HEI establishes itself the beginning and the end of the academic year, of semesters, and the period and duration of holidays. Teachers belonging to different schools participate in the design and implementation of a programme of study.



Denmark	A study program is provided by the program team within a department, but for some modules use is made of other departments such as for teaching mathematics modules. An important stake is on the participation of representatives of economic and state structures as providers of problems and projects for the organization of research based studies.
Romania	A department specialized in the field is responsible for a study program or group of related programs but other departments may be also involved, as appropriate, in didactic activities.
	<b>Subcriterion 6.3. Internships</b>
Lithuania	Among general requirements of the Ministry of Education related to study programs there can be found specific requirements on the duration (expressed in credits) of internships, which depends on the type of programme. Institutional normative acts establish the organization, reporting and evaluation of internships.
Scotland	Internships are indispensable part of the study program.
Sweden	Regarding internships, their realization and obligatoriness is not provided by any regulatory act. However, practical activities are incorporated in the realization of year projects by students.
Denmark	Programs offered by vocational Academies provide a deep professional training (internships have a total substantial duration), at undergraduate (Bachelor and Master) programs in colleges professional orientation is also evident (one semester, 15 -20 %), while at the research bachelor and master programs in universities internships in enterprises are missing or are much more modest.
Romania	Internships are mandatory in bachelor programs. Universities are required to provide students with internship places.
	<b>Subcriterion 6.4. Final evaluation on cycles</b>
Lithuania	The final evaluation is an act of appreciation of competences obtained by the student in relation to the outcomes prescribed by the program and is carried out through public defense of a project / thesis in front of the evaluation committee. Institutional normative documents define requirements for the graduation paper, procedures for the organization and conduct of the final evaluation.
Scotland	Programs are completed differently. The gradual ones end with the public defence of a work/thesis. If non-gradual programs, certificate or diploma is issued based on credits earned under the rules set by the program.
Sweden	Each course ends up with an examination accompanied by a grade. The HEI appoints a teacher (examiner) who determines and decides on the final grade. Also, the HEI organizes at least five examination sessions. Studies end with the development and public defense of a diploma project, for which 10/15 ECTS credits are provided. The diploma project can be done at the host institution, at a different institution or abroad, by a single student or group of students. Each paper / diploma project is checked against plagiarism.

Denmark	In the Danish system of higher education, the examination is specific both at the final phase of the study programs and at the evaluation of semester modules. One semester of study usually contains 4-5 modules with 5, 10 or 15 ECTS. Of these, at least one (10 or 15 credits) will have external examination, other modules are subject to internal examination. The Bachelor project, appreciated with 15 credits, is carried out in groups of up to 4 students. Master thesis, worth 30 credits (lasting one semester), is examined externally, and performed individually or in groups of 2-3 people.
Romania	The graduation examinations in higher education are: a) bachelor graduation exam for bachelor cycle or diploma exam for education in engineering sciences; b) dissertation exam for master cycle; c) examination of public defence of the PhD thesis and are conducted on the basis of a regulation approved by the senate.
<b>Criterion 7. Employability</b>	
	<b>Subcriterion 7.1. The occupational framework (ISCEO). The link between the level of studies – qualification</b>
Lithuania	In Lithuania, it is currently used the standard International Classifier of Occupations ISCO-88 (COM), recommended by the EC. For higher education, requirements on general and professional competences are expressed in the descriptors of levels 5, 6, 7 and 8 of the NQF.
Scotland	Graduate's competencies are defined by qualification level descriptors. Special requirements relating to employment are separately formulated to jobs and public services (education, police, judges etc).
Sweden	The employment rate of people with higher education varies from one area to another and is virtually 100% due to the increase in the number of jobs that require highly qualified specialists. To meet the expectations of the labor market that are constantly growing, a pretty big focus is on the connection and cooperation between HEIs and businesses. At institutional level, each HEI collects, and there is even a certain culture that HEI graduates provide data on their employment. At national level, these data are collected by the Swedish Higher Education Authority each November, once in 12 to 18 months after graduation, and then it makes public a report on the data collected and the employment rate of graduates in different fields.
Denmark	The existing links between the education level and qualification levels is explicitly set by the Danish qualifications framework.
Romania	The Romanian National Qualifications Framework clearly defines the correspondence between levels of qualifications of the Framework, study documents that are issued, the type of education and training programs in Romania by which may be acquired the qualification levels and the reference levels of the Common European Qualifications Framework (EQF).
	<b>Subcriterion 7.2 Place of MA and PhD in the occupational network</b>
Lithuania	In ISCO – 88 – are listed only the general requirements of specialties. The employer is free to choose between – college, Bachelor or Master graduates. There should be emphasized only areas with specific requirements, e.g. those related to human safety, environmental security etc. The right of becoming a specialist in construction design, for example, is granted only to those who have a master qualification plus special requirements.

Scotland	For non-regulated specialties, everything depends on the the employer. Prescriptions for positions that may be filled by graduates of cycle 1 and 2 are made only for public specialties (medicine, law, other public servants).
Sweden	Employment is not recorded when finishing cycle I – Bachelor, although this is permitted by law. The employment rate of graduates with the title of PhD is 100%. Being a PhD student, such a person, by law, can have a job in a HEI and the HEI, in turn, is bound to create such posts. At national level, the Swedish Research Council finances post-doctoral positions, funding given to HEI establishing such posts with a fixed term of two years, where people with doctorates awarded in Sweden and abroad can apply.
Denmark	Master's is oriented towards research and continuing doctoral studies.
Romania	For education, jurisprudence, and other public areas of activity the place of the master student is well defined. In the Register of limited specialties at EU level there are also mentioned restrictions on educational level. For the rest, the employer decides what level of education, general and vocational competences are necessary for the performance of the planned function.
<b>Subcriterion 7.3. Career guidance structures (state level, institution level)</b>	
Lithuania	Special structures responsible for vocational guidance of students are not created within universities. Responsibility and core activities related to guidance of students, support of students in the process of looking for a job and their employment and career tracking is in the responsibility of departments and program committees.
Scotland	In the UK particular attention is given to the work with graduates. At universities, there are created special structures for these activities, the <i>Office for Development of Relationships with Graduates</i> (alumni). The aim of the Office is to develop long-term relationships with individuals and organizations where graduates work, relationships that have the purpose of fundraising, information about university of graduates and operation with databases of graduates. The office is organized centrally by the management of the University with representatives within faculties.
Sweden	At the state level, career guidance of graduates from HEIs is done by the Swedish Research Council and the Swedish Agency for Government Employers and, at institutional level, studies and career guidance is carried out by HEIs themselves.
Denmark	The university must offer students guidance on the degree programme in which they are enrolled and on post-graduation job opportunities. The Minister may lay down rules on guidance.
Romania	By law, universities are required to have in their composition structures responsible for career guiding of students and of support for graduates on their insertion in the labor market.
<b>Criterion 8. Teachers' workload</b>	
<b>Subcriterion 8.1. Planning the didactic workload</b>	
Lithuania	Lithuanian Labor Code establishes the working week and the annual workload for teachers in higher education. Institutions, by themselves, develop internal regulations for calculating and allocating the workload.

Scotland	The teaching load and workload of teachers: 110 of direct contact hours with students and 560 hours for consulting. They constitute 40% of the annual volume of work. The remaining 60% are devoted to research – 40% and 20% for activities in the interest of the community. Total workload is 35 hours per week.
Sweden	Planning and didactic workload distribution is done at the school level. A teacher should combine research and teaching, but the exact percentage, the exact hours for such balance is not established. Much of this depends on the position held by the teacher. According to statistics, on average, teachers devote about 40% for research, 25% for teaching and 35% for other tasks.
Denmark	Employment Act provides workplaces, the structure of position tasks of teachers and researchers in higher education. The universities' core activities consist of conducting research and providing research-based teaching up to the highest international level. It consists of 490 hours of teaching per semester, which constitutes 60%, and 200 hours for scientific research (40%). For administrative work, a part of the academic load is reduced.
Romania	The personal establishments of teaching and research staff are prepared annually by setting common university rules. The teaching functions and the number of posts shall be established taking into account: curricula; study formations; academic standards. Personal establishments are drawn at the level of departments or doctoral schools, are endorsed by the faculty council / doctoral school board and approved by the university senate.
	<b>Subcriterion 8.2 Distribution of the didactic workload</b>
Lithuania	The annual workload of a teacher at UMR consists of 1,000 hours of didactic activities, 400 hours of research activities and 200 hours for other activities. Contact hours are the most important part of the teaching load and are determined after a certain scale, approved by the University Senate. It is accept internal part-time job of up to 1.5 time norms.
Scotland	The head of the department, the dean and other teachers holding a leading position have reduced teaching load, the salary remains intact. Each member of the department has certain public responsibilities within the department, faculty or university (20% of the load).
Sweden	The distribution of the teaching load varies from university to university and the teacher has the right to decide whether only do research or research and teaching.
Denmark	The didactic workload calculation and its distribution among team members of a program of study and research is an internal matter dealt by the team leader.
Romania	The university workload comprises: a) teaching workload (teaching activities; seminars, practical and laboratory works, guidance of year projects; guidance in the development of the bachelor, master and doctoral theses; consultations); b) research workload. The average weekly teaching workload can not exceed 16 conventional hours and can not be less than 7 conventional hours.
	<b>Subcriterion 8.3. The accounting of performing teaching and research workload</b>
Lithuania	The accounting of hours of teaching load is done at the department level, while accounting for the hours devoted to scientific research, is a problem.

Scotland	The accounting of the academic task is based on the schedule. Scientific research is assessed primarily on the basis of publications of textbooks, monographs, articles in journals with impact-factor. The university establishes rules for different categories of teachers. Publications are rated with points depending on the category of the journal.
Sweden	It is an internal affair. Teachers' salaries are negotiated at institutional level.
Denmark	There are no official documents describing the methodology of the calculation the workload related research. The number of publications shall be reported, as a rule. The Head of the department is the person who must ensure the quality of research in close connection with academic work, in cooperation with study board and Head of School, follow up on the evaluation of study programmes and teaching within the areas in which the department is supplying teaching.
Romania	The achievement of the teaching workload is rigorously supervised, while for the research workload there is a more formal procedure (there are no legal documents relating to the accounting of research workload achievement).
<b>Criterion 9. University scientific research</b>	
	<b>Subcriterion 9.1. University structures involved in the organization of scientific research</b>
Lithuania	Education and scientific research policy is defined and implemented by the Ministry of Education, the Centre for Quality Assessment in Higher Education. The participation of institutions in international research projects is coordinated by the Agency for International Science and Technology Development Programmes. Institutions can organize technology transfer parks, integrated research, education and business centers which are established by Government Decision.
Scotland	The research activity in the universities of Scotland (and the UK) is carried out by Universities Research Council (URC with 7 subcommittees on branches). Similar structures are found vertically: at college / school and department with identical roles.
Sweden	The Swedish government allocates approximately two thirds of public funds to research activities. Other sources come from government agencies, other public funding and EU funding, private funding, sources outside Sweden, except EU, and financial revenues. Other public funds intended for research are directed by the government to industrial research institutes, some sector agencies as well as municipalities and county councils. In HEIs, funding of research, doctoral courses and programs comes from: 47% direct government allocations and 26% through research councils and other government agencies. HEI themselves decide on the internal allocation of financial resources for research and doctoral programs. In order to carry out research a crucial role is played by the collaboration of HEIs with business for technology transfer and innovation purposes.
Denmark	Scientific research is an indispensable part of the process of training specialists with higher education. The study programs can be formed only in the presence of adequate scientific potential (academic researchers and the appropriate material resources for research). The research is focused on the Department's thematic and is financed from the state and projects, non-budgetary research grants. Funds from non-budgetary grants together with grants from international collaboration are comparable in size to budgetary one.

Romania	The university is autonomous in establishing its own of structures for the organization and deployment of scientific research: centers or laboratories, design units, consulting centers, university clinics, small production units, experimental stations, or other production and knowledge and technology transfer entities. There can be set up distinct temporary research units which are also autonomous and have their own statutes approved by the university senate.
	<b>Subcriterion 9.2 Students' involvement in the process of scientific research (incentive mechanisms)</b>
Lithuania	In Lithuania there is the scientific master of 90 -120 ECTS, which is a starting point for doctoral studies. Master students are integrated into applied research so as, when at cycle three, they could develop valuable scientific research autonomously.
Scotland	All master's programs have research elements. Other types of MAs in Scotland are not used.
Sweden	Students are actively involved in applied research activities and at doctoral level they allocate 70-80% of their time to research.
Denmark	Involving students in research is a fundamental principle of the Danish higher education. The special attention paid to PhD students, young researchers is a strategic direction of universities – which provides a good basis for recruitment of academic staff and increase research capacity of the institution.
Romania	In Romania, the scientific MA is in place, which serves as a starting point for doctoral studies. MA students are integrated into applied research. PhD students are an important part of university research structures.
	<b>Subcriterion 9.3. Scientific research of the didactic staff</b>
Lithuania	Annual workload of teachers includes 400 hours of research per year. Two publications in the country or one publication in international journals are mandatory. Other tasks, performed based on grants, are paid in addition to the basic salary.
Scotland	From the annual charge of the teacher, 40% constitutes scientific research that is well accounted for in the research group. Funding science from Scotland and UK funds is based on these results.
Sweden	Teachers in HEI carrying out research activities are usually associated with a school, each teacher leads a research team comprised of PhD students and / or other scientists and the whole team works on long term research projects.
Denmark	Importance is given to results. Research conducted by a teacher must correspond to the strategic plan of research within the department and be appropriate the the field of study representative for the department.
Romania	Research workload of the teacher is 400 hours / year, and there are required publications in the country or international journals. The state encourages research excellence of teachers through specific financial incentives: additional funding for institutional development, research grants from other universities in the country or abroad.
	<b>Subcriterion 9.4. Integrated research, education and business centers</b>
Lithuania	No information is available.



Scotland	Most programs are created as a result of research groups / structures, form an integral part thereof.
Sweden	The collaboration of HEIs with the business environment is an important aspect of research and is an essential condition for HEIs. This collaboration is often organized as competence centers associated with the departments of HEIs, which are autonomous units led by a board whose members are representatives of the field of trade, business and society, and they report to the President of HEIs. Another role of these competence centers is to facilitate collaboration, connection between HEIs.
Denmark	The organization of Research Institutes (specializing in the field of a faculty or school) is practiced, which combines research with the academic process (transfer of knowledge acquired by the students).
Romania	Higher education institutions may establish, with the approval of the university senate, may establish consortia with research and development units, based on a partnership agreement, as required by law.
<b>Criterion 10. The doctorate</b>	
	<b>Subcriterion 10.1. The right to offer doctoral studies</b>
Lithuania	The third cycle of higher education is doctorate, which is held in the fields of natural sciences, humanitarian sciences and arts. <i>The Ministry of Education and Science shall grant the right of doctoral studies to universities and universities together with research institutes conducting high-level research in conformity with a field of sciences and humanities, or universities together with foreign higher education and research institutions. The right shall be granted on the basis of the evaluation.</i>
Scotland	In the UK the basic form of doctorate is integrated doctorate or doctorate in philosophy (PhD). The doctorate is regarded as research based studies, organized within universities, the minimum duration of the studies is usually equivalent to 3 years of full time studies, in engineering – 4 years. The studies may be organized remotely. After 1990, the UK introduced a new type doctorate called professional, which is intended for specialists trained in a particular branch of the economy. They develop applied research for the company which shall bear the expenses related to studies and research.
Sweden	HEIs are established with the consent of the Government and their main purpose is to provide educational programs and organize research activities for all levels of education. All universities and university colleges may offer programs and courses at third cycle – doctorate, only if this right was granted by the Swedish National Agency for Higher Education. Aspects related to doctoral studies (designing programs, choosing problems to be investigated, research methodology, publishing research results etc.) are the choice of HEIs.
Denmark	The right to organize doctoral programs is attributed only to universities. Granting the right to supervise PhD students – is the responsibility of the department in the university. The institution shall establish, based on The University Act, the rules regarding: admission to the doctoral program; the organization of the doctoral program; appointment of the main supervisor as well as any other supervisors, PhD students supervision rules, rules for writing, presentation and defense of the thesis. The University also sets rules on access to the PhD program.
Romania	Doctoral study programs shall be organized in doctoral schools accredited or provisionally approved. The quality of doctoral supervisor is given by order of MECTS, on the proposal of CNATDCU for granting habilitation certificate.

	<b>Subcriterion 10.2 Doctoral Schools</b>
Lithuania	Doctoral studies are organized in doctoral schools whose statute and organization is determined by Doctoral Studies Regulation. Some specific elements are detailed in the regulations of each university. The institution is autonomous in selecting candidates for its study and research programs.
Scotland	Doctoral students' training takes place in doctoral schools organized by universities or doctoral centers.
Sweden	Doctoral studies and research are organized within research platforms in order to provide studies focused on outcomes and to meet the needs of industries. Each PhD student: must have at least two supervisors; is entitled to change the supervisor; shall draw up a work plan to guide upon and to follow it the entire period of his doctoral studies; is entitled to all the resources of the HEI needed to achieve the research targets. The supervisor is appointed by the HEI.
Denmark	Doctoral studies shall be organized in doctoral schools at faculty or department level. A PhD program comprises 180 ECTS credits. Performing the didactic activity by the PhD student is mandatory. In Denmark industrial doctorate is practiced. In this case the costs are covered by a company and the theme of the doctoral thesis includes the research of important issue for the company.
Romania	Doctoral schools can be organized by a university or a university consortium or by consortia or partnerships that are legally established between a university or a university consortium and research and development units.
	<b>Subcriterion 10.3. Completion of studies, conferring of degrees</b>
Lithuania	Doctoral Studies Regulation, developed by the Ministry, determines only the general requirements related to doctoral dissertation and procedures for its public defence. The institution conducting PhD defines specific requirements, procedures for completion and defence, conferring the degree of Doctor of Science or Arts. These procedures are greatly simplified without many elements of bureaucracy and formalism. The PhD Diploma shall be signed by the rector of the institution.
Scotland	The institution organizing doctoral programs develops its own regulations based on quality criteria shown in the Quality Code. Ph.D. degree is offered by the University, which issues the diploma without any approval from any higher authority. Thesis defending procedure is quite simple and is based on the authority and responsibility of the supervisor, faculty research council (2 persons) and 2 experts who review the thesis. The degree is confirmed at the Academic Board of the University (Senate).
Sweden	Courses and study programmes in cycle III end with the exam. Defending of the PhD thesis is done orally and in public. The HEI decides on the evaluation, grading and defence procedure. For the defence, the faculty / school appoints an opponent, a person with knowledge in the respective field, and a committee for the examination of the thesis and defence. The examination committee of the thesis includes 3-5 members, professors, where at least one must be from another HEI. Only the committee makes decisions regarding thesis' evaluation / grading and awarding of the doctoral degree. There are two types of general qualifications that are awarded at Cycle III: Licentiate (120 credits) and Doctor of Philosophy (240 credits). Students who were awarded the title of PhD or Licentiate will be issued a certificate / diploma by the HEI.

Denmark	Offering the degree of Doctor (PhD) and “higher doctor” is one of the responsibilities of the Academic Council of the faculty.
Romania	The PhD thesis is developed as required by the institution organizing the doctorate through the Rules of organization and development of doctoral study programs and in accordance with the regulations set out in the code of doctoral studies. The PhD thesis is defended in a public hearing in front of the doctoral committee, after its evaluation by all three reviewers. The PhD title is awarded by order of MECS after the validation of the dossier by the National Council for the Attestation of Titles.
	<b>Subcriterion 10.4. Postdoctorate, habilitate</b>
Lithuania	In Lithuania there is no other higher degree than the Doctor of Science or Arts. Particular attention is given to the selection of doctoral supervisors. Empowerment with the right to supervise PhD students is carried out by the institution based on criteria established by the Decree of the Ministry of Education. Post-doctorate is a comprehensive research program.
Scotland	In the the UK and Scotland a higher Ph.D. degree is set ( <i>Higher Doctorate</i> ), which follows after the PhD or another similar degree, is offered to individuals for valuable research or publications. The title is given to persons in education, based on published works, who don't have a distinct position in the qualifications and is considered honorific title.
Sweden	Persons who have already obtained a PhD degree can continue their post-doctoral studies to gain experience and further qualifications. Studies and postdoctoral positions are funded through grants / scholarships by the Swedish Research Council, which are provided for at least six months but not more than two years, and are announced twice a year. Postdoctoral studies are usually done abroad.
Denmark	Higher doctor degree (doktorgraden) os offered in Denmark which is similar to the degree of doctor habilitate, but the requirements in this case are much simpler than in RM.
Romania	The Education Act provides for setting up advanced research postdoctoral programs with a duration of minimum one year for young people who have obtained a PhD degree which finishes with the awarding of a certificate of postdoctoral studies.

## 4.2. Comparative analysis on academic autonomy in 5 countries, carried on criteria and sub-criteria

### Criterion 1. Establishment and termination of study programs

The Parliament and the Government are the courts that decide to set up or liquidate higher education and research institutions, approving / setting regulations, objectives, guidelines and resource allocation by domains. The Ministry of Education and Research (under various names) is the authority responsible for education and research in institutions offering higher education sevice, is the body that decides on granting permission to award qualifications to these institutions.

#### 4.2.1.1. Levels in higher education

Four types of higher education institutions can be found in 5 countries: vocational academies / colleges that offer professional degree programs (short term programs of higher ed-

ucation, 2-3 years); universities that offer undergraduate and graduate programs and PhD; university institutes specializing in the arts. Universities can provide full-time and part-time programs, can form in conjunction or independently branches in the country and abroad. Higher education institutions often offer post – graduate programs of continuing education and development and / or post doctoral research studies.

It established a Register of institutions with the right of providing education services under the responsibility of the Ministry of Education, which is made public.

#### ***4.2.1.2. Introduction of study programs at cycle I***

Bachelor programs last for 3-4 years (180-240 credits) depending on the profile and the degree obtained at the end (eg. Scotland, Romania). The Ministry of Education determines / approves general requirements for college degree programs, study programs for cycle I, integrated studies and masters. New college and Bachelor programs must correspond to the List / Nomenclature approved by ME (Lithuania, Romania). New programs are initiated at the request of the economic environment or when new scientific directions emerge (Scotland, Denmark, Sweden). Institutions (program team) draw up the programs in accordance with the applicable requirements and approves them at the academic Council (University Senate). In most cases, the program to be funded / admitted passes a procedure more or less complicated of approval for temporary operation, until accreditation. In Sweden accreditation is not required to initiate a new program of study if the institution were granted rights to have doctoral programs.

So, institutions are free to decide on the introduction or liquidation of study programs at cycle I, if they fulfill the rules established by the Ministry.

#### ***4.2.1.3. Introduction of study programs at cycle II***

It is practiced professional and research master programs lasting 60-90-120 credits, depending on the duration and type of the first cycle. A single condition exists – the total duration of the first two cycles should be not less than 300 ECTS. Other conditions are formulated by each university and are made public. It is noted that access to master's programs can have college graduates (with professional Bachelor degree) but will undertake a compensatory year. In Scotland, also simple Bachelor degree holders (180 ECTS) shall complete their Bachelor degree during one year.

The Ministry of Education provides the right (authorizes) to carry out master and doctoral programs to institutions conducting scientific research in the field. New master programs must demonstrate originality in the application and advancement of knowledge.

The name and content of programs are determined by institutions authorized under general requirements.

College graduates with Bachelor certificates complete their studies up to the university Bachelor degree during one year.

#### ***4.2.1.4. Introduction of study programs at cycle III***

New doctoral programs usually occur as development of research programs. Institutions may grant the title of Doctor in areas where they conduct research and have established a doctoral school, either independently or in cooperation with other institutions covered by ministerial order. The doctoral school must be accredited or provisionally authorized as determined by the Ministry of Education.

The title of Doctor is awarded to students who have successfully completed the program and successfully defended the PhD thesis. The doctoral program is equivalent to 180 ECTS points. The name and content of programs is determined by the institution based on general requirements.

#### ***4.2.1.5. Language of instruction***

In all programs, studies are usually conducted in the national language. In parallel, programs may be set up with the use of English, especially at the Master's and Doctorate at the institution's decision. In Romania, there are also accepted programs in minority languages.

### **Criterion 2. Admission to studies**

#### ***4.2.2.1. Procedures for admission to Cycle I***

Admission requirements for candidates are general (applied to all courses and programs in higher education) and specific (set by the institution) and are regulated by state normative acts.

The Ministry of Education or other state bodies (Council for Higher Education in Sweden, Universities and Colleges Admissions Service in Scotland) is responsible for centralized admission on behalf of higher education institutions. Typically, the registration is done online. The student is free to choose programs and institutions in their priority order.

Studies are free for local citizens and citizens of the EU. Citizens of other countries pay school fees, which cover the full costs for the studies.

The government approves quota for admission to degree programs depending on the capacity of university structures to ensure quality education. This capacity can be fixed in the accreditation document of the program or institution.

In Romania, the Ministry of Education develops annually a framework methodology and each higher education institution develops and applies its own rules to organize admission to degree programs offered. Bachelor studies in the form of full-time education are organized under funding from the state budget or a fee. MECTS allocates a number of study grants funded from the budget for state universities.

#### ***4.2.2.2. Procedures for admission to Cycle II and III***

For admission to master studies, the contest is carried out based on bachelor's degree in related programs; university college graduates are admitted after one compensatory year.

The specific requirements for admission to Masters and PhD are determined by the university at the level of the study program. The Ministry of Education sets only general admission rules. Admission to second cycle programs is the responsibility of the university, which determines its own admission methodology.

Sweden and Romania allocate for master studies a number of study grants funded from the budget for state universities. In other countries master's programs are only paid.

PhD admission is based on the Regulation developed by the Research Committee, or a similar structure, which provides grants for PhD directly or through projects on a competitive basis.

Admission to doctoral studies is done based on master's degrees or integrated studies with 240 credits, of which at least 60 credits must be for Master's degree in the same field of specialization. The institution decides on admission to the third cycle, sets terms and admission procedures.



Studies are organized at faculty / school or doctoral school level and the application process for doctoral positions is specific to each faculty / school. Can be admitted only those who have received PhD scholarships or grants on a competitive basis.

#### ***4.2.2.3. Admission of foreign students***

Admission of foreign students is carried out by admission committees of universities. No quotas on admission are imposed.

Admission of foreign students to cycle I and II is done mostly through mobility programs, student exchange.

No quotas on admission are imposed, but the number of study places for students who apply individually is limited by the capacity of the institution and shall be based on a fee. Admission requirements to cycle I and II for foreign students are the same as for local students. It requires knowledge of English or Swedish / Danish. Admission requirements are set independently by each institution. Admission of foreign students is carried out by admission committees of universities.

Foreign students who come to doctoral studies must have financing for the entire study period.

#### ***4.2.2.4. Formation of contingent***

Universities are autonomous in the use of different methods of vocational guidance, various measures are taken at university, faculty, and program level.

Formation of students contingent is at the full responsibility of internal structures of the university. The activities of vocational guidance, recruitment of students from home and abroad is one of the tasks of each department / faculty for all universities in terms of reduction of the number of students in all European countries.

A special role in the fair and objective informing of students lies on the centralized admission services (ex. UCAS in the UK).

Institutions in the UK and Denmark organize recruitment campaigns in countries with potential candidates (English speaking countries), special language courses (China, South Korea, Indonesia, Malaysia).

### **Criterion 3. Recognition of studies**

#### ***4.2.3.1. Recognition of study periods undertaken abroad***

In all countries examined, it is already established, by law or regulation, that the number of transferable credits are the reference element that universities can use to recognize statutory periods of study or university studies previously done in the same fundamental field.

The rules for the recognition of credits and study periods done in another university in the country or abroad are established by the university and are components of the curricula of study programs.

Studies done in mobility programs are recognized under trilateral agreements concluded between the student, the home university and the host university. In normative acts of each university, there are mentioned rules on how to migrate from one program to another and from one form of education to another.



#### **4.2.3.2. Recognition of documents of studies done abroad**

In Sweden, the recognition of education certificates for employment purposes is done by the Swedish Higher Education Authority in accordance with the general directives of the EU.

For the recognition of education certificates obtained abroad, for education or professional promotion purposes, a state authority is appointed (ex. NARIC in Scotland, Swedish Higher Education Authority), which operates under the rules and requirements set by law or by the Government. It is up to employers to decide whether they can use educational qualifications and professional experience acquired abroad.

In the case of admission to studies, education documents and their eligibility are assessed by the institution to which students apply, based on the information provided in the application and attached documents. Recognition of courses and programs is done in order to allow the transfer of credits for the award of a qualification or for admission to studies.

### **Criterion 4. Accreditation of study programs**

#### **4.2.4.1. Internal quality assurance structures**

Quality assurance of education and university research is an obligation of the higher education institution. Each university develops its own internal quality assurance system: establishes internal quality management structures, determines the policy, quality assurance strategy. The existence of a quality management structure is usually mandatory for accreditation.

In the university, a Quality Assurance Committee, composed of persons responsible for education, is responsible for quality assurance. At faculties / schools, the responsibility for quality assurance lies with the faculty council, heads of department and program directors.

#### **4.2.4.2. Methodology, evaluation criteria, procedures**

Higher education institutions have the right to offer accredited degree programs only. For the external evaluation and accreditation of study programs an Accreditation Agency for Higher Education is created as an independent public body. The methodology, external evaluation procedures of programs and quality and relevance criteria are usually developed by the Agency and approved by order of the Minister of Education or Government decision. Evaluation is based on several fundamental criteria: the demand of the labor market for the program; the program is based on research and is connected to an active high quality research environment; continuous assurance of internal quality of the program.

The external evaluation of study programs is conducted periodically, every 5-6 years. Most of the countries visited, after the first accreditation of study programs, opt for a regular assessment of institutions only. In this case, all areas of activity indicated in the Statute of the institution are evaluated and are based on compliance criteria. Overseas subsidiaries of institutions and subsidiaries of foreign institutions are also subject to accreditation and evaluation.

The British experience is of great interest – the methodology, procedures and evaluation criteria are described very explicitly in the UK Quality Code. Each quality criterion contains detailed and explicit instructions on the normative documentation the institution must have and present to the evaluators. The Code is an integrated document that meets basic regulations for all stages of life cycle of the university training process.

#### ***4.2.4.3. Freedom in the choice of external quality assessment body***

Universities are free to choose an accreditation agency listed in the EAQAH Register. To the extent that the report will be prepared in accordance with quality and relevance criteria established by the Ministry of the country of origin, it will be recognized for examination in order to obtain national accreditation.

#### ***4.2.4.4. Relations of cooperation of the accreditation body with the Ministry of Education in the accreditation process***

Actual external evaluation of study programs is performed by the Agency for external evaluation through specialized committees. The results are presented by the Agency to the Ministry of Education, which decides on the accreditation or non-accreditation of the program, with the respective consequences of termination of funding, if it is from a state university, or withdrawal of the license, if the university is private. For very high quality indicators, when allocating funding by the Government, the university will receive a quality bonus (additional funding).

### **Criterion 5. The National Qualifications Framework (NQF)**

#### ***4.2.5.1. The body responsible for NQF in the country***

A National Qualifications Authority (NQA) is the statutory body for the award and accreditation of qualifications. NQA provides qualifications recorded with various types of certificates (for secondary education), diplomas and degrees related to higher education levels. Levels of qualification for higher education are described in terms of learning outcomes (descriptors) and in terms of credits.

The national qualifications framework in the countries visited is compatible with the EQF, comprises 8 levels of qualifications, four of which relate to higher education: professional level (5), Bachelor level (6), Master level (7), and PhD level (8). An exception is the QF of Scotland, which provides 12 levels of qualifications, but rules are provided for compatibility with the EQF.

NQA is under the auspices of the Ministry of Education, Government, or as in the case of Denmark – Agency for International Education. NQA also coordinates the development and maintenance of the **National Register of Qualifications in Higher Education, which is public.**

#### ***4.2.5.2. Participation of universities in the development of new qualifications***

In establishing, developing and modifying the NQF many stakeholders are involved: higher education institutions, the Ministry of Education, representatives of the economic environment, students, society.

Universities can develop new qualifications which must comply with the general requirements of the NQF. When approving the operation (financing), external evaluation and accreditation of programs, it is verified whether the outcomes of the study program meet the educational standards prescribed by the Quality Code.

The inclusion of certificates and degrees / titles / diplomas in the NQF Register is based on an assessment of learning outcomes that individual degrees / certificates document in relation to the NQF level descriptors.

Higher education institutions are required to register in the Register information on the qualifications they develop through their offer of studies.

**4.2.5.3. *How are NQF requirements reflected in the study programs (compulsory provisions, internal control procedures, external evaluation)?***

Universities should develop study programs and the implementation process so that competences determined by the NQF descriptors are achieved by the student. These requirements serve as criteria and indicators for the final evaluation of studies, for preparation of self-evaluation reports and external evaluation for program accreditation.

Romanian National Education Act, for example, requires that the curriculum of study programs is consistent with the qualification profile defined in the National Qualifications Framework. This consistency is a mandatory criterion of quality assurance evaluation.

**4.2.5.4. *Educational standards***

Qualifications descriptors for higher education (degrees), present in the NQF, are used as reference standards / quality criteria for the development, evaluation, and accreditation of study programs.

**4.2.5.5. *Credit system***

In all 5 countries, the European Credit Transfer System ECTS is used.

**Criterion 6. The content and implementation of the study program (organization of studies)**

**4.2.6.1. *Designing the content of study programs***

Higher education institutions are responsible for organizing the whole process of study, design of study programs and courses, current and final evaluation procedures. The entire content of study programs must comply with the objectives and learning outcomes and competences provided in the NQF the students are required to hold at the end of their studies. University degree programs are designed by initiative groups, usually research groups with high results. But the program curriculum must comply with legal acts issued by the Ministry or other subordinate entity.

For example, in the UK, the design, approval and implementation of programs is carried out in accordance with the standards established by the Quality Code, developed by the Agency for Quality Assurance in Higher Education of the UK, including a number of indicators of good practice on program operation, mechanisms that higher education service providers can base on to enhance the quality of the program implemented.

In Lithuania, the general requirements for the program structure, distribution of credits between groups of academic, specialized and practical training courses are defined in the Regulation approved by the Ministry of Education.

The curriculum of the study program is approved by the university senate.

**4.2.6.2. *Allocation of tasks among academic structures***

The internal organization of the programs is the responsibility of the institution. A study program is served by the specialized program team within a department. Some modules are led by faculty members from departments, as appropriate. An important stake is on the par-

participation of representatives of the economic environment and state structures as providers of problems and projects for the organization of research / problem based studies.

#### **4.2.6.3. Internships**

Among the general requirements on study programs, specific requirements can be found on the duration (in credits) of internships, which depend on the program type. Institutional normative acts establish the organization, reporting and evaluation of internships.

For example, the programs offered by vocational academies provide a thorough professional training (internships have a substantial total duration), at Bachelor programs in colleges professional orientation is also evident (one semester, 15 -20%), while at bachelor and research master programs in universities internships in enterprises are missing or are very modest.

#### **4.2.6.4. Final evaluation on cycles**

The final evaluation is an act of appreciation of competence obtained by the student in relation to the outcomes prescribed by the program, is achieved through public defence of a project / thesis in front of an evaluation committee. Institutional normative acts define the defence procedures and requirements for the content of the paper.

Project development in a team is widely practiced, but with a personalized evaluation.

In the Danish system, the examination is specific both at the final stage of the study program, and the evaluation of semester modules. One semester of study usually contains 4-5 modules. Of these, at least one (with 10-15 credits) will have external examination, the other – internal examination.

In the Scottish system, there are education certificates and diplomas that can be offered at intermediate stages. They do not provide for a final evaluation.

### **Criterion 7. Employability**

#### **4.2.7.1. The occupational framework (ISCEO). The link between the level of studies – qualification**

In the countries examined, the International Standard Classification of Occupations ISCO-88 (COM) recommended by the European Commission is used. ISCO gives a general classification of occupations by levels without specifying competence requirements. For higher education, requirements on general and vocational competencies are clearly expressed in the level descriptors 5, 6, 7 and 8 of the NQF.

The NQF of Romania, Denmark, Scotland clearly define the correspondence between levels of qualifications of the Framework, study documents that are issued, the type of education and professional training programs that can be acquired, qualification levels and reference levels of the European Qualifications Framework (EQF)

#### **4.2.7.2. Place of MA and PhD in the occupational network**

The place of the master student is well-defined for the following occupational areas: education, law, other areas of public activity. In the Register of limited specialties at EU level, there are also mentioned restrictions on the level of education for filling the posts in question. For the rest, the employer decides what general and vocational competences are required to meet the planned function.

Scientific master's and doctorate is destined for education and research.

#### ***4.2.7.3. Career guidance structures (state level, institution level)***

The employment rate of people with higher education varies from one area to another and from one country to another. Being that the rate of employment and career progression is a performance criterion of the study program and institution, efforts are being made to facilitate this process at all levels, including national level. Program teams, departments keep records of their graduate employment and their career advancement. At the stage of studies, there are organized preparatory trainings for the hiring process. Systematically, there are organized labor fairs, meetings with alumni.

In some countries, universities are obliged by law to have in their composition structures responsible for career guiding of students and support for graduates regarding their inclusion on the labor market.

At national level, Sweden is a good example, where the Swedish Higher Education Authority collects data from graduates, every 12-18 months after graduation, then publishes a report on the employment rate of graduates by fields and institutions.

In Scotland, there is an old tradition of relations with alumni in order to bring sponsorship and candidates to studies.

### **Criterion 8. Teachers' workload**

#### ***4.2.8.1. Planning the didactic workload***

The Labour Code of the countries examined sets for teachers in higher education a working week of 35-40 hours per week. Institutions, by themselves, establish internal methodologies for calculating and distribution of the teaching and research load.

The teaching load and workload of teachers in Scotland is 110 hours of direct contact with students and 560 hours for consultancy. They constitute 40% of the annual volume of work. The remaining 40% of the hours are devoted to research and 20% – activities in the community interest. The total workload is 35 hours per week.

In Denmark, the Employment Act stipulates job positions, the structure of job duties of teachers and researchers in higher education. The main activities of universities consist of conducting research and research-based teaching. The load consists of 490 teaching hours per semester, which constitute 60%, and 200 hours for scientific research (40%). A part of the academic load is reduced for administrative activity.

#### ***4.2.8.2. Distribution of the didactic workload***

The method of teaching load distribution within institutions varies from country to country and from one university to another. In most countries visited, the teacher has the right to decide to do whether research only or research and teaching together.

Teaching load calculation and its distribution among the team members of a study and research program is an internal question, the team leader dealing with it.

Only in the Romanian legislation we found certain restrictions on norming the load by teaching positions.

#### ***4.2.8.3. The accounting of performing teaching and research workload***

The accounting of hours of the teaching load is done at department level, while the accounting of hours devoted to scientific research is a problem virtually for all universities visited. In this context, the positive experience in this field of universities in Scotland is of particular interest.



## **Criterion 9. University scientific research**

### ***4.2.9.1. University structures involved in the organization of scientific research***

Education and research policy is defined and implemented by the Ministry of Education, University and Research Council Centre for Quality Evaluation (teaching and research). Similar structures are found: at faculty / school and department level with identical roles.

Scientific research is an indispensable part of the process of training specialists with higher education. Research is concentrated within thematic departments and are funded from the state budget and projects, non-budgetary research grants. Currently, in most universities visited funds from non-budgetary grants together with grants from international cooperation are comparable in size with budgetary ones.

The university is autonomous in creating its own organizational structures and conducting scientific research: centers or laboratories, design units, consulting centers, university clinics, small production units, experimental stations or other production and knowledge and technology transfer units, integrated research, education and business centers. There can be set temporary distinct research units that have autonomy and their own statutes approved by the university senate. The institutions themselves decide on the internal allocation of financial resources for research and doctoral programs.

In order to conduct research, a crucial role is played by HEI's collaboration with the business for technology transfer and innovation purposes.

### ***4.2.9.2. Students' involvement in the process of scientific research (incentive mechanisms)***

The scientific master of 90 -120 ECTS is practiced in all countries examined, which is a starting point for doctoral studies. MA students are integrated into applied research so that at cycle III they can develop valuable scientific research autonomously.

In Denmark, student involvement in research is regarded as a fundamental principle of university education. The special attention to doctoral students, young researchers is a strategic direction of universities – which also ensures a good basis for staff recruitment and to enhance the research capacity of the institution.

### ***4.2.9.3. Scientific research of the didactic staff***

40% of the annual load of the teacher is usually allocated to scientific research, which is organized and accounted within the research group. Importance is given to the results, that are the bases of academic science funding from state funds. Research conducted by a teacher must meet the strategic plan of research within the department, be appropriate to field of study representative for the department.

2-3 valuable publications in national or international journals are mandatory.

The state encourages research excellence of teachers through specific financial incentives: additional funding for institutional development, grants for research mobility at other universities in the country or abroad.

### ***4.2.9.3. Integrated research, education and business centers***

Collaboration with business is an important aspect of university research and is an essential condition for institutions. This collaboration is often organized as competence centers, partnership associations, which are some autonomous units led by a board whose members are also representatives from trade, business and society, and reports directly to the university management.



It is also practiced the organization of specialized research institutes (specializing in the field of a faculty or school), which combine research with the academic process (transfer of knowledge acquired to students).

#### **Criterion 10. The doctorate**

##### ***4.2.10.1. The right to offer doctoral studies***

Doctoral studies are the third cycle of higher education. The Ministry of Education grants the right to offer doctoral studies to universities alone or together with research institutes and with higher education and research institutions from abroad. The right is granted based on the external evaluation.

The doctorate is considered as research based studies, has a minimum duration usually equivalent to 3 years of full time education and in engineering – 4 years. Studies can be also organized remotely (distance learning).

After 1990, in the UK, it was introduced a new type of doctorate called professional, intended for professionals involved in the economy. The doctoral student performs applied research for a company that pays for education and research.

Issues related to the organization of doctoral studies (doctoral candidates admission, the organization of doctoral programs, appointment of the main supervisor, selection of problems to be investigated, research methodology, publication of research results and any other rules of thesis writing, presentation and defence) are part of university autonomy. The university establishes rules on access to the PhD program.

Doctoral study programs are usually held in doctoral schools accredited or provisionally authorized with this right.

Empowerment with the right to supervise doctoral candidates is in the competence of the department within the university. In Romania, the quality of doctoral supervisor is given by order of the Ministry of Education, at the proposal of CNATDCU to grant the habilitation certificate.

##### ***4.2.10.2. Doctoral Schools***

Doctoral studies are organized in doctoral schools, which can be organized: by a university, university consortium or partnerships which are legally established between a university or university consortium and research and development units and in doctoral centers. The status and the way of organizing doctoral schools are determined by a Regulation, which is developed by the Research Committee. Some specific elements are detailed in the institutions' own regulations.

In Sweden, doctoral studies and research are organized within research platforms, so as to provide studies focused on results and to meet the needs of industries.

Each PhD student has at least two supervisors; has the right to change the supervisor; must draw up an activity plan to guide on and to follow throughout the period of study; is entitled to benefit from all the resources needed to achieve the research objectives.

##### ***4.2.10.3. Completion of studies, conferring of degrees***

Courses and study programs at cycle III end up with an exam. The defence of a PhD thesis is oral and public. The university decides on the evaluation, grading and defence proce-

ture. Typically, for defending, the faculty / school appoints one or two opponents, persons skilled in the art, and an examination commission of the thesis and defence. 3-5 teachers, at least one from another university, are members of the examination commission. Only the Commission makes decisions on thesis grading and awarding the title of doctor. The degree / title is confirmed by the University Senate (or equivalent body). In Romania, the PhD title is awarded by order of the Ministry of Education, after validation of the dossier by the National Council for the attestation of titles.

Students who were awarded the title of PhD will be issued a diploma of the university concerned.

#### ***4.2.10.4. Postdoctorate, habilitate***

In Lithuania, Romania and Sweden there is no other degree than the Doctor of Science or Arts.

In the UK and Scotland, the higher doctorate is established, following PhD or something similar, and is awarded to people for valuable research or publications. The title is offered to people from education, based on the published work, but it doesn't have a distinctive position in the qualifications framework and is considered as an honorary title.

In Denmark, the degree of higher doctor (doktorgraden) is awarded, which is similar to the degree of doctor habilitat in Moldova, but in this case the requirements are much simpler.

Post-doctorate is a thorough research program for young people with a PhD title to gain additional experience and qualifications. Postdoctoral positions are funded through grants / scholarships that are offered on a competitive basis by the Research Council. Postdoctoral studies are usually done abroad.

### **4.3. Analysis of Academic Autonomy in the light of the 5 interfaces of external and intra-university relations**

We consider that it is not necessary to repeat the analysis of academic autonomy in terms of interfaces: university – governance, management – teachers, teachers – students, university – economic environment, internationalization. In the analysis performed in the previous paragraph, depending criterion, it was accentuated its importance to one or more relationships reflected by the interfaces nominated. For example, when analyzing the autonomy to promote new study programs, it was stressed the role of Government on the one hand and freedoms assigned to university, the autonomy of teams of didactic and research staff to propose new programs on the other hand but also management responsibility regarding the quality of programs approved.

## 5. FINAL CONCLUSIONS

1. Analyzing the legislation of five EU countries (which are part of the consortium) with reference to their higher education systems and internal normative acts at five representative universities in these countries, we observed a greater homogeneity in the treatment of the most important questions with academic and research aspect. This, in our view, is the result of implementation of the baselines of the Bologna Process, which aims at making higher education systems compatible.

2. Higher education institutions in EU countries have a well-defined academic autonomy and concrete obligations and responsibilities towards society and central administrative authorities.

3. Central administration determines policies and development strategies of education, is responsible for assessing the achievement of these strategies. Institutions are autonomous in choosing tools and mechanisms to conduct the educational and research process, are fully responsible for the quality of the final results.

The next step in this project will be – a comparative study of academic autonomy in higher education in the Republic of Moldova and the European Union countries in order to define the tangency and differentiation points and the development of amendment proposals to increase the effectiveness of our higher education system.

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53. **Ghidul de finanțare al Consiliilor pentru Cercetare ale UK, <http://www.epsrc.ac.uk/SiteCollectionDocuments/FundingGuide.pdf>**
54. **Divulgarea inovației și gestionarea proprietății intelectuale, EUniAM TEMPUS, 25 mai 2013, Christopher Mort, Manager de Proprietate Intelectuală**

### **III. SWEDEN**

#### **Establishment and termination of study programs**

1. **The Swedish Higher Education Act, 17 December 1992**
2. **The Higher Education Ordinance, 4 February 1993**
3. **National Qualifications Framework**, Published by the Swedish National Agency for Higher Education 2011
4. **Higher Education in Sweden, 2013 Status Report**, by Swedish Higher Education Authority
5. **Establishment of courses at first-and second cycle at KTH**, Internal instruction no. 27/05, Applicable from 01-07-2007, Changed from 01-01-2008
6. <http://www.doktorandhandboken.nu>
7. [www.studyinsweden.se](http://www.studyinsweden.se)

#### **Admission to studies**

8. **Higher Education Act, 17 December 1992**
9. **The Higher Education Ordinance, 4 February 1993**
10. **Higher Education in Sweden, 2013 Status Report**, published by the Swedish Higher Education Authority.
11. **National Qualifications Framework**, Published by the Swedish National Agency for Higher Education in May 2011
12. <http://www.studyinsweden.se>
13. [www.universityadmissions.se](http://www.universityadmissions.se)
14. <http://www.doktorandhandboken.nu/english>

#### **Recognition of studies**

15. **National Qualifications Framework**, Published by the Swedish National Agency for Higher Education in May 2011
16. **Recognition of Higher Education Qualifications from Abroad**, by the Swedish National Agency for Higher Education (<http://www.hsv.se>)
17. <http://www.uhr.se/en> (The Swedish Council for Higher Education)
18. <http://www.studyinsweden.se>

#### **Accreditation of study programs**

19. **The Swedish Higher Education Act, 17 December 1992**

**20. Qualifications ordinance, Annex 2 to the Higher Education Ordinance**, 4 February 1993

**21. Appropriations for Undergraduate Education**, December 20, 1993, developed and approved by the Swedish Ministry of Education and Science

**22. Task of evaluating the quality of first and second-cycle programmes in higher education**, Swedish Government Decision based on the Government Bill *Fokus på kunskap – kvalitet i den högre utbildningen* [Focus on knowledge – quality in higher education (bill. 2009/10:139), which has been enacted by the Swedish Riksdag at the beginning of June 2010 (bet. 2009/10:UbU20, rskr. 2009/10:320)

**23. National Qualifications Framework**, Published by the Swedish National Agency for Higher Education in May 2011

**24. General Guidelines for Self-Evaluation in the Swedish National Agency for Higher Education's Quality Evaluation System. 2011–2014**, Published by the Swedish National Agency for Higher Education 2011

**25. The Swedish National Agency for Higher Education's quality evaluation system 2011–2014**, Published by the Swedish National Agency for Higher Education 2011

**26. An academy for today** (bill 2009/10:149) cited in Swedish National Agency for Higher Education: Review of ENQA Membership, April 2012

**27. Swedish National Agency for Higher Education: Review of ENQA Membership**, April 2012

**28.** <http://www.uk-ambetet.se> (the Swedish Higher Education Authority)

**The National Qualifications Framework (NQF)**

**29. Higher Education Ordinance**, 4 February 1993

**30. National Qualifications Framework**, Published by the Swedish National Agency for Higher Education in May 2011

**31.** <http://english.uk-ambetet.se> (Swedish Higher Education Authority)

**The content and implementation of the study program (organization of studies)**

**32. The Higher Education Ordinance**, 4 February 1993

**33. Higher Education in Sweden, 2013 Status Report**, by Swedish Higher Education Authority

**34.** <http://www.euroeducation.net/prof/swedco.htm>

**35. Comprehensive rules and guidelines for degree project work 15 credits, regarding Master (60 credits)**, 2007-07-01

**36. Comprehensive rules and guidelines for degree project work 30 credits, regarding Master (120 credits)**, 2007-07-01

**37. Regulations for written examinations at KTH, including instructions for invigilators (proctors)**, Internal regulation number 6/02, Amended from 2010-10-01

**38. Examiners at KTH**, Internal regulation no. 4/2006, Valid from 01/02/2006, Amended from 18/10/2007

**39. The right for students to request an extra examination**, Internal instruction no. 5/03, Applies from 01/02/2003, Revised from 08/04/2005

**40. Regulations for schools, examiners and invigilators regarding written examinations**, Appendix 1 to Decision UF-2010-0416, 30-06-2010

**41. Regulations for students regarding written examinations**, Appendix 2 to Decision UF-2010-0416, 30-06-2010

**42. Handling of plagiarism in education at KTH**, Internal regulations 8/2011

#### **Employability**

**43. The Higher Education Ordinance**, 4 February 1993

**44. Higher Education in Sweden, 2013 status report**, by Swedish Higher Education Authority

**45.** <http://www.doktorandhandboken.nu/english>

#### **Teachers' workload**

**46. Higher Education in Sweden, 2013 status report**, by Swedish Higher Education Authority

#### **University scientific research**

**47. The Swedish Higher Education Act**, 17 December 1992

**48. The Higher Education Ordinance**, 4 February 1993

**49. Higher Education in Sweden, 2013 Status Report**, by Swedish Higher Education Authority

**50.** <http://www.kth.se/en/forskning/finansiering>

**51.** <http://www.kth.se/en/forskning/forska>

**52.** <http://www.kth.se/en/forskning/sarskilda-forskningssatsningar>

**53.** <http://www.kth.se/en/forskning/sarskilda-forskningssatsningar/centrumbildning-ar-1.11756>

**54.** <http://www.kth.se/en/forskning/research-office>

**55.** <http://www.vr.se/inenglish.4.12fff4451215cbd83e4800015152.html>

**56.** <http://www.government.se/sb/d/6949/a/88166>

#### **The doctorate**

**57. The Higher Education Ordinance**, 4 February 1993

**58.** <http://www.doktorandhandboken.nu/english>

**59.** <http://www.kth.se/en/forskning/forskningsplattformar>

### **IV. DENMARK**

**1. Ministerial Order concerning the Act on Universities (the University Act).** Consolidation Act no. 1368 of 7 December 2007.

**2. Consolidated Act No. 189 of 12 February 2010. Act on the Right to Exercise Certain Professions in Denmark.**

**3. Act on Universities (the University Act). 2012**

**4. Order No. 575 of 1 June 2011 on the recognition of professional qualifications etc. Bekendtgørelse om anerkendelse af erhvervsmæssige kvalifikationer m.v. (in Danish)**

**5. MO on Bachelor and Master's (Candidatus) Programmes at Universities (the Universities Programmes Order). no.1520. Dec. 2013.**

**6. MO on the International Education Activities of Universities. Dec. 2011**

**7. MO no. 240 of 11 March 2013 on Admission and Enrolment on Bachelor Programmes at Universities (*Bacheloradgangsbekendtgørelsen*)**

8. MO no. 241 of 11 March 2013 on **Admission and Enrolment on Master's (Candidatus) Programmes at Universities (*Kandidatadgang bekendt gørelsen*)**
9. **Ministerial Order on the PhD Programme at the Universities and Certain Higher Artistic Educational Institutions (PhD Order) nr. 1039**, 27 August 2013
10. Consolidated Act No. 371 of 13 April 2007. **Assessment of Foreign Qualifications etc.**
11. Consolidated Act No. 189 of 12 February 2010. **Act on the Right to Exercise Certain Professions in Denmark (PDF)**
12. Order No. 602 of 25 June 2003. **Assessment of Foreign Qualifications etc. Order (PDF)**
13. Order No. 447 of 10 May 2007. **Qualifications Board Order (PDF)**
14. Order No. 575 of 1 June 2011 on the **recognition of professional qualifications etc. Bekendtgørelse om anerkendelse af erhvervsmæssige kvalifikationer m.v. (in Danish)**
15. **The Assessment of Foreign Qualifications Order**. Order No. 448 of 10 May 2007 (PDF)
16. **Act no. 294 of 27 March 2007**. Act on the Accreditation Agency for Higher Education,
17. **MO on Criteria for the Relevance and Quality of University Study Programmes and on Procedures for Approval of University Study Programmes.**
18. **Guidelines on application for accreditation and approval of existing university study programmes. The rotation plan for accreditation of existing University study programmes is available at [www.acedenmark.dk](http://www.acedenmark.dk).** 2nd edition, 1 February 2011.
19. **Guidelines on application for accreditation and approval of new university study programmes. For deadlines for application for accreditation and approval of new university study programmes, see [www.acedenmark.dk](http://www.acedenmark.dk).** 3rd edition, 10 February 2012. Valid from the deadline for application on 10 May 2012
20. **Organisation Accr. Institution Schema structurala a Agentiei de acreditate**
21. L294 – Explanatory Notes. **Explanatory Notes to the Draft Bill on the accreditation Agency for Higher Education (The Accreditation Act).**
22. **The Danish GFHE.**
23. **MO on the Grading Scale and Other Forms of Assessment of University Education** (grading scale order), no.666/2011.
24. **MO on the Appointment of Academic Staff at Universities. No.695, June 2011**
25. **Recognition of foreign qualification in Denmark. BiBB BW7 5/2012**
26. Memorandum : Job Structure for Academic Staff at Universities 2007
27. **MO on conferment of the titles of affiliated professor and affiliated associate professor.** Consolidation Act no. 367 of 25 March 2013.
28. **Ministerial Order on the Grading Scale and Other Forms of Assessment of University Education** (grading scale order)
29. Bill no. I.143. Danish Parliament. 2010.11. **Act Amending The university Act**, the Act on Technology etc, at Public research Institution and the Act on Social Housing etc
30. „June 2012, Ref.: pfr J.no.: 2010-002-00001. **Statutes of the self-governing institution. Aalborg University.** [www.aau.dk](http://www.aau.dk),
31. **Strategy for AAU 2010-2015..** [www.aau.dk](http://www.aau.dk)
32. **Aalborg University's Development Contract 2012-2014.** 8 June 2012
33. **Annual report 2011.** Aalborg University.
34. **Aalborg University. Facts. 2011 (16 pages).** Structura, finante, cercetare.



35. 23 March 2009, J.nr.: 2005-031/01-0011. **Language Policy at Aalborg University.** [www.aau.dk](http://www.aau.dk).

36. 23 March 2009, J.nr.: 2005-031/01-0011. **Language Policy at Aalborg University.** [www.aau.dk](http://www.aau.dk).

37. **Principles of Problem and Project Based Learning. The Aalborg PBL Model.** Prepared for: Aalborg University Scott Barge Harvard University.

38. **Procedure for selvevaluering og udvikling af Aalborg Universitets uddannelser**

39. **Generelle bemærkninger om udarbejdelsen af selvevalueringsrapporten**

40. **Studienævnsformænd. Udkast til overordnet procesplan for udarbejdelse af selvevalueringsrapporter**

## **V. ROMANIA**

### ***Laws***

1. Lege Nr. 1 din 5 ianuarie 2011. **Legea educației naționale,**

2. Lege nr. 288 din 24 iunie 2004 **privind organizarea studiilor universitare**

3. HG nr. 917 din 11 august 2005, privind structurile instituțiilor de învățământ **superior** acreditate sau autorizate să funcționeze provizoriu și a și specializărilor din domeniul studiilor universitare de licență,

5. OMECTS 4.786 din 9 august 2011, privind aprobarea Regulamentului de organizare și funcționare a Comitetului Național de Finanțare a Învățământului Superior,

6. Ordin MECTS nr. 295 din 05.02.2007 privind cadrul general de organizare a examenelor de finalizare a studiilor în învățământul superior – examene de absolvire, licență, diploma, selecție, disertație și de finalizare a programelor de pregătire universitară avansată din cadrul studiilor universitare de doctorat,

7. OMECTS nr. 4868 din 07.08.2006 privind suplimentul la diploma,

8. Anexă la ordinul MEdC nr. 3928/21.04.2005. Sistemul de asigurare a calității la nivelul instituției de învățământ superior,

9. OMEC nr. 3759 din 9 februarie 2011 privind aprobarea Regulamentului de organizare și funcționare a Consiliului Național de Atestare a Titlurilor, Diplomelor și Certificatelor Universitare și a structurii acestuia,

10. OMEC nr. 6049 data 03.12.2009 privind acordarea titlurilor didactice de conferențiar universitar

11. OMEC nr. 6050 data 03.12.2009 privind neacordarea titlurilor didactice de profesor universitar și, respectiv, conferențiar universitar,

12. OG nr. 75 din 12 iulie 2005 privind asigurarea calității educației,

13. HG privind aprobarea metodologiei de evaluare în scopul clasificării universităților și ierarhizării programelor de studii

14. *Statutul Studentului*

### ***Universities***

15. OG nr. 20 din 30 ianuarie 2003 privind acordarea dreptului de a procura, deține și folosi sigilii cu stema României și timbru sec instituțiilor de învățământ superior particular acreditate, care fac parte din sistemul național de învățământ

16. HG 916 2005 Structura organizațională a Instituțiilor superioare de învățământ...

17. Lege nr. 287 din 24 iunie 2004. Legea consorțiilor universitare



18. Lista instituțiilor de învățământ superior din România conform H.G. 676/2007

***Admission to studies***

19. HG nr. 749 din 24 iunie 2009, privind Nomenclatorul domeniilor, structura instituțiilor de învățământ superior și specializările/ programele de studii universitare de licență acreditate sau autorizate să funcționeze provizoriu organizate de acestea,

***Accreditation of HEIs and recognition of diplomas/degrees***

20. Supliment la diplomă, forma tip.

21. Legea NR. 88/1993 republicată privind acreditarea instituțiilor de învățământ superior și recunoașterea diplomelor

22. Un sir de reglementări privind completarea suplimentului la diploma de licență și de arhitect

***Quality assurance***

23. Regulamentul de organizare și funcționare al Agenției Române de Asigurare a Calității în Învățământul Superior (ARACIS)

24. Metodologia de evaluare externă, standardele de referință și lista indicatorilor de performanță a ARACIS

25. Ordin privind asigurarea calității serviciilor educaționale în instituțiile de învățământ superior

26. Anexă la ordinul MEd nr. 3928/21.04.2005 sistemul de asigurare a calității la nivelul instituției de învățământ superior

27. Ordin privind promovarea eticii profesionale în universități

28. Ordin de numire a membrilor Consiliului Interimar al Agenției Române de Asigurare a Calității în Învățământul Superior

29. Ordonanță de urgență nr.75 din 12 iulie 2005 privind organizarea calității educației (OUG-75-2005)

***CNC.***

30. HG 918/2013 privind aprobarea Cadrului national

31. Ordinului de Ministru nr. 5703/ 18.10. 2011 cu privire la **Registrul National al Calificarilor din Invatamantul Superior (RNCIS)**

32. HG 885/2010 privind organizarea și funcționarea Unității Executive a Consiliului Național al Calificarilor și al Formării Profesionale a Adulților

***Deployment of the study programmes at B-M-D levels***

33. Ordin MECT nr.3315 din 28.02.2008, privind criteriile generale de organizare și desfășurarea admiterii în ciclul de studii universitare de licență, de masterat și de doctorat pentru anul universitar 2008-2009,

34. Ordin MECT nr. 3861 data 13.04.2005, privind înființarea Programelor de Cercetare Postdoctorală,

35. Ordin MECT nr. 3617 din 16.03.2005, privind aplicarea generalizată a Sistemului European de Credite Transferabile,

36. HG nr. 365 din 24 iunie 2008, privind structura instituțiilor de învățământ superior și specializările/ programele de studii universitare de licență acreditate sau autorizate să funcționeze provizoriu organizate de acestea,

37. OMEC privind organizarea ciclului de studii universitare de licență, 2005,

- 38. HG nr. 88/2005 privind organizarea studiilor universitare de licență,
- 39. OMECT nr. 6012 din 21.11.2008 privind aprobarea Metodologiei și instrumentelor de lucru privind studiile de monitorizare a inserției pe piața muncii a absolvenților de învățământ superior din România,
- 40. Hotărâre nr. 404/2006 din 29/03/2006 privind organizarea și desfășurarea studiilor universitare de masterat,
- 41. OMEC Nr. 4644 din 30.06.2008 privind completarea și modificarea ordinului ministrului educației, cercetării și tineretului nr. 3628 din 31.03.2008 privind aprobarea programelor de studii universitare de masterat evaluate de ARACIS,
- 42. Ordin MEC Nr. 4666 din 03.08.2009 pentru modificarea Ordinului ministrului educației, cercetării și tineretului nr. 3.628/2008 privind aprobarea programelor de studii universitare de masterat evaluate de ARACIS,
- 43. HG Nr. 567 din 15 iunie 2005, privind organizarea și desfășurarea studiilor universitare de doctorat,
- 44. Anexa la OMEC nr.3861/13.04.2005, organizarea programelor postdoctorale,
- 45. OMEC Nr.: 4491 din 6 iulie 2005, privind organizarea și desfășurarea studiilor universitare de doctorat începând cu anul universitar 2005/2006,

#### **Research. Doctorate**

- 46. OM nr. 6172 din 17.12.2009 privind transparența decizională referitor la acordarea titlurilor științifice și didactice,
- 47. O r d i n MEC nr. 5098 din 03.10.2005, de aprobare a Sistemului de evaluare privind conferirea titlului de profesor universitar,
- 48. Anexă la OMEC nr. 5098/03.10.2005, S i s t e m d e e v a l u a r e privind conferirea titlului de profesor universitar,
- 49. Anexă la OMEC nr. 5098/03.10.2005, S i s t e m d e e v a l u a r e privind conferirea titlului de conferențiar universitar,
- 50. OMEC nr. 5771 / 29.11.2006 privind aprobarea Regulamentului de organizare și funcționare a Consiliului Național al Cercetării Științifice din învățământului Superior,
- 51. Anexa nr. 1 la OMEC nr. 5771 / 29.11.2006. Regulament de organizare și funcționare a Consiliului Național al Cercetării Științifice din învățământul Superior (C.N.C.S.I.S.),
- 52. OMEC 3904 privind organizarea și funcționarea Consiliului Național de Atestare a Titlurilor, Diplomelor și Certificatelor Universitare (C.N.A.T.D.C.U.),
- 53. Anexa nr.1 la OMEdC\_3904, Regulamentul de organizare și funcționare al Consiliului Național de Atestare a Titlurilor, Diplomelor și Certificatelor Universitare (C.N.A.T.D.C.U.)

## APPENDIXES

### 1. Identification of resources, formulation of questions concerning academic autonomy in Lithuania

Lithuania. Academic autonomy		
Stating the problem	Consulted material / document	Unresolved issue / problem
<b>I. Introduction / initiation and liquidation/termination of study programs:</b> <ul style="list-style-type: none"> <li>• Introduction of study programs at the Bachelor/ undergraduate level (initiation procedures, conception, obtaining the right to open a program, links with NQF)</li> <li>• Introduction of study programs at the Master level</li> <li>• Introduction of study programs at the PhD/doctoral level</li> <li>• Awards provided</li> <li>• Termination of degrees (programs) – (who decides, procedures)</li> <li>• Language of instruction at undergraduate level – (Whose is the decision, procedures for obtaining the right)</li> </ul>	<b>1. Republic of Lithuania, Law on higher education and research</b> , 30 april 2009 no xi-242 <b>2. Republic of Lithuania law amending the law on education</b> , 17 March 2011 No XI-1281 (cap.) <b>3. Order of the MES of the RL, approving the general requirements of joint study programmes. No isak-2833</b> , 31 december 2009 <b>4. Government of the Republic of Lithuania, decree no. 1153</b> , on the establishment of higher education institutions and issuance of licenses to pursue studies. Vilnius, 9 september 2003	1. Is the launching of a new study program conditioned by any external factors? Is it required or not the approval or recommendation of any external bodies/ structures or everything is left at the disposal of the university? 2. In many countries, before launching a new study program, it is subject to external evaluation/review by a Quality Assurance Agency or Ministry of Education. Is it the case of Lithuania, too? 3. Is there any nomenclature of specialties (programs), the institution can / is obliged to choose from? Is there any procedure difference for cycle 1 and 2? 4. How to initiate a program that is entirely new, for example at border between areas? 5. How are “minorfield studies” organized?
<b>II. Admission:</b> <ul style="list-style-type: none"> <li>• Admission quota of local students with grants from the government / own account</li> <li>• Procedures for admission to undergraduate / Bachelor cycle (educational documents, mark level, procedure)</li> <li>• Procedures for admission to the Master cycle</li> <li>• <b>Admission of foreign students (non EU):</b></li> <li>• Admission quota of students. Admission procedures (are they similar or not to those for local students)</li> </ul>	<b>2.25. Procedure for admission of citizens of foreign states to first-cycle and second-cycle studies for 2013 at mykolas romeris university.</b> Approved by Senate, Res. No. 1SN-46 of 18 April 2013 <b>2.26. Rules of admission of persons to mykolas romeris university first cycle (bachelor’s) studies in 2013</b> , approved by Senate Res. No. 1SN-46 of 18 April, 2013 <b>2.27. Rules of admission of persons to mykolas romeris university second cycle (master’s) studies in 2013</b> , approved by Senate, Res. No. 1SN-46 of 18 April 2013	1. Is there a framework regulation of ME on the organization of the admission process to higher education, cycles 1, 2, 3? 2. Is the matriculation quota established by a higher authority or it relates to the autonomy of the university? 3. Is the competitor allowed to participate in the contest concomitantly at several programmes / universities? 3. Do master’s programs suppose the access of Bachelor degree graduates from other related or less related fields? 4. To what degree Bachelor programs within the department / faculty have a common core?

		<p>At what level is the specialization of students done?</p> <p>5. Is it possible to break away from a program offered by another department / faculty?</p> <p>6. How is the admission capacity to a study program determined?</p> <p>7. How are the interests of the national economy in specialists of different profiles taken into account? Are there any mechanisms to regulate / direct student flows toward less prestigious, but strictly necessary specialties?</p>
<p><b>III. Recognition of studies:</b></p> <ul style="list-style-type: none"> <li>• <b>Of study periods performed abroad</b> at Bachelor, Master, Doctoral level;</li> <li>• <b>Recognition of educational documents for the studies done abroad</b> at Bachelor, Master, Doctoral level (recognition bodies, procedures, conditions)</li> </ul>	<p><b>2.17. Senate of MRU. Resolution regarding approval of the procedure for recognition of academic credits at MRU.</b> 3 June 2011, No. 1SN-36, Vilnius Veyi Lista: nr 13-19</p> <p><b>1.14. Government of the RLit. Resolution no 535 of 3 may 2004. On approval of the Regulations on recognition of higher education diplomas, diplomas, certificates and other evidence of qualifications awarded.</b></p>	<p>A considerable number of students from Lithuanian universities undertake one or two semesters abroad. What are the recognition procedures / equivalence of courses / modules or study periods performed in other (local or abroad) universities? Does each university determine autonomously its procedures for the recognition of studies done outside the university or there is a framework regulation approved by ME or other higher authority?</p>
<p><b>IV. Quality assurance, accreditation of study programs:</b></p> <ul style="list-style-type: none"> <li>• Internal structures of quality assurance, student involvement in the process of quality assurance</li> <li>• Methodology, evaluation criteria, procedures (self-evaluation, external evaluation)</li> <li>• Freedom in the choice of external quality assurance body</li> <li>• Relationships / how does the accreditation body cooperate with the Ministry of Education in the accreditation process,</li> <li>• Assessment of the internal system of quality management (ISO 9000)</li> </ul>	<p><b>1.12. Accreditation procedure of higher education institutions.</b> Resolution No 1317 of 22 September 2010 of the Government of the R.L</p> <p><b>1.13. Minister of education and science. Order no. V-1487. On the amendment of order no. Isak-1652 „on the approval of the description of the procedure for the external evaluation and accreditation of study programs“,</b> July 29, 2011, Vilnius</p> <p><b>2.40. Regulations of the committee for study quality assurance of mykolas romeris university,</b> Order No. 1I-381 of the Rector</p>	<p>1. If it is possible, we would like to get some additional methodical materials/documents on:</p> <ul style="list-style-type: none"> <li>• The functioning of the internal quality assurance system.</li> </ul>

	<p>of 26 June 2013</p> <p><b>2.41. Regulations of the system of internal study quality assurance at mykolas romeris univ-ers,</b> Resolution No. 1SN-69 of the Senate of 28 June 2013</p> <p><b>2.42. Quality policy provisions for the studies and research at mykolas romeris university.</b> The decision of the Senate, 3 December 2013, No. 1SN-15</p> <p><b>2.38. The procedure for organizing feedback on studies of m ru, approved by Senate,</b> Res. No 1SN-19, of 23 December 2013</p>	
<p><b>V. National Qualification Framework:</b></p> <ul style="list-style-type: none"> <li>• The body responsible for the NQF in the country (functions, structure, relations with ME and universities)</li> <li>• How do universities (ME, management bodies of HEIs) participate in the development of new qualifications</li> <li>• How are the NQF requirements reflected in the study programs (compulsory provisions, procedures, internal control, external evaluation)</li> <li>• Educational standards (exist or not, if yes – how are they related to NQF)</li> </ul>	<p><b>1.7. Order of MEC on approval of the descriptor of study cycles,</b> 21 November, 2011 No. V-2212;</p> <p><b>1.8. Order of MEC. Approving the general requirements of the first degree and integrated study programmes,</b> 9 April 2010 No V-501</p> <p><b>1.9. Order of MEC. Approval of the general requirements for master degree study programmes,</b> No V-826 of 3 June 2010;</p> <p><b>1.5. Government of the RL. Resolution, approving the description of the lithuanian qualifications Framework</b> No 535, 4 May 2010</p>	<ol style="list-style-type: none"> <li>1. What are the procedures for initiating, promoting, approving new qualifications?</li> <li>2. Are there in Lithuania any educational standards on branches / domains developed on the basis of general descriptors?</li> <li>3. What is the typical structure of a (point) credit transfer on components of guided work (contact hours) and individual work? Does this structure differ by levels and forms of education?</li> <li>4. Are higher education non-university programs organized separately from the university ones? Are there any migration possibilities between these two types of programs?</li> <li>5. What is the popularity of I and II levels among students and their demand on the labour market?</li> <li>6. Is it possible to obtain a (HE) qualification based on the assessment of non-formal education (independent studies and practical experience at the workplace)?</li> <li>7. What are the possibilities of returning to studies for obtaining a higher degree?</li> </ol>

<b>VI. Employability</b> <ul style="list-style-type: none"> <li>• Occupational framework (ISCED)</li> <li>• Differentiation by level of education. Place of Master and PhD</li> </ul>		<ol style="list-style-type: none"> <li>1. What are the mechanisms to support students in the employment process?</li> <li>2. How are these efforts supported by the ME, other governing bodies?</li> </ol>
<b>VII. Content and implementation of the study program (organization of studies):</b> <ul style="list-style-type: none"> <li>• Content elaboration/designing</li> <li>• The distribution between university structures</li> <li>• Internships</li> <li>• Final evaluation (exams, theses) on cycles</li> </ul>	<p><b>2.37. Mykolas romeris university studies procedure.</b> Approved by Decision No 1SN-17 adopted by the Senate on 27 January 2011</p> <p><b>2.29. Practical training regulations for students of mykolas romeris university,</b> approved by Senate, Res. No 1SN-43 of 27 April 2012</p> <p><b>2.31. Procedure for arranging final examinations in mykolas romeris university, dezvoltate in baza...</b></p> <p><b>2.33. MRU senate res. no. 1sn-30. Approval of the procedure for the assessment of study outcomes,</b> 16 March, 2012. Vilnius</p> <p><b>2.28. Procedure for organising supplementary practice of second-cycle students of mykolas romeris university,</b> Approved by the Senate 18 November 2011, Res. No. 1SN-10</p>	<ol style="list-style-type: none"> <li>1. Are there any methodical guidelines on content development of study disciplines/courses? Could you please provide us with some concrete examples?</li> <li>2. How are internships / practical trainings organized?</li> <li>3. Obtaining the HE Diploma requires the acquisition of practical skills / profession. How to get them at 3/3 and 5 years of study? What are Bachelor / Master studies completed with?</li> <li>4. What are the procedures for amending the statute of the state scholarship student into contract student status (paying tuition fees)?</li> </ol>
<b>VIII. Teaching load of the didactic staff:</b> <ul style="list-style-type: none"> <li>• Planning the teaching load ()</li> <li>• The distribution of teaching load</li> <li>• Accounting of the teaching and research load achievement</li> </ul>	<p><b>1.2. Republic of lithuania. Law amending the law on education,</b> 17 march 2011</p> <p><b>1.4. Republic of lithuania. Labour code.</b></p> <p><b>1.15. Republic of Lithuania. Law on the employment contract.</b> 28 November 1991, No. I-2048, Vilnius</p>	<ol style="list-style-type: none"> <li>1. What is the methodology of calculation and allocation of the teaching load among teachers of the department?</li> <li>2. How does the department, responsible for a study program, involve other departments in ensuring the educational process at this program?</li> <li>3. What are the mechanisms and procedures for the allocation and distribution of teaching loads at the university and departments level?</li> </ol>



<p><b>IX. University scientific research (organization):</b></p> <ul style="list-style-type: none"> <li>• University structures involved in the organization of scientific research</li> <li>• Involving students in the process of scientific research (incentive mechanisms / incentives for the parties ...)</li> <li>• Scientific research of teachers (achievement planning and control, the methodology of assessing the research activity ...)</li> <li>• Research Master</li> </ul>		<p>What are the cooperation relations between universities and research institutes?</p> <p>How is the research workload of teachers accounted?</p> <p>To what extent do students get involved in research in the first 2 cycles?</p>
<p><b>X. Doctorate (PhD types),</b></p> <ul style="list-style-type: none"> <li>• doctoral schools,</li> <li>• Post-doctorate,</li> <li>• Habilitate</li> </ul>		<ol style="list-style-type: none"> <li>1. What is the popularity of doctorates in Lithuania?</li> <li>2. Who determines the admission quota and what is the structure of this quota?</li> <li>3. What are the procedures for creating professional doctorate programs?</li> <li>4. What are the procedures of defending a PhD thesis and awarding a scientific degree?</li> <li>5. How are PhD supervisors empowered?</li> <li>1. 6. Can there be organized inter-university doctoral schools, in international consortia?</li> </ol>

## Annex 2. Identification of resources, formulation of questions concerning academic autonomy in Scotland

Scotland. Academic autonomy		
Stating the problem	Consulted material / document	Unresolved issue / problem
<b>I. Introduction / initiation and liquidation/termination of study programs:</b> <ul style="list-style-type: none"> <li>• Introduction of study programs at the Bachelor/ undergraduate level (initiation procedures, conception, obtaining the right to open a program, links with NQF)</li> <li>• Introduction of study programs at the Master level</li> <li>• Introduction of study programs at the PhD/doctoral level</li> <li>• Awards provided</li> <li>• Termination of degrees (programs) – (who decides, procedures)</li> <li>• Language of instruction at undergraduate level – (Whose is the decision, procedures for obtaining the right)</li> </ul>	<b>1. CHARTER of the University of Strathclyde 10.11.2010;</b> <b>2. STATUTES of the University of Strathclyde, 10 Nov 2010;</b> <b>3. REGULATIONS of the University of Strathclyde. 2013;</b> <b>4.ORDINANCES of the University of Strathclyde, 26.09.13,</b> <b>5. USG. General and Course Regulations for Degrees of Bachelor and Integrated Master 2013-14, 2013,</b> <b>6. University of Strathclyde Calendar 2012-13, part 2A, part 2B, part 3.</b>	<p>1. Is the launching of a new study program conditioned by any external factors? Is it required or not the approval or recommendation of any external bodies/structures or everything is left at the disposal of the university?</p> <p>2. In many countries, before launching a new study program, it is subject to external evaluation/review by a Quality Assurance Agency. Is it the case of Scotland, too?</p>
<b>II. Admission:</b> <ul style="list-style-type: none"> <li>• Admission quota of local students with grants from the government / own account</li> <li>• Procedures for admission to undergraduate / Bachelor cycle (educational documents, mark level, procedure)</li> <li>• Procedures for admission to the Master cycle</li> <li>• <b>Admission of foreign students (non EU):</b></li> <li>• Admission quota of students. Admission procedures (are they similar or not to those for local students)</li> </ul>	<b>1.USG. General and Course Regulations for Degrees of Bachelor and Integrated Master 2013-14, 2013,</b> <b>2. USG.University Admissions Policy, 2010;</b> <b>3. USG. Procedure for Admitting and Monitoring Students within the Points Based System (PBS) of Immigration 2009;</b> <b>4. USG. Policy on the United Kingdom Border Agency (UKBA) Points Based System of Immigration: Tier 4, 2014</b>	<p>1. There are made references to some documents that we didn't find – Regulation 2, 4, 5; Course Handbooks; University's Course Regulations. Where / how can we find them? Can you give them to us?</p> <p>2. Is there a framework regulation on the organization of the admission process to undergraduate / Bachelor level?</p> <p>3. A student who has obtained a diploma or degree can be enrolled at the same department in order to obtain a higher level?</p> <p>4. How to calculate the score for degree classification (simple, merit, distinction), the rule 12.49?</p> <p>5. Integrated master programs</p>

		<p>have common trunk with Bachelor or are carried out in parallel?</p> <p>6. The programs within the department have a common trunk?</p> <p>7. Is it possible to change/transfer to a program offered by another department/faculty?</p> <p>8. How is the admission capacity to a study program determined?</p> <p>9. How are the interests of the national economy in specialists of different profiles taken into account?</p> <p>Are there any mechanisms to regulate / direct student flows toward less prestigious, but strictly necessary specialties?</p>
<p><b>III. Recognition of studies:</b></p> <ul style="list-style-type: none"> <li>• Of study periods performed abroad at Bachelor, Master, Doctoral level;</li> <li>• Recognition of educational documents for the studies done abroad at Bachelor, Master, Doctoral level (recognition bodies, procedures, conditions)</li> </ul>	<p><b>1. USG. General and Course Regulations for Degrees of Bachelor and Integrated Master 2013-14, 2013,</b></p> <p><b>2.UK Quality Code for Higher Education. Parts A, B:</b></p>	<p>1. A considerable number of students from Scottish universities undertake one or two semesters abroad. What are the recognition procedures / equivalence of courses / modules or study periods performed in other (local or abroad) universities?</p>
<p><b>IV. Quality assurance, accreditation of study programs:</b></p> <ul style="list-style-type: none"> <li>• Internal structures of quality assurance, student involvement in the process of quality assurance</li> <li>• Methodology, evaluation criteria, procedures (self-evaluation, external evaluation)</li> <li>• Freedom in the choice of external quality assurance body</li> <li>• Relationships / how does the accreditation body cooperate with the Ministry of Education in the accreditation process,</li> <li>• Assessment of the internal system of quality management (ISO 9000)</li> </ul>	<p><b>1.UK Quality Code for Higher Education. Part B: Assuring and enhancing academic quality. QAA-HE, 2012</b></p> <p><b>2. Regulations of the University of Strathclyde. 2013, (cap. 1.3)</b></p> <p><b>3.Code of practice for the assurance of academic quality and standards in higher education: Post-graduate research programmes. QAA, 2004.</b></p>	<p>1. If it is possible, we would like to get some additional methodical materials/documents on: The functioning of the internal quality assurance system.</p>

<p><b>V. National Qualification Framework:</b></p> <ul style="list-style-type: none"> <li>• The body responsible for the NQF in the country (functions, structure, relations with ME and universities)</li> <li>• How do universities (ME, management bodies of HEIs) participate in the development of new qualifications</li> <li>• How are the NQF requirements reflected in the study programs (compulsory provisions, procedures, internal control, external evaluation)</li> <li>• Educational standards (exist or not, if yes – how are they related to NQF)</li> </ul>	<p><b>1. An Introduction to The Scottish Credit and Qualifications Framework, 2001</b></p> <p><b>2. The framework for qualifications of higher education institutions in Scotland, 2001</b></p> <p><b>3. UK Quality Code for Higher Education. Part A: Setting and maintaining threshold academic standards. Chapter A1: The national level. QAA, 2011</b></p>	<p>1. What are the procedures for initiating, promoting, approving new qualifications?</p> <p>2. Are there in Scotland or the UK educational standards on branches / domains developed on the basis of SCGF?</p> <p>3. In UK Quality Code Part (and other mentioned documents) it is presented the description of qualification levels. Levels 7-12 are for higher education. For each level it is indicated: duration of studies, the document of finishing the studies, the minimum number of credits.</p> <p>Problems: What is the typical structure of a (point) credit transfer on components of guided work (contact hours) and individual work? Does this structure differ by levels and forms of education?</p> <p>4. Are CertHE, DipHE, Bachelor, BSc Hons programs organized as common programs with many outputs or parallel programs with migration possibilities between them? Are there any document describing these procedures?</p> <p>5. What is the popularity of CertHE, DipHE levels among students and their demand on the labour market?</p> <p>6. What are the possibilities of returning to studies for obtaining a higher degree?</p> <p>7. Is it possible to obtain a (HE) qualification based on the assessment of non-formal education (independent studies and practical experience at the workplace)?</p>
<p><b>VI. Employability</b></p> <ul style="list-style-type: none"> <li>• Occupational framework (ISCED)</li> <li>• Differentiation by level of education. Place of Master and PhD</li> </ul>		<p>1. What are the mechanisms to support students in the employment process?</p> <p>2. How are these efforts supported by the ME, other governing bodies?</p>

<p><b>VII. Content and implementation of the study program (organization of studies):</b></p> <ul style="list-style-type: none"> <li>• Content elaboration/designing</li> <li>• The distribution between university structures</li> <li>• Internships</li> <li>• Final evaluation (exams, theses) on cycles</li> </ul>	<p><b>1. UK Quality Code for Higher Education. Part B: Assuring and enhancing academic quality.</b> Capiter B1. Programme design, development and approval, B3: Learning and teaching, QAA, 2013</p>	<ol style="list-style-type: none"> <li>1. Are there any methodical guidelines on content development of study disciplines/courses?</li> <li>2. Bachelor and Master programs are made based on subjects of 20 transferable credits, this practice being different from the practice of the RM and other continental European countries (France, Belgium, and Romania). It's an interesting practice, and to better understand the essence of subjects with solid volume, I would like to get acquainted with some concrete examples, especially related to Electrical Engineering.</li> <li>3. How are internships organized?</li> <li>4. Obtaining the HE Certificate and Diploma requires the acquisition of practical skills. How to get them at 1 or 2 years of study?</li> </ol>
<p><b>VIII. Teaching load of the didactic staff:</b></p> <ul style="list-style-type: none"> <li>• Planning the teaching load</li> <li>• The distribution of teaching load</li> <li>• Accounting of the teaching and research load achievement</li> </ul>		<ol style="list-style-type: none"> <li>1. What is the methodology of calculation and allocation of the teaching load among teachers of the department?</li> <li>2. How does the department, responsible for a study program, involve other departments in ensuring the educational process at this program?</li> </ol>
<p><b>IX. University scientific research (organization):</b></p> <ul style="list-style-type: none"> <li>• University structures involved in the organization of scientific research</li> <li>• Involving students in the process of scientific research (incentive mechanisms / incentives for the parties ...)</li> <li>• Scientific research of teachers (achievement planning and control, the methodology of assessing the research activity ...)</li> <li>• Research Master</li> </ul>	<p><b>1.UK Quality Code for Higher Education. Part B: Assuring and enhancing academic quality.</b> B11. Research degrees, QAA, 2012</p>	

<p><b>X. Doctorate (PhD types), doctoral schools. Post-doctorate, Habilitate</b></p>	<p><b>1. Doctoral degree characteristics, QAA, 2011.</b>  <b>2. The UK doctorate: a guide for current and prospective doctoral candidates. QAA, 2011.</b>  <b>3. Code of practice for the assurance of academic quality and standards in higher education: Post-graduate research programmes. QAA, 2004.</b>  <b>4. University of Strathclyde Calendar 2012-13, part 3</b></p>	<p>1. What is the popularity of professional doctorates in the UK?  2. What are the procedures for creating professional doctorate programs?  3. How are PhD supervisors empowered?  4. Can there be organized inter-university doctoral schools in consortium?</p>
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### Annex 3. Identification of resources, formulation of questions concerning academic autonomy in Sweden

Problem formulation	Material consulted <sup>1</sup>	Unresolved question/issue
<p><b>Admission</b> to first-, second-, and third-cycle courses and study programs</p> <ul style="list-style-type: none"> <li>– applications</li> <li>– entry requirements</li> <li>– selection criteria</li> <li>– allocation of places</li> <li>– study and career guidance</li> <li>– Admission to courses and study programs that begin in the first cycle and are intended for students who are not new entrants to higher education</li> </ul> <p>Admission quota of local students with grants from the government / own account</p> <p><b>Admission of foreign students (non EU):</b> Admission quota of students. Admission procedures (are they similar or not to those for local students)</p>	<p>The Swedish Higher Education Act[1] The Higher Education Ordinance[2] Admission regulations for first cycle and second cycle courses and study programs at Stockholm University[3] Admission procedures for education at Bachelor, Master and Doctoral levels at Karlstad University[4] Application and admission to courses at SLU[5] Higher education in Sweden. 2013 status report [6]</p>	<p>Is there a limitation in number of people to be admitted to a certain course or study program? If yes, then who decides on the number of people to be admitted to a course / study program?</p> <p>What are the means higher education institutions use to actively promote and widen recruitment to higher education?</p> <p>Is there an age limit when applying to courses or study programs?</p> <p>Who provides students with study and career guidance in the university?</p> <p>Is it allowed to apply to more than one university and more than one study program at a time / in parallel?</p> <p>Do master's programs suppose the access of Bachelor degree graduates from other related or less related fields?</p> <p>In chapter 7 of the Higher Education Ordinance it is stated that "Admission to first or second-cycle higher education studies refers to a <i>course</i> or a study program". Is it possible to apply to different courses, relating to one study program, but at different universities and get a Bachelor/Master's degree?</p> <p>In the Higher Education Ordinance there are often made references to the Swedish National Agency for Higher Education which, for example, may permit a higher education institution in its selection of applicants for a certain course or study program to allocate places in some way, may issue further regulations on the evaluation of grades, may issue regulations on which field-specific courses shall be weighted courses for separate field-specific entry requirements etc. Isn't this a limitation to the higher education institution's autonomy?</p> <p>To what degree Bachelor programs within the department / faculty have a common core? At what level is the specialization of students done?</p> <p>Is it possible to change/transfer to a program offered by another department/faculty?</p> <p>How is the admission capacity to a study program determined?</p>

		<p>Is the matriculation quota established by a higher authority or it relates to the autonomy of the university?</p> <p>How are the interests of the national economy in specialists of different profiles taken into account?</p> <p>Are there any mechanisms to regulate / direct student flows toward less prestigious, but strictly necessary specialties?</p>
<p><b>Study programs</b>  First and second-cycle courses and study programs  Course syllabuses  Program syllabuses  Assessment  Degree projects  Grades  Course certificates  Number of examinations  Amending grades  Reviewing grades  <b>Content and implementation of the study program (organization of studies):</b>  Content elaboration/ designing  The distribution between university structures  Internships / practical training  Final evaluation (exams, theses) on cycles  <b>Introduction / initiation and liquidation/ termination of study programs:</b>  Introduction of study programs at the Bachelor/ undergraduate level (initiation procedures, conception, obtaining the right to open a program, links with NQF)</p>	<p>The Swedish Higher Education Act[7]  The Higher Education Ordinance[8]  Administrative Procedure Act (1986:223)[9]  Examination regulations at SLU[11]  Course information and documentation at SLU [12]  Assessment and grades at SLU [13]  Independent project (degree project) at SLU [14]  Study programs and qualifications (degrees) at SLU [15]</p>	<p>Can students change from one study program to another related or non-related study program?  What is the procedure for doing that? When can they change their study programs?</p> <p>How do municipalities and county councils participate in higher education courses and study programs?</p> <p>What is the grading system in Sweden and the description of the grades?</p> <p>According to the Higher Education Ordinance “The higher education institution may determine which grading system is to be used”. Does it mean that there is no unique grading system in Sweden?</p> <p>Is it necessary that a student gets course certificates for all courses and finally a program certificate?</p> <p>Could you provide us with some more detailed information on amending and reviewing grades?</p> <p>What shall be done if an examiner finds that a decision on a grade is obviously incorrect and the grade should be lowered?</p> <p>Is the launching of a new study program conditioned by any external factors? Is it required or not the approval or recommendation of any external bodies/structures or everything is left at the disposal of the university?  In many countries, before launching a new study program, it is subject to external evaluation/review by a Quality Assurance Agency or Ministry of Education. Is it the case of Sweden, too?  Is there any nomenclature of specialties (programs), the institution can / is obliged to choose from? Is there any procedure difference for cycle 1 and 2?</p>

<p>Introduction of study programs at the Master level</p> <p>Introduction of study programs at the PhD/doctoral level</p> <p>Awards provided</p> <p>Termination of degrees (programs)</p> <p>Language of instruction at undergraduate level – (Whose is the decision, procedures for obtaining the right)</p>		<p>How to initiate a program that is entirely new, for example at border between areas?</p> <p>Are there any methodical guidelines on content development of study disciplines/courses?</p> <p>How are internships / practical training organized?</p>
<p><b>Qualifications</b></p> <p>Entitlement to award qualifications</p>	<p>The Swedish Higher Education Act[16]</p> <p>The Higher Education Ordinance[17]</p> <p>National Qualifications Framework[18]</p> <p>Act Concerning Authority to Award Certain Qualifications[19]</p> <p>Higher education in Sweden. 2013 status report [20]</p>	<p>What is the procedure for / the steps followed by universities to get permission to award a third-cycle qualification from the Government and the Swedish National Agency for Higher Education?</p> <p>In Section 12 of the Swedish Higher Education Act it is stated that “The Swedish National Agency for Higher Education decides on permission to award qualifications in the third cycle at <i>higher education institutions that are not universities</i>, and in the first and second cycle at universities and higher education institutions.” Also, in the Higher Education Ordinance it is stated: “Entitlement to award general third-cycle qualifications may be granted to higher education institutions <i>other than universities</i>”. Does it mean that universities are not higher education institutions and that they are not allowed to offer third cycle study programs?</p> <p>How often does the monitoring and evaluation of courses and programs take place?</p>
<p><b>National Qualification Framework:</b></p> <p>The body responsible for the NQF in the country (functions, structure, relations with ME and universities)</p> <p>How do universities (ME, management bodies of HEIs) participate in the development of new qualifications</p>	<p>The Swedish Higher Education Act[21]</p> <p>The Higher Education Ordinance[22]</p> <p>National Qualifications Framework[23]</p> <p>Act Concerning Authority to Award Certain Qualifications[24]</p> <p>Higher education in Sweden. 2013 status report [25]</p>	<p>What are the procedures for initiating, promoting, approving new qualifications?</p> <p>Are there in Sweden educational standards on branches / domains developed on the basis of general descriptors?</p> <p>What is the typical structure of a (point) credit transfer on components of guided work (contact hours) and individual work? Does this structure differ by levels and forms of education?</p> <p>What are the possibilities of returning to studies for obtaining a higher degree?</p> <p>What are the migration possibilities between study programs?</p>

How are the NQF requirements reflected in the study programs Educational standards		Is it possible to obtain a (HE) qualification based on the assessment of non-formal education (independent studies and practical experience at the workplace)? What is the popularity of I and II cycles among students and their demand on the labour market?
<b>Recognition of studies:</b> <b>Of study periods performed abroad</b> at Bachelor, Master, Doctoral level; <b>Recognition of educational documents for the studies done abroad</b> at Bachelor, Master, Doctoral level	The Swedish Higher Education Act[26] The Higher Education Ordinance[27]	A considerable number of students from Swedish universities undertake one or two semesters abroad. What are the recognition procedures / equivalence of courses / modules or study periods performed in other (local or abroad) universities?  Does each university determine autonomously its procedures for the recognition of studies done outside the university or there is a framework regulation approved by ME or other higher authority?
<b>Credit transfer</b>	The Higher Education Ordinance [28]	In the Higher Education Ordinance, section 6, it is stipulated: "If a student at a higher education institution in Sweden has successfully completed a higher education course or study program, she or he is entitled to transfer the credits awarded for a course or study program at another higher education institution. This does not apply, however, if there is a substantial difference between these courses or study programs". Is it possible for a student to apply for another study program, and to transfer credits from general subjects taught all around Swedish universities (e.g. philosophy, professional ethics, foreign language etc.)?  In the Higher Education Ordinance, section 7, it is stipulated: "A student is entitled to transfer credits from a course or study program other than that laid down in Section 6 if the nature and extent of the <i>knowledge and skills cited by the student are such that they correspond on the whole to the course or study program</i> for which the credits are to be recognized". How do you assess these skills and knowledge?
<b>Joint degree</b> – institutional cooperation to provide joint degrees	The Swedish Higher Education Act[29] Act Concerning Authority to Award Certain Qualifications[30] The Higher Education Ordinance [31]	What are the general requirements to apply to a joint degree? How does the educational process in a joint degree program take place? How is the evaluation process organized? Are the institutional cooperation agreements of general nature or apply only for specific study programs?

<b>Employability</b> Occupational framework (ISCED) Differentiation by level of education. Place of Master and PhD	The Public Employment Act Employment Protection Act[33] Employment Ordinance (1994:373)[34]	What are the mechanisms to support students in the employment process? How are these efforts supported by the ME, other governing bodies?
<b>Teaching staff</b> <b>Teaching load of the didactic staff:</b> Planning the teaching load The distribution of teaching load Accounting of the teaching and research load achievement	The Swedish Higher Education Act[35] The Higher Education Ordinance[36] The Public Employment Act[37] Employment Protection Act[38] Employment Ordinance (1994:373)[39] Higher education in Sweden. 2013 status report[40]	Is the teaching staff allowed, under state or university regulations, to undertake teaching and research activities in parallel in other educational or research institutions (except healthcare)? Does this type of employment mean “secondary employment”? In the Higher Education Ordinance, section 9 it is stated that: “Employment as an assistant may not correspond to more than 40 per cent and employment as a teaching assistant to more than 50 per cent of a full-time post.” Could you please provide us with some more detailed information on this statement? What is the methodology of calculation and allocation of the teaching load among teachers of the department? How does the department, responsible for a study program, involve other departments in ensuring the educational process at this program?
<b>Students and student unions</b> Students’ role in the governing of the higher educational institution Students’ influence in the development or improvement of courses and study programs	The Swedish Higher Education Act[41] The Higher Education Ordinance[42] Student influence at SLU[43]	What is the proportion of students’ representatives in the university’s governing body? What actions do students usually undertake and how do they participate in the development or improvement of courses and study programs?
<b>Quality assurance, accreditation of study programs:</b> Internal structures of quality assurance, student involvement in the process of quality assurance Methodology, evaluation criteria, procedures (self-evaluation, external evaluation)	The Swedish Higher Education Act [44] The Higher Education Ordinance[45] Course and program evaluation at SLU[46]	How is internal / external quality assurance organized?  Are there quality assurance offices/departments within higher educational institutions, and what is their role and tasks?  What quality assurance procedures are applied within universities?

<p>Freedom in the choice of external quality assurance body</p> <p>Relationships / how does the accreditation body cooperate with the Ministry of Education in the accreditation process,</p> <p>Assessment of the internal system of quality management (ISO 9000)</p>		<p>How are course evaluations by students taken into account at improving the course content? How much credibility do you give to these evaluations?</p> <p>Are there didactic staff evaluations by students performed? If yes, what measures are applied if a teacher fails this evaluation?</p>
<p><b>Doctorate (PhD types), doctoral schools. Post-doctorate, Habilitate</b></p> <p>Third-cycle courses and study programs</p> <p>Supervision</p> <p>Individual study plans</p> <p>Entitlement to supervision and other resources</p> <p>Examination grades</p> <p>Public defenses and grading doctoral theses</p>	<p>The Swedish Higher Education Act[44]</p> <p>The Higher Education Ordinance[45]</p> <p>Higher education in Sweden. 2013 status report [46]</p>	<p>Who proposes/develops the research issues for PhD students?</p> <p>In which situations a doctoral student is allowed to change his or her supervisor?</p> <p>According to the Higher Education Act “Examinations that form part of third-cycle courses and study programs shall be assessed in accordance with the grading system prescribed by the higher education institution.” Is there a specific grading system for the third cycle?</p> <p>Is it possible to enroll for a second time to a third-cycle study program if you failed the first time (for example if you succeeded to complete the courses but didn’t defend the doctoral thesis)?</p> <p>If yes, then what are the requirements?</p> <p>What is the popularity of professional doctorates in Sweden?</p> <p>Who determines the admission quota and what is the structure of this quota?</p> <p>What are the procedures for creating professional doctorate programs? How are PhD supervisors empowered?</p> <p>What are the procedures of defending a PhD thesis and awarding a scientific degree?</p> <p>Can there be organized inter-university doctoral schools, in international consortia?</p> <p>What are the incentives used by the state and university to attract students in research at the PhD level?</p> <p>Who is in charge for PhD programs and students at the university? What are the cooperation relations between universities and research institutes?</p>



## Annex 4. Identification of resources, formulation of questions concerning academic autonomy in Denmark

Criteria. Problem formulation	Material consulted	Unresolved question/issue
<p><b>Admission</b> to first-, second-, and third-cycle courses and study programs</p> <ul style="list-style-type: none"> <li>– applications</li> <li>– entry requirements</li> <li>– selection criteria</li> <li>– allocation of places</li> <li>– study and career guidance</li> <li>– Admission to courses and study programs that begin in the first cycle and are intended for students who are not new entrants to higher education</li> </ul> <p>Admission quota of local students with grants from the government / own account</p> <p><b>Admission of foreign students (non EU):</b> Admission quota of students. Admission procedures (are they similar or not to those for local students)</p>	<p>The Danish (Consolidation) Act on Universities (the University Act)</p> <p>Ministerial Order no. 240 of 11 March 2013 on Admission and Enrolment on Bachelor Programmes at Universities</p> <p>Ministerial Order no. 241 of 11 March 2013 on Admission and Enrolment on Master's (Candidatus) Programmes at Universities</p> <p>Ministerial Order on the PhD Programme at the Universities and Certain Higher Artistic Educational Institutions (PhD Order)</p> <p>Rules on admission to and enrolment on full-time programmes at Aarhus University</p>	<p>What are the general and specific admission requirement?</p> <p>Is there a limitation in number of people to be admitted to a certain course or study program? If yes, then who decides on the number of people to be admitted to a course / study program?</p> <p>What are the means higher education institutions use to actively promote and widen recruitment to higher education?</p> <p>Is there an age limit when applying to courses or study programs?</p> <p>Who provides students with study and career guidance in the university?</p> <p>Is it allowed to apply to more than one university and more than one study program at a time / in parallel?</p> <p>Do master's programs suppose the access of Bachelor degree graduates from other related or less related fields?</p> <p>Is it possible to apply to different courses, relating to one study program, but at different universities and get a Bachelor/Master's degree?</p> <p>To what degree Bachelor programs within the department / faculty have a common core? At what level is the specialization of students done?</p> <p>Is it possible to change/transfer to a program offered by another department/faculty?</p> <p>How is the admission capacity to a study program determined?</p> <p>Is the matriculation quota established by a higher authority or it relates to the autonomy of the university?</p>

		How are the interests of the national economy in specialists of different profiles taken into account? Are there any mechanisms to regulate / direct student flows toward less prestigious, but strictly necessary specialties?
<b>Study programs</b> First and second-cycle courses and study programs Course syllabuses Program syllabuses Assessment Degree projects Grades Course certificates Number of examinations Amending grades Reviewing grades <b>Content and implementation of the study program (organization of studies):</b> Content elaboration/designing The distribution between university structures Internships / practical training Final evaluation (exams, theses) on cycles <b>Introduction / initiation and liquidation/ termination of study programs:</b> Introduction of study programs at the Bachelor/ undergraduate level (initiation procedures, conception, obtaining the right to open a program, links with NQF) Introduction of study programs at the Master level	The Danish (Consolidation) Act on Universities (the University Act)  Ministerial Order on University Examinations and Grading (the Examination Order)  Ministerial Order on the Grading Scale and Other Forms of Assessment of University Education (grading scale order)  Language Policy at Aalborg University  Principles of Problem and Project Based Learning. The Aalborg PBL Model	Can students change from one study program to another related or non-related study program? What is the procedure for doing that? When can they change their study programs?  How does the Government and business participate in the development of higher education courses and study programs?  Is it necessary that a student gets course certificates for all courses and finally a program certificate?  Could you provide us with some more detailed information on amending and reviewing grades?  Is the launching of a new study program conditioned by any external factors? Is it required or not the approval or recommendation of any external bodies/structures or everything is left at the disposal of the university?  In many countries, before launching a new study program, it is subject to external evaluation/review by a Quality Assurance Agency or Ministry of Education. Is it the case of Denmark, too?  Is there any nomenclature of specialties (programs), the institution can / is obliged to choose from? Is there any procedure difference for cycle 1 and 2?  How to initiate a program that is entirely new, for example at border between areas?  Are there any methodical guidelines on content development of study disciplines/courses?  How are internships / practical training organized?

<p>Introduction of study programs at the PhD/ doctoral level</p> <p>Awards provided</p> <p>Termination of degrees (programs) – (who decides, procedures)</p>		
<p>Language of instruction at undergraduate level – (Whose is the decision, procedures for obtaining the right)</p>		
<p><b>Qualifications</b></p> <p>Entitlement to award qualifications</p>		<p>What is the procedure for / the steps followed by universities to get permission to award a third-cycle qualification?</p> <p>How often does the monitoring and evaluation of courses and programs take place?</p> <p>Who entitles universities to award qualifications and what is the procedure?</p>
<p><b>National Qualification Framework:</b></p> <p>The body responsible for the NQF in the country (functions, structure, relations with ME and universities)</p> <p>How do universities (ME, management bodies of HEIs) participate in the development of new qualifications</p> <p>How are the NQF requirements reflected in the study programs (compulsory provisions, procedures, internal control, external evaluation)</p> <p>Educational standards (exist or not, if yes – how are they related to NQF)</p>		<p>What are the procedures for initiating, promoting, approving new qualifications?</p> <p>Are there in Denmark educational standards on branches / domains developed on the basis of general descriptors?</p> <p>What is the typical structure of a (point) credit transfer on components of guided work (contact hours) and individual work? Does this structure differ by levels and forms of education?</p> <p>What are the possibilities of returning to studies for obtaining a higher degree?</p> <p>What are the migration possibilities between study programs?</p> <p>Is it possible to obtain a (HE) qualification based on the assessment of non-formal education (independent studies and practical experience at the workplace)?</p> <p>What is the popularity of I and II cycles among students and their demand on the labour market?</p>

<b>Recognition of studies:</b> <b>Of study periods performed abroad</b> at Bachelor, Master, Doctoral level; <b>Recognition of educational documents for the studies done abroad</b> at Bachelor, Master, Doctoral level (recognition bodies, procedures, conditions)	Assessment of Foreign Qualifications etc. (Consolidation) Act  Assessment of Foreign Qualifications etc. Order  Qualifications Board Order	A considerable number of students from Danish universities undertake one or two semesters abroad. What are the recognition procedures / equivalence of courses / modules or study periods performed in other (local or abroad) universities?  Does each university determine autonomously its procedures for the recognition of studies done outside the university or there is a framework regulation approved by ME or other higher authority?
<b>Credit transfer</b>		Is it possible for a student to apply for another study program, and to transfer credits from general subjects taught all around Danish universities (e.g. philosophy, professional ethics, foreign language etc.)?
<b>Joint degree</b> – institutional cooperation to provide joint degrees	The Danish (Consolidation) Act on Universities (the University Act) • Ministerial Order on the International Education Activities of Universities	What are the general requirements to apply to a joint degree?  How does the educational process in a joint degree program take place?  How is the evaluation process organized?  Are the institutional cooperation agreements of general nature or apply only for specific study programs?
<b>Employability</b> Occupational framework (ISCED) Differentiation by level of education. Place of Master and PhD	The Danish (Consolidation) Act on Universities (the University Act)	What are the mechanisms to support students in the employment process? How are these efforts supported by the ME, other governing bodies?
<b>Teaching staff</b> <b>Teaching load of the didactic staff:</b> Planning the teaching load The distribution of teaching load Accounting of the teaching and research load achievement		Is the teaching staff allowed, under state or university regulations, to undertake teaching and research activities in parallel in other educational or research institutions (except healthcare)?  Could you please provide us with some more detailed information on the planning of the teaching load, distribution of the teaching load?  What is the methodology of calculation and allocation of the teaching load among teachers of the department?  How does the department, responsible for a study program, involve other departments in ensuring the educational process at this program?

<p><b>Students and student unions</b> Students' role in the governing of the higher educational institution Students' influence in the development or improvement of courses and study programs</p>		<p>What is the proportion of students' representatives in the university's governing body?</p> <p>What actions do students usually undertake and how do they participate in the development or improvement of courses and study programs?</p>
<p><b>Quality assurance, accreditation of study programs:</b> Internal structures of quality assurance, student involvement in the process of quality assurance Methodology, evaluation criteria, procedures (self-evaluation, external evaluation) Freedom in the choice of external quality assurance body Relationships / how does the accreditation body cooperate with the Ministry of Education in the accreditation process, Assessment of the internal system of quality management (ISO 9000)</p>	<p>The Danish (Consolidation) Act on Universities (the University Act)</p> <p>Act on the Accreditation Agency for Higher Education</p> <p>Ministerial Order on Criteria for the Relevance and Quality of University Study Programmes</p> <p>Guidelines on application for accreditation and approval of existing university study programmes</p> <p>Guidelines on application for accreditation and approval of new university study programmes</p>	<p>How is internal / external quality assurance organized?</p> <p>Are there quality assurance offices/departments within higher educational institutions, and what is their role and tasks?</p> <p>What quality assurance procedures are applied within universities?</p> <p>How are course evaluations by students taken into account at improving the course content? How much credibility do you give to these evaluations?</p> <p>Are there didactic staff evaluations by students performed? If yes, what measures are applied if a teacher fails this evaluation?</p>
<p><b>Doctorate (PhD types), doctoral schools. Post-doctorate, Habilitate</b> Third-cycle courses and study programs Supervision Individual study plans Entitlement to supervision and other resources</p>	<p>The Danish (Consolidation) Act on Universities (the University Act)</p> <p>Ministerial Order on the PhD Programme at the Universities and Certain Higher Artistic Educational Institutions (PhD Order)</p>	<p>Who proposes/develops the research issues for PhD students?</p> <p>In which situations a doctoral student is allowed to change his or her supervisor?</p> <p>Is there a specific grading system for the third cycle?</p>

<p>Examination grades Public defenses and grading doctoral theses</p>	<p>Ministerial Order on University Examinations and Grading (the Examination Order)</p> <p>Ministerial Order on the Grading Scale and Other Forms of Assessment of University Education (grading scale order)</p>	<p>Is it possible to enroll for a second time to a third-cycle study program if you failed the first time (for example if you succeeded to complete the courses but didn't defend the doctoral thesis)? If yes, then what are the requirements?</p> <p>What is the popularity of professional doctorates in Denmark?</p> <p>Who determines the admission quota and what is the structure of this quota?</p> <p>What are the procedures for creating professional doctorate programs?</p> <p>How are PhD supervisors empowered?</p> <p>What are the procedures of defending a PhD thesis and awarding a scientific degree?</p> <p>Can there be organized inter-university doctoral schools, in international consortia?</p> <p>What are the incentives used by the state and university to attract students in research at the PhD level?</p> <p>Who is in charge for PhD programs and students at the university?</p> <p>What are the cooperation relations between universities and research institutes?</p>
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## **Annex 5. answers to questions concerning academic autonomy in Lithuania**

<b>Criteria and indicators of autonomy</b>	<b>Findings. Documented arguments</b>	<b>Comments</b>
<b>I. Introduction / initiation and liquidation/termination of study programs:</b> Types of higher education institutions. Types of programs offered by Higher Education Institutions (HEIs)	Two types of higher education institutions (HEIs) are provided by the Law of Higher Education: university colleges [1, art. 6] and institutions offering higher education services and developing high level applied research [art.9,p.8]. [art.35, 36]. The right to provide higher education services is granted to state institutions by Authorization, and to private institutions – by License. It set up a state registry that lists institutions offering educational services [a 38, 12]. A new university shall be established based on the Seim decision. The order of organization of state institutions and licensing of private ones is described in [3].	
• Introduction of study programs at the Bachelor/ undergraduate level (initiation procedures, conception, obtaining the right to open a program, links with NQF)	Requirements for the first cycle programs, in general form, are determined by the Law on Education [1, art.48]. By Ministry of Education' order [8] shall be approved general and specific requirements for study programs at the college level, cycle I and integrated studies. At cycle I double specialties programs are also accepted [1, art.48,7], which can be implemented by two universities in the country or abroad. New programs should correspond to specialties designated in the list / nomenclature approved by the Minister of Education [15] For some fields of study, such as Law, the Ministry of Education also approves specific requirements to those programs of study [6].	
• Introduction of study programs at the Master level	Article 48 (2) of the Law on Education states that institutions with research in the field can organize master programmes. The Ministry approves the general and special requirements for fields of study of second cycle Master's degree. New programs are developed by program committees, they are discussed in the institute / department, and they are approved by the Senate and proposed for approval to the Council of Higher Education of the Ministry of Education and Research. If the program meets the requirements defined in [9], it is approved having permission to proceed. In [31] are mentioned procedures of formation of program committees, their composition, their rights and obligations and rules to develop new programs in the University of Mykolas Romeris in Vilnius.	

<ul style="list-style-type: none"> <li>• Introduction of study programs at the PhD/doctoral level: <ul style="list-style-type: none"> <li>– Awards provided</li> <li>– Termination of degrees (programs) – (who decides, procedures)</li> </ul> </li> </ul>	<p>Doctoral studies are organized in the field of natural sciences, humanities and arts [1, art.48,4,5].</p> <p>The Ministry of Education decides which institutions may organize doctoral studies. The decision shall be based on the evaluation (according to the Regulation on Doctoral Studies approved by the Government on the recommendation of the Committee of Science) of scientific research led by the institution. Doctoral studies can be organized in consortia with other research institutes or universities in the country or abroad.</p> <p>The degree offered is Doctor of Science or Doctor of Arts. The degree of Doctor Habilitate is not stipulated by law [1, art.48,6]</p>	
<ul style="list-style-type: none"> <li>• Language of instruction at undergraduate level – (Whose is the decision, procedures for obtaining the right)</li> </ul>	<p>Language of instruction – Lithuanian, but studies may be in other languages (with a fee).</p> <p>The legislation provides that studies may be in other languages only at programs where studies are not provided in the national language.[1, art.49]</p>	
<p><b>II. Admission:</b></p> <ul style="list-style-type: none"> <li>• Admission quota of local students with grants from the government / own account</li> <li>• Procedures for admission to undergraduate / Bachelor cycle (educational documents, mark level, procedure)</li> <li>• Procedures for admission to the Master cycle. Admission quota of students. Admission procedures</li> </ul>	<p>The Ministry determines the admission plan (budgetary places, vouchers for specialties). Based on the contest of candidates, the grades in secondary education diploma, applicants can obtain or not the claimed voucher. The application is submitted for a particular specialty and at a specific institution. The student comes to university with the state paid voucher. Those who did not receive vouchers come to study places with tuition fees, the number of study places is defined by the capacity of the institution.</p> <p>The groups are formed for programs if there are 15 students or more (option of the institution).</p> <p>At Master, the same procedures are applied. The contest is done based on the Bachelor degree in related programs. College graduates are admitted after one compensatory year (see Rules). There are several provisions regulating the conduct of master studies depending on the type of previous studies (prerequisites and difference credits).</p> <p>Mechanism of student contingent formation – student orientation: various measures are undertaken at university, faculty, and program level. These measures have become central for all universities due to the reducing number of students.</p>	<p>Admission to studies carried out in a joint center allows objective distribution of scholarships among students, but restricts university autonomy to maneuver, to take measures of vocational guidance, especially</p>
<p><b>Admission of foreign students (non EU).</b></p> <p>Admission quota of students. Admission procedures (are they similar or not to those for local students)</p>	<p>Admission of foreign students is only on tuition fee basis, which is different from that for national students. Their number is not limited. The equivalent level of education of 12 years (high school) is required for admission.</p>	<p>for less popular specialties.</p> <p>The university cannot reflect the specifics of the institution or specific profile at the admission</p>

Admission to the doctorate	Admission to PhD is based on the Regulation developed by the Research Committee. The Master's degree diploma in the respective field of studies serves as the basis for admission	
<b>III. Recognition of studies:</b> • Of study periods performed abroad at Bachelor, Master, Doctoral level;	Article 50 of the Law on Education states that the results of studies partially achieved and certified in another country, in a local institution or another program of the same institution must be recognized. General recognition procedures are established by the Government / Ministry of Education [14] under which each institution develops its own Regulation on procedures for recognition of academic credits [18, 28].	
• Recognition of educational documents for the studies done abroad at Bachelor, Master, Doctoral level	Diplomas and qualifications acquired in EU and other countries are assessed and recognized under the rules set by the Government [14].	
<b>IV. Quality assurance, accreditation of study programs:</b> • Internal structures of quality assurance, student involvement in the process of quality assurance	<p>The Law on Education [1, article 41] defines that internal quality assurance is the responsibility of educational and / or research institutions which establish internal quality management structures. The institution shall inform stakeholders about the quality of education and research, organize systematic self-assessment.</p> <p>Universities determine independently: the policy, quality management strategy, and system structure. Responsible of quality assurance are: head of the QMS department, dean of the Faculty, head of the program [34]. An important role is given to students' participation in quality assurance process [30].</p>	It is not reflected the role of professional associations and relevant ministries
• Methodology, evaluation criteria, procedures (self-evaluation, external evaluation)	<p>Article 42 of the Law on Education defines that the external evaluation and accreditation of study programs is mandatory. Higher education institutions have the right to provide education only at externally assessed and accredited programs [1, article 42]. External evaluation is carried out by the Centre for Quality Assessment in Higher Education (Central Evaluation body) or another agency, indicated by MES, appearing in the EAQAHE Register. Accredited programs are included in the Register of accredited programs accessible to all stakeholders.</p> <p>The Ministry of Education and Research initiates every six years the external evaluation and accreditation of higher education and research institutions [1, article 43]. Evaluation is done on all fields indicated in</p>	It is interesting the methodology for the selection of experts for external evaluation committees, and also the criteria for evaluating research

	<p>the Statute of the institution and based on compliance criteria. External evaluation results are used for accreditation. If the results are negative, the institution is given two years to fix the situation, followed by further external evaluation. If repeated evaluation's results are not satisfactory, the Ministry of Education initiates proceedings to revoke the authorization or license of organization of studies.</p> <p>The methodology and assessment criteria descriptors are approved by the Government.</p>	
	<p>External evaluation of research institutions is carried out by the Research Committee of Lithuania. The respective descriptors are approved by the Government. Negative results of the evaluation lead to the closure or restructuring of the institution by Government Decision.</p> <p>The methodology, criteria and procedures for external evaluation are presented in [13], which are approved by MES's order. The methodology for the selection of experts for external evaluation committees is presented as a separate document.</p> <p>In Lithuania subsidiaries of foreign institutions operating in the country are also subject to evaluation and accreditation.</p>	
• Freedom in the choice of external quality assurance body	<p>External evaluation is carried out by the Centre for Quality Assessment or another agency, indicated by MES, appearing in the EAQAHE Register.</p>	
• Relationships / how does the accreditation body cooperate with the Ministry of Education in the accreditation process,	<p>The Centre for Quality Assessment in Higher Education is a budgetary organization created by MES, and the Regulation of the Centre is approved by MES. The basic objective of the Center is to encourage quality. The agency has a committee of 11 members appointed by the Seim on the recommendation of the Council of Higher Education of the Ministry of Education, Science and Culture Committee, Government etc. The Director is the sole manager and is elected by the Council for a term of 5 years [1, Article 17]. The accreditation of study programs, Institutions of Higher Education and Research is based on the findings of the external evaluation.</p> <p>New institutions are subject to accreditation no later than two years after their foundation. An additional external evaluation by the Centre will be submitted. The accreditation is followed by the recall of the functioning authorization (MES decides) or license revocation (non-state institutions).</p> <p>The accreditation process procedures are approved by the Government. Accredited study programs and institutions are listed in the Register which is made public.</p>	<p>The selection and appointment of the committee is a good practice that can be applied easily in RM.</p>

<p><b>V. National Qualification Framework:</b></p> <ul style="list-style-type: none"> <li>• The body responsible for the NQF in the country (functions, structure, relations with ME and universities)</li> </ul>	<p>In Lithuania the General Qualifications Framework is designed with 8 levels of qualifications, similar to the EQF, approved by GD Nr.535.4, 2010, in which there are determined criteria for each qualification level [5]. When comparing the descriptors of the national system with the EQF one, there has not been observed something very essential. NQFLIT determines / sets four levels that correspond broadly to the degrees / qualifications in higher education: 5 – corresponds to the professional Bachelor, offered by colleges, 6 – university Bachelor degree 7 – Master’s degree 8 – PhD degree. Descriptors for higher education levels are defined in detail in the three orders of the Ministry of Education:</p> <ul style="list-style-type: none"> <li>• Order 2212-2011 [7] sets higher education study cycles in Lithuania;</li> </ul>	
	<ul style="list-style-type: none"> <li>• Order 501 of 2010 [8] establishes general criteria for the first cycle and integrated studies;</li> <li>• Order 826 of 2010 [9] defines the specific descriptors for the second cycle, Master.</li> </ul>	
<ul style="list-style-type: none"> <li>• How do universities (ME, management bodies of HEIs) participate in the development of new qualifications</li> </ul>	<p>The general competences being established, the initiative to create new study programmes most often comes from the departments / institutes or program committees, which are formed freely. The Ministry and the Quality Assurance Centre engage at the stage of external evaluation and approval of operation of these programs.</p>	<p>It is not found the role of professional associations</p>
<ul style="list-style-type: none"> <li>• How are the NQF requirements reflected in the study programs (compulsory provisions, procedures, internal control, external evaluation)</li> </ul>	<p>Universities have to develop (design) study programs and the process of implementation so that competences determined by of the descriptors of the respective levels of education to be achieved by the student. The requirements specified above will serve as criteria and indicators (reference standards) at the final evaluation of studies, preparation of self-assessment reports and external evaluation for the accreditation of programs.</p>	
<ul style="list-style-type: none"> <li>• Educational standards (exist or not, if yes – how are they related to NQF)</li> </ul>	<p>Educational standards on fields are developed as an exception, such as specific requirements determined for the field of Law [6].</p>	

<p><b>VI. Employability</b> • Occupational framework (ISCO)</p>	<p>In the university the responsibility for working with graduates is attributed to the program team. A register of graduates is made (MEC Commission), out of which it will be possible to retrieve data on the employment of graduates, their jobs and salaries. Data taken from the database of the tax inspectorate are used, and the wage levels of graduates are estimated on the basis of the declared income.</p> <p>Lithuania faces the same problems as RM. Regulations and methodical materials have not been developed in Lithuania. Each team determines how to work with its alumni.</p>	<p>A unique catalog of graduates in the country would be a solution for tracking graduates' career</p>
<p>• Differentiation by level of education. Place of Master and PhD</p>	<p>From discussions held with project partners from UMR we found that it would be good to determine positions that can be occupied by individuals with a level not lower than master. In Lithuania this fact is stipulated such as the Law on the jurisprudence [6]. In ISCO – 88 – are listed only the general requirements of specialties. The employer is free to choose between – college, Bachelor or Master graduates. There should be emphasized only areas with specific requirements, e.g. those related to human safety, environmental security etc.</p> <p>The right of becoming a specialist in construction design, for example, is granted only to those who have a master qualification plus special requirements.</p>	<p>To determine together with the Chamber of Commerce or Ministry of Labour the list of specialties for which it is necessary to impose strict requirements</p>
<p><b>VII. Content and implementation of the study program (organization of studies):</b> • Content elaboration/designing</p>	<p>Program content is developed by a program team (committee) formed usually at the initiative of teachers.</p> <p>Designing the content is based on transversal and professional competences, which must be achieved by the graduate during his/her studies.</p> <p>General requirements for program structure, distribution of credits between groups of university disciplines, specialized and practical training are specified in [8], document similar to the Framework Plan implemented in RM. A special role in the guidance process of the program, from design to implementation, is assigned to the Programme Committee [31].</p> <p>Requirements on the organization of studies, assessment of students, organization of internships, organization and realization of the final assessment are the responsibility of each institution and are defined by the internal normative acts [23, 25, 26, 28, 29].</p>	<p>To introduce the concept of program Team (Committee), its rights and responsibilities in the framework plan of RM.</p>
<p>• The distribution between university structures</p>	<p>In [1, art.47] the structure of the academic year is established: 2 semesters, summer vacation – 1 month. The university determines the beginning, end of the</p>	



	semester, holidays. The credit structure is determined for cycles I, II and Integrated Studies. Master programs have a duration of 90 ÷ 120 credits. Teachers from several institutes specializing in a particular field are involved in carrying out the program.	
• Internships	Programme without degrees – [1, art.47,9] 30 ÷ 120 credits. Art.48[1] establishes requirements for study programs offering degrees and doctoral degrees.	
• Final evaluation (exams, theses) on cycles	In [1, art.51] it is established that in the end a Diploma and the Diploma Supplement is provided. The College offers Certificate and Supplement and, in some cases, qualification certificate (internship). The procedures of offering degrees and manufacturing the diploma itself rests with the Government. The list of qualifications offered by the higher education institution is approved by the Government [15]. For programs that are not in the list – diplomas can be provided (individually) with government approval on the recommendation of ME.	It is applied a flexible autonomy, possible to be also used in the RM, to exclude the approval procedure by law.
<b>VIII. Teaching load of the didactic staff:</b> • Planning the teaching load	Lithuanian law does not establish specific rules and regulations on the didactic workload of teachers and institutions, by themselves, develop internal regulations for calculating and allocating the workload. Sharing functions of the state and university autonomy.	
• The distribution of teaching load	The annual workload of a teacher consists of 1,000 hours of didactic activities, 400 hours of research activities and 200 hours for other activities. Contact hours are included in those 1000 hours and are determined after a certain scale. At the University of Mykolas Romeris there were approved the following workloads: university professor – 180 hours, associate professor – 280 hours, university lecturer – 380 hours. It is accept internal part-time job of up to 1.5 time norms.	
• Accounting of the teaching and research load achievement	Remuneration: minimum and maximum norm is set. It is set the minimum wage – the first part and the second part is variable, which is based on the teacher's performance. Performance indicators: scientific research – by number of publications. Payment for research projects constitute a separate article. The money is divided among team members – very wide autonomy. Project funding is made by CSL Committee. Attention – the study voucher has 2 components: learning and research. The salary the teacher receives includes these 2 components. The proportion would be determined objectively: for academic work; for research. UMR set the constant part of 55%, and the variable one of 45%.	It is interesting but very complicated

<p><b>IX. University scientific research (organization):</b></p> <ul style="list-style-type: none"> <li>• University structures involved in the organization of scientific research</li> <li>• Involving students in the process of scientific research (incentive mechanisms / incentives for the parties ...)</li> </ul>	<p>Research institutes are state and non-state [1, art.10]. State institutions conduct long term research of social and economic development important to the state. The non-state institutions conduct research in an area that is defined by the founder. Objective – developing research relevant to the continuity and development of the national economy, culture, health and society. Art.11 [1] establish the rights and duties of research institutions. The foundation of research institutions and their liquidation is done by GD [1,art. 34]. Article 12 [1] refers to the integration of higher education and research.</p>	<p>To examine more deeply other sources related to Article 12.</p>
<ul style="list-style-type: none"> <li>• Scientific research of teachers (achievement planning and control, the methodology of assessing the research activity ...)</li> </ul>	<p>Annual workload of teachers includes 400 hours of research per year. Two publications in the country or one publication in international journals. Other tasks, performed based on grants, can enter the 20% which are paid in addition to the basic salary. Money for basic research is included in the voucher.</p>	<p>The money provided by the state for research should be also distributed according to the number of students in our country.</p>
<ul style="list-style-type: none"> <li>• Research Master</li> </ul>	<p>In Lithuania there is the scientific master of 90 -120 ECTS, which is a starting point for doctoral studies.</p>	
<ul style="list-style-type: none"> <li>• Scientific research of teachers (achievement planning and control, the methodology of assessing the research activity ...)</li> </ul>	<p>In [1. Articles 15, 16] it is specified that the technology transfer park includes people who have the primary function to stimulate the communication of scientific knowledge and technological dissemination, creation of conditions for commercialization of research results.</p>	<p>Professional Master in RM could be treated as post-graduate studies</p>
<p>Integrated research, education and business centers</p>	<p>Integrated research, education and business centers are established by Government Decision [1. Article 16], the development of its program will be coordinated by a supervisory counselor approved by the institution.</p>	
<p><b>X. Doctorate (PhD types),</b></p> <ul style="list-style-type: none"> <li>• doctoral schools,</li> <li>• Post-doctorate,</li> <li>• Habilitate</li> </ul>	<p>The third cycle of higher education in Lithuania is doctorate [1, article 48], which is held in the fields of natural sciences, humanitarian sciences and arts. The purpose of doctoral studies in science and humanitarian sciences shall be to prepare scientists who would be able to independently conduct research and experimental (social, cultural) development work, and to solve scientific problems. The Ministry of Education and Science shall grant the right of doctoral studies to universities and universities together with research institutes conducting high-level research in conformity with a field of sciences and humanities, or universities together with foreign higher education and research institutions. The right shall be granted</p>	<p>It is interesting the organization of doctoral studies – the participation of research institutes in this process.</p>

	<p>on the basis of the evaluation, performed in accordance with the Regulations of Doctoral Studies, of a level of research in an appropriate field of sciences and humanities conducted by the institutes which apply for doctoral studies in the field of sciences and humanities. The Regulations of Doctoral Studies shall be approved by the Government on the recommendation of the Research Council of Lithuania. Persons who have defended their dissertation shall be awarded a Doctor of Science degree.</p> <p>In the field of arts, the purpose and organization of doctoral studies are specific, and differ substantially from other areas [1, art. 48,6]. At the moment, there is no document that determines the organization of doctoral schools.</p> <p>In Lithuania there is no other higher degree than the Doctor of Science or Arts.</p> <p>Who can be granted the right to supervise PhD students and based on what?</p> <p>Degree offered – Doctor of Science, Doctor of Arts.</p> <p>Doctor habilitate degree is not provided by law [1, art.48,6].</p> <p>PhD studies are organized in the fields of natural sciences, humanitarian sciences and arts [1, art.48,4,5].</p>	
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## Annex 6. Answers to questions concerning academic autonomy in Scotland

Stating the problem	Findings. Answers.
<b>I. Introduction / initiation and liquidation/termination of study programs:</b> • Types of higher education institutions. Types of programs offered by Higher Education Institutions (HEIs)	In Scotland and other parts of the UK there are three types of institutions in Higher Education: colleges, institutes and universities. Colleges offer bachelor degrees or certificates, universities offer bachelor and master programs and integrated programs. Specific for the UK is that the student can get a document of partial studies at intermediate stages: Higher Education Certificate (60 credits), HE Diploma (120 credits) and Bachelor certificate (150 credits). Bachelor's and master's degrees are offered having achieved a fixed number of credits (180/300) and defended the graduation paper / thesis. These university programs are continuous, moving from a cycle of study to another [5 ].
• Introduction of study programs at the Bachelor/ undergraduate level (initiation procedures, conception, obtaining the right to open a program, links with NQF)	The initiator of a new Bachelor program is the department in which they form a program committee, which discusses and then develops the program curricula. The program is discussed within the Department and then at the Academic Committee of the Faculty. Final approval – University Academic Council. A special role is assigned to professional associations, their opinion is required. [5]. Bachelor programs in colleges have a technical orientation and are usually completed with the passing of qualification examinations. Graduates obtain professional bachelor's degree [5].
• Introduction of study programs at the Master level	The normal entry requirement for a Master's degree is a good Bachelor's degree. College graduates with Bachelor certificates shall complete their studies up to a Bachelor degree during one year.
• Introduction of study programs at the PhD/doctoral level: – Awards provided – Termination of degrees (programs) – (who decides, procedures)	New doctoral programs usually occur as development of research programs. Doctoral programs are accessible to people with Master's degree in the field.
• Language of instruction at undergraduate level – (Whose is the decision, procedures for obtaining the right)	Studies are held in English. Just some college programs are organized in the national language of the Gauls (in Scotland there is a minority).
References	[1]. CHARTER of the University of Strathclyde 10.11.2010; [2]. STATUTES of the University of Strathclyde, 10 Nov 2010; [3]. REGULATIONS of the University of Strathclyde. 2013; [ 4]. ORDINANCES of the University of Strathclyde, 26.09.13, [5]. USG. General and Course Regulations for Degrees of Bachelor and Integrated Master 2013-14, 2013,

<p><b>II. Admission:</b></p> <ul style="list-style-type: none"> <li>• Admission quota of local students with grants from the government / own account</li> </ul>	<p>In Scotland there are established rules and limitations that apply to admission to higher education by a special Council at the level of Parliament. The Funding Council sets the share of admissions for each university and study program that can then be exceeded by no more than 10%.</p>
<ul style="list-style-type: none"> <li>• Procedures for admission to undergraduate / Bachelor cycle (educational documents, mark level, procedure)</li> </ul>	<p>For admission to universities and colleges in the UK to studies at cycle I is done centrally by a specialized body UCAS (Universities and Colleges Admissions Service) [5]. The Funding Council, subject to the Government, establishes the capacity of universities and universities determine admission requirements for candidate students (the level of grades at certain school subjects, work experience), specific admission requirements (tests, aptitude tests etc.). The candidate shall also submit a letter of motivation / rationale, bringing valuable arguments in support of admission application. The candidate may indicate in the application up to 4 universities. A special committee examines the dossiers and test results, which are passed within committees created by USCA, and determines which specialty and universities meet the conditions. The candidate decides which institution to enroll.</p> <p>In the UK studies cycle I are charged. Candidates who have passed the competition can ask for information concerning the non-promotion. Students from low-income families can apply for exemption from tax after the first year of they have good results in studies. All students may apply for loans (scholarships). The loan is given at the beginning of the next school year if the year is passed. Borrowed money is returned after employment and the achievement of the net salary of £ 2,000, but not more than 15 years. Professional orientation of students is done by institutions and UCAS in the form of open day fairs.</p> <p>In Scotland local (Scottish) students can get places paid from the state (local) budget at cycle I. Budgetary places are given to universities by performance criteria. Students from other parts of the UK pay the fee. The number of study places at specialties related to the public sector (teaching, law, medicine, dentistry etc.) is strictly limited. For other areas there are held negotiations, the basic criteria being the capacity of the university, the support for good quality.</p> <p>Students can be employed at work with a program of not more than 20 hours per week.</p>
<ul style="list-style-type: none"> <li>• Procedures for admission to the Master cycle. Admission quota of students. Admission procedures</li> </ul>	<p>Master studies are offered only on fee base. Master's students may also receive loans. Admission is organized by universities, which set their own rigors to each area or program. The University determines its admission capacity. Admission is based on graduation grades.</p>
<p><b>Admission of foreign students (non EU).</b> Admission quota of students. Admission procedures (are they similar or not to those for local students)</p>	<p>Matriculation in higher education of students from EU and other countries is based on a document of studies [5]. Particular attention is paid to the institution graduated and level of knowledge of English. Institutions organize recruitment companies in countries with potential candidates (Anglophone countries), special language courses (China, South Korea, Indonesia, Malaysia). Non EU students pay fees by 60% higher than UK citizens. At the UK level there are set general rules for immigration [4].</p>

<b>Admission to PhD studies</b>	<p>Doctoral studies are offered for an extra charge. Admission is organized / conducted by universities. Foreign students will pay a fee increased by 60%. At admission, the candidate shall submit a report in which it is argued the research topic. The share of foreign students in some areas exceeds 80%.</p> <p>The Research Committee of the Faculty deals with the admission of doctoral candidates. It examines the research topic and program proposed by the applicant, then the program is examined by the educational council of the faculty and is recommended to the rector for approval. The director of academic board, committee, decides who will be supervisors (one internal, the other one from the outside – from home or other institution). Supervisors are teachers.</p> <p>In [6] is an example of how to organize admission and subsequent stages of doctoral studies</p>
<b>References</b>	<ol style="list-style-type: none"> <li>1. USG. General and Course Regulations for Degrees of Bachelor and Integrated Master 2013-14, 2013,</li> <li>2. USG. University Admissions Policy, 2010;</li> <li>3. USG. Procedure for Admitting and Monitoring Students within the Points Based System (PBS) of Immigration 2009;</li> <li>4. USG. Policy on the United Kingdom Border Agency (UKBA) Points Based System of Immigration: Tier 4, 2014</li> <li>5. The UCAS admissions system. <a href="http://www.ucas.ac.uk/education">www.ucas.ac.uk/education</a></li> </ol>
<b>III. Recognition of studies:</b> <b>• Of study periods performed abroad</b> at Bachelor, Master, Doctoral level;	<p>Studies done in mobility programs are recognized under trilateral agreements between student, University of origin and the host University. In [2] there are mentioned rules of migration from one program to another and from one form of study to another in the university. The Quality Code [1] defines legal documents the HEI must have for the evaluation process.</p>
<b>• Recognition of educational documents for the studies done abroad</b> at Bachelor, Master, Doctoral level (recognition bodies, procedures, conditions)	<p>Recognition of educational documents obtained outside the UK is made by the National Recognition Center (NARIC) [3]. Services provided: recognition of diplomas for access to studies and professions; recognition and equivalence of information. Inside universities the Education Committee is dealing with these problems [2].</p>
<b>References</b>	<ol style="list-style-type: none"> <li>[1]. UK Quality Code for Higher Education. Parts A, B:</li> <li>[2]. USG. General and Course Regulations for Degrees of Bachelor and Integrated Master 2013-14, 2013,</li> <li>[3]. National Recognition Information Centre (NARIC), ECCTIS Ltd. <a href="http://www.naric.org.com">http://www.naric.org.com</a></li> </ol>
<b>IV. Quality assurance, accreditation of study programs:</b> <b>• Internal structures of quality assurance, student involvement in the process of quality assurance</b>	<p>Responsible for quality assurance in the university is the Quality Assurance Committee [37. Art. 1.3.12]. The Committee is composed of persons responsible for education (vice-rector, four vice-deans, three personnel / auxiliary staff, two students, faculty managers, head of department, responsible for the strategy of studies and quality improvement). At faculties / schools responsibility for quality assurance lies with the faculty council, heads of departments and program directors.</p>



	<p>Quality Assurance Committee is responsible for:</p> <p>(a) monitoring and reporting on student progress and retention;</p> <p>(b) monitoring External Examiner's reports and Department Answers to ensure that appropriate measures are taken and to inform policy development ;</p> <p>(c) monitoring and reporting on the Faculty Annual Reports on Quality;</p> <p>(d) monitoring reviews / analyses of departments regarding learning, teaching and assessment and the experience of students and dissemination of results to competent committees and individuals;</p> <p>(e) consideration of issues arising in the course's approval and review;</p> <p>(f) monitoring and reporting on general issues arising from student discipline, appeals and complaints;</p> <p>(g) advising on business processes and templates that support annual and cyclical quality assurance procedures of the University;</p> <p>(h) reporting regularly to the Committee of Education Strategy, in order to inform the development of policies and strategies for appropriate learning, teaching and assessment of the University.</p> <p>Institutions shall have their own quality assurance code [3].</p>
<p>• Methodology, evaluation criteria, procedures (self-evaluation, external evaluation)</p>	<p>External evaluation methodology, procedures and evaluation criteria are described very explicitly in the Quality Code [1]. Each quality criterion contains detailed and explicit instructions on regulatory documentation that the institution must have and which it should present to evaluators. The Code is an integrated document that meets the basic requirements for all stages of a life cycle of the university training process.</p> <p>The Code contains three parts: A, B and C: Part A defines the qualifications framework; Part B – learning outcomes, criteria for quality assurance and enhancement (11 subchapters in each of which a key aspect of the educational process is reflected); part C contains information about the prospects of higher education.</p> <p>The outcomes in each chapter are accompanied by a series of indicators that reflect profoundly the practice that each higher education provider will be able to demonstrate with regards to meeting relevant outcomes. Indicators are defined not to be used as a checklist, they have been identified to help providers to develop their own regulations, procedures and practices to demonstrate that the prescriptions of the Quality Code are satisfied / met. Each indicator is accompanied by an explanatory note with more information about it, as well as examples of how the indicator can be interpreted and applied in practice.</p>
<p>• Freedom in the choice of external quality assurance body</p>	<p>External evaluation is the responsibility of the UK's QAA [1,3]. The Quality Code is valid throughout the UK and the UK suppliers operating abroad. It protects the interests of all students who study full-time and part-time at the undergraduate or postgraduate cycle.</p>
	<p>The control of higher education providers is conducted by the Quality Assurance Agency for Higher Education (QAA) which is a unique agency in the UK which requires to satisfy all the expectations of partners. The Review / Evaluation Commission of QAA controls whether these expectations/outcomes are met.</p>

<ul style="list-style-type: none"> <li>• Relationships / how does the accreditation body co-operate with the Ministry of Education in the accreditation process</li> </ul>	<p>The results of external evaluations are made public, and are submitted to the Board of Financing.</p>
References	<p>[1]. UK Quality Code for Higher Education. Part B: Assuring and enhancing academic quality. QAAHE, 2012</p> <p>[2]. Regulations of the University of Strathclyde. 2013, (cap. 1.3)</p> <p>[3]. Code of practice for the assurance of academic quality and standards in higher education: Postgraduate research programmes. QAA, 2004.</p>
<p><b>V. National Qualification Framework:</b></p> <p>The body responsible for the NQF in the country (functions, structure, relations with ME and universities)</p>	<p>In [1] is presented the general structure of the UK Qualifications Framework, which is distinct for Scotland and other parts of the UK. Cadrul Scotlandn al Creditelor și Calificărilor este stabilit în comun de:</p> <p>The Scottish Credit and Qualifications Framework (SCQF) was developed by the Scottish Qualifications Authority (SQA) jointly with the Council of Rectors (Universities) in Scotland, Quality Assurance Agency for Higher Education (QAA), by his Scottish office, Executive Scottish Enterprise and the Department of Lifelong Learning (SEELLD) and the Scottish Executive Education Department (SEED). SQA is a statutory accreditation and awarding body in Scotland for the qualifications delivered in schools, colleges, training centers, and workplaces in Scotland. SQA provides qualifications at most levels in the SCQF. These include national units, courses, and certificates from levels 1-7, HNC and HND at levels 7 and 8, and SVQ at levels 4 -11 [31]. Although it is self-funded, SQA is accountable to the Government and people of Scotland for the credibility, reliability and value of its qualifications. Its key functions are to maintain the quality of set qualifications and develop new ones where needed. It does this in partnership with people in education, industry, commerce and government to develop qualifications relevant to the needs of individuals, society and the economy.</p> <p>The Scottish Credit and Qualifications Framework (SCQF) was created by bringing together all the main Scottish qualifications in a unified framework: qualifications of SQA higher education institutions and SVQ vocational institutions [16]. There are 12 levels – from Access 1 (National Qualifications) at SCQF level 1 up to Doctorate at SCQF level 12 [31]. Higher education with a degree of Bachelor, Bachelor with Honours degree, master’s degree and doctorate (with respective degrees) correspond to levels 9, 10, 11, 12 (equivalent to 6, 7, 8 of the EQF).</p> <p>The Scottish Framework was extended to 12 levels to reflect lower qualifications obtained in the early stages of higher education: levels 7, 8 correspond respectively to higher education certificates (equivalent to a full year of study), higher education diploma (equivalent to two years of studies), and bachelor studies (with certificate). Qualification levels are described in terms of learning outcomes (as discriptori)</p>

	<p>and also in terms of Scottish credits / SCOTCAT points (table of descriptors in [31]).</p> <p>Scottish credits (SCOTCAT points) are determined based on the amount of time an „average” student at a specified level might expect to have to obtain results. A SCQF credit represents the learning outcomes achieved during 10 notional hours of learning time.</p> <p>SCQF also provides awarding qualifications based on practical experience gained at the workplace on the basis of continuing training courses of the respective level.</p>
How do universities (ME, management bodies of HEIs) participate in the development of new qualifications	When drafting a new study program it is based on the general requirements of the qualifications framework [16]. When approving its deployment (financing), the external evaluation and accreditation of programs checks whether the learning outcomes of this program meet the educational standards prescribed by the Quality Code. A special role in this process lies with professional organizations. Particular emphasis is given to the flexibility of qualifications’ system.
How are the NQF requirements reflected in the study programs (compulsory provisions, procedures, internal control, external evaluation)	Study programs are developed based on the learning outcomes, which must correspond to general requirements reflected in the descriptors of the respective levels of qualification. The descriptors in question are also used as standard requirements / indicators used in external evaluation of programs [16].
Educational standards (exist or not, if yes – how are they related to NQF)	Educational standards are developed by each institution on the basis of criteria and indicators outlined in the Quality Code.
ECTS in Scotland	A full year of full-time education usually consists of approximately 1,200 hours of learning activity. The results obtained are therefore valued / marked with 120 SCOTCAT points. Higher National and Higher Education Certificates, for example, correspond to the learning outcomes rated with 120 points, which are usually obtained in one year of full-time studies. No rigid time connection is involved in this system. This is very important for the development of part-time and distance education. As with the allocation of levels, comparisons with major SCQF qualifications are also important.
References	<p>[1].UK Quality Code for Higher Education.2013</p> <p>[2]. An Introduction to The Scottish Credit and Qualifications Framework, 2001 [31]</p> <p>[3]. The framework for qualifications of higher education institutions in Scotland, 2001</p> <p>[4]. UK Quality Code for Higher Education. Part A: Setting and maintaining threshold academic standards. Chapter A1: The national level. QAA, 2011</p>
<b>VI. Employability</b> • Occupational framework (ISCO)	

• Differentiation by level of education. Place of Master and PhD	Everything depends on the the employer. Prescriptions are made only for positions / specialties / public servants (medicine, law, other public servants).
Working with graduates	<p>In the UK particular attention is given to the work with graduates. At universities (particularly at SUG) there are created special structures for these activities, the <i>Office for Development of Relationships with Graduates</i> (alumni). The main aim of the Office is to develop long-term relationships with individuals and organizations where graduates work, relationships that have the purpose of fundraising, information about university of graduates and operation with databases of graduates.</p> <p>Fundraising activities are directed through the <i>Alumni Fund</i> to priority areas: Teaching and Learning – refers to the development of the library, improving the experience of students – extra curricular and social events, offering scholarships.</p> <p>Office activity is divided into groups of alumni which are organized in cities in the UK and other countries. The groups are structured by goals: fundraising events – concerts, commemorative dates with fundraising; recruitment events – organizing meetings of pupils with alumni who have successstories, joint alumni events etc.; entrepreneurial events – support through the Alumni network for young entrepreneurs – graduate already affirmed in business helps the beginner graduate.</p> <p>The office is organized centrally by the management of the University. At the college level there are individuals who coordinate the activity with the graduates of the faculty concerned.</p>
References	[5] Presentation of Mrs. <b>Suzanne Tinning</b> , Graduates Relations Officer (Groups and Networks) Alumni and Development
<b>VII. Content and implementation of the study program (organization of studies):</b> • Content elaboration/designing	<p>The design, approval and implementation of programs is carried out in accordance with the rules set on the Quality Code [1, Ch. B1]. The program team draws up the program within the department and, as a rule, relies on the results acquired in scientific research. Chapters B2-B7 of the Code treat various aspects of program's deployment. Chapter B8 examines the mechanisms that higher education service provider relies on to enhance the quality of the implemented program. Also, here are examined mechanisms of closing / liquidation of a program. These rules shall apply concurrently with the general rules „Setting and Maintaining Academic Standards”, set out in Part A of the Code.</p>
• The distribution between university structures	The program team usually includes people from several departments and outside the institution.
• Final evaluation (exams, theses) on cycles	Programs are completed differently [2]. The gradual ones end with the public defence of a work/thesis. If non-gradual programs, certificate or diploma is issued based on credits earned under the rules set by the program.

References	<p>[1].UK Quality Code for Higher Education. Part B: Assuring and enhancing academic quality. Chapter B1. Programme design, development and approval, B3: Learning and teaching, QAA, 2013</p> <p>[2]. University of Strathclyde Calendar 2012-13</p>
<b>VIII. Teaching load of the didactic staff:</b> <ul style="list-style-type: none"> <li>• Planning the teaching load</li> </ul>	The teaching load and workload of teachers: 110 of direct contact hours with students and 560 hours for consulting. They constitute 40% of the annual volume of work. The remaining 60% are devoted to research – 40% and 20% for activities in the interest of the community. Total workload is 35 hours per week.
<ul style="list-style-type: none"> <li>• The distribution of teaching load</li> </ul>	The head of the department, the dean and other teachers holding a leading position have reduced teaching load, the salary remains intact. Each member of the department has certain public responsibilities within the department, faculty or university.
<ul style="list-style-type: none"> <li>• Accounting of the teaching and research load achievement</li> </ul>	The accounting of the academic task is based on the schedule. Scientific research is assessed primarily on the basis of publications of textbooks, monographs, articles in journals with impact-factor. The university establishes rules for different categories of teachers. Publications are rated with points depending on the category of the journal.
<b>IX. University scientific research (organization):</b> <ul style="list-style-type: none"> <li>• University structures involved in the organization of scientific research</li> </ul>	The research activity in the universities of Scotland (and the UK) is carried out by Universities Research Council (URC with 7 sub-committees on branches). Similar structures are found vertically: at college / school and department with identical roles. The management activity of committees is recognized in account of those 20% of tasks – for the benefit of society.
<ul style="list-style-type: none"> <li>• Involving students in the process of scientific research (incentive mechanisms / incentives for the parties</li> </ul>	The organization of scientific research, commercialization of its results, protection of intellectual property rights, knowledge transfer are described in detail in the presentations made during the visit in June 2013 at SUG.
<ul style="list-style-type: none"> <li>• Scientific research of teachers (achievement planning and control, the methodology of assessing the research activity</li> </ul>	From the annual charge of the teacher, 40% constitutes scientific research that is well accounted for in the research group. There are special software to follow the progress and appreciate the work of teams. Funding science from Scotland and UK funds is based on these results. [4,5].
<ul style="list-style-type: none"> <li>• Research Master</li> </ul>	All master's programs have research elements. Other types of MAs in Scotland are not used [7].
<ul style="list-style-type: none"> <li>• Financing of university research</li> </ul>	Universities are classified into three groups: historical, legalized in 1965, and those formed under the act of 1992. The funding mechanism for each group is different. UK's Research Committee divides finances based on the criterion „results achieved (Excellence criterion)“.

References	<p>[1].UK Quality Code for Higher Education. Part B: Assuring and enhancing academic quality. B11.Reaserch degrees, QAA, 2012</p> <p>[2]. <a href="http://www.rcuk.ac.uk">http://www.rcuk.ac.uk</a></p> <p>[3]. Pagina web a Universității din Strathclyde cu referire la Costul Economic Integral, <a href="http://www.strath.ac.uk/fec">www.strath.ac.uk/fec</a></p> <p>[4]. Metodologia TRAC/CEi a guvernului RU, <a href="http://www.hefce.ac.uk/whatwedo/lgm/trac/">http://www.hefce.ac.uk/whatwedo/lgm/trac/</a></p> <p>[5] Ghidul de finanțare al Consiliilor pentru Cercetare ale RU, <a href="http://www.epsrc.ac.uk/SiteCollectionDocuments/FundingGuide.pdf">http://www.epsrc.ac.uk/SiteCollectionDocuments/FundingGuide.pdf</a></p> <p>[6]. Divulgarea inovației și gestionarea proprietății intelectuale, EU-niAM TEMPUS, 25 mai 2013,</p> <p>[7]. UK Quality Code for Higher Education. Part A. Cadrul calificărilor</p>
<b>X. Doctorate (PhD types),</b> <ul style="list-style-type: none"> <li>• doctoral schools,</li> <li>• Post-doctorate,</li> <li>• Habilitate</li> </ul>	<p>In the UK the basic form of doctorate is integrated doctorate or doctorate in philosophy (PhD). The name can also contain the scientific area (medicine, psychology, engineering). The doctorate is regarded as research based studies. The minimum duration of the studies is usually equivalent to 3 years of full time studies. The studies may be organized remotely.</p> <p>Doctoral students' training takes place in doctoral schools organized by universities or doctoral centers [5,6].</p> <p>The state grants a certain number of budget places, but institutions may admit PhD students on tuition fee basis. As compensation to the fee can serve the employment of the doctoral student in teaching position. The PhD student is assigned a scholarship from the budget. What are the conditions?</p> <p>Doctoral studies are completed with the defending of the doctoral thesis – written work based on research results. As autonomous structures, higher education institutions themselves make decisions on qualifications and form of certificate.</p> <p>After 1990, the UK introduced a new type doctorate called professional and practice-based (or practitioner) doctorates (eg PhD in engineering – EngD), which is intended for specialists trained in a particular branch of the economy who develop applied research for the company which shall bear the expenses related to studies and research.</p> <p>Comprehensive information about doctoral programs in the UK, goals, structure, content, titles and assessment methods can be found in [1,5,6]</p> <p>In the the UK and Scotland [5] a higher Ph.D. degree is set (<i>Higher Doctorate</i>), which follows after the PhD or another similar degree, is offered to individuals for valuable research or publications. The title is given to persons in education, based on published works, who don't have a distinct position in the qualifications and is considered honorific title. <i>Individual institutions' regulations specify a limited range of titles for higher doctorates, which can be awarded either for a substantial body of published original research of distinction over a significant period or as an 'honorary' degree, to recognise an individual's contribution to a particular field of knowledge</i></p>



	<p>Graduate schools were introduced to provide coherent research skills training and support for postgraduates; some combine taught and research postgraduates, others are solely for research candidates. The structure and coherence of the graduate school structure, whether single-subject, at faculty or school level, or as an institutional phenomenon (single institution or as part of a collaboration), also helps to encourage timely progress and completion and to provide postgraduates with a peer group network. Graduate schools may have a geographical location or may be virtual, with postgraduates from multiple institutions sometimes being part of a collaborative and possibly interdisciplinary graduate school.</p> <p>During the twenty-first century another feature of doctoral education has been introduced, primarily initiated by the UK research councils, who have begun to focus their support through various forms of partnerships for doctoral training. Most are commonly known as doctoral training centres (DTCs). Most DTCs are organised in a similar way to graduate schools and although established initially for the benefit of research council funded doctoral candidates, are often extended to all research postgraduates studying in the relevant subject area, as long as resources permit. DTCs are often multi or interdisciplinary and reflect some of the major research themes supported by their respective research councils. They are seen by many as a model of effective practice in providing research methods and skills training for early career researchers. Universities are still in the process of integrating the DTC model with their existing governance and structures, and in many cases reporting lines and management, together with the DTCs' relationship with any existing graduate school(s) are still to be decided upon.</p> <p>A residual concern for some is the potential creation of a 'two-tier' system for</p> <p>postgraduate training, with some doctoral candidates being part of a DTC and others not. Further information about doctoral training centres can be found on the individual research councils' websites, accessed from the Research Councils UK home pages.</p> <p>Many institutions award the PhD/DPhil 'by publication' or 'by published work' which may then be reflected in the title (PhD by Publication, or by Published Work). Institutions have different eligibility requirements for this degree, which is awarded infrequently [5].</p> <p>Each institution organizing doctoral programs develops its own regulations based on quality criteria shown in [1], for example see USG regulations [45].</p> <p>Methods of financing doctoral studies are very diverse, ranging from case to case. Most often they are paid by the PhD student, from sponsorship or from funds allocated for research, grants [6].</p> <p>Ph.D. degree is offered by the University, which issues the diploma without any approval from any higher authority.</p>
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	<p>Thesis defending procedure is quite simple and is based on the authority and responsibility of the supervisor, faculty research council (2 persons) and two experts who review the thesis. Supervisors are not present at thesis defending. The degree is confirmed at the Academic Board.</p> <p>[6] The U[5] Doctoral degree characteristics, QAA, 2011          [21] Code of practice for the assurance of academic quality and standards in higher education: Postgraduate research programmes. QAA, 2004.          [1]. UK Quality Code HE, part. B11, 2013          [45]. University of Strathclyde Calendar 2012-13, part 3          6. Postgraduate research code of practice, january 2012, <a href="http://www.northumbria.ac.uk">http://www.northumbria.ac.uk</a></p>
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## Annex 7. Answers to questions concerning academic autonomy in Sweden

Stating the problem	Findings, answers
<p><b>I. Introduction / initiation and liquidation/ termination of study programs:</b></p> <p>Types of higher education institutions. Types of programs offered by Higher Education Institutions (HEIs)</p>	<p>In Sweden, overall responsibility for higher education and research rests with the Riksdag (Swedish Parliament) and the government. They decide on the regulations that are applied in the higher-education area. They also determine objectives, guidelines and the allocation of resources for the area. All higher education is offered by public-sector higher education institutions or by independent education providers that have been granted degree-awarding powers by the government. The Swedish Parliament decides which public-sector HEIs are to exist. The government can decide whether an HEI may use the title of university. (ref. National Qualifications Framework, Published by the Swedish National Agency for Higher Education 2011)</p> <p>Higher education institution shall refer to universities and university colleges, for which the accountable authority is the Government, a municipality or a county council (ref. The Swedish Higher Education Act, 17 December 1992, Ch. 1, Sec. 1; The Higher Education Ordinance, 4 February 1993, Ch. 1, Sec. 2).</p> <p>Thus, in Sweden there are 24 public HEIs (accountable to the government) and 3 independent HEIs entitled to offer degrees for cycle I, II and III and there are 10 public HEIs (accountable to the government) and 10 independent HEIs entitled to offer degrees for cycle I and II. (ref. Higher Education in Sweden, 2013 Status Report, by Swedish Higher Education Authority)</p> <p>Higher education institutions provide: <i>courses and study programmes</i> based on scholarship or artistic practice and on proven experience, and research and artistic research and development as well as other forms of development activities (ref. The Swedish Higher Education Act, 17 December 1992, Ch. 1, Sec. 2).</p> <p>Courses and study programmes shall be provided at:</p> <ul style="list-style-type: none"> <li>– first cycle</li> <li>– second cycle, and</li> <li>– third cycle. (ref. The Swedish Higher Education Act, 17 December 1992, Ch. 1, Sec. 7)</li> </ul> <p>Municipalities and county councils may establish higher education institutions only with the consent of the Government. This consent may be restricted to first-cycle courses and study programmes. (ref. The Swedish Higher Education Act, 17 December 1992, Ch. 1, Sec. 10)</p> <p>The Swedish National Agency for Higher Education (now Swedish Higher Education Authority) decides on permission to award qualifications:</p> <ul style="list-style-type: none"> <li>– in the third cycle at higher education institutions that are not universities, and</li> <li>– in the first and second cycle at universities and higher education institutions.</li> </ul> <p>The Government issues regulations on the qualifications that may be awarded at Swedish University of Agricultural Sciences and Swedish National Defence College. (ref. The Swedish Higher Education Act, 17 December 1992, Ch. 1, Sec. 12).</p>

<ul style="list-style-type: none"> <li>• Introduction of study programs at the Bachelor/undergraduate level (initiation procedures, conception, obtaining the right to open a program, links with NQF</li> </ul>	<p>The central regulations that govern the way in which HEIs operate are contained in the Higher Education Ordinance, which is laid down by the government.</p> <p>Within the framework of the regulations and parameters determined by the Swedish Parliament and the government, HEIs enjoy great freedom to decide how to organise their operations, use their resources and conduct their courses and programmes. (ref. National Qualifications Framework, Published by the Swedish National Agency for Higher Education 2011; ref. Higher Education in Sweden, 2013 Status Report, by Swedish Higher Education Authority)</p> <p>The system is based on the principle of management by objectives. (ref. Higher Education in Sweden, 2013 Status Report, by Swedish Higher Education Authority)</p> <p>The State / Government does not decide on the initiation of new programmes of study. This is done at the university level. At the Government level trends are only discussed (based on statistical data), they are made public and are presented to the community and at the university level these trends are discussed and it is decided on the initiation of new programmes of study.</p> <p>The schools and/or professional organizations are usually the initiators of new study programmes, sometimes it is upon the presidents suggestion. Subject areas are not directly mapped to KTH organization, there are overlaps between schools and there are existing programmes where more than one school provides courses. Same procedure as for all programmes, application is discussed in the educational committee, approved (or not) by the faculty board and final decision is made by the president.</p> <p>According to the Swedish Higher Education Ordinance (1993:100) Chapter 6, Sec. 14-15, there must be a course syllabus for first and second cycle courses. First cycle courses are established by the Head of School following consultation with other schools concerned. A decision on the establishment of a course is made at the school the course is to be held. The continuing education courses offered are decided by the Vice-Dean of faculty following preparation by the Head of School and in the university administration. The director of undergraduate and master studies is responsible for the preparatory measures on the establishment of courses. A special form must be completed in order for a course to be formally set up. (ref. Establishment of courses at first- and second cycle at KTH, Internal instruction no. 27/05, Applicable from 01-07-2007, Changed from 01-01-2008)</p> <p>All first and second-cycle study programmes shall be offered in the form of courses. Courses may be combined to create study programmes. A course shall have a course syllabus.</p> <p>The course syllabus shall indicate the following: the cycle in which the course is given, the number of credits, objectives, specific entry requirements, how student performance is assessed and any other regulations required. A study programme shall have a programme syllabus. The programme syllabus shall indicate the following: the courses that the study programme comprises, specific entry requirements and other regulations required. (ref. The Higher Education Ordinance, 4 February 1993, Ch. 6, Sec. 13-17)</p>
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	<p>At KTH – Application and running of programmes:</p> <ul style="list-style-type: none"> <li>– Schools apply for new programmes</li> <li>– The President may give out assignment to a school to develop a new programme</li> <li>– The application is handled by the Education Committee and thereafter by the Faculty Council</li> <li>– The President decides to establish programme (or not)</li> <li>– Dean of school determines the study-plan for the programme</li> <li>– The President decides number of students to be admitted to each programme</li> </ul> <p>Establishment of courses:</p> <ul style="list-style-type: none"> <li>– Departments/units apply for new courses</li> <li>– The application is handled within the school(s)</li> <li>– Decision to establish a course is made by the Dean of school</li> </ul> <p>Dean of school also:</p> <ul style="list-style-type: none"> <li>– determines the syllabus</li> <li>– appoints examiner</li> </ul> <p>No accreditation process is required when launching a new study program. As a university KTH can make its own decisions in establishing programmes on second level due to the fact that KTH is granted examinations rights for the third level.</p> <p>University colleges must apply when introducing programmes on second cycle in subject areas where they previously haven't been granted examination rights for third-cycle education. Swedish Higher Education Authority will scrutinize the application looking for teaching capacity, teacher's qualifications, research in the subject area and so on.</p>
• Introduction of study programs at the Master level	<p>Given that in Sweden cycle I and cycle II form a whole process and are offered as integrated studies (<i>undergraduate studies</i>), the same rules apply when it comes to initiating or liquidation of study programmess.</p>
<p>• Introduction of study programs at the PhD/doc-toral level:</p> <ul style="list-style-type: none"> <li>– Awards provided</li> <li>– Termination of degrees (programs) – (who decides, procedures)</li> </ul>	<p>A university or higher education institution entitled to award third-cycle qualifications shall determine the subjects in which third-cycle courses and programmes may be offered. For each subject in which third-cycle courses or study programmes are offered a general study syllabus is required. A general study syllabus shall indicate the following: the main content of the study programme, specific entry requirements and any other regulations required. (ref. The Higher Education Ordinance, 4 February 1993, Ch. 6, Sec. 25-27).</p> <p>Third-cycle qualifications (ref. Higher Education in Sweden, 2013 Status Report, by Swedish Higher Education Authority; <a href="http://www.doktorandhandboken.nu">http://www.doktorandhandboken.nu</a>):</p> <ul style="list-style-type: none"> <li>– Completion of doctoral studies leads to the award of a doctoral degree – the most advanced degree awarded in Sweden.</li> </ul> <p>Third-cycle programmes can lead to the award of the following degrees:</p> <p>General qualifications:</p> <ul style="list-style-type: none"> <li>– A licentiate degree, 120 higher education credits</li> <li>– A doctoral degree, 240 higher education credits</li> </ul>

	Qualifications in fine, applied and performing arts: – A Degree of Licentiate of Fine Arts, 120 higher education credits – A Degree of Doctor of Fine Arts, 240 higher education credits
	It is possible, therefore, to be admitted to a third-cycle programme even if this is intended to lead only to the award of a licentiate degree.
• Language of instruction at undergraduate level – (Whose is the decision, procedures for obtaining the right)	The medium of instruction for the undergraduate and graduate level courses is Swedish. However, the master's degree programs and the PhD level programs usually use English as a medium of instruction. A growing number of bachelor's courses have been made available in English in order to make them more accessible, but for the most part, programmes require a very good command of written and spoken Swedish. Most courses at the bachelor's level offered in English are intended for exchange students. If free movers are admitted, they must meet all the normal requirements with regard to previous university studies and knowledge of English. Universities will normally require verification of language proficiency in the form of an international proficiency test certificate. (ref. <a href="http://www.studyinsweden.se">www.studyinsweden.se</a> )
<b>Nota Bene</b>	From 1 January 2013, the Swedish National Agency for Higher Education has ceased to exist as a public authority. Its operations have been transferred to two new public authorities: – the Swedish Higher Education Authority – has got the role to look after the Swedish universities and university colleges, and evaluate the quality of higher education and the right to issue exams. – the Swedish Council for Higher Education – has a role to play regarding admissions, applications for studies etc., and is also in charge of international collaboration.
<b>References</b>	1. The Swedish Higher Education Act, 17 December 1992 2. The Higher Education Ordinance, 4 February 1993 3. National Qualifications Framework, Published by the Swedish National Agency for Higher Education 2011 4. Higher Education in Sweden, 2013 Status Report, by Swedish Higher Education Authority 5. Establishment of courses at first – and second cycle at KTH, Internal instruction no. 27/05, Applicable from 01-07-2007, Changed from 01-01-2008 6. <a href="http://www.doktorandhandboken.nu">http://www.doktorandhandboken.nu</a> 7. <a href="http://www.studyinsweden.se">www.studyinsweden.se</a>
<b>II. Admission:</b> • Admission quota of local students with grants from the government / own account	National admission regulations to first, second and third-cycle courses and programmes are laid down in the Higher Education Act, the Higher Education Ordinance and the regulations issued by the Swedish Higher Education Authority. (ref. National Qualifications Framework, Published by the Swedish National Agency for Higher Education in May 2011)
• Procedures for admission to undergraduate / Bachelor cycle (educational documents, mark level, procedure)	Specific prior knowledge is required for admission to higher education. Those who have the required knowledge qualify for entry. Entry requirements can be either general or specific. The general entry requirements apply to all courses and programmes in higher education; specific (additional) entry requirements can be found on the website of each



	<p>higher education institution (<a href="http://www.studyinsweden.se/Universities/">http://www.studyinsweden.se/Universities/</a>). All first-cycle courses and programmes, apart from those that lead to the award of a qualification in the fine, applied and performing arts, use more or less the same selection criteria. These are based mainly on school-leaving grades or results from the Swedish Scholastic Aptitude Test. (ref. The Higher Education Ordinance, 4 February 1993)</p>
	<p>The Government has decided that the Swedish Council for Higher Education is to issue further regulations regarding admission, for example concerning applicants with foreign grades. The vast majority of admissions are pooled. The Swedish Council for Higher Education is responsible for pooled admissions on behalf of the HEIs (which means that students can apply for courses and programmes at all universities on the same application) (ref. <a href="http://www.universityadmissions.se">www.universityadmissions.se</a>), but the individual HEIs decide on the admission of students. An appeal may be made to the Higher Education Appeals Board against a HEI's admission decision regarding eligibility but not regarding selection. (Higher Education in Sweden, 2013 Status Report; The Higher Education Ordinance, 4 February 1993, Ch. 7)</p> <p><i>Tuition fees</i></p> <p>For a long time Sweden was one of the few countries in Europe in which higher education was completely free of charge for both Swedish students and those from other countries. In June 2010 the Riksdag (Swedish Parliament) enacted a provision in the Higher Education Act that means that higher education is free for Swedish citizens and for citizens of the EU/EEA countries and Switzerland. Citizens of other countries, "third country students", have to pay an application fee and tuition fees for first and second-cycle higher education courses and programmes starting from the autumn semester of 2011. The HEIs are required to charge tuition fees that cover their costs in full for these students. (Higher Education in Sweden, 2013 Status Report)</p>
<ul style="list-style-type: none"> <li>• Procedures for admission to the Master cycle. Admission quota of students. Admission procedures.</li> <li>• Procedures for admission to the Doctorate cycle</li> </ul>	<p>According to The Higher Education Ordinance, 4 February 1993, <i>admission to the second cycle</i> is based on general and specific admission requirements.</p> <p>A person meets the general entry requirements for courses or study programmes that lead to the award of a second-cycle qualification if he or she:</p> <ul style="list-style-type: none"> <li>– possesses a first-cycle qualification comprising at least 180 credits or a corresponding qualification from abroad, or</li> <li>– by virtue of courses and study programmes in Sweden or abroad, practical experience or some other circumstance has the aptitude to benefit from the course or study programme.</li> </ul> <p>The specific entry requirements laid down shall be essential for students to be able to benefit from the course or study programme. These requirements may comprise:</p> <ul style="list-style-type: none"> <li>– knowledge from one or more higher education courses, and</li> <li>– other conditions determined by the course or study programme or of significance for the professional or vocational area for which students are to be prepared.</li> </ul>

	<p>The higher education institution may decide which of the selection criteria are to be applied and how places are to be allocated. (ref. The Higher Education Ordinance, 4 February 1993)</p> <p>To be admitted to <i>doctoral studies</i>, you need to have completed courses for at least 240 credits, of which at least 60 credits must be for Master's level studies. In most cases, students will hold a Bachelor's degree and a Master's degree, with a major in the same subject as the intended postgraduate study.</p>
	<p>PhD studies are organised at the faculty level and the process for applying for PhD positions is specific to each faculty. There is no set application period for PhD positions. Some departments advertise their positions in spring, while others advertise on an ongoing basis, as and when positions arise. Admission to PhD positions is restricted and competition for advertised positions is usually tough. (ref. <a href="http://www.doktorandhandboken.nu/english">http://www.doktorandhandboken.nu/english</a>)</p> <p>The number of doctoral students admitted to third-cycle courses and study programmes may not exceed the number that can be offered supervision. A higher education institution may only admit applicants to third-cycle courses and study programmes who have been appointed to doctoral studentships or awarded doctoral grants.</p> <p>Decisions relating to admissions are made by the higher education institution. A person who wishes to be admitted to a third-cycle course or study programme shall apply within the time prescribed and in compliance with the procedures laid down by the higher education institution. When a higher education institution intends to admit one or several third-cycle students, information shall be provided by the higher education institution through advertising or some equivalent method.</p>
	<p>A higher education institution that has been entitled to award third-cycle qualifications within a field may permit a third-cycle student who has been admitted to some other university or some other higher education institution to transfer without a new admission process to the higher education institution and to continue his or her courses and study programmes and receive his or her qualification there.</p> <p>A person meets the general entry requirements for third-cycle courses and study programmes if he or she:</p> <ul style="list-style-type: none"> <li>– has been awarded a second-cycle qualification</li> <li>– has satisfied the requirements for courses comprising at least 240 credits of which at least 60 credits were awarded in the second-cycle, or</li> <li>– has acquired substantially equivalent knowledge in some other way in Sweden or abroad. (ref. The Higher Education Ordinance, 4 February 1993)</li> </ul>
Admission of foreign students (non EU). Admission quota of students. Admission procedures (are they similar or not to those for local students)	<p>The Bachelor's programmes are open to all students who have completed their upper secondary level schooling and who meet the specific admission requirements of the programme. (ref. <a href="http://www.universityadmissions.se">www.universityadmissions.se</a>)</p> <p><i>Bachelor's studies</i></p> <p>Most undergraduate (bachelor's level) students come to Sweden as</p>

	<p>exchange students; their home university has an exchange agreement with a Swedish institution, either as part of an EU exchange program or through a bilateral scheme.</p> <p>Opportunities for students to come to Sweden to study at the bachelor's level as degree students, or free movers — students who apply on an individual basis — are limited.</p> <p>The Bachelor's programmes are open to all students who have completed the largest exchange scheme is the Erasmus programme.</p> <p>There are a certain number of places and grants available at each host university. These are awarded after a selection process organised by the student's home university.</p>
	<p>It is necessary to have your grades translated into English or – at some universities – another major European language. Most universities and university colleges will accept translations by an authorised translator. The student should contact the institutions directly for their exact requirements.</p> <p>The general requirements are:</p> <ul style="list-style-type: none"> <li>– Completion of an upper-secondary school (high school) programme conferring eligibility for university studies in the same country and corresponding in level to the equivalent programme in Sweden.</li> <li>– Language proficiency in English and/or Swedish, depending on the language of study.</li> </ul> <p>Entrance requirements for a particular course or programme are established independently at each academic institution. These requirements vary and you will need to contact the institution directly for exact information.</p>
	<p>Admission to all bachelor's level education is limited. All study programmes and courses have a fixed number of places, which are usually exceeded by the number of applicants. Every university and university college has its own procedure for selecting among eligible applicants. The criteria applied include: grades obtained, results from previous courses, assessment of work samples, interview results, special admission tests and work experience. These criteria vary from university to university.</p> <p><i>Language requirements</i></p> <p>If you plan to study in English, you need to show that you have attained a level of written and oral proficiency equivalent to that acquired on completion of Swedish upper-secondary (high school) education. You will need to support your application with an international proficiency test certificate. The required score is decided by the individual university and may therefore vary.</p> <p>To apply for a bachelor's degree program or an individual course, you should use the online application system at <a href="http://Universityadmissions.se">Universityadmissions.se</a>, which processes your application. (ref. <a href="http://www.studyinsweden.se">http://www.studyinsweden.se</a>)</p> <p><i>Master's degree programmes</i></p> <p>Some 600 master's degree programmes at Swedish universities are taught entirely in English.</p>

	<p><i>General requirements</i></p> <p>Before applying, the candidate should have completed a course of study leading to a degree or diploma equivalent to 180 ECTS (three years of full-time bachelor's level studies). In most cases a bachelor's degree will be regarded as fulfilling this requirement.</p> <p><i>Language requirements</i></p> <p>For English-language programmes, it is necessary to have documented proficiency in English, for example in the form of TOEFL or IELTS test results.</p> <p>Universityadmissions.se is a central application service where the candidate can apply for up to four different master's programmes at different universities around Sweden with just one application. (ref. <a href="http://www.studyinsweden.se">http://www.studyinsweden.se</a>)</p>
	<p><i>Admission of foreign students to doctoral studies</i></p> <p>Foreign students enrolled as PhD students at their home universities can register for postgraduate courses and seminars in Sweden for a limited period, provided there is an exchange agreement or some other link between the Swedish institution and its foreign counterpart.</p> <p>Otherwise, admission to doctoral studies is restricted and universities and university colleges may only admit students who have funding for the entire study period. Many departments have no formal admission requirements with regard to Swedish language skills. However, it may be helpful to take some classes in Swedish.</p>
	<p>To be admitted to a postgraduate research position, a student must hold a university degree equivalent to a bachelor's degree or higher, with a major in the same subject as the intended field of study. In most cases a master's degree is required. The major must have included a degree thesis presenting the results of independent research.</p> <p>Foreign students wishing to study for a PhD in Sweden are advised to prepare with a master's degree in Sweden first, if a relevant programme is available in English. A Swedish master's degree is likely to improve a student's chances of being admitted to a PhD programme.</p> <p>Specific requirements are set for each subject. For information about these, you should contact the department you are interested in. An assessment will also be made of the applicant's suitability and his or her ability to complete doctoral studies. Students must also have a good command of English.</p> <p>In some cases, students will be advised to attend Swedish language courses parallel to their doctoral studies. (ref. <a href="http://www.doktorandhandboken.nu/english">http://www.doktorandhandboken.nu/english</a>)</p>
Formation of contingent	<p>Students shall be provided with study and career guidance. Higher education institutions shall ensure that those intending to begin a course or study programme have access to the information about it that is required. Higher education institutions shall also ensure that the admission regulations are available. The admission regulations comprise the regulations that apply at the higher education institution to applications, entry requirements, selection, and admission, as well as how decisions are made and how appeal can be made against them. (ref. The Higher Education Ordinance, 4 February 1993)</p>

<b>References</b>	<ol style="list-style-type: none"> <li>1. <b>Higher Education Act</b>, 17 December 1992</li> <li>2. <b>The Higher Education Ordinance</b>, 4 February 1993</li> <li>3. <b>Higher Education in Sweden, 2013 Status Report</b> – published by the Swedish Higher Education Authority.</li> <li>4. <b>National Qualifications Framework</b>, Published by the Swedish National Agency for Higher Education in May 2011</li> <li>5. <a href="http://www.studyinsweden.se">http://www.studyinsweden.se</a></li> <li>6. <a href="http://www.universityadmissions.se">www.universityadmissions.se</a></li> <li>7. <a href="http://www.doktorandhandboken.nu/english">http://www.doktorandhandboken.nu/english</a></li> </ol>
<b>III. Recognition of studies:</b> <b>• Of study periods performed abroad</b> at Bachelor, Master, Doctoral level;	<p>Recognition is a term that is often used in relation to the evaluation of qualifications so that they can be used in Sweden. There are two types of recognition:</p> <ul style="list-style-type: none"> <li>• professional recognition for use in the labour market</li> <li>• academic recognition to enable accreditation for the award of qualifications or admission to further studies and the transfer of credits from earlier studies – responsibility for the assessment of courses and programmes to enable credits to be transferred for the award of a qualification or for admission to further studies rests with the HEI offering the programme. (ref. National Qualifications Framework, Published by the Swedish National Agency for Higher Education in May 2011)</li> </ul> <p>The Swedish Council for Higher Education (former Swedish National Agency for Higher Education) acts as an expert body for the academic recognition of qualifications from higher education outside Sweden. (ref. <a href="http://www.uhr.se/en">http://www.uhr.se/en</a> (The Swedish Council for Higher Education))</p> <p>The Swedish Council for Higher Education evaluates most foreign higher education programmes. The Swedish Council for Higher Education compares undergraduate and postgraduate programmes from other countries with those provided in Sweden. The comparison is expressed in terms of Swedish degree levels. The evaluation does not involve any award of a Swedish degree. The evaluation is intended to serve as a recommendation for an employer. It can also serve as guidance for Swedish universities and higher educational institutions. All decisions regarding admissions and transfer of credits from prior learning abroad are made by the universities and higher educational institutions themselves. This is the case with both completed and uncompleted education programmes. Information is provided by study counselors at universities and higher education institutions. (ref. Recognition of Higher Education Qualifications from Abroad, by the Swedish National Agency for Higher Education (<a href="http://www.hsv.se">http://www.hsv.se</a>))</p>
<b>• Recognition of educational documents for the studies done abroad</b> at Bachelor, Master, Doctoral level (recognition bodies, procedures, conditions)	<p>There is no special recognition procedure for foreign students who want to study in Sweden. Their education and eligibility are assessed by the university or university college they apply to on the basis of the information given in their application and the attached documents. Their grades are translated, using set formulas, into the Swedish grading scale.</p> <p>If their academic transcripts are in any language other than a Scandinavian language, English, French or German, they will need to submit a copy of their transcript in the original language PLUS provide an</p>

	<p>authorised translation. The authorised translation can be in English, Swedish, French or German.</p> <p>Recognition of foreign degrees for purposes other than studies</p> <p>Recognition of general academic degrees is undertaken by the Swedish Higher Education Authority. The Authority is also the first point of contact for general EU directives on recognition of professional qualifications in the EU.</p> <p>If the person is living in Sweden and looking for work, a formal recognition of his/her foreign diplomas or degrees may be helpful. Recognition of foreign upper-secondary diplomas is done by the Swedish Council Higher Education. (ref. <a href="http://www.studyinsweden.se">http://www.studyinsweden.se</a>)</p>
<b>References</b>	<ol style="list-style-type: none"> <li>1. <b>National Qualifications Framework</b>, Published by the Swedish National Agency for Higher Education in May 2011</li> <li>2. <b>Recognition of Higher Education Qualifications from Abroad</b>, by the Swedish National Agency for Higher Education (<a href="http://www.hsv.se">http://www.hsv.se</a>)</li> <li>3. <a href="http://www.uhr.se/en">http://www.uhr.se/en</a> (The Swedish Council for Higher Education)</li> <li>4. <a href="http://www.studyinsweden.se">http://www.studyinsweden.se</a></li> </ol>
<p><b>IV. Quality assurance, accreditation of study programs:</b></p> <ul style="list-style-type: none"> <li>• Internal structures of quality assurance, student involvement in the process of quality assurance</li> </ul>	<p>Quality assurance procedures are the shared concern of staff and students at higher education institutions. (ref. The Swedish Higher Education Act, 17 December 1992).</p> <p>The Swedish quality-assurance system is based on the quality procedures of the universities and university colleges themselves. Within the framework of the regulations laid down by the Swedish Parliament and the government, they have a relatively large amount of freedom to organise their own quality assurance. However, each institution must determine targets that can be monitored, and then report to the government about the quality-assurance measures to which it assigns priority and how these measures contribute to raising standards. (ref. National Qualifications Framework, Published by the Swedish National Agency for Higher Education in May 2011)</p> <p>The Government's proposals and considerations on quality in higher education are based on a policy directed towards increased autonomy for the higher education institutions. This has been developed in greater detail in the bill <i>An academy for today</i> (bill 2009/10:149). An important point of departure is that the higher education institutions shall themselves assume responsibility for the development of their operations.</p> <p>KTH example:</p> <p>QA Strategy:</p> <p><i>The quality process at KTH is to be based on the principle of continuous improvement</i></p> <p>Quality policy 2011-2015</p> <ul style="list-style-type: none"> <li>– Education</li> <li>– Research</li> <li>– Interaction with the wider community</li> <li>– Staff recruitment and professional development</li> </ul> <p>Action plan to the quality policy</p> <ul style="list-style-type: none"> <li>– Sets out priorities and activities for each year</li> </ul>



	<p>Annual quality report</p> <ul style="list-style-type: none"> <li>– Gives an overview of activities and results</li> </ul> <p>QA – roles and responsibilities:</p> <p><i>Responsibility for quality is to be carried by the individual student, teacher and employee in their daily actions</i></p> <p>Formal organisation</p> <ul style="list-style-type: none"> <li>– Faculty Council: academic responsibility for quality</li> <li>• Dean, Vice Dean</li> <li>– President, University Board</li> <li>– University Administration</li> <li>• Department of Strategic Planning and Resource Allocation: quality assurance support</li> <li>– KTH Schools</li> </ul>
	<ul style="list-style-type: none"> <li>• Director of Undergraduate and Masters' studies</li> <li>• Director of Doctoral studies</li> <li>• Programme Director</li> </ul> <p>External Advisory Group</p> <p>Networks</p> <p>The Faculty Council represents the entire faculty and acts as an advisory body to the President. The Council has overall responsibility for issues relating to the quality of education, research and community interaction. Within the university administration's there is a quality coordinator who coordinates efforts made before/during/after external (and internal) evaluation is carried out.</p> <p>The President has decided that course analyzes should be done for all courses at KTH (no exceptions are made). The course analysis is done by the course director. It should be based on an evaluation, discussion with students, talk with involved teachers and examiners, as well as own reflections. There are recommendations that course assessment should be completed within one month after the course and that the analysis is uploaded on the course web page. A summary of recent course analysis should be included in the course description. In addition, the course director at the first lecture of the course should outline the changes made to the course since the last time and what it was that caused them.</p> <p>In all courses, the students will get the chance to do a course evaluation. Most often this is done in the form of a student questionnaire filled out anonymously. The questionnaire can be designed by student representatives, or by the course instructor or preferably in consultation between them. It is the course director's responsibility that a course evaluation is carried out.</p> <p>The questions on the survey shall apply to all parts of the course (objectives, prerequisites, textbook, course content, teaching, examination). It is important that questions are asked on parts of the course that has not worked as well or as students may have specific comments on. It should be possible for the students to give general comments about the course at the end of the survey. A summary of results is included in the course analysis.</p> <p>Internal evaluation was carried out in 2012 (Education Assessment Exercise-EAE). Courses are internally analyzed every year.</p>

<p>• Methodology, evaluation criteria, procedures (self-evaluation, external evaluation)</p>	<p>National responsibility for evaluating and monitoring higher education in Sweden rests with the Swedish Higher Education Authority (SHEA). The overall aim of the Authority's evaluation procedures is to ensure the fundamental quality of courses and programmes. (ref. National Qualifications Framework, Published by the Swedish National Agency for Higher Education in May 2011)</p> <p>In general, authorization to provide a programme leading to a degree-level award in the first and second cycles ('degree-awarding powers') is granted by the SHEA (former Swedish National Agency for Higher Education) (with the authority of the Ministry) in the case of the public HEIs, and by the Ministry on the basis of the SHEA's advice in the case of independent HEIs. Degree-awarding powers in respect of the Swedish University of Agricultural Sciences and the National Defence</p>
	<p>College are in the gift of the Ministry direct. Authority's primary responsibilities for quality assurance in HEIs relate to the recognition of new programmes, and the periodic evaluation of recognised programmes. Both these activities are the responsibility of the Department of Quality Assurance in SHEA. (ref. Swedish National Agency for Higher Education: Review of ENQA Membership, April 2012)</p> <p>The system for the quality assurance of higher education comprises two components:</p> <p>Programme evaluation – The SHEA evaluates all first and second-cycle programmes. Evaluation of third-cycle programmes will start later. Courses and programmes have to be evaluated on the basis of how well they fulfil the requirements laid down in the Higher Education Act and the qualification descriptors in the statutes linked to the Act. In other words, the SHEA assesses to what extent the learning outcomes achieved by the students correspond to the intended learning outcomes.</p> <p>Appraisal of degree-awarding powers – Before a higher education programme can be started, entitlement to award a qualification is required. The SHEA awards degree-awarding powers to public-sector higher education institutions but can also revoke them if there are shortcomings in their courses and programmes. (ref. National Qualifications Framework, Published by the Swedish National Agency for Higher Education in May 2011)</p> <p>The SHEA's evaluations are made by panels of external experts which include subject experts, students and representatives of the labour market. The panel has to propose an evaluation of each programme it assesses using a three-level scale:</p> <ul style="list-style-type: none"> <li>• Very high quality</li> <li>• High quality</li> <li>• Inadequate quality</li> </ul>
	<p>The report from the assessment panel provides the basis on which the SHEA then decides on the overall evaluation to be awarded for each course or programme. Those that are assessed as having "inadequate quality" will be reviewed within one year. After that the SHEA decides whether or not to revoke its entitlement to award a qualification. (ref. <a href="http://www.uk-ambetet.se">http://www.uk-ambetet.se</a>) The material on which the experts base</p>

	<p>their assessments are independent projects (degree projects) produced by students, the higher education institutions' own self-evaluations, questionnaires sent to alumni and the students' own perceptions of the outcomes of their programmes of study in relation to the targets in the qualification descriptors. The self-evaluation is important for the Authority's evaluations but should also offer an important tool for the work of the institutions themselves on the quality assurance of their courses and programmes. (ref. General Guidelines for Self-Evaluation in the Swedish National Agency for Higher Education's Quality Evaluation System. 2011–2014, Published by the Swedish National Agency for Higher Education 2011)</p> <p>The self-evaluation procedure is described in detail in ref. General Guidelines for Self-Evaluation in the Swedish National Agency for Higher Education's Quality Evaluation System. 2011–2014, Published by the Swedish National Agency for Higher Education 2011.</p>
	<p>Today resources are allocated to the higher education institutions on the basis of student performance as indicated by the number of higher education credits awarded for first and second-cycle courses and programmes. In June 2010 the Riksdag (Swedish Parliament) decided that the results of the quality evaluations should also affect allocation of resources at these levels. Higher education institutions whose courses and programmes are considered to attain "very high quality" will receive the incentive of an extra funding increment. This quality-based allocation of funding applies for courses and programmes offered by public-sector higher education institutions. The same thing is stipulated in the Appropriations for Undergraduate Education, December 20, 1993, developed and approved by the Swedish Ministry of Education and Science, under the paragraph "Quality Premium".</p> <p>More information about the system of quality assessment, ie assessment methods and assessment process can be found in "The Swedish National Agency for Higher Education's quality evaluation system 2011–2014", published by the Swedish National Agency for Higher Education in 2011.</p>
• Freedom in the choice of external quality assurance body	<p>External evaluation is carried out by the Swedish Higher Education Authority based on qualification descriptor for each qualification awarded by the higher education institutions laid down by the Government; The Swedish Higher Education Act, 17 December 1992; Qualifications ordinance, Annex 2 to the Higher Education Ordinance, 4 February 1993; National Qualifications Framework, Published by the Swedish National Agency for Higher Education in May 2011.</p>
• Relationships / how does the accreditation body cooperate with the Ministry of Education in the accreditation process,	<p>The Swedish Higher Education Authority is to report its assessments to the Government Offices (Ministry of Education and Research). (ref. Task of evaluating the quality of first and second-cycle programmes in higher education, Swedish Government Decision based on the Government Bill <i>Fokus på kunskap — kvalitet i den högre utbildningen</i> [Focus on knowledge – quality in higher education (bill. 2009/10:139), which has been enacted by the Swedish Riksdag (bet. 2009/10:UbU20, rskr. 2009/10:320)</p>

<p><b>References</b></p>	<ol style="list-style-type: none"> <li>1. <b>The Swedish Higher Education Act</b>, 17 December 1992</li> <li>2. <b>Qualifications ordinance</b>, Annex 2 to the Higher Education Ordinance, 4 February 1993</li> <li>3. <b>Appropriations for Undergraduate Education</b>, December 20, 1993, developed and approved by the Swedish Ministry of Education and Science</li> <li>4. <b>Task of evaluating the quality of first and second-cycle programmes in higher education</b>, Swedish Government Decision based on the Government Bill <i>Fokus på kunskap — kvalitet i den högre utbildningen</i> [Focus on knowledge – quality in higher education (bill. 2009/10:139), which has been enacted by the Swedish Riksdag at the beginning of June 2010 (bet. 2009/10:UbU20, rskr. 2009/10:320)</li> <li>5. <b>National Qualifications Framework</b>, Published by the Swedish National Agency for Higher Education in May 2011</li> <li>6. <b>General Guidelines for Self-Evaluation in the Swedish National Agency for Higher Education's Quality Evaluation System. 2011–2014</b>, Published by the Swedish National Agency for Higher Education 2011</li> <li>7. <b>The Swedish National Agency for Higher Education's quality evaluation system 2011–2014</b>, Published by the Swedish National Agency for Higher Education 2011</li> <li>8. <b>An academy for today</b> (bill 2009/10:149) cited in <b>Swedish National Agency for Higher Education: Review of ENQA Membership</b>, April 2012</li> <li>9. <b>Swedish National Agency for Higher Education: Review of ENQA Membership</b>, April 2012</li> <li>10. <a href="http://www.uk-ambetet.se">http://www.uk-ambetet.se</a> (the Swedish Higher Education Authority)</li> </ol>
<p><b>V. National Qualification Framework:</b></p> <ul style="list-style-type: none"> <li>• The body responsible for the NQF in the country (functions, structure, relations with ME and universities)</li> </ul>	<p>National Qualifications Framework was Revised in May 2011 and published by the Swedish National Agency for Higher Education in 2011 under the Reg.nr 12-5202-10. The Swedish qualifications ordinance (ref. Qualifications Ordinance, Annex 2 to The Higher Education Ordinance, 4 February 1993) with its qualification descriptors, could be described as forming the backbone of a national framework for qualifications in Sweden. The Swedish NQF was elaborated on the bases of the:</p> <ul style="list-style-type: none"> <li>– Swedish Higher Education Act, 17 December 1992</li> <li>– Higher Education Ordinance, 4 February 1993</li> <li>– European Qualifications Framework (QF-EHEA)</li> </ul> <p>There are provided the entry requirements and cycle descriptors for each cycle: first, second and third.</p> <p>There are three categories of qualifications:</p> <ol style="list-style-type: none"> <li>1. general qualifications</li> <li>2. qualifications in the fine, applied and performing arts</li> <li>3. professional qualifications</li> </ol> <p>The Qualifications Ordinance provides:</p> <ul style="list-style-type: none"> <li>• the qualifications that may be awarded in the first, second and third cycles, and</li> <li>• the requirements to be fulfilled for the award of each qualification (qualification descriptors). (ref. National Qualifications Framework, Published by the Swedish National Agency for Higher Education in May 2011)</li> </ul>

	<p>The targets in the qualification descriptors are grouped under three headings, or forms of knowledge, that apply for all courses and programmes:</p> <ul style="list-style-type: none"> <li>• Knowledge and understanding</li> <li>• Competence and skills</li> <li>• Judgement and approach (ref. <a href="http://english.uk-ambetet.se">http://english.uk-ambetet.se</a>)</li> </ul> <p>Independent projects are required for all first – and second-cycle qualifications. For licentiates and doctorates, a scholarly thesis or a research thesis is required. Special regulations apply for doctorates in the fine, applied and performing arts.</p> <p>The Swedish Higher Education Authority issues regulations and general advice on the translation of Swedish qualification titles to English. (ref. National Qualifications Framework, Published by the Swedish National Agency for Higher Education in May 2011)</p> <p>Levels that correspond broadly to degrees / qualifications in higher education: 5 – high school certificate, 6 – bachelor degree 7 – Master’s degree, and 8 – doctoral degree</p>
<ul style="list-style-type: none"> <li>• How do universities (ME, management bodies of HEIs) participate in the development of new qualifications</li> </ul>	<p>The qualifications are set by the Government, based on previous discussion held with stakeholders (HEI, business, students and the society at large).</p>
<ul style="list-style-type: none"> <li>• How are the NQF requirements reflected in the study programs (compulsory provisions, procedures, internal control, external evaluation)</li> </ul>	<p>Universities have to develop (design) study programs and their implementation process so that competences determined by the descriptors to be achieved by the student. Requirements defined will serve as criteria and indicators for the final evaluation of studies for the preparation of self-evaluation reports and external evaluation for the accreditation of the program.</p> <p>A course shall have a course syllabus. The course syllabus shall indicate the following: the cycle in which the course is given, the number of credits, objectives, specific entry requirements, how student performance is assessed and any other regulations required. A study programme shall have a programme syllabus. The programme syllabus shall indicate the following: the courses that the study programme comprises, specific entry requirements and other regulations required. (ref. The Higher Education Ordinance, 4 February 1993; National Qualifications Framework, Published by the Swedish National Agency for Higher Education in May 2011)</p> <p>Courses and programmes have to be evaluated on the basis of how well they fulfil the requirements laid down in the Higher Education Act and the qualification descriptors in the statutes linked to the Act. In other words, the Swedish Higher Education Authority assesses to what extent the learning outcomes achieved by the students correspond to the intended learning outcomes. The courses and programmes that have to be evaluated are those that can lead to the award of a first-cycle or second-cycle qualification. (ref. <a href="http://english.uk-ambetet.se">http://english.uk-ambetet.se</a>)</p>



• Educational standards (exist or not, if yes – how are they related to NQF)	Branch educational standards are not developed.
<b>References</b>	<ol style="list-style-type: none"> <li>1. <b>Higher Education Ordinance</b>, 4 February 1993</li> <li>2. <b>National Qualifications Framework</b>, Published by the Swedish National Agency for Higher Education in May 2011</li> <li>3. <a href="http://english.uk-ambetet.se">http://english.uk-ambetet.se</a> (Swedish Higher Education Authority)</li> </ol>
<b>VI. Employability</b> • Occupational framework (ISCO)	<p>In Sweden the demand for graduates has been rising for a long time and statistics also show that higher education increases the possibilities of becoming established in the labour market. The total number of graduates from higher education entering the labour market in Sweden is considerably larger than the number of graduates who retire each year. In today's labour market qualifications from higher education are required for a greater number of jobs than before. The number of places offered by HEIs in Sweden must meet student demand and the needs of the labour market. The increasing focus placed on the links between higher education and the labour market and its relevance is largely the result of the increased expectations from the labour market and the influence it exerts. (ref. Higher Education in Sweden, 2013 status report)</p> <p>100% of KTH graduates find a job. This however does not happen immediately after graduation. Most graduates decide to spend a year to resolve some personal interests and only then begin to look for a job according to field of study graduated. The organizers of programmes, university departments are aware of the post-graduation activity of their former students. Based on discussions held with the Head of Administration at KTH it is a culture that university graduates announce whether they have been employed or not, where, position etc.</p>
• Differentiation by level of education. Place of Master and PhD	<p>The Swedish Higher Education Authority assesses graduates as established if they were gainfully employed in November, earn more than a specific amount and have not been students, moved abroad or had periods of unemployment during the year or been involved in labour market policy measures. Establishment is measured 12–18 months after graduation and graduates are grouped in different categories on the basis of which sector of the labour market their qualifications relate to. The proportion varies from discipline to discipline. The largest proportion of graduates who gained a footing in the labour market had qualifications in areas such as technology, medicine and health care. Nine out of ten graduates who qualified as physicians, dentists or had Master's degrees in engineering had established themselves within 1.5 years. (ref. Higher Education in Sweden, 2013 status report)</p> <p>All students at KTH follow the “undergraduate” level which includes, in the form of integrated study: cycle I – Bachelor and cycle II – Master (financed from the state budget by 95%). Although, theoretically and according to Swedish law, it is possible to graduate only from cycle I, and that graduates can be employed in the labor market, this is not practical. All graduates receive upon completion of studies, the level of “undergraduate”, a certificate / diploma (to which the Diploma</p>



	<p>Supplement is attached describing the study programme and its place in the educational system) (ref. The Higher Education Ordinance, 4 February 1993).</p> <p>Regarding the employment of graduates with the title of PhD (doctor), the employment rate is also 100%. The more advanced the educational qualifications acquired, the greater the chance of establishment in the labour market. The largest proportion of PhDs to establish themselves in the labour market were those with degrees in medical subjects and also in the technological sciences. The smallest proportion were those graduating in the humanities and religious studies. (ref. Higher Education in Sweden, 2013 status report)</p>
	<p>According to the Higher Education Ordinance, 4 February 1993, HEIs can create / establish specific full-time positions (1 unit) within the institution for students from cycle III, who obtained a doctoral student-ship, to help and enable them to finish their studies and are paid for their work (about 30 000 SEK). They must dedicate themselves to their studies first, but, however, they can also carry out, to a lesser extent, educational, research, creative development and administrative tasks as well. Also, if the student in the third cycle asks, he can be employed in the higher education institution at a part-time position. In addition, if necessary for example for the company / enterprise, it can finance its employees to undertake the doctoral studies required.</p> <p>More detailed information on the employment of graduates from higher education institutions in Sweden is offered in "Higher Education in Sweden, 2013 status report", pp. 41-45.</p> <p><i>Postdoctoral positions in Sweden</i></p> <p>In 2005 the Swedish Research Council also established national post-doc appointments.</p> <p>This programme applies to those with doctorates awarded in Sweden and abroad. The universities can therefore choose either to recruit researchers with foreign PhD's or Swedish researchers from another faculty or university. Funding from the Swedish Research Council is paid to the higher education institution that establishes a position for a fixed term of two years.</p> <p>In Sweden, it is increasingly common for higher education institutions to advertise post-doc appointments themselves.</p> <p>In 2008, the Swedish Agency for Government Employers and union representatives reached a new agreement on fixed-term employment as a post-doc. This agreement also allows for the employment of a post-doctoral researcher until further notice, but for no more than two years, with the opportunity for an extension if there are special circumstances. (ref. <a href="http://www.doktorandhandboken.nu/english">http://www.doktorandhandboken.nu/english</a>)</p>
Career guidance structures	<ul style="list-style-type: none"> <li>• Higher education institutions</li> <li>• Swedish Research Council</li> <li>• Swedish Agency for Government Employers</li> </ul>
References	<ol style="list-style-type: none"> <li>1. The Higher Education Ordinance, 4 February 1993</li> <li>2. Higher Education in Sweden, 2013 status report</li> <li>3. <a href="http://www.doktorandhandboken.nu/english">http://www.doktorandhandboken.nu/english</a></li> </ol>

<p><b>VII. Content and implementation of the study program (organization of studies):</b></p> <ul style="list-style-type: none"> <li>• Content elaboration/ designing</li> </ul>	<p>Universities in Sweden have general degree awarding powers at:</p> <ul style="list-style-type: none"> <li>• first cycle (Higher Education diplomas – 120 ECTS and Bachelors' degrees-180 ECTS)</li> <li>• second cycle (one-year – 60 ECTS and two-year – 120 ECTS Masters' degrees) and</li> <li>• third cycle (licentiate – 120 ECTS and doctoral – 240 ECTS degrees) (ref. Higher Education in Sweden, 2013 Status Report, by Swedish Higher Education Authority)</li> </ul> <p>The content of study programmes and courses is developed by the initiator(s) of the programme.</p>
	<p>All first and second-cycle study programmes shall be offered in the form of courses. Courses may be combined to create study programmes. (ref. The Higher Education Ordinance, 4 February 1993)</p> <p>At KTH, for instance, content is controlled by the program learning objectives and competences the student should achieve during his/her studies, described in the Qualifications Ordinance, Annex 2 to the Higher Education Ordinance, 4 February 1993. Programme management can receive development support in writing learning objectives from the Department of Learning at the School of Education and Communication in Engineering Science.</p> <p>Requirements on organization of studies, student assessment, organization and deployment of the final assessment is made the responsibility of each institution and are defined by The Swedish Higher Education Act, 17 December 1992; The Higher Education Ordinance, 4 February 1993, but also through internal arrangements.</p> <p>A university or higher education institution entitled to award third-cycle qualifications shall determine the subjects in which third-cycle courses and programmes may be offered. For each subject in which third-cycle courses or study programmes are offered a general study syllabus is required. (ref. The Higher Education Ordinance, 4 February 1993)</p>
<ul style="list-style-type: none"> <li>• The distribution between university structures</li> </ul>	<p>In Higher Education Ordinance, 4 February 1993 is set the structure of the academic year: one academic year comprises 40 weeks of full-time study which corresponds to 60 credits.</p> <p>The number of HE credits awarded for each course is determined by the amount of study normally required to attain its objectives. The HE credits awarded in higher education in Sweden can be compared to European Credit Transfer and Accumulation System (ECTS) credits. (ref. Higher Education in Sweden, 2013 Status Report).</p> <p>The university establishes the beginning and the end of semesters, and vacations. It is determined the credit structure of cycle I (120 or 180 ECTS), II (60 or 120 ECTS) and III (120 or 240 ECTS) depending on qualifications to be obtained upon completion of the study program (ref. Higher Education in Sweden, 2013 Status Report). Teachers from several schools specializing in a particular field participate in the deployment of a program.</p> <p>The Academic Cycle at KTH:</p> <ul style="list-style-type: none"> <li>• Starts in early September ends in June</li> <li>• 40 weeks divided into four study periods</li> <li>• Examination period after each study period</li> </ul>

Internships	Normative documents do not provide the organization of internships in HEIs. At KTH internships are not organized. This was confirmed by the Head of Administration of KTH. However, practical activities are conducted when carrying out year projects, graduation projects / theses by students, providing solving specific problems derived from the economic environment.
• Final evaluation (exams, theses) on cycles	<p>Unless otherwise provided by the higher education institution, a grade shall be awarded on completion of a course. The higher education institution may determine which grading system is to be used.</p> <p>The grade shall be determined by a teacher specifically nominated by the higher education institution (the examiner).</p> <p>The number of sessions laid down shall be at least five.</p> <p>Upon request, a student who has successfully completed a course shall receive a course certificate from the higher education institution. If the course certificate is awarded for studies at more than one higher education institution, the certificate shall be issued by the institution at which the student completed the course. This does not apply, however, if the higher education institutions concerned have specifically agreed otherwise. A certificate shall be accompanied by a diploma supplement that describes the study programme and its place in the educational system (ref. The Higher Education Ordinance, 4 February 1993).</p> <p>At KTH, the degree project area (the course) is established by the school committee. Proposal to the degree project is given within the school. The degree project must have a course plan according to regulations in the Higher Education Ordinance. The degree project is a course consisting of 15/30 credits, which means that the degree projects must correspond to 10/20 weeks of full-time studies. The degree project may not include other courses (courses with established course numbers). The degree project can include elements such as seminars, information searching, student teaching, or other elements which the examiner or supervisor deems suitable. The degree project can be performed at KTH or externally. The degree project can also be performed abroad. The degree project are carried out individually or together with another student. If the project is done by more than one student, it is the responsibility of the examiner to ensure that every student's work corresponds to the requirements for an individual degree project.</p> <p>If the degree project is performed at another university and if it equals the degree project at KTH, then credit transfer should be made. The supervisor is appointed by the examiner. More than one supervisor can be appointed. If the degree project is done, for example, at a company, a supervisor should be appointed at the company as well. The examiner should be attentive of the responsibility distribution between the examiner and the supervisors. The degree projects should be reviewed in a seminar. The degree project report should be registered within the school. Much care should be taken to how the report is formed, especially with consideration to language usage. The degree project can be written and presented in Swedish or English. A summarization should exist in both languages. The degree project report must be checked for plagiarism. The degree project must be given a grade on the scale A-F based on those KTH common evaluation criteria.</p>

	<p>The school committee decides, based on these evaluation criteria, about rules and guidelines for the degree projects area, including methods for grading.</p> <p>All degree projects should be evaluated based on three KTH-common evaluation criteria; engineering-related and scientific contents, process, and presentation. The president decides about further evaluation criteria after proposal from the school. (ref. Comprehensive rules and guidelines for degree project work 15 credits, regarding Master (60 credits), 2007-07-01; Comprehensive rules and guidelines for degree project work 30 credits, regarding Master (120 credits), 2007-07-01)</p> <p>Doctoral studies consist of seminars, reading and methodology courses, individual literature surveys and independent research. The thesis must describe and account for organization and results of research, be published and be publicly defended. (ref. <a href="http://www.euroeducation.net/prof/swedco.htm">http://www.euroeducation.net/prof/swedco.htm</a>)</p> <p>At KTH the grading scale A-F is used starting with 1 July 2007 (mandate 708/06). (ref. Comprehensive rules and guidelines for degree project work 15 credits, regarding Master (60 credits), 2007-07-01).</p> <p>Detailed information on the final evaluation at KTH are included in the internal regulatory acts of the institution:</p> <ul style="list-style-type: none"> <li>• Regulations for written examinations at KTH, including instructions for invigilators (proctors), Internal regulation number 6/02, Applies from 2002-06-19, Amended from 2010-10-01</li> <li>• Examiners at KTH, Internal regulation no. 4/2006, Valid from 01/02/2006, Amended from 18/10/2007</li> <li>• The right for students to request an extra examination, Internal instruction no. 5/03, Applies from 01/02/2003, Revised from 08/04/2005</li> <li>• Regulations for schools, examiners and invigilators regarding written examinations, Appendix 1 to Decision UF-2010-0416, 30-06-2010</li> <li>• Regulations for students regarding written examinations, Appendix 2 to Decision UF-2010-0416, 30-06-2010</li> <li>• Handling of plagiarism in education at KTH, Internal regulations 8/2011</li> </ul>
<b>References</b>	<ol style="list-style-type: none"> <li>1. The Higher Education Ordinance, 4 February 1993</li> <li>2. Higher Education in Sweden, 2013 Status Report, by Swedish Higher Education Authority</li> <li>3. <a href="http://www.euroeducation.net/prof/swedco.htm">http://www.euroeducation.net/prof/swedco.htm</a></li> <li>4. Comprehensive rules and guidelines for degree project work 15 credits, regarding Master (60 credits), 2007-07-01</li> <li>5. Comprehensive rules and guidelines for degree project work 30 credits, regarding Master (120 credits), 2007-07-01</li> <li>6. Regulations for written examinations at KTH, including instructions for invigilators (proctors), Internal regulation number 6/02, Applies from 2002-06-19, Amended from 2010-10-01</li> <li>7. Examiners at KTH, Internal regulation no. 4/2006, Valid from 01/02/2006, Amended from 18/10/2007</li> <li>8. The right for students to request an extra examination, Internal instruction no. 5/03, Applies from 01/02/2003, Revised from 08/04/2005</li> <li>9. Regulations for schools, examiners and invigilators regarding written examinations, Appendix 1 to Decision UF-2010-0416, 30-06-2010</li> </ol>

	<p>10. Regulations for students regarding written examinations, Appendix 2 to Decision UF-2010-0416, 30-06-2010</p> <p>11. Handling of plagiarism in education at KTH, Internal regulations 8/2011</p>
<p><b>VIII. Teaching load of the didactic staff:</b></p> <ul style="list-style-type: none"> <li>• Planning the teaching load</li> </ul>	<p>Swedish legislation does not lay down specific rules on the workload of teachers. The law only stipulates that a teacher employed at a HEI should combine research with teaching. Institutions develop internal rules regarding the allocating of tasks, remuneration rules.</p>
<ul style="list-style-type: none"> <li>• The distribution of teaching load</li> </ul>	<p>Since 2005 Statistics Sweden has conducted a questionnaire survey every other year covering a selected population of employees (with research and teaching duties) at the HEIs. The employees, including those appointed to doctoral studentships, are asked, for instance, how they divided their total number of working hours between different tasks. The findings of the latest survey, which covers 2011, show that 41 per cent of the total number of working hours is allocated to research and development (R&amp;D), 22 per cent to teaching in first and second-cycle courses and programmes, 3 per cent to teaching in third-cycle programmes and the remaining 35 per cent to other tasks.</p> <p>Teaching in first and second-cycle courses and programmes is mainly undertaken by lecturers and senior lecturers. The lecturers state that they devote 60 per cent of their working hours to this teaching, the senior lecturers 42 per cent. At the same time these two categories devote fewest hours to R&amp;D. Those who spend most of their time on R&amp;D are researchers and post-doctoral research fellows (who are included in the group of other research and teaching staff), 70 per cent of their working hours. The professors devote 17 per cent of their time to teaching on first and second-cycle courses and programmes, 10 per cent to teaching on third-cycle programmes and 42 per cent to R&amp;D. (Ref. Higher Education in Sweden, 2013 status report).</p>
<ul style="list-style-type: none"> <li>• Accounting of the teaching and research load achievement</li> </ul>	<p>At KTH the salary is usually negotiated.</p> <p>Total workload = 1700 astronomical hours / year.</p> <p>1 astronomical hour = 4 academic hours</p> <p>Respectively, 1700 astronomical hours / year = 425 academic hours / year, of which 30% teaching and 70% research.</p> <p>A full-time lecturer = 600 academic hours / year, which includes: lectures, laboratories, examination.</p> <p>At KTH: 200 academic hours / year.</p> <p>Didactic workload varies from one university to another. There are teachers who only do research, others – teaching and research.</p>
<b>References</b>	<p>1. Higher Education in Sweden, 2013 status report</p>
<p><b>IX. University scientific research (organization):</b></p> <ul style="list-style-type: none"> <li>• University structures involved in the organization of scientific research</li> </ul>	<p>Almost two thirds of publicly funded research in Sweden is conducted at universities and other higher education institutions. Other publicly funded actors conducting research include industrial research institutes, certain sectoral agencies as well as municipalities and county councils.</p> <p><i>Universities and other higher education institutions</i></p> <p>In Sweden there are 34 state higher education institutions. Research and postgraduate studies are also carried out at three private education</p>



	<p>providers. The large higher education institutions conduct teaching and research in many subjects and fields, unlike smaller higher education institutions which often have established profiles in specific areas, sometimes by concentrating on subject areas of relevance to the local business sector, or in a specific scientific field.</p> <p>All state higher education institutions have their own research resources and conduct research.</p> <p><i>Industrial research institutes</i></p> <p>Some publicly funded research is also conducted at industrial research institutes. Central government ownership is channelled via IRECO Holding AB. IRECO has completed a restructuring process and the previously 16 institutes are now combined into 3-4 larger groups of institutes.</p> <p><i>The business sector</i></p> <p>The business sector in Sweden invests a lot in research compared to other countries. In comparison with the other Nordic countries, Sweden has industries that are varied and high-tech. Several different sectors allocate large amounts of money to research. Particular emphasis is placed on the automotive and pharmaceutical industries, as well as on the IT and telecommunications industries.</p> <p>Innovations resulting from research are playing an increasingly important role. This is reflected in a clearer mandate for the higher education institutions to work in this direction. Collaboration with the business sector plays a major role in this. (ref. <a href="http://www.government.se/sb/d/6949/a/88166">http://www.government.se/sb/d/6949/a/88166</a>)</p> <p>In Sweden, research and third-cycle courses and programmes receive finance from:</p> <ol style="list-style-type: none"> <li>7. Direct government funding</li> <li>8. Government agencies</li> <li>9. Other public funding and EU funding</li> <li>10. Private funding in Sweden</li> <li>11. Sources outside Sweden excluding EU</li> <li>12. Financial revenues</li> </ol> <p>Less than half the funding for research and third-cycle courses and programmes (47 per cent) takes the form of direct government allocations and the state channels a considerable proportion of the funding (26 per cent) through research councils (ref. Swedish Research Council – <a href="http://www.vr.se/inenglish.4.12fff4451215cbd83e4800015152.html">http://www.vr.se/inenglish.4.12fff4451215cbd83e4800015152.html</a>) and other government agencies. Other significant sources of funding for research are private foundations and non-profit organisations. (ref. Higher Education in Sweden, 2013 Status Report, by Swedish Higher Education Authority)</p> <p>Research efforts at KTH are financed via two main sources. One is government appropriation for research, the "research grant", which includes both research and postgraduate education. The other is "external funding".</p> <p>About one-third of KTH's activities are financed by means of appropriations or grants. The rest are met by various sources of external funding,</p>
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	<p>which are applied for on a competitive basis. After being accepted by the allocating financier, external funds are allocated directly to the proper unit or body. So far, the faculty appropriation has been distributed directly to the various units. A small percentage of it has been reserved for support of special purposes. Supportive activities common to the entire KTH are mainly financed by a "college fee", which is set by the KTH University Board.</p> <p>The internal allocation of resources was subject to investigation during 2006. A new model for this, based on the KTH President requesting specific efforts from each School, is being employed from 2007 onwards. One of its aims is to improve control of our activities, both strategically and financially. This applies not least to our research, as the demands for co-financing of these from outside financiers have increased considerably. Hence the distribution of the faculty appropriation has assumed increasing importance. (ref. <a href="http://www.kth.se/en/forskning/finansiering">http://www.kth.se/en/forskning/finansiering</a>)</p>
• Involving students in the process of scientific research (incentive mechanisms / incentives for the parties)	<p>In Sweden only the Master with a duration of 60 -120 ECTS is practiced, where students are involved in applied research and finishing this level serves as a starting point for doctoral studies. At doctoral level, PhD students are 70-80% involved in research.</p>
• Scientific research of teachers (achievement planning and control, the methodology of assessing the research activity)	<p>The duties assigned to teaching staff may comprise educational responsibilities, research or artistic research and development, and also administrative tasks.</p> <p>Higher education institutions shall employ professors and senior lecturers to undertake teaching and research. (ref. The Swedish Higher Education Act, 17 December 1992).</p> <p>More than 2,200 people are engaged in research at KTH. Some 1,500 of these are postgraduate/doctoral students, about 460 are researchers or research engineers (i.e., with a doctoral or licentiate degree) and some 235 are Professors.</p> <p>A researcher at KTH is associated with one of KTH's Schools. Normally, each Professor is heading a research team of doctoral students and/or other scholars, and his/her team is involved in one or more research projects, running for a number of years. (ref. <a href="http://www.kth.se/en/forskning/forska">http://www.kth.se/en/forskning/forska</a>)</p>
	<p>A person who has demonstrated both research and teaching expertise shall be qualified for employment as a <i>professor</i>.</p> <p>Those qualified for appointment as a <i>senior lecturer</i> are a person who has demonstrated teaching expertise and been awarded a PhD or has the corresponding research competence or some other professional expertise.</p> <p><i>Assistants' and teaching assistants'</i> duties shall comprise educational tasks, administration or participation in research. (ref. The Higher Education Ordinance, 4 February 1993)</p>

<ul style="list-style-type: none"> <li>• Integrated research, education and business centers</li> </ul>	<p>KTH Royal Institute of Technology is a research intensive university where more than 60% of the total income is research related. This funding is acquired by KTH in competition with other universities and parties. In total, approximately 25% of research income is related to international funding and national funding, where collaboration with industrial or other parties is a prerequisite. Industrial collaboration is hence an important aspect of research at KTH. (ref. <a href="http://www.kth.se/en/forskning/research-office">http://www.kth.se/en/forskning/research-office</a>)</p> <p>Research at KTH's is to a large extent conducted in co-operation with companies and various societal bodies. The co-operations are often organized as competence centres, connected to a certain KTH Department, but still conducting research on its own. Most of the centres have a board, with representatives from trade, business and society. (ref. <a href="http://www.kth.se/en/forskning/sarskilda-forskningssatsningar">http://www.kth.se/en/forskning/sarskilda-forskningssatsningar</a>), others are autonomous units directly subordinate to the KTH President. The majority of centres are maintaining close connections with industry. Some of them are also acting as liaison offices between KTH and other universities. (ref. <a href="http://www.kth.se/en/forskning/sarskilda-forsknings-satsningar/centrumbildningar-1.11756">http://www.kth.se/en/forskning/sarskilda-forsknings-satsningar/centrumbildningar-1.11756</a>)</p>
<b>References</b>	<ol style="list-style-type: none"> <li>1. The Swedish Higher Education Act, 17 December 1992</li> <li>2. The Higher Education Ordinance, 4 February 1993</li> <li>3. Higher Education in Sweden, 2013 Status Report, by Swedish Higher Education Authority</li> <li>4. <a href="http://www.kth.se/en/forskning/finansiering">http://www.kth.se/en/forskning/finansiering</a></li> <li>5. <a href="http://www.kth.se/en/forskning/forska">http://www.kth.se/en/forskning/forska</a></li> <li>6. <a href="http://www.kth.se/en/forskning/sarskilda-forskningssatsningar">http://www.kth.se/en/forskning/sarskilda-forskningssatsningar</a></li> <li>7. <a href="http://www.kth.se/en/forskning/sarskilda-forsknings-satsningar/centrumbildningar-1.11756">http://www.kth.se/en/forskning/sarskilda-forsknings-satsningar/centrumbildningar-1.11756</a></li> <li>8. <a href="http://www.kth.se/en/forskning/research-office">http://www.kth.se/en/forskning/research-office</a></li> <li>9. <a href="http://www.vr.se/inenglish.4.12fff4451215cbd83e4800015152.html">http://www.vr.se/inenglish.4.12fff4451215cbd83e4800015152.html</a></li> <li>10. <a href="http://www.government.se/sb/d/6949/a/88166">http://www.government.se/sb/d/6949/a/88166</a></li> </ol>
<b>X. Doctorate (PhD types)</b> <ul style="list-style-type: none"> <li>• The right to offer doctoral studies</li> </ul>	<p>Courses and programs in cycle III are offered by universities and university colleges which were granted the right to award / offer qualifications for the third cycle.</p> <p>Decision on granting the right to offer third cycle qualifications is done by the Swedish National Agency for Higher Education under the new rules applied from 2010.</p> <p>As the accountable authority, the Government shall establish higher education institutions for the provision of:</p>
	<ul style="list-style-type: none"> <li>• courses and study programmes, and</li> <li>• research and artistic research and development as well as other forms of development activities.</li> </ul> <p>The operations of higher education institutions shall be organised to ensure that there are close links between research, and courses and study programmes.</p> <p>The following general principles shall apply to research:</p> <ul style="list-style-type: none"> <li>• research issues may be freely selected</li> <li>• research methodologies may be freely developed, and</li> <li>• research results may be freely published.</li> </ul>

Doctoral schools	<p>Research at KTH is organised in five Research Platforms, designed to break down traditional barriers between academic disciplines. The goal is to deliver practical results that can help solve overarching global challenges. KTH's five Research Platforms are organised to deliver focussed, results-oriented study that meets the needs of governments and industries grappling with unprecedented threats — as well as promising new opportunities. (ref. <a href="http://www.kth.se/en/forskning/forskningsplattformar">http://www.kth.se/en/forskning/forskningsplattformar</a>)</p>
Completion of studies, conferring of degrees	<p><i>Supervision</i> At least two supervisors shall be appointed for each doctoral student. One of them shall be nominated as the principal supervisor. Doctoral students are entitled to supervision during their studies unless the vice-chancellor has decided otherwise. A doctoral student who so requests shall be allowed to change supervisor.</p> <p><i>Individual study plans</i> An individual study plan shall be drawn up for each doctoral student. This plan shall contain the undertakings made by the doctoral student and the higher education institution and a timetable for the doctoral student's study programme. The plan shall be adopted after consultation with the doctoral student and his or her supervisors. The individual study plan shall be reviewed regularly and amended by the higher education institution to the extent required after consultation with the doctoral student and his or her supervisors. The period of study may only be extended if there are special grounds for doing so. Such grounds may comprise leave of absence because of illness, leave of absence for service in the defence forces or an elected position in a trade union or student organisation, or parental leave.</p> <p><i>Entitlement to supervision and other resources</i> If a doctoral student substantially neglects his or her undertakings in the individual study plan, the vice-chancellor shall decide that the doctoral student is no longer entitled to supervision and other study resources. Before such a decision is made, the doctoral student and the supervisors shall be given an opportunity to make representations. The case shall be considered on the basis of their reports and any other records available. The assessment shall take into account whether the higher education institution has fulfilled its own undertakings in the individual study plan. A written record of the decision shall be made, which is to include reasons for the decision. Resources may not be withdrawn for any period in which the third-cycle student has been appointed to a doctoral studentship or is receiving a doctoral grant. If study resources have been withdrawn pursuant to Section 30, the doctoral student may, on application to the vice-chancellor, recover his or her entitlement to supervision and other resources. The doctoral student must then demonstrate convincingly, by presenting prospective study results of considerable quality and scope or in some other way, that he or she can fulfill his or her remaining undertakings in the individual study plan.</p>

	<p><i>Examination grades</i></p> <p>Examinations that form part of third-cycle courses and study programmes shall be assessed in accordance with the grading system prescribed by the higher education institution.</p> <p>The grade shall be determined by a teacher specially nominated by the higher education institution (the examiner).</p> <p><i>Public defences and grading doctoral theses</i></p> <p>The doctoral thesis shall be presented and defended orally in public. A faculty examiner (<i>opponent</i>) shall be appointed for this presentation. At least one of those participating in the grading of a doctoral thesis shall be someone who does not have a post at the higher education institution awarding the degree.</p> <p>A higher education institution may issue regulations on the grading system to be used and on public defences and grading in other respects. (ref. The Higher Education Ordinance, 4 February 1993)</p> <p>The actual period of study stipulated for third-cycle programmes (the time devoted to third-cycle study) is four years for a PhD and two years for a licentiate degree.</p> <p>The average length of time spent on these studies is, however, just under 4½ years for a PhD and just over 2½ years for a licentiate degree.</p> <p><i>Licentiate examination or the public defence of a doctoral thesis</i></p> <p>For a Licentiate or PhD, students are required to have passed the tests that are a part of the postgraduate programme and have written an academic thesis or thesis that has been accepted.</p> <p>To be awarded a PhD, students must pass the courses that are included in the doctoral programme and have written a thesis corresponding to at least 120 higher education credits that has been given a pass grade.</p> <p><i>Requirements prior to the public defence</i></p> <ol style="list-style-type: none"> <li>4. Printing the thesis</li> <li>5. Posting of the thesis</li> <li>6. Press release</li> </ol> <p><i>Public defence of a doctoral thesis</i></p> <p>Supervisors should ensure that the thesis is good enough to be approved before the student is recommended to defend it.</p> <p>The defence of the thesis is oral and public.</p> <p><i>One opponent</i></p> <p>According to The Higher Education Ordinance a faculty examiner (opponent) shall be appointed for this presentation.</p> <p>The opponent should have good command of the thesis topic and study the thesis in detail. If the opponent comes from another country and is not certain about the Swedish educational system, it is the duty of the chairman to inform him or her about what requirements and expectations are entailed.</p> <p>The opponent and/or in some cases the student gives a general overview of the topic with a description of how the thesis can contribute to knowledge in the field and a presentation of its contents.</p> <p>Then there is a discussion, with the opponent offering questions and views on the scientific relevance, methods and results and the student then orally defending his or her thesis in relation to the questions raised by the opponent.</p>
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	<p><i>Question session</i></p> <p>The members of the examination board then have the opportunity to ask the student questions. The floor is then opened up to the audience, with the public having the right to ask the student questions in the order determined by the chairman. Students always have the right to express themselves in Swedish or English.</p> <p><i>After the public defence or examination</i></p> <p><i>The examination board</i></p> <p>The examining board consists of three or five members, who have to be professors or qualified for appointment as professors, although not necessarily active in the same field as the doctoral student. The board decides whether to award the doctoral thesis a pass grade or not.</p> <p>The examining board is appointed by the faculty on the recommendations of subject representatives at the higher education institution. Normally the majority of the members of an examining board are recruited from other higher education institutions. At least one must come from another higher education institution. The members should not have unduly close relationships to the student submitting the thesis or the student's supervisors. The student's supervisor may not be a member of the board, unless there are exceptional grounds for this.</p> <p>The faculty examiner and the supervisor are entitled to attend the meetings of the board. They may take part in discussions but not in decisions.</p> <p>Normally, theses are awarded either a <b>pass</b> or <b>fail</b>.</p> <p><i>Degree certificate</i></p> <p>Students awarded a PhD or Licentiate degree will be given a degree certificate from their higher education institution upon request.</p>
	<p><i>The Licentiate degree</i></p> <p>A Licentiate degree of 120 higher education credits with an academic essay or thesis corresponding to 60 higher education credits may be a degree in its own right or a stage in the programme leading to award of a PhD.</p> <p>Writing a Licentiate thesis naturally takes extra time, but many people find that in return the time is used more effectively after getting the Licentiate; taking notes becomes more systematic, and students have the training to write and an understanding of how much time it requires.</p> <p>For students who do not complete their doctoral studies for some reason, the Licentiate degree is valuable proof of what they have achieved. The Licentiate degree is also recognised in the private sector.</p> <p><i>Licentiate seminar</i></p> <p>The Ordinance does not stipulate how the academic essay is to be examined, but it is customary that students seeking a Licentiate degree hold a seminar and discuss their work. Listeners can present their views and any criticism – it is like a mini-defence.</p> <p>There must be an examiner who studies the essay, but in many instances there is an opponent as well as a more or less official examination board.</p>

Postdoctorate/ habilitate	<p>Postdoctoral research, as a post-doc, offers newly qualified PhD's the chance to acquire further research experience. The most usual thing is to find a post-doc position at a university or research institute abroad. After obtaining a PhD, it is possible to undertake a postdoctoral period to acquire further experience and qualifications. However, there is a lot of competition for postdoctoral financing and most post-docs finance their studies through grants, which is the form of financing that has the poorest social safety net.</p> <p>The majority of postdoctoral positions are financed through stipends. Most post-doc stipends are awarded by the Swedish Research Council. The Swedish Research Council finances post-doc stipends in the areas of the Humanities and Social Sciences, Medicine, Natural Sciences and the Technological Sciences and Educational Sciences.</p> <p>The stipends are valid for at least six months but no more than two years, and are announced twice per year. They are tax-free and are calculated on the basis of the general cost of living in the relevant country. There are also a large number of other stipend donors, both large and small, private and public. The Bank of Sweden Tercentenary Foundation, for example, only provides support at post-doc level and above. Another major post-doc stipend donor is the Wenner-Gren Foundations.</p>
<b>References</b>	<ol style="list-style-type: none"> <li>1. The Higher Education Ordinance, 4 February 1993</li> <li>2. <a href="http://www.doktorandhandboken.nu/english">http://www.doktorandhandboken.nu/english</a></li> <li>3. <a href="http://www.kth.se/en/forskning/forskningsplattformar">http://www.kth.se/en/forskning/forskningsplattformar</a></li> </ol>



## Annex 8. Answers to questions concerning academic autonomy in Denmark

Stating the problem		Findings, answers	Comments
<b>I. Introduction / initiation and liquidation/ termination of study programs:</b> Types of higher education institutions. Types of programs offered by Higher Education Institutions (HEIs)	<p>In Denmark there are four types of institutions providing higher education programs, and each has its own specific profile and level [3,part.2; 7, p.8].</p> <p>Academies – provide higher professional education such as business, technology, IT. Programs are 90 and 120 ECTS. Academies are highly specialized University colleges and specialized colleges – provide professional Bachelor programs of 180-240 ECTS. Programs are focused on practical activities and include more long-term internships in companies.</p> <p>Universities – provide higher education programs based on research: Bachelor’s degree programmes comprising 180 ECTS credits, Master’s (candidatus) degree programmes comprising 120 ECTS credits, PhD degree programmes comprising 180 ECTS credits. One year of full-time study corresponds to 60 ECTS points. Universities are accountable to the Ministry of Research, Technology and Innovation.</p> <p>Institutes of university level – they are within the Ministry of Culture, provide studies in the respective field of the first, second and third level.</p>	It is important to consider the need for implementation in RM University College to prepare senior technicians / engineers for production and Academies.	
• Introduction of study programs at the Bachelor/ undergraduate level (initiation procedures, conception, obtaining the right to open a program, links with NQF	The initiative to create a new program usually comes from a teacher or a group of teachers forming the program team. At the faculty there is a person with legal experience in the field of legal educational regulations who helps the team to create the package of documents. The dean signs the package after rigorous judicial scrutiny. The program is approved by the dean, and then it is subject to evaluation at the Academic Council level.		
• Introduction of study programs at the Master level	Drafting and approval of the Master programs lies totally on university’s competences [8]		
<b>The internationalization of education</b>	Danish legislation provides for offering a wide range of programs offered by Danish universities abroad with and without cooperation with universities in these countries, joint programs, Erasmus-Mundus programs and programs in off-site institutions [3].		

• Introduction of study programs at the PhD/doctoral level:			
• Language of instruction at undergraduate level –	The language of instruction in higher education institutions is Danish. Some programs are taught in English but they are paid. These programs are intended primarily for foreign students in mobility [35].	One way to increase the mobility of students and teachers	
<b>II. Admission:</b> • Admission quota of local students with grants from the government / own account	<p>Access to higher education programs at the first cycle, Bachelor, have graduates of upper secondary school (usually after 12 years of study). Access also depends on specific requirements: such as, the particular combination of subjects taken at school or the level of grades / marks. At some programs there may be provided entrance exams / aptitude tests.</p> <p>Admission capacity: According to the rules on free education, it is the responsibility of the university to decide how many students it wants to admit at each Bachelor program, except when the Ministry of Science sets an annual limit for admission (see art. section 4 of the Act of University). For study programs with free contribution, the university establishes the admission capacity, based on the possibility to provide quality teaching based on adequate research using qualified teachers and sufficient research base. In this context, the university should also consider that the number of admitted students must be in accordance with the needs of society. Applicants with a master's degree (Candidatus) may be admitted at an undergraduate program only if there are vacant places.</p>		
• Procedures for admission to undergraduate / Bachelor cycle (educational documents, mark level, procedure)	<p>Admission to an undergraduate program requires: prior completion of upper secondary education, compliance with specific requirements for admission regarding the grades (level grades: A, B, C), and compliance with all requirements of the degree. In addition, admission may require the applicant to pass an entrance examination in accordance with rules established by the university [7, art. 2, 4]. Specific admission requirements are set by the Ministry of Research / Ministry of Education on the recommendation of the university. Any new specific requirements regarding admission are notified, made public at least two years before the entry into force.</p>	To apply the quota method: quota 1 with the grades A, B for mathematics and physics, grade B that have mathematics	

	<p>Conditions for admission to universities in Denmark are quite flexible [7, art. 5, 6, 7] and have the purpose to be enrolled to study all those who are able to complete an undergraduate program. At places where there are more applicants a competition is organized on quotas – three categories of candidates. Quotas are set by the university.</p> <p>Organization of admission – Application and registration procedures are established by the Ministry of Research in accordance with the requirements determined by the university [7, art. 23]. Application is online. Some institutions may make the registration by themselves, but under the control of the Ministry.</p> <p>A student, during his/her studies, may require switching to another undergraduate program at the same or another university. Transfer documents from the same undergraduate program to another university shall apply for admission under the rules outlined in [7, art. 26]. The same conditions apply to applicants who have previously been enrolled in a program without completing it and wishing to be admitted to the same program or another undergraduate program at the same university or another university.</p>	<p>included but are from high schools with humanitarian profile, quota 3 – candidates with special conditions.</p>	
<p>• Procedures for admission to the Master cycle. Admission quota of students. Admission procedures</p>	<p>Admission to a master's (candidatus) programme shall require a relevant bachelor degree or other relevant Danish or foreign qualifications at the same level. The admission requirements for the individual master's (candidatus) programme shall appear from the curriculum for the programme. [8, art.2, 3].</p> <p>If a study program or many parts of it are offered in English, the applicant must document English language skills with at least a B level before starting the program.</p> <p>For study programs with free contribution, the university establishes its admission capacity, taking into account the possibility to provide appropriate research-based teaching using skilled teachers and respective capabilities. In this context, the university must also take into account that the number of admitted students must be in accordance with society's need for education in the relevant subject. The Ministry sets quotas only for specialties related to medicine, dentistry, veterinary medicine [8, art. 8, 9, 10].</p>	<p>Total autonomy of universities in the organization of admission to master.</p>	

	<p>MA is an extension of an undergraduate program, but under certain conditions there may be also taken graduates from other programs and other universities. The university establishes the conditions of access: evidence of skills, additional courses (up to 30 ECTS, to be taken up to the admission or during the program [3, art. 11].</p> <p>The organization of admission is all about the competence of the university.</p>		
<p><b>Admission of foreign students (non EU).</b> Admission quota of students. Admission procedures (are they similar or not to those for local students)</p>	<p>Admission of foreign applicants is done based on national studies documents nostrificated by the Danish Agency for Evaluation of foreign qualifications (Lov om af vurdering udenlandske uddannelseskvalifikationer). Admission rules for foreigners are more complicated: there shall be assessed their knowledge of the Danish / English language and professional skills [2, 3].</p>		
<p>Procedures for admission to the Doctorate cycle</p>	<p>Admission to PhD is carried out by the university. Admission to the PhD programme is based on a Master's degree or equivalent [4, art.5].</p>		
<p><b>III. Recognition of studies:</b></p> <p>• <b>Of study periods performed abroad</b> at Bachelor, Master, Doctoral level;</p>	<p>Academic and professional recognition of foreign qualifications in Denmark is governed by various regulations [10-15, 25]</p> <p>On the basis of the Act [6], the following ministerial order implements parts of the European Directive 2005/36/EC on the recognition of professional qualifications [7].</p> <p>The procedures for recognition of foreign qualifications are regulated by and founded on the Assessment of Foreign Qualifications etc. Act, adopted by the Danish Parliament in 2007.</p>		
<p>• <b>Recognition of educational documents for the studies done abroad</b> at Bachelor, Master, Doctoral level (recognition bodies, procedures, conditions)</p>	<p>The objective of the ministerial orders is: "to secure access to have foreign qualifications assessed with a view to easing access to the Danish labour market and the Danish education system and to improve the possibility of obtaining credit and foreign qualifications within a Danish programme of education" (Part One of the Consolidation Act).</p> <p>According to the University Act [3, article 8] universities in Denmark have the right to provide research-based education programs for all 3 levels outside the country, too. The rules for the organization of extensions are prescribed in [7].</p>		

<p><b>IV. Quality assurance, accreditation of study programs:</b></p> <ul style="list-style-type: none"> <li>• Internal structures of quality assurance, student involvement in the process of quality assurance</li> </ul>	<p>The structure and functions of the continuous quality assurance system are predetermined by criteria set out in The University Act [3, Article 3], and Ministerial Order “Criteria for the Relevance and Quality of University Study Programmes and on Procedures for Approval of University Study Programmes” [17, chap. 5] (Continuous internal quality assurance of the study programme). The institution providing study programs must demonstrate that it has:</p> <ol style="list-style-type: none"> <li>1. Policy and procedures for quality assurance.</li> <li>2. Approval, monitoring and periodic review of programmes and awards (cf. the University Act, [16].</li> <li>3. Assessment of students (cf. the Examination Order [6], the Grading Scale Order[23] and the Order on External Examiners.</li> <li>4. Quality assurance of teaching staff (cf. the Order on Admission and Enrolment).</li> <li>5. Learning resources and student support (cf. the Order on Admission and Enrolment.</li> <li>6. Information systems.</li> <li>7. Public information (cf. the Act on Transparency and Openness in Education)</li> </ol> <p>The quality assurance structure at Aalborg University can be considered as an example.</p>		
<ul style="list-style-type: none"> <li>• Methodology, evaluation criteria, procedures (self-evaluation, external evaluation)</li> </ul>	<p>For external evaluation and accreditation of study programs (existing and new ones) there was created in 2007 the Accreditation Agency for Higher Education (AAHE) [16, article 1]. The agency was created by the Ministry MSTI as independent public body and consists of the Accreditation Council (AC), the Council Secretariat and the Academic Secretariat with evaluation functions.</p> <p>For an existing program, the Academic Secretariat (AS) forms an Accreditation Panel of relevant experts including foreign guests. Based on the results presented by the Panel, AS drafts the assessment report. The validity period of accreditation is determined by the AC, usually 4-5 years.</p> <p>For new programs, AS drafts an evaluation report based on the documents submitted by the institution. In some cases the Council may decide to form an evaluation panel.</p> <p>Accreditation is mandatory for all programs. State institutions’ accreditation is the basic criterion for funding from the budget [9, art. 3 (1)].</p> <p>Program’s external evaluation procedures and quality and relevance criteria are approved by order of MSTI [16, Appendix 1]. Evaluation is based on five fundamental criteria:</p>	<p>The evaluation criteria of existing programs are relevant, but they are particularly important for the approval of new programs.</p>	

	<p>1. Demand for the study programme in the labour market;</p> <p>2. The study programme must be based on research and connected with an active research environment of high quality;</p> <p>3. Academic profile of the study programme and learning outcome targets;</p> <p>4. Structure and organisation of the study programme;</p> <p>5. Continuous internal quality assurance of the study programme.</p> <p>A detailed description of the performance criteria and the stages of external evaluation and accreditation procedures of existing and new programs, can be found in “Guidelines on application for accreditation and approval of existing university study programmes” [4c] and “Guidelines on application for accreditation and approval of new university study programmes” [4d].</p> <p>The Accreditation Council makes decisions concerning accreditation, conventional accreditation or non-accreditation. The Council consists of the Chairman, appointed by the Minister and eight members appointed at the proposal of MSTI (3pers.), MEd (3pers.), MCult (1 pers.), Students Association (1 pers.). Eligibility period – four years, the student – one year.</p> <p>The Council developed criteria for relevance and quality of study programs, which were approved by order of MSTI [3]. Based on these criteria, from 1 January 2010, all higher education programs offered by the ministries mentioned above are evaluated.</p> <p>The Council makes decisions based on the report prepared by the operators appointed by the Council for programs provided by institutions subordinated to MSTI or by the experts of the Danish Institute for Evaluation (EVA).</p> <p>In Denmark the process of accreditation of institutions started. Repeated evaluation and accreditation of programs will entrust universities. Only new programs shall be subject to the accreditation procedure.</p>		
• Freedom in the choice of external quality assurance body	It is possible.		



<ul style="list-style-type: none"> <li>• Relationships / how does the accreditation body cooperate with the Ministry of Education in the accreditation process,</li> </ul>	The Accreditation Agency is autonomous but co-operates with MSTI permanently which approves evaluation criteria, appoints the chairman and members of the Council.		
<b>V. National Qualification Framework:</b> <ul style="list-style-type: none"> <li>• The body responsible for the NQF</li> </ul>	A qualifications framework for higher education has been implemented in Danish accreditation legislation. Denmark has had a national Qualifications Framework for Higher Education since 2003. The framework has been widely implemented and used by institutions of higher education.		
<ul style="list-style-type: none"> <li>• How do universities participate in the development of new qualifications</li> </ul>	The inclusion of certificates and degrees into the NQF is based on an assessment of the learning outcomes that the individual degree/certificate documents in relation to the level descriptors of the framework [22, p. 5.4.2 ].		
<ul style="list-style-type: none"> <li>• How are the NQF requirements reflected in the study programs (compulsory provisions, procedures, internal control, external evaluation)</li> </ul>	Universities have to develop (design) study programs and the implementation process so that competences determined by descriptors be achieved by the student. Requirements defined above will serve as the final assessment criteria and indicators of studies for drawing up the self assessment and external evaluation reports for the accreditation of the program.		
<ul style="list-style-type: none"> <li>• Educational standards (exist or not, if yes – how are they related to NQF)</li> </ul>	Descriptors for higher education qualifications (degrees), presented in Table 2 of the NQF [22], are used as reference quality standards / criteria both at the development and the evaluation and accreditation of study programs.		
Credit transfer system	The European Credit Transfer System ECTS is accepted without modifications.		
<b>VI. Employability</b> <ul style="list-style-type: none"> <li>• Occupational framework (ISCO)</li> </ul>	The existing links between the education level and qualification levels is explicitly set by the Danish qualifications framework [3, art.9].		
<ul style="list-style-type: none"> <li>• Differentiation by level of education. Place of Master and PhD</li> </ul>	Master's is oriented towards research and continuing doctoral studies.		

<b>VII. Content and implementation of the study program (organization of studies):</b> <ul style="list-style-type: none"> <li>• Content elaboration/designing</li> </ul>	<p>University study programs in Denmark are usually designed at the initiative of the research groups with high results, based on human and material potential already obtained from research.</p>		
<ul style="list-style-type: none"> <li>• The distribution between university structures</li> </ul>	<p>A study program is provided by the program team within a department, but for some modules use is made of other departments such as for teaching mathematics modules.</p>		
<ul style="list-style-type: none"> <li>• Final evaluation (exams, theses) on cycles</li> </ul>	<p>In the Danish system of higher education, the examination is specific both at the final phase of the study programs and at the evaluation of semester modules. One semester of study usually contains 4-5 modules with 5.10 or 15 ECTS. Of these, at least one (10 or 15 credits) will have external examination, other modules are subject to internal examination.</p>		
<b>VIII. Teaching load of the didactic staff:</b> <ul style="list-style-type: none"> <li>• Planning the teaching load</li> </ul>	<p>Teaching load of teachers is calculated starting from 37 hours per week. It consists of 490 hours of teaching per semester, which constitutes 60%, and 200 hours for scientific research (40%). For administrative work, a part of the academic load is reduced.</p> <p>The Council of Studies calculates the number of units needed, announces the Employment Council dealing with searching and implementation of employment and enrollment procedures in accordance with the Employment Act [24] and the internal rules of the institution, developed under this Act. In [33] are given, as examples, employment rules at Aalborg University.</p>	<p>Institutions are granted large autonomy for employing teachers and researchers.</p>	
<ul style="list-style-type: none"> <li>• The distribution of teaching load</li> </ul>	<p>The didactic workload calculation and its distribution among team members of a program of study and research is an internal matter dealt by the team leader.</p>		
<ul style="list-style-type: none"> <li>• Accounting of the teaching and research load achievement</li> </ul>	<p>There are no official documents describing the methodology of the calculation the workload related research. The number of publications shall be reported, as a rule.</p>		

<b>IX. University scientific research (organization):</b> <ul style="list-style-type: none"> <li>• University structures involved in the organization of scientific research</li> </ul>	<p>Departments are the basic structures responsible for organizing scientific research that serves as support for education based on research [24, 25, 30, 31].</p>	<p>This aspect deserves to be studied in depth in the perspective of implementation in RM</p>	
<ul style="list-style-type: none"> <li>• Involving students in the process of scientific research (incentive mechanisms / incentives for the parties ...)</li> </ul>	<p>The very principle of organization of study programs at all levels in Denmark requires a harmonious link between education and research – research based learning. The importance of this point is particularly strategic for programs of universities [30, 31].</p>		
<ul style="list-style-type: none"> <li>• Scientific research of teachers (achievement planning and control, the methodology of assessing the research activity)</li> </ul>	<p>Academic staff shall be subject to freedom of research within their own academic field of employment and may consequently carry out free research activity within the research strategic framework of the university during the time when they are not instructed to undertake other work. Academic staff must not be instructed, during an extended period of time, to undertake tasks for the entire duration of their working hours, so that in reality they are prevented from exercising their freedom of research. [24-28].</p>		
<ul style="list-style-type: none"> <li>• Research Master</li> </ul>	<p>University masters in Denmark shall be oriented towards research.</p>		
<ul style="list-style-type: none"> <li>• University research funding</li> </ul>	<p>Funding is from the state budget, but universities are increasingly oriented towards attracting funds from business (private sector), international programs, research grants in collaboration with other countries [32]</p>		
<b>X. Doctorate (PhD types),</b> <ul style="list-style-type: none"> <li>• doctoral schools,</li> <li>• Post-doctorate,</li> <li>• Habilitate</li> </ul>	<p>In [9] are described requirements concerning: admission to doctoral studies, the structure of the study program, doctoral program content, program completion, doctoral thesis, the evaluation, correction of the thesis, PhD thesis defense procedure and conferring the degree of doctor. Article 25 of this document includes institutional rules regarding: admission to the doctoral program; the organization of the doctoral program; appointment of the main supervisor as well as any other supervisors, PhD students supervision rules, rules for writing, presentation and defense of the thesis. The University also sets rules on access to the PhD program.</p>		

	<p>Rules should contain a provision to the extent that the institution may grant exemptions from the rules established by the institution. Institution rules and amendments thereto shall be made public on the institution's website.</p> <p>Doctoral studies shall be organized in doctoral schools at faculty or department level. A PhD program comprises 180 ECTS credits. Performing the didactic activity by the PhD student is mandatory.</p>		
	<p>In Denmark industrial doctorate is practiced. In this case the costs are covered by a company and the theme of the doctoral thesis includes the research of important issue for the company.</p> <p>During 3 years after the defending of the PhD thesis, researchers can present a second thesis. The right to supervise PhD students – the competence of the department in the university [9]</p>		

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