

Anexo 1

Síndrome da Imunodeficiência Adquirida (SIDA)

O vírus da imunodeficiência humana VIH, que causa a SIDA¹ (Síndrome da Imunodeficiência Adquirida), foi identificado pela primeira vez em 1983. Desde então, o VIH propagou-se por todo o mundo provocando uma das «pandemias²» mais graves da era moderna. A resposta inicial foi dada pelos sectores público e o não público sem fins lucrativos, que mobilizaram um volume crescente de recursos humanos e financeiros para lutar contra a doença, que todavia não tem cura no estado actual do conhecimento. O sector privado cada vez está mais consciente do impacte que está a ter o VIH/SIDA na força laboral, nos sistemas de produção, nos mercados e nas comunidades locais em que opera.

O VIH é um vírus que debilita as defesas naturais do organismo (isto é, o sistema imunitário) e torna a pessoa mais susceptível a infecções.

A intensa expansão da Pandemia da SIDA³ e as suas graves consequências individuais, familiares e sociais, tornaram necessário um esforço na difusão dos conhecimentos e debate sobre as matérias que envolvem a infecção pelos VIH (Caetano, 2000).

As formas de transmissão do VIH conhecidas actualmente são: o contacto sexual (nas diversas variantes); a transmissão mãe-filho; as transfusões de sangue e hemoderivados; o transplante de órgãos e tecidos humanos; as agulhas, as seringas e outros instrumentos picantes ou cortantes contaminados; a exposição de mucosas e, ou, pele não intacta a fluidos infectados.

A população em risco no âmbito laboral ou de estudo é particularmente a que se refere a pessoas cujas actividades incluam o contacto com pacientes num ambiente de cuidados de saúde, laboratórios ou em outras áreas (docentes; estudantes; trabalhadores da área da saúde; voluntários; etc.).

¹ Foi instituído o dia 1 de Dezembro como o «Dia Mundial da Luta Contra a SIDA.

² Doença que ataca ao mesmo tempo um grande número de indivíduos da mesma região ou a maior parte dos povos do Globo (Grande Dicionário da Língua Portuguesa, 2000; Volume V). Segundo a Wikipedia (2005b), e de uma forma mais pormenorizada, uma «pandemia» (do grego *Pan*, prefixo neutro e *Demos*, povo) é uma epidemia que atinge proporções mundiais. Esta denominação foi pela primeira vez utilizada por Platão, no seu livro «Das Leis». Platão usou-a no sentido genérico, referindo-se a qualquer acontecimento capaz de alcançar toda a população. No mesmo sentido foi também utilizada por Aristóteles. Posteriormente Galeno utilizou o adjectivo pandémico em relação a doenças epidémicas de grande difusão. A incorporação definitiva do termo «pandemia» da forma como é hoje conhecido surgiu a partir do século XVIII, encontrando-se em 1771 o seu registo em francês no Dicionário Universel Français et Latin, de Trévoux. Em português o vocábulo foi incluído como termo médico por Domingos Vieira, em 1873. O conceito moderno de «pandemia» é o de uma epidemia de grandes proporções, que se espalha a vários países e a mais de um continente. Um exemplo, para além da SIDA, tantas vezes citado é o da chamada gripe espanhola, que se seguiu à Primeira Guerra Mundial, nos anos de 1918 e 1919, e que causou a morte de cerca de 20 milhões de pessoas em todo o mundo.

³ A SIDA diagnostica-se quando uma pessoa infectada pelo VIH adoece como consequência de certas infecções.

A exposição ocupacional passa por: lesões percutâneas (picadas, lesões com objectos cortantes, contactos com membranas mucosas ou contacto de pele não intacta - pele com abrasões ou afectada com dermatoses - com sangue, tecidos ou outros fluidos potencialmente infecciosos.

Todos os anos ocorrem Congressos e outras Reuniões Internacionais e Nacionais, Jornadas, Conferências, Seminários, Simpósios, etc., num desejo permanente de comunicar conhecimentos e dúvidas, progressos e retrocessos nesta luta que se iniciou há cerca de vinte anos.

Ao lado dos grandes êxitos da Medicina contemporânea, desde a descrição do genoma⁴ humano (nova percepção do homem, para alcançar a vida eterna na ausência de doenças e a longevidade extrema de cada uma das partes (Rueda, 2002)) e Imagiologia⁵ molecular - geralmente definida como a caracterização e medição *in vivo* dos processos biológicos ao nível celular ou molecular. A Imagiologia Molecular analisa as anomalias moleculares específicas que causam a doença, ao invés de disponibilizar imagens da condição resultante. Com o recurso à Imagiologia Molecular, será, possível, um diagnóstico mais precoce da doença, visto que as alterações a nível molecular precedem sempre qualquer alteração na estrutura anatómica (SIEMENS, 2005) -, até à quase extinção da Poliomielite⁶, tem-se acumulado desastres na saúde das populações, que permitem antever anos sombrios no início do século XXI.

A explosão das Doenças Infecciosas Emergentes (Caetano, 2000), como é o caso da SIDA, aliadas às grandes catástrofes ecológicas do Planeta e à miserável pobreza material e cultural da maioria das populações, provoca grandes preocupações às

⁴ Estrutura de genes distribuída por vinte e três pares de cromossomas que constitui a informação genética que cada indivíduo recebe por transmissão hereditária; código genético (Infopédia, <http://www.infopedia.pt>, 2008-11-11).

⁵ Técnica de exploração médica por meio de imagens (ecografia, mamografia, TAC, etc.) (Infopédia, <http://www.infopedia.pt>, 2008-11-11).

⁶ A Poliomielite é uma doença em erradicação pela vacinação dirigida pela Organização Mundial de Saúde (OMS) – em língua inglesa World Health Organization (WHO) -, causada por um vírus, que origina a paralisia por vezes mortal. Entre 10 e 20 milhões de pessoas - a maioria das quais de países em desenvolvimento - vivem com as consequências da poliomielite, cujo sintoma mais frequente é a paralisia. Em 1988, foi lançada uma campanha mundial de luta contra a poliomielite. Nessa época, a doença afectava 125 países e o vírus infectava anualmente 350 mil crianças. A campanha mundial incidiu na imunização, considerada a forma mais eficaz de prevenção da poliomielite (não existindo ainda nenhum tratamento específico para a doença). Hoje, a poliomielite foi efectivamente eliminada em grande parte do mundo devido ao êxito desses programas de imunização Press Releases (2004). A poliomielite é conhecida desde a pré-história. Em pinturas do antigo Egipto já aparecem figuras com membros flácidos atrofiados típicos da doença. O Imperador romano Claudius na infância ficou paralisado de uma das pernas. O Presidente dos EUA Franklin Delano Roosevelt contraiu a doença em 1921 e foi forçado a utilizar a cadeira de rodas como resultado da paralisção. A primeira descrição médica da doença foi feita por Jakob Heine em 1840. Karl Oskar Medin foi o primeiro a estudá-la mais pormenorizadamente em 1890, o que levou à sua denominação alternativa, doença de Heine-Medin (Wikipedia, 2005c).

Organizações Internacionais responsáveis, particularmente: a OMS, a ONU-SIDA (UNAIDS) e a UNICEF.

As organizações patrocinadoras da UNAIDS são:

- Office of the United Nations High Commissioner for Refugees (UNHCR);
- United Nations Children's Fund (UNICEF);
- World Food Programme (WFP);
- United Nations Development Programme (UNDP);
- United Nations Population Fund (UNFPA);
- United Nations Office on Drugs and Crime (UNODC);
- International Labour Organization (ILO);
- United Nations Educational, Scientific and Cultural Organization (UNESCO);
- World Health Organization (WHO);
- World Bank.

Os chefes de Estado e de Governo e Representantes de Estados e de Governos, reunidos nas Nações Unidas, entre 25 e 27 de Junho de 2001 por ocasião da vigésima sexta sessão extraordinária da Assembleia Geral, convocada nos termos da resolução 55/13, com carácter de urgência, para examinar o problema do VIH/SIDA em todos os seus aspectos, bem como para garantir um compromisso mundial de aumentar a coordenação e intensificar as iniciativas nacionais, regionais e internacionais para combater de uma forma global, decidiram na 8.ª Sessão Plenária de 27 de Junho de 2001 assinar uma «Declaração de compromisso de luta contra o VIH/SIDA⁷» observando com profunda preocupação que a pandemia mundial do VIH/SIDA, pelas suas dimensões e consequências devastadoras, constitui uma emergência mundial e um dos desafios mais graves para a vida e a dignidade do ser humano, assim como para o desfrute efectivo dos direitos humanos, que entrava o desenvolvimento económico e social em todo o mundo e afecta a todos os níveis da sociedade: individual, familiar, comunitário e nacional.

Na actualidade, a riqueza mundial está cada vez menos concentrada em fábricas, terra, ferramentas e maquinarias. O conhecimento e as competências dos indivíduos são

⁷ Centro de Informação das Nações Unidas em Portugal (Assembleia Geral aprova Declaração de Compromisso sobre VIH/SIDA), <http://www.srsdocs.com/parcerias/publicacoes/sidaxxxxxx/assembleia.pdf>, 2008-11-10.

cada vez mais decisivos para a economia mundial. Estima-se que o capital humano nos Estados Unidos da América é hoje pelo menos três vezes maior que o capital físico. Não ocorria assim à cem anos atrás (World Bank, 2000).

O mundo em desenvolvimento está a reagir rapidamente perante este fenómeno, no qual a educação constitui uma preocupação política de primeira ordem. O capital humano de alta qualidade desenvolve-se em sistemas de educação bem qualificados, em que o ensino superior fornece as competências (destrezas) avançadas mais apetecidas actualmente no campo laboral. Na maioria dos países desenvolvidos aumentou substancialmente a proporção de jovens que cursam estudos superiores, e também ocorre a aprendizagem permanente para ajudar os trabalhadores adultos a ajustar-se às economias que estão em rápida transformação.

A pandemia de VIH/SIDA continua a constituir um enorme desafio à saúde e ao desenvolvimento dos países onde o ensino superior tem um papel fundamental.

De acordo com a UNAIDS, e tomando como exemplo, a África representa mais de 60% das infecções e 75% da mortalidade a nível mundial. Aproximadamente 25 milhões de pessoas em África são seropositivos e cerca de 2,3 milhões morreram em 2003. Mulheres jovens com idade compreendida entre os 15 e os 24 anos têm uma probabilidade de serem infectadas de mais do dobro da dos homens. A África Austral permanece a região com taxas persistentemente altas de prevalência de VIH na população em geral. A situação na África Oriental e partes de África Central é bastante diferente e existem sinais promissores, em alguns países, de decrescimento na prevalência da doença. Na África Ocidental, a pandemia é em geral mais contida, com algumas bolsas de infecção em áreas particulares e entre os grupos vulneráveis tais como trabalhadores comerciais do sexo e trabalhadores de alta mobilidade⁸.

O quadro A1.1 mostra o resumo mundial da pandemia da SIDA em relação a Dezembro do ano de 2005.

⁸ Para além da imigração legal, actualmente assiste-se à tentativa de entrada pelo sul da Europa de imigração ilegal do continente africano em particular pela Espanha e Itália.

Quadro A1.1 – Resumo mundial da SIDA actualização a Dezembro de 2005

	Adultos [Milhões]	Mulheres [Milhões]	<15 anos [Milhões]	Total [Milhões]
Indivíduos infectados	38,0	17,5	2,3	40,3
Intervalo	(34,5 – 42,6)	(16,2 – 19,3)	(2,1 – 2,8)	(36,7 – 45,3)
Novas infecções	4,2	-	0,7	4,9
Intervalo	(3,6 – 5,8)		(0,63 – 0,82)	(4,3 – 6,6)
Mortes causadas pela SIDA	2,6	-	0,57	3,1
Intervalo	(2,3 – 2,9)		(0,51 – 0,67)	(2,8 – 3,6)

Fonte: Adaptado de UNAIDS/WHO (2005:1).

Em Junho de 2005, a Junta Coordenadora do Programa VIH/AIDS (UNAIDS), composta pelos Estados-membros, das organizações das Nações Unidas e a sociedade civil, aprovaram um documento da política para a intensificação da prevenção do VIH com o objectivo de alcançar o acesso mundial à prevenção, tratamento e atenção ao VIH. Esse documento inclui programas e acções de reconhecida eficácia que podem utilizar-se para reduzir as diferenças em matéria de prevenção, assim como doze acções políticas necessárias para assegurar o acesso universal. O documento da política da UNAIDS (ONU-SIDA) para a intensificação da prevenção do VIH detalha as acções políticas e programáticas fundamentais para a prevenção do VIH. Em particular nas acções de política fundamentais para a prevenção do VIH destaca-se o n.º 2 «desenvolver e manter a liderança de todos os segmentos da sociedade, incluindo os governos, as comunidades afectadas, as organizações não governamentais, as associações de índole religiosa, o **sector educativo**, os meios de comunicação, o sector privado e os sindicatos», no n.º 10 refere que se deve «mobilizar e fortalecer a capacidade financeira, humana e institucional em todos os sectores e, em especial o da saúde e da **educação**» e no n.º 12 «assegurar um esforço de investimento suficiente na **investigação** e no desenvolvimento de **novas tecnologias** de prevenção e fomentá-las». Nas acções programáticas fundamentais para a prevenção do VIH destaca-se o n.º 8

«concentrar-se a prevenção do VIH entre os jovens», e no n.º 10 «fazer frente ao estigma e à discriminação relacionados com o VIH e reduzi-los».

Instrumentos de avaliação da qualidade de vida

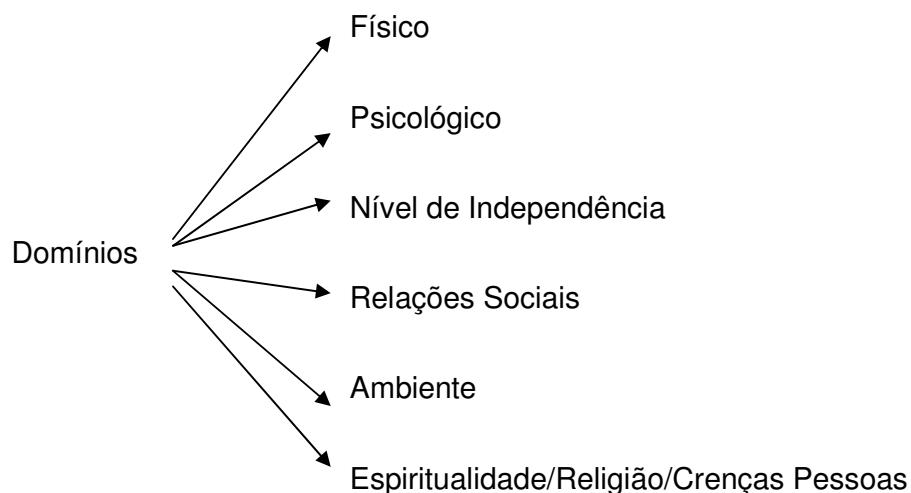
A Constituição da Organização Mundial de Saúde (OMS) define saúde como «um estado de completo bem-estar físico, mental e social e não simplesmente a ausência de doença» (United Nations, 1947:13). Esta definição pressupõe que as iniciativas de promoção de saúde não devam ser apenas dirigidas ao controlo de sintomas, diminuição da mortalidade ou aumento da expectativa de vida mas também ao bem-estar e à qualidade de vida. Neste contexto, através da colaboração de 15 centros internacionais, a OMS desenvolveu um instrumento genérico e transcultural de avaliação da qualidade de vida, o WHOQOL-100 (WHO, 1995), actualmente disponível em mais de 40 idiomas. Contudo, sentiu também a necessidade de complementar este instrumento de avaliação com aspectos particulares da qualidade de vida de pessoas com VIH/SIDA. Com este objectivo, baseado no WHOQOL-100, foi desenvolvido um instrumento específico para avaliar a qualidade de vida nos doentes infectados pelo VIH/SIDA. O objectivo deste trabalho consiste em apresentar as dimensões da qualidade de vida das pessoas infectadas pelo VIH derivadas do estudo piloto conduzido pelo Grupo de Qualidade de Vida na Infecção VIH da Organização Mundial de Saúde WHOQOL-HIV (WHO, 2002a) e WHOQOL-HIV-BREF (WHO, 2002b) (o Centro Português desenvolveu uma metodologia para a validação do WHOQOL-HIV e WHOQOL-HIV-BREF para a população portuguesa).

As perguntas atendem à definição de Qualidade de Vida como «a percepção do indivíduo a partir da sua posição na vida, no contexto da cultura e sistema de valores nos quais vive e em relação às suas próprias metas, expectativas, padrões e preocupações».

A expressão «qualidade de vida» foi utilizada pela primeira vez pelo presidente dos Estados Unidos, Lyndon Johnson em 1964 ao declarar que «os *objectivos* não podem ser medidos através do balanço dos bancos. Eles só podem ser medidos através da qualidade de vida que proporcionam às pessoas» (Kluthcovsky & Takayanagui, 2007). O interesse em conceitos como «padrão de vida» e «qualidade de vida» foi inicialmente partilhado por cientistas sociais, filósofos e políticos. O crescente

desenvolvimento tecnológico da Medicina e ciências afins trouxe como uma consequência negativa a sua progressiva desumanização. Assim, a preocupação com o conceito de «qualidade de vida» refere-se a um movimento dentro das ciências humanas e biológicas no sentido de valorizar parâmetros mais amplos que o controle de sintomas, a diminuição da mortalidade ou o aumento da expectativa de vida.

A seguir mostra-se os domínios e as facetas do instrumento de avaliação da qualidade de vida desenvolvido pela OMS para pessoas infectadas pelo VIH (WHOQOL-HIV). Este instrumento assenta em seis domínios: físico, psicológico, nível de independência, relações sociais, ambiente e espiritualidade/religião/crenças pessoais.



Em cada domínio existe um conjunto de aspectos a considerar os quais se descrevem a seguir:

- Domínio I - **Físico**: dor e desconforto; energia e fadiga; sono e descanso (repouso); sintomas de PVHAs⁹.
- Domínio II – **Psicológico**: sentimentos positivos; cognição (pensamento, aprendizagem, memórias e concentração); auto-estima; corpo (linguagem corporal e aparência); sentimentos negativos.
- Domínio III – **Nível de Independência**: mobilidade; actividades da vida diária; dependência de medicação ou tratamentos; aptidão para o trabalho.
- Domínio IV – **Relações Sociais**: relacionamentos pessoais; apoio social; actividade sexual, inclusão social.

⁹ PVHAs (pessoas que vivem com HIV/AIDS).

- Domínio V: **Ambiente**: segurança física; habitação; finanças; cuidados (acesso e qualidade à saúde e assistência social); informação (adquirir informação nova/aprender novas competências); lazer; ambiente físico (poluição/ruído/trânsito/clima); transporte.
- Domínio VI: **Espiritualidade/Religião/Crenças** **Pessoais**: espiritualidade/religião/crenças pessoais; perdão e culpa; preocupações sobre o futuro; morte e morrer.

Anexo 2

Regime Jurídico da Avaliação da Qualidade do Ensino Superior em Portugal

Regime Jurídico da Avaliação da Qualidade do Ensino Superior em Portugal

Em Portugal, a avaliação da qualidade do ensino superior rege-se, actualmente, pela Lei n.º 38/2007¹, de 16 de Agosto (lei que aprova o regime jurídico da avaliação da qualidade do ensino superior, o qual se designa a seguir por «RJAQES»), aprovada pela Assembleia da República, nos termos da alínea c) do artigo 161.º da Constituição da República Portuguesa². O disposto nesta Lei aplica-se a todas as instituições de ensino superior e a todos os ciclos de estudos.

De acordo com o RJAQES, a avaliação (efectuada de acordo com as boas práticas internacionais na matéria) tem por objecto (artigo 3.º) a qualidade do desempenho das instituições de ensino superior, medindo o grau de cumprimento da sua missão através de parâmetros de desempenho relacionados com a respectiva actuação e com os resultados dela decorrentes. A avaliação tem em especial consideração, na definição e aplicação dos parâmetros de desempenho, a diferença de objectivos entre o ensino superior universitário e o ensino superior politécnico (Lei n.º 49/2005³).

São objectivos da avaliação da qualidade (artigo 5.º do RJAQES): (i) proporcionar a melhoria da qualidade das instituições de ensino superior; (ii) a prestação de informação fundamentada à sociedade sobre o desempenho das instituições de ensino superior; (iii) o desenvolvimento de uma cultura institucional interna de garantia da qualidade.

Neste regime jurídico (RJAQES) os parâmetros de avaliação da qualidade do ensino superior dividem-se em (artigo 4.º): parâmetros de avaliação relacionados com a actuação das instituições de ensino superior e os parâmetros de avaliação da qualidade relacionados com os resultados decorrentes da sua actividade. São parâmetros de

¹ Com a entrada em vigor desta Lei, em 17 de Agosto de 2007, foi revogada a Lei n.º 38/94, de 21 de Novembro, alterada pela Lei n.º 1/2003, de 6 de Janeiro.

² De acordo com a alínea c) do artigo 161.º da Constituição da República Portuguesa (competência política e legislativa), compete à Assembleia da República «fazer leis sobre todas as matérias, salvo as reservadas pela Constituição ao Governo».

³ De acordo com esta Lei o ensino superior compreende o ensino universitário e o ensino politécnico (artigo 11.º, n.º 1). O ensino universitário (artigo 11.º, n.º 3), «orientado por uma constante perspectiva de promoção de investigação e de criação do saber, visa assegurar uma sólida preparação científica e cultural e proporcionar uma formação técnica que habilite para o exercício de actividades profissionais e culturais e fomenta o desenvolvimento das capacidades de concepção, de inovação e de análise crítica». O ensino politécnico (artigo 11.º, n.º 3), «orientado por uma constante perspectiva de investigação aplicada e de desenvolvimento, dirigido à compreensão e solução de problemas concretos, visa proporcionar uma sólida formação cultural e técnica de nível superior, desenvolver a capacidade de inovação e de análise crítica e ministrar conhecimentos científicos de índole teórica e prática e as suas aplicações com vista ao exercício de actividades profissionais».

avaliação da qualidade relacionados com a actuação das instituições de ensino superior: o ensino ministrado, nomeadamente o seu nível científico, as metodologias de ensino e de aprendizagem e os processos de avaliação dos estudantes; a qualificação do corpo docente e a sua adequação à missão da instituição; a estratégia adoptada para garantir a qualidade do ensino e a forma como a mesma é concretizada; a actividade científica, tecnológica e artística, devidamente avaliada e reconhecida, adequada à missão da instituição; a cooperação internacional; a colaboração interdisciplinar, interdepartamental e interinstitucional; a eficiência de organização e de gestão; as instalações e o equipamento didáctico e científico; os mecanismos de acção social. São parâmetros de avaliação da qualidade relacionados com os resultados decorrentes da actividade das instituições de ensino superior: a adequação do ensino ministrado em cada ciclo de estudos às competências, cuja aquisição, aqueles devem assegurar; a realização de ciclos de estudos em conjunto com outras instituições, nacionais ou estrangeiras; a evolução da procura e o alargamento da base social de recrutamento dos estudantes; a capacidade de promover com sucesso a integração dos estudantes; o sucesso escolar; a inserção dos diplomados no mercado de trabalho; a produção científica, tecnológica e artística adequada à missão da instituição; o contacto dos estudantes com actividades de investigação desde os primeiros anos; a valorização económica das actividades de investigação e de desenvolvimento tecnológico adequadas à missão da instituição; a integração em projectos e parcerias nacionais e internacionais; a prestação de serviços à comunidade; o contributo para o desenvolvimento regional e nacional adequado à missão da instituição; a acção cultural, desportiva, artística e, designadamente, o contributo para a promoção da cultura científica; a captação de receitas próprias através da actividade desenvolvida; a informação sobre a instituição e sobre o ensino nela ministrado.

A avaliação da qualidade das instituições de ensino superior deverá obedecer aos seguintes princípios (artigo 7.º do RJAQES): (i) obrigatoriedade⁴ e periodicidade; (ii) intervenção de docentes, de estudantes e de entidades externas; (iii) existência de um sistema de avaliação externa caracterizado pela independência orgânico-funcional do avaliador face à entidade avaliada; (iv) internacionalização; (v) participação das

⁴ A avaliação da qualidade é obrigatória e realiza-se no quadro do sistema europeu de garantia da qualidade no ensino superior (artigo 8.º do RJAQES).

entidades avaliadas nos processos de avaliação externa, incluindo o contraditório; (vi) recorribilidade das decisões.

A avaliação da qualidade deverá incidir sobre (artigo 9.º do RJAQES): (i) as instituições de ensino superior e as suas unidades orgânicas; (ii) os ciclos de estudos. A avaliação da qualidade pode incidir transversalmente sobre parâmetros relevantes do desempenho de conjuntos de estabelecimentos de ensino superior ou de ciclos de estudos.

A avaliação da qualidade reveste as formas de (artigo 10.º do RJAQES): auto-avaliação (realizada por cada estabelecimento de ensino superior) e avaliação externa⁵ (que serve de base aos processos de acreditação para a garantia da qualidade do ensino superior) realizada pela agência⁶ de avaliação e acreditação do ensino superior.

O sistema de avaliação da qualidade deve assegurar a participação:

- dos estudantes (artigo 12.º do RJAQES) através: (i) da sua integração nos processos de auto-avaliação, designadamente através do envolvimento obrigatório dos conselhos pedagógicos e das associações de estudantes; (ii) da sua participação nos inquéritos pedagógicos anónimos ao corpo docente e às disciplinas, obrigatoriamente integrados no processo de auto-avaliação; (iii) da sua audição nos processos de avaliação externa; (iv) da nomeação de representantes das suas associações em órgão do agente de avaliação;
- de entidades externas (artigo 13.º do RJAQES): o sistema de avaliação da qualidade inclui necessariamente a contribuição de entidades externas relevantes para o processo, designadamente das ordens (por exemplo: Ordem dos Advogados, Ordem dos Economistas, Ordem dos Engenheiros, Ordem dos Médicos, etc.) e outras associações públicas profissionais (por exemplo: Câmara dos Técnicos Oficiais de Contas, Câmara dos Solicitadores, etc.), bem como de outras entidades científicas (por exemplo, a Academia das Ciências de Lisboa⁷), culturais e económicas. O sistema de

⁵ De acordo com o artigo 14.º da Lei n.º 38/2007, de 16 de Agosto (RJAQUES), a avaliação externa deverá integrar obrigatoriamente a participação de peritos de instituições estrangeiras ou internacionais nos painéis para ela competentes, em número significativo. A entidade ou agência encarregue da avaliação pode promover a avaliação das instituições de ensino superior e ciclos de estudos em conjunto com instituições estrangeiras dotadas de atribuições similares, designadamente com o objectivo de promover a comparação dos níveis de desempenho à escala internacional de instituições ou cursos congéneres.

⁶ Agência de Avaliação e Acreditação do Ensino Superior criada pelo Decreto-Lei n.º 369/2007, de 5 de Novembro.

⁷ A Academia das Ciências de Lisboa (<http://www.acad-ciencias.pt>) é a organização portuguesa aderente ao *International Council of Scientific Unions* (ICSU) (<http://www.icsu.org>), desde a sua fundação em 1931, e é também um dos membros portugueses da *European Science Foundation* (<http://www.esf.org>) desde o seu início em 1974.

avaliação pode integrar os resultados de avaliações de instituições de ensino ou de ciclos de estudos realizadas por instituições nacionais, estrangeiras ou internacionais que desenvolvam actividade de avaliação dentro dos princípios adoptados pelo sistema europeu de garantia da qualidade do ensino superior.

Os resultados da avaliação externa⁸ (artigo 15.º do RJAQES) devem conter recomendações expressas acerca da decisão a tomar quanto à acreditação ou reaccreditação do objecto da avaliação; expressar-se através de uma classificação qualitativa atribuída, quer em relação à avaliação global, numa escala que permita ordenar e comparar o objecto da avaliação; conter recomendações sobre aspectos concretos, tendo em vista a melhoria da qualidade do desempenho das instituições de ensino superior. Por outro lado os resultados da avaliação externa fundamentam, obrigatoriamente, as decisões sobre a acreditação das instituições de ensino superior e seus ciclos de estudos; e informam, obrigatoriamente, os processos de contratualização entre o Estado e as instituições de ensino superior que visem o financiamento destas.

Tendo em vista a Garantia interna da qualidade (artigo 17.º do RJAQES) as instituições de ensino superior devem adoptar, em função da respectiva missão, uma política de garantia da qualidade dos seus ciclos de estudos, bem como os procedimentos adequados à sua prossecução; empenhar-se, através de medidas concretas, no desenvolvimento de uma cultura da qualidade e da garantia da qualidade na sua actividade e, desenvolver e pôr em prática uma estratégia para a melhoria contínua da qualidade. A estratégia, a política e os procedimentos referidos anteriormente devem ser aprovados formalmente pelo órgão legal e estatutariamente competente da instituição de ensino superior e divulgados publicamente, e assegurar a participação dos estudantes e de outros interessados no processo.

Num passado recente, a Academia tem estabelecido, de forma continuada, valiosos contactos com outras Academias, com vista a promover o intercâmbio cultural, bolsas de investigação e programas conjuntos, numa renovação da sua tradição ancestral. De acordo com os seus Estatutos, são algumas finalidades da Academia: promover e estimular a investigação científica, e tornar públicos os resultados dessa investigação e colaborar em actividades de educação e ensino.

⁸ As instituições de ensino superior devem assegurar especial publicidade aos documentos produzidos no âmbito do processo de auto-avaliação, quer no seu interior, quer para o exterior. Os resultados da avaliação externa são apresentados sob a forma de um relatório elaborado pelo painel de avaliação respectivo e aprovado pelo órgão competente da agência. Com os relatórios de avaliação externa é sempre obrigatória e conjuntamente publicada a resposta do estabelecimento de ensino superior elaborada no âmbito do processo de contraditório (artigo 21.º do RJAQES). Os relatórios de avaliação externa são divulgados publicamente, nomeadamente nos sítios da Internet do ministério da tutela e da instituição avaliada (artigo 16.º do RJAQES).

No âmbito da respectiva auto-avaliação (artigo 18.º do RJAQES), as instituições de ensino superior devem definir procedimentos formais para a aprovação, acompanhamento e avaliação periódica dos seus ciclos de estudos, os quais deverão integrar, obrigatoriamente: (i) a participação dos conselhos pedagógicos e a apreciação dos estudantes, designadamente através daqueles conselhos e das associações destes; (ii) a participação dos centros de investigação que colaboram na organização e funcionamento de ciclos de estudos; (iii) a participação de entidades consultivas externas que colaborem com a instituição. Devem, também, adoptar os procedimentos adequados para se assegurem de que os docentes possuem a qualificação e a competência necessárias ao desempenho das suas funções, os quais devem ser disponibilizados aos responsáveis pelos processos de avaliação externa e ser objecto de apreciação nos relatórios de avaliação. Deverão certificar-se de que os recursos didácticos disponíveis são adequados e apropriados para cada um dos ciclos de estudos que ministram e que recolhem, analisam e usam a informação relevante para a gestão eficaz dos seus ciclos de estudos e de outras actividades. Devem, também, publicar, regularmente, informação quantitativa e qualitativa, actualizada, imparcial e objectiva acerca: (i) dos ciclos de estudos que ministram e graus e diplomas que conferem; (ii) da monitorização do trajecto dos seus diplomados por um período razoável de tempo, na perspectiva da empregabilidade.

A avaliação externa⁹ deverá assentar num conjunto de Princípios (artigo 19.º do RJAQES), ou seja:

- os procedimentos de avaliação externa da qualidade devem ter em conta a eficácia dos procedimentos de garantia da qualidade já referidos anteriormente (artigo 17.º do RJAQES);
- os fins e objectivos dos processos de avaliação externa da qualidade devem ser fixados e tornados públicos antes da sua implantação e aplicação, mediante descrição dos procedimentos a adoptar;

⁹ A recusa, por parte de uma instituição de ensino superior ou sua unidade orgânica, de sujeição a avaliação externa, determina, de acordo com o artigo 20.º do RJAQES, o cancelamento da acreditação dos seus ciclos de estudos e a abertura de um processo de averiguação das condições de funcionamento institucional com as subseqüentes consequências legais. A avaliação externa pode conduzir à comparação (artigo 22.º do RJAQES) entre estabelecimentos de ensino superior, unidades orgânicas, ciclos de estudos e à sua hierarquização relativa (*rankings*) em função de parâmetros a fixar pela entidade avaliadora. As decisões tomadas pelo agente avaliador no âmbito dos processos de avaliação da qualidade são passíveis de recurso para o respectivo órgão competente (artigo 23.º do RJAQES). O agente de avaliação deve elaborar, periodicamente, relatórios de síntese que descrevam e analisem as conclusões gerais resultantes da sua actividade (artigo 24.º do RJAQES).

- as decisões formais tomadas em consequência da avaliação externa da qualidade devem ser baseadas em critérios objectivos, divulgados pública e antecipadamente, e aplicados de forma sistemática e consistente;
- os processos de avaliação externa da qualidade: (i) devem ser concebidos de forma a mostrarem-se adequados aos fins e objectivos previamente fixados; (ii) realizam-se através de painéis de avaliação integrados por peritos independentes, sem relação com o estabelecimento de ensino superior avaliado, e incluem visitas à instituição de ensino e a audição dos representantes dos seus corpos, bem como de entidades externas, designadamente associações profissionais e outras; (iii) devem suscitar de forma aberta os contributos de todos os interessados e considerá-los no seu âmbito; (iv) estão sujeitos a contraditório; (v) que contenham recomendações para a prática de uma acção concreta, ou que exijam um plano de acção subsequente, obrigam à definição de um processo de acompanhamento previamente determinado e à sua concretização de forma consistente;
- a avaliação externa da qualidade das instituições de ensino superior e dos seus ciclos de estudos deve ser realizada periodicamente;
- a duração do ciclo de avaliação e os procedimentos a utilizar devem ser definidos de forma clara e divulgados pública e antecipadamente.

É com base na avaliação da qualidade¹⁰ que se procede à acreditação¹¹ das instituições de ensino superior e dos seus ciclos de estudos no quadro do sistema de garantia da qualidade do ensino superior.

Periodicamente, de acordo com o artigo 25.º do RJAQES, o Governo promoverá a avaliação internacional do sistema de avaliação da qualidade do ensino superior e do agente avaliador, e do sistema de ensino superior.

¹⁰ Conforme refere a Declaração Mundial para a Educação Superior no Século XXI (UNESCO, 1998), no seu artigo 11.º (avaliação da qualidade), a auto-avaliação e a avaliação externa realizadas com transparência por especialistas independentes (sempre que possível especialistas a nível internacional) são essenciais para a melhoria da qualidade.

¹¹ A acreditação visa a garantia do cumprimento dos requisitos mínimos que conduzem ao reconhecimento oficial dos estabelecimentos de ensino superior e dos seus ciclos de estudo (artigo 6.º do RJAQES).

Anexo 3

Livros Verdes

Livros Verdes

A lista seguinte contém os Livros Verdes publicados no âmbito da União Europeia desde o ano de 1984.

Lista de Livros Verdes publicados

Antes do ano de 1990 (1984 - 1989):

- Television Without Frontiers: Green Paper on the establishment of the common market for broadcasting, especially by satellite and cable COM(84) 300, Maio de 1984.
- Perspectives for the common agricultural policy. Communication of the Commission to the Council and the Parliament COM(85) 333, Julho de 1985.
- Rumo a uma economia europeia dinâmica - Livro Verde relativo ao desenvolvimento do mercado comum dos serviços e equipamentos de telecomunicações COM(87) 290, Junho de 1987.
- Livro Verde sobre os direitos de autor e o desafio tecnológico; problemas de direitos de autor que exigem uma acção imediata COM(88) 172, Junho de 1988.

Ano de 1990:

- Livro Verde sobre o ambiente urbano: comunicação da Comissão ao Conselho e ao Parlamento COM(90) 218, Junho de 1990.
- Livro Verde da Comissão sobre o desenvolvimento da normalização europeia: acções para uma integração tecnológica mais rápida na Europa COM(90) 456, Outubro de 1990.
- Rumo a sistemas e serviços à escala europeia - Livro Verde sobre uma abordagem comum no domínio das comunicações por satélite na Comunidade Europeia COM(90) 490, Novembro de 1990.

Ano de 1991:

- Livro Verde sobre o desenvolvimento do mercado único dos serviços postais (Comunicação da Comissão) COM(91) 476, Junho de 1991.

Ano de 1992:

- Livro Verde relativo ao impacto dos transportes sobre o ambiente: uma estratégia comunitária para um desenvolvimento equilibrado do sector dos transportes COM(92) 46, Fevereiro de 1992.
- Pluralismo e concentração dos meios de comunicação no mercado interno - Avaliação da necessidade de uma acção comunitária COM(92) 480, Dezembro de 1992.

Ano de 1993:

- Livro Verde sobre as iniciativas comunitárias 1994-1999 COM(93) 282, Março de 1994.
- Comunicação da Comissão ao Conselho, ao Parlamento Europeu e ao Comité Económico e Social: Livro Verde sobre a reparação dos danos causados no ambiente COM(93) 47, Maio de 1993.
- Livro Verde sobre a dimensão europeia na educação COM(93) 457, Setembro de 1993.
- Livro Verde sobre as garantias dos bens de consumo e os serviços pós-venda COM(93) 509, Novembro de 1993.
- Livro Verde - Política Social Europeia - Opções para a União COM(93) 551, Novembro de 1993.
- Livro Verde - Acesso dos consumidores à justiça e resolução dos litígios de consumo no mercado único COM(93) 576, Novembro de 1993.

Ano de 1994:

- Para uma política energética da União Europeia - Livro verde COM(94) 659, Janeiro de 1995.
- Livro Verde sobre a liberalização da infra-estrutura das telecomunicações e das redes de televisão por cabo - Parte II - Abordagem comum da oferta da infra-estrutura de telecomunicações na União Europeia COM(94) 682, Janeiro de 1995.

- Opções estratégicas para o reforço da indústria de programas no contexto da política audiovisual da União Europeia - Livro Verde COM(94) 96, Abril de 1994.
- Para o ambiente de comunicações pessoais: Livro Verde sobre uma abordagem comum no domínio das comunicações móveis e pessoais na União Europeia COM(94) 145, Abril de 1994.
- Comunicação da Comissão - Livro Verde sobre a liberalização da infra-estrutura de telecomunicações e das redes de televisão por cabo: Parte I - Princípios e calendário COM(94) 440, Outubro de 1994.

Ano de 1995:

- O papel da União em matéria de turismo - Livro Verde da Comissão COM(95) 97, Abril de 1995.
- Livro Verde sobre as modalidades de passagem à moeda única COM(95) 333, Maio de 1995.
- Livro Verde sobre a protecção dos modelos de utilidade no mercado interno COM(95) 370, Julho de 1995.
- Livro Verde - O direito de autor e os direitos conexos na Sociedade da Informação COM(95) 382, Julho de 1995.
- A rede dos cidadãos - Explorar o potencial do transporte público na Europa - Livro Verde da Comissão Europeia COM(95) 601, Novembro de 1995.
- Livro Verde sobre a inovação COM(95) 688, Dezembro de 1995.
- Para uma formação correcta e eficiente dos preços dos transportes - Opções de política para a internalizado dos custos externos dos transportes na União Europeia - Livro Verde COM(95) 691, Dezembro de 1995.

Ano de 1996:

- Controlo comunitário das operações de concentração - Livro Verde relativo à revisão do regulamento das concentrações COM(96) 19, Janeiro de 1996.
- Livro Verde da Comissão - A protecção jurídica dos serviços codificados no mercado interno - Consulta sobre a necessidade de uma acção comunitária COM(96) 76, Março de 1996.

- Comunicação comercial no mercado interno - Livro Verde da Comissão COM(96) 192, Abril de 1996.
- Serviços financeiros: dar resposta às expectativas dos consumidores - Livro Verde COM(96) 209, Maio de 1996.
- Livro Verde - Papel, estatuto e responsabilidade do revisor oficial de contas na União Europeia COM(96) 338, Julho de 1996.
- Livro Verde - Viver e trabalhar na Sociedade da Informação : Prioridade à dimensão humana COM(96) 389, Julho de 1996.
- Educação - Formação - Investigação - Obstáculos à mobilidade transnacional - Livro Verde COM(96) 462, Outubro de 1996.
- Livro Verde sobre a protecção dos menores e da dignidade da pessoa humana nos serviços audiovisuais e de informação COM(96) 483, Outubro de 1996.
- Livro Verde sobre o comércio COM(96) 530, Novembro de 1996.
- Futura política de ruído - Livro Verde da Comissão Europeia COM(96) 540, Novembro de 1996.
- Livro Verde sobre as relações entre a União Europeia e os países ACP no limiar do século XXI - Desafios e opções para uma nova parceria COM(96) 570, Novembro de 1996.
- Comunicação da Comissão - Energia para o futuro: fontes renováveis de energia - Livro Verde para uma estratégia comum COM(96) 576, Novembro de 1996.
- Livro Verde - Os contratos públicos na União Europeia: pistas de reflexão para o futuro COM(96) 583, Novembro de 1996.
- Para um ambiente europeu de numeração - Livro Verde sobre uma política de numeração para os serviços de telecomunicações na Europa COM(96) 590, Novembro de 1996.

Ano de 1997:

- Livro Verde sobre as restrições verticais no âmbito da política comunitária da concorrência COM(96) 721, Janeiro de 1997.
- Livro Verde - Parceria para uma nova organização do trabalho COM(97) 128, Abril de 1997.
- Princípios gerais da legislação alimentar da União Europeia - Livro Verde da Comissão COM(97) 176, Abril de 1997.

- Livro Verde - Os regimes complementares de reforma no mercado único COM(97) 283, Junho de 1997.
- Promover a inovação através das patentes - Livro Verde sobre a patente comunitária e o sistema de patentes na Europa COM(97) 314, Junho de 1997.
- Livro Verde relativo à convergência dos sectores das telecomunicações, dos meios de comunicação social e das tecnologias da informação e às suas implicações na regulamentação - Para uma abordagem centrada na sociedade da informação COM(97) 623, Dezembro de 1997.
- Livro Verde relativo aos portos e às infra-estruturas marítimas COM(97) 678, Dezembro de 1997.

Ano de 1998:

- Informação do sector público: um recurso fundamental para a Europa - Livro Verde sobre a informação do sector público na sociedade da informação COM(98) 585, Janeiro de 1999.
- Livro Verde - O combate à contrafacção e à pirataria no mercado interno COM(98) 569, Outubro de 1998.
- Livro Verde relativo à política de espectro de radiofrequências no contexto das políticas da Comunidade Europeia, como telecomunicações, radiodifusão, transportes e I&D COM(98) 596, Dezembro de 1998.

Ano de 1999:

- Livro Verde - A responsabilidade civil decorrente dos produtos defeituosos COM(1999) 396, Julho de 1999.

Ano de 2000:

- Livro Verde - Assistência judiciária em matéria civil: problemas com que se deparam os litigantes em processos transfronteiras COM(2000) 51, Fevereiro de 2000.
- Livro Verde sobre a transacção de direitos de emissão de gases com efeito de estufa na União Europeia COM(2000) 87, Março de 2000.
- Livro Verde - Aspectos ambientais do PVC COM(2000) 469, Julho de 2000.

- Livro Verde - Para uma estratégia europeia de segurança do aprovisionamento energético COM(2000) 769, Novembro de 2000.

Ano de 2001:

- Livro Verde sobre a política integrada relativa aos produtos COM(2001) 68, Fevereiro de 2001.
- Livro Verde sobre o futuro da política comum da pesca COM(2001) 135, Março de 2001.
- Livro Verde - Promover um quadro europeu para a responsabilidade social das empresas COM(2001) 366, Julho de 2001.
- Comunicação da Comissão ao Conselho e ao Parlamento Europeu sobre o direito europeu dos contratos COM(2001) 398, Julho de 2001.
- Livro Verde - Indemnização das vítimas da criminalidade COM(2001) 536, Setembro de 2001.
- Livro Verde sobre a defesa do consumidor na União Europeia COM(2001) 531, Outubro de 2001.
- Livro Verde sobre a protecção penal dos interesses financeiros comunitários e a criação de um Procurador Europeu COM(2001) 715, Dezembro de 2001.
- Livro Verde relativo à revisão do Regulamento (CEE) n.º 4064/89 do Conselho COM(2001) 745, Dezembro de 2001.

Ano de 2002:

- Livro Verde relativo a uma política comunitária em matéria de regresso dos residentes em situação ilegal COM(2002) 175, Abril de 2002.
- Livro Verde sobre os modos alternativos de resolução dos litígios em matéria civil e comercial COM(2002) 196, Abril de 2002.
- Livro Verde relativo a um procedimento europeu de injunção de pagamento e a medidas para simplificar e acelerar as acções de pequeno montante COM(2002) 746, Dezembro de 2002.

Ano de 2003

- Livro Verde - Política Espacial Europeia COM(2003) 17, Janeiro de 2003.
- Livro Verde - Espírito Empresarial na Europa COM(2003) 27, Janeiro de 2003.

- Livro Verde relativo à transformação da Convenção de Roma de 1980 sobre a lei aplicável às obrigações contratuais num instrumento comunitário e sua modernização COM(2002) 654, Janeiro de 2003.
- Livro Verde da Comissão - Garantias processuais dos suspeitos e arguidos em procedimentos penais na União Europeia COM(2003) 75, Fevereiro de 2003.
- Livro Verde sobre serviços de interesse geral COM(2003) 270, Maio 2003.
- Livro Verde: O futuro das regras de origem nos regimes comerciais preferenciais COM(2003) 787, Dezembro de 2003.

Ano de 2004:

- Livro Verde sobre as parcerias público-privadas e o direito comunitário em matéria de contratos públicos e concessões COM(2004) 327, Abril de 2004.
- Livro Verde - Obrigações de Alimentos COM(2004) 254, Abril de 2004
- Livro Verde sobre a aproximação, o reconhecimento mútuo e a execução das sanções penais na União Europeia COM(2004) 334, Abril de 2004.
- Livro Verde - Igualdade e combate à discriminação na União Europeia alargada COM(2004) 379, Maio 2004.
- Livro Verde sobre o reconhecimento mútuo das medidas de controlo não privativas de liberdade tomadas antes do julgamento COM(2004) 562, Agosto de 2004.
- Livro Verde - Contratos públicos no sector da defesa COM(2004) 608, Setembro de 2004.

Ano de 2005:

- Livro Verde sobre uma abordagem da União europeia em matéria de gestão da migração económica COM(2004) 811, Janeiro de 2005.
- Livro Verde - Sucessões e testamentos COM(2005) 65, Março de 2005.
- Livro Verde sobre a lei aplicável e a competência em matéria de divórcio COM(2005) 82, Março de 2005.
- Livro Verde - Uma nova solidariedade entre gerações face às mutações demográficas COM(2005) 94, Março de 2005.
- Livro Verde sobre a política no domínio dos serviços financeiros (2005-2010) COM(2005) 177, Maio de 2005.

- Livro Verde sobre a eficiência energética ou «Fazer mais com menos» COM(2005) 265, Junho de 2005.
- Livro Verde sobre o reforço do enquadramento que rege os fundos de investimento na UE COM(2005) 314, Julho de 2005.
- Livro Verde - O crédito hipotecário na UE COM(2005) 327, Julho 2005.
- Livro Verde - Melhorar a saúde mental da população. Rumo a uma estratégia de saúde mental para a União Europeia COM(2005) 484, Outubro de 2005.
- Livro verde relativo a um programa europeu de protecção das infra-estruturas críticas COM(2005) 576, Novembro de 2005.
- Livro Verde sobre o futuro da rede europeia das migrações COM(2005) 606, Novembro de 2005.
- Livro Verde - Promoção de regimes alimentares saudáveis e da actividade física: uma dimensão europeia para a prevenção do excesso de peso, da obesidade e das doenças crónicas COM(2005) 637, Dezembro de 2005.
- Livro Verde - Acções de indemnização devido à violação das regras comunitárias no domínio *antitrust* COM(2005) 672, Dezembro de 2005.
- Livro Verde sobre os conflitos de competência e o princípio *ne bis in idem* no âmbito dos procedimentos penais COM(2005) 696, Dezembro de 2005.

Ano de 2006:

- Livro Verde - Estratégia europeia para uma energia sustentável, competitiva e segura COM(2006) 105, Março de 2006.
- Livro Verde - A presunção de inocência COM(2006) 174, Maio de 2006.
- Livro Verde – Iniciativa europeia em matéria de transparência COM(2006) 194, Maio de 2006.
- Livro Verde sobre o papel da sociedade civil na luta contra a droga na União Europeia COM(2006) 316, Junho de 2006.
- Livro verde relativo à resolução dos conflitos de leis em matéria de regime matrimonial, incluindo a questão da competência judiciária e do reconhecimento mútuo COM(2006) 400, Julho de 2006.

- Livro verde sobre uma maior eficácia na execução das decisões judiciais na União Europeia: penhora de contas bancárias COM(2006) 618, Outubro de 2006.
- Livro Verde - A protecção diplomática e consular dos cidadãos da União Europeia nos países terceiros COM(2006) 712, Novembro de 2006.
- Livro verde - Modernizar o direito do trabalho para enfrentar os desafios do século XXI COM(2006) 708, Dezembro de 2006.
- Livro verde - A EUROPA GLOBAL - Os instrumentos de defesa comercial da Europa numa economia global em mutação COM(2006) 763, Dezembro de 2006.
- Livro verde sobre aplicações de navegação por COM(2006) 769, Dezembro de 2006.

Ano de 2007:

- Livro verde por uma Europa sem fumo: opções estratégicas a nível comunitário COM(2007) 27, Janeiro de 2007.
- Livro verde sobre a revisão do acervo relativo à defesa do consumidor COM(2006) 744, Fevereiro de 2007.



**World Declaration on Higher Education for the Twenty-first
Century:
Vision and Action
and
Framework for Priority Action for Change and Development
in Higher Education**

adopted by the

**World Conference on Higher Education
Higher Education in the Twenty-First Century: Vision and
Action**

9 October 1998

Preamble

On the eve of a new century, there is an **unprecedented demand for and a great diversification in higher education, as well as an increased awareness of its vital importance for sociocultural and economic development**, and for building the future, for which the younger generations will need to be equipped with new skills, knowledge and ideals. Higher education includes 'all types of studies, training or training for research at the post-secondary level, provided by universities or other educational establishments that are approved as institutions of higher education by the competent State authorities'.¹ Everywhere higher education is faced with great challenges and difficulties related to financing, equity of conditions at access into and during the course of studies, improved staff development, skills-based training, enhancement and preservation of quality in teaching, research and services, relevance of programmes, employability of graduates, establishment of efficient co-operation agreements and equitable access to the benefits of international co-operation. At the same time, higher education is being challenged by new opportunities relating to technologies that are improving the ways in which knowledge can be produced, managed, disseminated, accessed and controlled. Equitable access to these technologies should be ensured at all levels of education systems.

The second half of this century will go down in the history of higher education as the period of its most spectacular **expansion**: an over sixfold increase in student enrolments worldwide, from 13 million in 1960 to 82 million in 1995. But it is also the period which has seen the gap between industrially developed, **the developing countries and in particular the least developed countries** with regard to access and resources for higher learning and research, already enormous, becoming even wider. It has also been a period of increased socio-economic stratification and greater difference in educational opportunity within countries, including in some of the most developed and wealthiest nations. Without adequate higher education and research institutions providing a critical mass of skilled and educated people, no country can ensure genuine endogenous and sustainable development and, in particular, developing countries and least developed countries cannot reduce the gap separating them from the industrially developed ones. Sharing knowledge, international co-operation and new technologies can offer new opportunities to reduce this gap.

¹ Definition approved by the General Conference of UNESCO at its 27th session (November 1993) in the Recommendation on the Recognition of Studies and Qualifications in Higher Education.

Higher education has given ample proof of its viability over the centuries and of its ability to change and to induce change and progress in society. Owing to the scope and pace of change, society has become increasingly **knowledge-based** so that higher learning and research now act as essential components of cultural, socio-economic and environmentally sustainable development of individuals, communities and nations. Higher education itself is confronted therefore with formidable challenges and must proceed to the most radical **change and renewal it has ever been required** to undertake, so that our society, which is currently undergoing a profound crisis of values, can transcend mere economic considerations and incorporate deeper dimensions of morality and spirituality.

It is with the aim of providing solutions to these challenges and of setting in motion a process of in-depth reform in higher education worldwide that UNESCO has convened a World Conference on Higher Education in the Twenty-First Century: Vision and Action. In preparation for the Conference, UNESCO issued, in 1995, its *Policy Paper for Change and Development in Higher Education*. Five regional consultations (Havana, November 1996; Dakar, April 1997; Tokyo, July 1997; Palermo, September 1997; and Beirut, March 1998) were subsequently held. The Declarations and Plans of Action adopted by them, each preserving its own specificity, are duly taken into account in the present Declaration - as is the whole process of reflection undertaken by the preparation of the World Conference - and are annexed to it.

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We, participants in the World Conference on Higher Education, assembled at UNESCO Headquarters in Paris, from 5 to 9 October 1998,

Recalling the principles of the Charter of the United Nations, the Universal Declaration of Human Rights, the International Covenant on Economic, Social and Cultural Rights, and the International Covenant on Civil and Political Rights,

Recalling also the Universal Declaration of Human Rights which states in Article 26, paragraph 1, that 'Everyone has the right to education' and that 'higher education shall be equally accessible to all on the basis of merit', and endorsing the basic principles of the Convention against Discrimination in Education (1960), which, by Article 4, commits the States Parties to it to 'make higher education equally accessible to all on the basis of individual capacity',

Taking into account the recommendations concerning higher education of major commissions and conferences, *inter alia*, the International Commission on Education for the Twenty-First Century, the World Commission on Culture and Development, the 44th and 45th sessions of the International Conference on Education (Geneva, 1994 and 1996), the decisions taken at the 27th and 29th sessions of UNESCO's General Conference, in particular regarding the Recommendation concerning the Status of Higher-Education Teaching Personnel, the World Conference on Education for All (Jomtien, Thailand, 1990), the United Nations Conference on Environment and Development (Rio de Janeiro, 1992), the Conference on Academic Freedom and University Autonomy (Sinaia, 1992), the World Conference on Human Rights (Vienna, 1993), the World Summit for Social Development (Copenhagen, 1995), the fourth World Conference on Women (Beijing, 1995), the International Congress on Education and Informatics (Moscow, 1996), the World Congress on Higher Education and Human Resources Development for the Twenty-First Century (Manila, 1997), the fifth International Conference on Adult Education (Hamburg, 1997) and especially the Agenda for the Future under Theme 2 (Improving the conditions and quality of learning) stating: 'We commit ourselves to ... opening schools, colleges and universities to adult learners ... by calling upon the World Conference on Higher Education (Paris, 1998) to promote the transformation of post-secondary institutions into lifelong learning institutions and to define the role of universities accordingly',

Convinced that education is a fundamental pillar of human rights, democracy, sustainable development and peace, and shall therefore become accessible to all throughout life and that measures are required to ensure co-ordination and co-operation across and between the various sectors, particularly between general, technical and professional secondary and post-secondary education as well as between universities, colleges and technical institutions,

Believing that, in this context, the solution of the problems faced on the eve of the twenty-first century will be determined by the vision of the future society and by the role that is assigned to education in general and to higher education in particular,

Aware that on the threshold of a new millennium it is the duty of higher education to ensure that the values and ideals of a culture of peace prevail and that the intellectual community should be mobilized to that end,

Considering that a substantial change and development of higher education, the enhancement of its quality and relevance, and the solution to the major challenges it faces, require the strong involvement not only of governments and of higher education institutions, but also of all stakeholders, including students and their families, teachers, business and industry, the public and private sectors of the economy, parliaments, the media, the community, professional associations and society as well as a greater responsibility of higher education institutions towards society and accountability in the use of public and private, national or international resources,

Emphasizing that higher education systems should enhance their capacity to live with uncertainty, to change and bring about change, and to address social needs and to promote solidarity and equity; should preserve and exercise scientific rigour and originality, in a spirit of impartiality, as a basic prerequisite for attaining and sustaining an indispensable level of quality; and should place students at the centre of their concerns, **within a lifelong perspective**, so as to allow their full integration into the global knowledge society of the coming century,

Also believing that international co-operation and exchange are major avenues for advancing higher education throughout the world,

Proclaim the following:

MISSIONS AND FUNCTIONS OF HIGHER EDUCATION

Article 1. Mission to educate, to train and to undertake research

We affirm that the core missions and values of higher education, in particular the mission to contribute to the sustainable development and improvement of society as a whole, should be preserved, reinforced and further expanded, namely, to:

- (a) educate highly qualified graduates and responsible citizens able to meet the needs of all sectors of human activity, by offering relevant qualifications, including professional training, which combine high-level knowledge and skills, using courses and content continually tailored to the present and future needs of society;
- (b) provide opportunities (*espace ouvert*) **for higher learning and for learning throughout life**, giving to learners an optimal range of choice and a flexibility of entry and exit points within the system, as well as an opportunity for individual development and social mobility in order **to educate for citizenship and for active participation in society**, with a worldwide vision, for endogenous capacity-building, and for the consolidation of human rights, sustainable development, democracy and peace, in a context of justice;
- (c) **advance, create and disseminate knowledge** through **research** and provide, as part of its service to the community, relevant expertise to assist societies in cultural, social and economic development, promoting and developing scientific and technological research as well as research in the social sciences, the humanities and the creative arts;
- (d) help **understand, interpret, preserve, enhance, promote and disseminate national and regional, international and historic cultures**, in a context of cultural pluralism and diversity;
- (e) help protect and enhance **societal values** by training young people in the values which form the basis of democratic citizenship and by providing critical and detached perspectives to assist in the discussion of strategic options and the reinforcement of humanistic perspectives;
- (f) contribute to the development and improvement of education at all levels, including through the training of teachers.

Article 2. Ethical role, autonomy, responsibility and anticipatory function

In accordance with the Recommendation concerning the Status of Higher-Education Teaching Personnel approved by the General Conference of UNESCO in November 1997, **higher education institutions and their personnel and students** should:

- (a) preserve and develop their crucial functions, through the exercise of ethics and scientific and intellectual rigour in their various activities;
- (b) be able to speak out on ethical, cultural and social problems completely independently and in full awareness of their responsibilities, exercising a kind of intellectual authority that society needs to help it to reflect, understand and act;
- (c) enhance their critical and forward-looking functions, through continuing analysis of emerging social, economic, cultural and political trends, providing a focus for forecasting, warning and prevention;
- (d) exercise their intellectual capacity and their moral prestige to defend and actively disseminate universally accepted values, including peace, justice, freedom, equality and solidarity, as enshrined in UNESCO's Constitution;
- (e) enjoy full academic autonomy and freedom, conceived as a set of rights and duties, while being fully responsible and accountable to society;
- (f) play a role in helping identify and address issues that affect the well-being of communities, nations and global society.

SHAPING A NEW VISION OF HIGHER EDUCATION

Article 3. Equity of access

- (a) In keeping with Article 26.1 of the Universal Declaration of Human Rights, admission to higher education should be based on the merit, capacity, efforts, perseverance and devotion, showed by those seeking access to it, and can take place in a lifelong scheme, at any time, with due recognition of previously acquired skills. As a consequence, no discrimination can be accepted in granting access to higher education on grounds of race, gender, language or religion, or economic, cultural or social distinctions, or physical disabilities.
- (b) Equity of access to higher education should begin with the reinforcement and, if need be, the reordering of its links with all other levels of education, particularly with secondary education. Higher education institutions must be viewed as, and must also work within themselves to be a part of and encourage, a seamless system starting with early childhood and primary education and continuing through life. Higher education institutions must work in active partnership with parents, schools, students, socio-economic groups and communities. Secondary education should not only prepare qualified candidates for access to higher education by developing the capacity to learn on a broad basis but also open the way to active life by providing training on a wide range of jobs. However, access to higher education should remain open to those successfully completing secondary school, or its equivalent, or presenting entry qualifications, as far as possible, at any age and without any discrimination.
- (c) As a consequence, the rapid and wide-reaching demand for higher education requires, where appropriate, **all policies concerning access to higher education** to give priority in the future to the approach based on the merit of the individual, as defined in Article 3(a) above.
- (d) Access to higher education for members of some special target groups, such as indigenous peoples, cultural and linguistic minorities, disadvantaged groups, peoples living under occupation and those who suffer from disabilities, must be actively facilitated, since these groups as collectivities and as individuals may have both experience and talent that can be of great value for the development of societies and nations. Special material help and educational solutions can help overcome the obstacles that these groups face, both in accessing and in continuing higher education.

Article 4. Enhancing participation and promoting the role of women

- (a) Although significant progress has been achieved to enhance the **access of women** to higher education, various socio-economic, cultural and political obstacles continue in many places in the world to impede their full access and effective integration. To overcome them remains an urgent priority in the renewal process for ensuring an equitable and non-discriminatory system of higher education based on the principle of merit.
- (b) Further efforts are required to eliminate all gender stereotyping in higher education, to consider gender aspects in different disciplines and to consolidate women's participation at all levels and in all disciplines, in which they are under-represented and, in particular, to enhance their active involvement in decision-making.
- (c) Gender studies (women's studies) should be promoted as a field of knowledge, strategic for the transformation of higher education and society.
- (d) Efforts should be made to eliminate political and social barriers whereby women are under-represented and in particular to enhance their active involvement at policy and decision-making levels within higher education and society.

Article 5. Advancing knowledge through research in science, the arts and humanities and the dissemination of its results

- (a) The advancement of knowledge through **research** is an essential function of all **systems** of higher education, which should promote postgraduate studies. **Innovation, interdisciplinarity and transdisciplinarity** should be promoted and reinforced in programmes with long-term orientations on social and cultural aims and needs. An appropriate balance should be established between basic and target-oriented research.
- (b) Institutions should ensure that all members of the academic community engaged in research are provided with appropriate training, resources and support. The intellectual and cultural rights on the results of research should be used to the benefit of humanity and should be protected so that they cannot be abused.
- (c) Research must be enhanced in all disciplines, including the social and human sciences, education (including higher education), engineering, natural sciences, mathematics, informatics and the arts within the framework of national, regional and international research and development policies. Of special importance is the enhancement of research capacities in higher education research institutions, as mutual enhancement of quality takes place when higher education and research are conducted at a high level within the same institution. These institutions should find the material and financial support required, from **both public and private sources**.

Article 6. Long-term orientation based on relevance

- (a) **Relevance** in higher education should be assessed in terms of the fit between what society expects of institutions and what they do. This requires ethical standards, political impartiality, critical capacities and, at the same time, a better articulation with the problems of society and the world of work, **basing long-term orientations on societal aims and needs, including respect for cultures and environmental protection**. The concern is to provide access to both broad general education and targeted, career-specific education, often interdisciplinary, focusing on skills and aptitudes, both of which equip individuals to live in a variety of changing settings, and to be able to change occupations.
- (b) Higher education should **reinforce its role of service to society**, especially its activities aimed at eliminating poverty, intolerance, violence, illiteracy, hunger, environmental degradation and disease, mainly through an **interdisciplinary and transdisciplinary approach** in the analysis of problems and issues.
- (c) Higher education should enhance its contribution to **the development of the whole education system**, notably through improved teacher education, curriculum development and educational research.

- (d) Ultimately, higher education should aim at the creation of a new society - non-violent and non-exploitative - consisting of highly cultivated, motivated and integrated individuals, inspired by love for humanity and guided by wisdom.

Article 7. Strengthening co-operation with the world of work and analysing and anticipating societal needs

- (a) In economies characterized by changes and the emergence of new production paradigms based on knowledge and its application, and on the handling of information, the links between higher education, the world of work and other parts of society should be strengthened and renewed.
- (b) Links with the world of work can be strengthened, through the participation of its representatives in the governance of institutions, the increased use of domestic and international apprenticeship/work-study opportunities for students and teachers, the exchange of personnel between the world of work and higher education institutions and revised curricula more closely aligned with working practices.
- (c) **As a lifelong source of professional training, updating and recycling**, institutions of higher education should systematically take into account trends in the world of work and in the scientific, technological and economic sectors. In order to respond to the work requirements, higher education systems and the world of work should jointly develop and assess learning processes, bridging programmes and prior learning assessment and recognition programmes, which integrate theory and training on the job. Within the framework of their anticipatory function, higher education institutions could contribute to the creation of new jobs, although that is not their only function.
- (d) Developing entrepreneurial skills and initiative should become major concerns of higher education, in order to facilitate employability of graduates who will increasingly be called upon to be not only job seekers but also and above all to become job creators. Higher education institutions should give the opportunity to students to fully develop their own abilities with a sense of social responsibility, educating them to become full participants in democratic society and promoters of changes that will foster equity and justice.

Article 8. Diversification for enhanced equity of opportunity

- (a) Diversifying higher education models and recruitment methods and criteria is essential both to meet increasing international demand and to provide access to various delivery modes and to extend access to an ever-wider public, in a lifelong perspective, based on flexible entry and exit points to and from the system of higher education.
- (b) More diversified systems of higher education are characterized by new types of tertiary institutions: public, private and non-profit institutions, amongst others. Institutions should be able to offer a wide variety of education and training opportunities: traditional degrees, short courses, part-time study, flexible schedules, modularized courses, supported learning at a distance, etc.

Article 9. Innovative educational approaches: critical thinking and creativity

- (a) In a world undergoing rapid changes, there is a perceived need for a new vision and paradigm of higher education, which should be student-oriented, calling in most countries for in-depth reforms and an open access policy so as to cater for ever more diversified categories of people, and of its contents, methods, practices and means of delivery, based on new types of links and partnerships with the community and with the broadest sectors of society.
- (b) Higher education institutions should educate students to become well informed and deeply motivated citizens, who can think critically, analyse problems of society, look for solutions to the problems of society, apply them and accept social responsibilities.
- (c) To achieve these goals, it may be necessary to recast curricula, using new and appropriate methods, so as to go beyond cognitive mastery of disciplines. New pedagogical and didactical approaches should be accessible and promoted in order to facilitate the acquisition

of skills, competences and abilities for communication, creative and critical analysis, **independent thinking and team work in multicultural contexts**, where creativity also involves combining traditional or local knowledge and know-how with advanced science and technology. **These recast curricula should take into account the gender dimension and the specific cultural, historic and economic context of each country.** The teaching of human rights standards and education on the needs of communities in all parts of the world should be reflected in the curricula of all disciplines, particularly those preparing for entrepreneurship. Academic personnel should play a significant role in determining the curriculum.

- (d) New methods of education will also imply new types of teaching-learning materials. These have to be coupled with new methods of testing that will promote not only powers of memory but also powers of comprehension, skills for practical work and creativity.

Article 10. Higher education personnel and students as major actors

- (a) A vigorous policy of staff development is an essential element for higher education institutions. Clear policies should be established concerning higher education teachers, who nowadays need to focus on teaching students how to learn and how to take initiatives rather than being exclusively founts of knowledge. Adequate provision should be made for research and for updating and improving pedagogical skills, through appropriate staff development programmes, encouraging constant innovation in curriculum, teaching and learning methods, and ensuring appropriate professional and financial status, and **for excellence in research and teaching**, reflecting the corresponding provisions of the **Recommendation concerning the Status of Higher-Education Teaching Personnel approved by the General Conference of UNESCO in November 1997**. To this end, more importance should be attached to international experience. Furthermore, in view of the role of higher education for lifelong learning, experience outside the institutions ought to be considered as a relevant qualification for higher educational staff.
- (b) Clear policies should be established by all higher education institutions preparing teachers of early childhood education and for primary and secondary schools, providing stimulus for constant innovation in curriculum, best practices in teaching methods and familiarity with diverse learning styles. It is vital to have appropriately trained administrative and technical personnel.
- (c) **National and institutional decision-makers should place students and their needs at the centre of their concerns**, and should consider them as major partners and responsible stakeholders in the renewal of higher education. This should include student involvement in issues that affect that level of education, in evaluation, the renovation of teaching methods and curricula and, in the institutional framework in force, in policy-formulation and institutional management. As students have the right to organize and represent themselves, students' involvement in these issues should be guaranteed.
- (d) Guidance and counselling services should be developed, in co-operation with student organizations, in order to assist students in the transition to higher education at whatever age and to take account of the needs of ever more diversified categories of learners. Apart from those entering higher education from schools or further education colleges, they should also take account of the needs of those leaving and returning in a lifelong process. Such support is important in ensuring a good match between student and course, reducing drop-out. Students who do drop out should have suitable opportunities to return to higher education if and when appropriate.

FROM VISION TO ACTION

Article 11. Qualitative evaluation

- (a) **Quality in higher education is a multidimensional concept**, which should embrace all its functions, and activities: teaching and academic programmes, research and scholarship, staffing, students, buildings, facilities, equipment, services to the community and the academic environment. Internal self-evaluation and external review, conducted openly by

independent specialists, if possible with international expertise, are vital for enhancing quality. Independent national bodies should be established and comparative standards of quality, recognized at international level, should be defined. **Due attention should be paid to specific institutional, national and regional contexts in order to take into account diversity and to avoid uniformity.** Stakeholders should be an integral part of the institutional evaluation process.

- (b) Quality also requires that higher education should be characterized by its international dimension: exchange of knowledge, interactive networking, mobility of teachers and students, and international research projects, while taking into account the national cultural values and circumstances.
- (c) To attain and sustain national, regional or international quality, certain components are particularly relevant, notably careful selection of staff and continuous staff development, in particular through the promotion of appropriate programmes for academic staff development, including teaching/learning methodology and mobility between countries, between higher education institutions, and between higher education institutions and the world of work, as well as student mobility within and between countries. The new information technologies are an important tool in this process, owing to their impact on the acquisition of knowledge and know-how.

Article 12. The potential and the challenge of technology

The rapid breakthroughs in new information and communication technologies will further change the way knowledge is developed, acquired and delivered. It is also important to note that the new technologies offer opportunities to innovate on course content and teaching methods and to widen access to higher learning. However, it should be borne in mind that new information technology does not reduce the need for teachers but changes their role in relation to the learning process and that the continuous dialogue that converts information into knowledge and understanding becomes fundamental. Higher education institutions should lead in drawing on the advantages and potential of new information and communication technologies, ensuring quality and maintaining high standards for education practices and outcomes in a spirit of openness, equity and international co-operation by:

- (a) engaging in networks, technology transfer, capacity-building, developing teaching materials and sharing experience of their application in teaching, training and research, making knowledge accessible to all;
- (b) creating new learning environments, ranging from distance education facilities to complete virtual higher education institutions and systems, capable of bridging distances and developing high-quality systems of education, thus serving social and economic advancement and democratization as well as other relevant priorities of society, while ensuring that these virtual education facilities, based on regional, continental or global networks, function in a way that respects cultural and social identities;
- (c) noting that, in making full use of information and communication technology (ICT) for educational purposes, particular attention should be paid to removing the grave inequalities which exist among and also within the countries of the world with regard to access to new information and communication technologies and to the production of the corresponding resources;
- (d) adapting ICT to national, regional and local needs and securing technical, educational, management and institutional systems to sustain it;
- (e) facilitating, through international co-operation, the identification of the objectives and interests of all countries, particularly the developing countries, equitable access and the strengthening of infrastructures in this field and the dissemination of such technology throughout society;
- (f) closely following the evolution of the 'knowledge society' in order to ensure high quality and equitable regulations for access to prevail;

- (g) taking the new possibilities created by the use of ICTs into account, while realizing that it is, above all, institutions of higher education that are using ICTs in order to modernize their work, and not ICTs transforming institutions of higher education from real to virtual institutions.

Article 13. Strengthening higher education management and financing

- (a) The management and financing of higher education require the **development of appropriate planning and policy-analysis capacities** and strategies, based on partnerships established between higher education institutions and state and national planning and co-ordination bodies, so as to secure appropriately streamlined management and the cost-effective use of resources. Higher education institutions should **adopt forward-looking management practices** that respond to the needs of their environments. Managers in higher education must be responsive, competent and able to evaluate regularly, by internal and external mechanisms, the effectiveness of procedures and administrative rules.
- (b) Higher education institutions must be given autonomy to manage their internal affairs, but with this autonomy must come clear and transparent accountability to the government, parliament, students and the wider society.
- (c) The ultimate goal of management should be to enhance the institutional mission by ensuring high-quality teaching, training and research, and services to the community. This objective requires **governance that combines social vision, including understanding of global issues, with efficient managerial skills**. Leadership in higher education is thus a major social responsibility and can be significantly strengthened through dialogue with all stakeholders, especially teachers and students, in higher education. The participation of teaching faculty in the governing bodies of higher education institutions should be taken into account, within the framework of current institutional arrangements, bearing in mind the need to keep the size of these bodies within reasonable bounds.
- (d) The promotion of North-South co-operation to ensure the necessary financing for strengthening higher education in the developing countries is essential.

Article 14. Financing of higher education as a public service

The funding of higher education requires both public and private resources. The role of the state remains essential in this regard.

- (a) The diversification of funding sources reflects the support that society provides to higher education and must be further strengthened to ensure the development of higher education, increase its efficiency and maintain its quality and relevance. **Public support for higher education and research remains essential** to ensure a balanced achievement of educational and social missions.
- (b) Society as a whole must support education at all levels, including higher education, given its role in promoting sustainable economic, social and cultural development. **Mobilization for this purpose depends on public awareness and involvement of the public and private sectors** of the economy, parliaments, the media, governmental and non-governmental organizations, students as well as institutions, families and all the social actors involved with higher education.

Article 15. Sharing knowledge and know-how across borders and continents

- (a) The principle of solidarity and true partnership amongst higher education institutions worldwide is crucial for education and training in all fields that encourage an understanding of global issues, the role of democratic governance and skilled human resources in their resolution, and the need for living together with different cultures and values. The practice of multilingualism, faculty and student exchange programmes and institutional linkage to promote intellectual and scientific co-operation should be an integral part of all higher education systems.
- (b) The principles of international co-operation based on solidarity, recognition and mutual support, true partnership that equitably serves the interests of the partners and the value of

sharing knowledge and know-how across borders should govern relationships among higher education institutions in both developed and developing countries and should benefit the least developed countries in particular. Consideration should be given to the need for safeguarding higher education institutional capacities in regions suffering from conflict or natural disasters. Consequently, an international dimension should permeate the curriculum, and the teaching and learning processes.

- (c) Regional and international normative instruments for the recognition of studies should be ratified and implemented, including certification of the skills, competences and abilities of graduates, making it easier for students to change courses, in order to facilitate mobility within and between national systems.

Article 16 - From 'brain drain' to 'brain gain'

The 'brain drain' has yet to be stemmed, since it continues to deprive the developing countries and those in transition, of the high-level expertise necessary to accelerate their socio-economic progress. International co-operation schemes should be based on long-term partnerships between institutions in the South and the North, and also promote South-South co-operation. Priority should be given to training programmes in the developing countries, in centres of excellence forming regional and international networks, with short periods of specialized and intensive study abroad. Consideration should be given to creating an environment conducive to attracting and retaining skilled human capital, either through national policies or international arrangements to facilitate the return - permanent or temporary - of highly trained scholars and researchers to their countries of origin. At the same time, efforts must be directed towards a process of 'brain gain' through collaboration programmes that, by virtue of their international dimension, enhance the building and strengthening of institutions and facilitate full use of endogenous capacities. Experience gained through the UNITWIN/UNESCO Chairs Programme and the principles enshrined in the regional conventions on the recognition of degrees and diplomas in higher education are of particular importance in this respect.

Article 17. Partnership and alliances

Partnership and alliances amongst stakeholders - national and institutional policy-makers, teaching and **related** staff, researchers and students, and administrative and technical personnel in institutions of higher education, the world of work, community groups - is a powerful force in managing change. Also, non-governmental organizations are key actors in this process. Henceforth, **partnership, based on common interest, mutual respect and credibility, should be a prime matrix for renewal in higher education.**

We, the participants in the World Conference on Higher Education, adopt this Declaration and reaffirm the right of all people to education and the right of access to higher education based on individual merit and capacity;

We pledge to act together within the frame of our individual and collective responsibilities, by taking all necessary measures in order to realize the principles concerning higher education contained in the Universal Declaration of Human Rights and in the Convention against Discrimination in Education;

We solemnly reaffirm our commitment to peace. To that end, we are determined to accord high priority to education for peace and to participate in the celebration of the International Year for the Culture of Peace in the year 2000;

We adopt, therefore, this World Declaration on Higher Education for the Twenty-First Century: Vision and Action. To achieve the goals set forth in this Declaration and, in particular, for immediate action, we agree on the following Framework for Priority Action for Change and Development of Higher Education.

Framework for Priority Action for Change and Development of Higher Education

I. PRIORITY ACTIONS AT NATIONAL LEVEL

1. States, including their governments, parliaments and other decision-makers, should:

- (a) establish, where appropriate, the legislative, political and financial framework for the reform and further development of higher education, in keeping with the terms of the Universal Declaration of Human Rights, which establishes that **higher education shall be 'accessible to all on the basis of merit'. No discrimination can be accepted**, no one can be excluded from higher education or its study fields, degree levels and types of institutions on grounds of race, gender, language, religion, or age or because of any economic or social distinctions or physical disabilities;
- (b) reinforce the links between higher education and research;
- (c) consider and use higher education as a catalyst for the entire education system;
- (d) develop higher education institutions to include lifelong learning approaches, giving learners an optimal range of choice and a flexibility of entry and exit points within the system, and redefine their role accordingly, which implies the development of open and continuous access to higher learning and the need for bridging programmes and prior learning assessment and recognition;
- (e) make efforts, when necessary, to establish close links between higher education and research institutions, taking into account the fact that education and research are two closely related elements in the establishment of knowledge;
- (f) develop innovative schemes of collaboration between institutions of higher education and different sectors of society to ensure that higher education and research programmes effectively contribute to local, regional and national development;
- (g) fulfil their commitments to higher education and be accountable for the pledges adopted with their concurrence, at several forums, particularly over the past decade, with regard to human, material and financial resources, human development and education in general, and to higher education in particular;
- (h) have a policy framework to ensure new partnerships and the involvement of all relevant stakeholders in all aspects of higher education: the evaluation process, including curriculum and pedagogical renewal, and guidance and counselling services; and, in the framework of existing institutional arrangements, policy-making and institutional governance;
- (i) **define and implement policies to eliminate all gender stereotyping in higher education** and to consolidate women's participation at all levels and in all disciplines in which they are under-represented at present and, in particular, to enhance their active involvement in decision-making;
- (j) **establish clear policies concerning higher education teachers**, as set out in the Recommendation concerning the Status of Higher-Education Teaching Personnel approved by the General Conference of UNESCO in November 1997;
- (k) recognize students as the centre of attention of higher education, and one of its stakeholders. They should be involved, by means of adequate institutional structures, in the renewal of their level of education (including curriculum and pedagogical reform), and policy decision, in the framework of existing institutional arrangements;
- (l) recognize that students have the right to organize themselves autonomously;
- (m) promote and facilitate national and international mobility of teaching staff and students as an essential part of the quality and relevance of higher education;
- (n) provide and ensure those conditions necessary for the exercise of academic freedom and institutional autonomy so as to allow institutions of higher education, as well as those individuals engaged in higher education and research, to fulfil their obligations to society.

2. States in which enrolment in higher education is low by internationally accepted comparative standards should strive to ensure a level of higher education adequate for relevant needs in the public and private sectors of society and to establish plans for diversifying and expanding access, particularly benefiting all minorities and disadvantaged groups.

3. The interface with general, technical and professional secondary education should be reviewed in depth, in the context of lifelong learning. Access to higher education in whatever form must remain open to those successfully completing secondary education or its equivalent or meeting entry qualifications at any age, while creating gateways to higher education, especially for older students without any formal secondary education certificates, by attaching more importance to their professional experience. However, **preparation for higher education should not be the sole or primary purpose of secondary education, which should also prepare for the world of work**, with complementary training whenever required, in order to provide knowledge, capacities and skills for a wide range of jobs. The concept of bridging programmes should be promoted to allow those entering the job market to return to studies at a later date.

4. **Concrete steps should be taken to reduce the widening gap between industrially developed and developing countries, in particular the least developed countries, with regard to higher education and research.** Concrete steps are also needed to encourage increased co-operation between countries at all levels of economic development with regard to higher education and research. Consideration should be given to making budgetary provisions for that purpose, and developing mutually beneficial agreements involving industry, national as well as international, in order to sustain co-operative activities and projects through appropriate incentives and funding in education, research and the development of high-level experts in these countries.

II. PRIORITY ACTIONS AT THE LEVEL OF SYSTEMS AND INSTITUTIONS

5. **Each higher education institution should define its mission according to the present and future needs of society** and base it on an awareness of the fact that higher education is essential for any country or region to reach the necessary level of sustainable and environmentally sound economic and social development, cultural creativity nourished by better knowledge and understanding of the cultural heritage, higher living standards, and internal and international harmony and peace, based on human rights, democracy, tolerance and mutual respect. These missions should incorporate the concept of academic freedom set out in the Recommendation concerning the Status of Higher-Education Teaching Personnel approved by the General Conference of UNESCO in November 1997.

6. In establishing priorities in their programmes and structures, higher education institutions should:

- (a) take into account the need to abide by the rules of ethics and scientific and intellectual rigour, and the multidisciplinary and transdisciplinary approach;
- (b) be primarily concerned to establish systems of access for the benefit of all persons who have the necessary abilities and motivations;
- (c) use their autonomy and high academic standards to contribute to the sustainable development of society and to the resolution of the issues facing the society of the future. They should develop their capacity to give forewarning through the analysis of emerging social, cultural, economic and political trends, approached in a multidisciplinary and transdisciplinary manner, giving particular attention to:
 - high quality, a clear sense of the social pertinence of studies and their anticipatory function, based on scientific grounds;
 - knowledge of fundamental social questions, in particular related to the elimination of poverty, to sustainable development, to intercultural dialogue and to the shaping of a culture of peace;
 - the need for close connection with effective research organizations or institutions that perform well in the sphere of research;
 - the development of the whole education system in the perspective of the recommendations and the new goals for education as set out in the 1996 report to UNESCO of the International Commission on Education for the Twenty-first Century;
 - fundamentals of human ethics, applied to each profession and to all areas of human endeavour;

- (d) ensure, especially in universities and as far as possible, that faculty members participate in teaching, research, tutoring students and steering institutional affairs;
- (e) take all necessary measures to reinforce their service to the community, especially their activities aimed at eliminating poverty, intolerance, violence, illiteracy, hunger and disease, through an interdisciplinary and transdisciplinary approach in the analysis of challenges, problems and different subjects;
- (f) **set their relations with the world of work on a new basis** involving effective partnerships with all social actors concerned, starting from a reciprocal harmonization of action and the search for solutions to pressing problems of humanity, all this within a framework of responsible autonomy and academic freedoms;
- (g) ensure high quality of international standing, **consider accountability** and both internal and external **evaluation**, with due respect for autonomy and academic freedom, **as being normal and inherent in their functioning**, and institutionalize transparent systems, structures or mechanisms specific thereto;
- (h) as lifelong education requires academic staff to update and improve their teaching skills and learning methods, even more than in the present systems mainly based on short periods of higher teaching, establish appropriate academic staff development structures and/or mechanisms and programmes;
- (i) **promote and develop research, which is a necessary feature of all higher education systems**, in all disciplines, including the human and social sciences and arts, given their relevance for development. Also, research on higher education itself should be strengthened through mechanisms such as the UNESCO/UNU Forum on Higher Education and the UNESCO Chairs in Higher Education. Objective, timely studies are needed to ensure continued progress towards such key national objectives as access, equity, quality, relevance and diversification;
- (j) remove **gender inequalities and biases in curricula and research**, and take all appropriate measures to ensure balanced representation of both men and women among students and teachers, at all levels of management;
- (k) **provide**, where appropriate, **guidance and counselling, remedial courses, training in how to study and other forms of student support**, including measures to improve student living conditions.

7. While the need for closer links between higher education and the world of work is important worldwide, it is particularly vital for the developing countries and especially the least developed countries, given their low level of economic development. Governments of these countries should take appropriate measures to reach this objective through appropriate measures such as strengthening institutions for higher/professional/vocational education. At the same time, international action is needed in order to help establish joint undertakings between higher education and industry in these countries. It will be necessary to give consideration to ways in which higher education graduates could be supported, through various schemes, following the positive experience of the micro-credit system and other incentives, in order to start small- and medium-size enterprises. At the institutional level, developing entrepreneurial skills and initiative should become a major concern of higher education, in order to facilitate employability of graduates who will increasingly be required not only to be job-seekers but to become job-creators.

8. **The use of new technologies should be generalized to the greatest extent possible** to help higher education institutions, to reinforce academic development, to widen access, to attain universal scope and to extend knowledge, as well as to facilitate education throughout life. Governments, educational institutions and the private sector should ensure that informatics and communication network infrastructures, computer facilities and human resources training are adequately provided.

9. **Institutions of higher education should be open to adult learners:**

- (a) by developing coherent mechanisms to recognize the outcomes of learning undertaken in different contexts, and to ensure that credit is transferable within and between institutions, sectors and states;
- (b) by establishing joint higher education/community research and training partnerships, and by bringing the services of higher education institutions to outside groups;

- (c) by carrying out interdisciplinary research in all aspects of adult education and learning with the participation of adult learners themselves;
- (d) by creating opportunities for adult learning in flexible, open and creative ways.

III. ACTIONS TO BE TAKEN AT INTERNATIONAL LEVEL AND, IN PARTICULAR, TO BE INITIATED BY UNESCO

10. **Co-operation should be conceived of as an integral part of the institutional missions of higher education institutions and systems.** Intergovernmental organizations, donor agencies and non-governmental organizations should extend their action in order to develop inter-university co-operation projects in particular through twinning institutions, based on solidarity and partnership, as a means of bridging the gap between rich and poor countries in the vital areas of knowledge production and application. Each institution of higher education should envisage the creation of an appropriate structure and/or mechanism for promoting and managing international co-operation.

11. UNESCO, and other intergovernmental organizations and non-governmental organizations active in higher education, the states through their bilateral and multilateral co-operation programmes, the academic community and all concerned partners in society should further **promote international academic mobility** as a means to advance knowledge and knowledge-sharing in order to bring about and promote solidarity as a main element of the global knowledge society of tomorrow, including through strong support for the joint work plan (1999-2005) of the six intergovernmental committees in charge of the application of the regional conventions on the recognition of studies, degrees and diplomas in higher education and through large-scale co-operative action involving, *inter alia*, the establishment of an educational credit transfer scheme, with particular emphasis on South-South co-operation, the needs of the least developed countries and of the small states with few higher education institutions or none at all.

12. Institutions of higher education in industrialized countries should strive to make arrangements for international co-operation with sister institutions in developing countries and in particular with those of poor countries. In their co-operation, the institutions should make efforts to ensure fair and just recognition of studies abroad. UNESCO should take initiatives to develop higher education throughout the world, setting itself clear-cut goals that could lead to tangible results. One method might be to implement projects in different regions renewing efforts towards creating and/or strengthening centres of excellence in developing countries, in particular through the UNITWIN/UNESCO Chairs Programme, relying on networks of national, regional and international higher education institutions.

13. UNESCO, together with all concerned parts of society, should also undertake action in order to **alleviate the negative effects of 'brain drain' and to shift to a dynamic process of 'brain gain'**. An overall analysis is required in all regions of the world of the causes and effects of brain drain. **A vigorous campaign** should be launched **through the concerted effort of the international community** and on the basis of academic solidarity and should encourage the return to their home country of expatriate academics, as well as the involvement of **university volunteers** - newly retired academics or young academics at the beginning of their career - who wish to teach and undertake research at higher education institutions in developing countries. At the same time it is essential to support the developing countries in their efforts to build and strengthen their own educational capacities.

14. Within this framework, UNESCO should:

- (a) **promote better co-ordination among intergovernmental, supranational and non-governmental organizations, agencies and foundations that sponsor existing programmes and projects for international co-operation in higher education.** Furthermore, co-ordination efforts should take place in the context of national priorities. This could be conducive to the pooling and sharing of resources, avoid overlapping and promote better identification of projects, greater impact of action and increased assurance of their validity through collective agreement and review. Programmes aiming at the rapid transfer of knowledge, supporting institutional development and establishing centres of excellence in all areas of knowledge, in particular for peace education, conflict resolution, human rights and democracy, should be supported by institutions and by public and private donors;
- (b) jointly with the United Nations University and with National Commissions and various intergovernmental and non-governmental organizations, become a forum of reflection on higher education issues aiming at: (i) preparing update reports on the state of knowledge on higher education issues in all parts of the world; (ii) promoting innovative projects of

training and research, intended to enhance the specific role of higher education in lifelong education; (iii) reinforcing international co-operation and emphasizing the role of higher education for citizenship education, sustainable development and peace; and (iv) facilitating exchange of information and establishing, when appropriate, a database on successful experiences and innovations that can be consulted by institutions confronted with problems in their reforms of higher education;

- (c) take specific action to support institutions of higher education in the least developed parts of the world and in regions suffering the effects of conflict or natural disasters;
- (d) make renewed efforts towards creating or/and strengthening centres of excellence in developing countries;
- (e) take the initiative to draw up an international instrument on academic freedom, autonomy and social responsibility in connection with the Recommendation concerning the Status of Higher-Education Teaching Personnel;
- (f) ensure follow-up to the World Declaration on Higher Education and the Framework for Priority Action, jointly with other intergovernmental and non-governmental organizations and with all higher education stakeholders, including the United Nations University, the NGO Collective Consultation on Higher Education and the UNESCO Student Forum. It should have a crucial role in promoting international co-operation in the field of higher education in implementing this follow-up. Consideration should be given to according priority to this in the development of UNESCO's next draft Programme and Budget.

SORBONNE JOINT DECLARATION

JOINT DECLARATION ON HARMONISATION OF THE ARCHITECTURE OF THE EUROPEAN HIGHER EDUCATION SYSTEM

*by the four Ministers in charge for France, Germany, Italy and the United Kingdom
Paris, the Sorbonne, May 25 1998*

The European process has very recently moved some extremely important steps ahead. Relevant as they are, they should not make one forget that Europe is not only that of the Euro, of the banks and the economy: it must be a Europe of knowledge as well. We must strengthen and build upon the intellectual, cultural, social and technical dimensions of our continent. These have to a large extent been shaped by its universities, which continue to play a pivotal role for their development.

Universities were born in Europe, some three-quarters of a millenium ago. Our four countries boast some of the oldest, who are celebrating important anniversaries around now, as the University of Paris is doing today. In those times, students and academics would freely circulate and rapidly disseminate knowledge throughout the continent. Nowadays, too many of our students still graduate without having had the benefit of a study period outside of national boundaries.

We are heading for a period of major change in education and working conditions, to a diversification of courses of professional careers with education and training throughout life becoming a clear obligation. We owe our students, and our society at large, a higher education system in which they are given the best opportunities to seek and find their own area of excellence.

An open European area for higher learning carries a wealth of positive perspectives, of course respecting our diversities, but requires on the other hand continuous efforts to remove barriers and to develop a framework for teaching and learning, which would enhance mobility and an ever closer cooperation.

The international recognition and attractive potential of our systems are directly related to their external and internal readabilities. A system, in which two main cycles, undergraduate and graduate, should be recognized for international comparison and equivalence, seems to emerge.

Much of the originality and flexibility in this system will be achieved through the use of credits (such as in the ECTS scheme) and semesters. This will allow for validation of these acquired credits for those who choose initial or continued education in different European universities and wish to be able to acquire degrees in due time throughout life. Indeed, students should be able to enter the academic world at any time in their professional life and from diverse backgrounds.

Undergraduates should have access to a diversity of programmes, including opportunities for multidisciplinary studies, development of a proficiency in languages and the ability to use new information technologies.

International recognition of the first cycle degree as an appropriate level of qualification is important for the success of this endeavour, in which we wish to make our higher education schemes clear to all.

In the graduate cycle there would be a choice between a shorter master's degree and a longer doctor's degree, with possibilities to transfer from one to the other. In both graduate degrees, appropriate emphasis would be placed on research and autonomous work.

At both undergraduate and graduate level, students would be encouraged to spend at least one semester in universities outside their own country. At the same time, more teaching and research staff should be working in European countries other than their own. The fast growing support of the European Union, for the mobility of students and teachers should be employed to the full.

Most countries, not only within Europe, have become fully conscious of the need to foster such evolution. The conferences of European rectors, University presidents, and groups of experts and academics in our respective countries have engaged in widespread thinking along these lines.

A convention, recognising higher education qualifications in the academic field within Europe, was agreed on last year in Lisbon. The convention set a number of basic requirements and acknowledged that individual countries could engage in an even more constructive scheme. Standing by these conclusions, one can build on them and go further. There is already much common ground for the mutual recognition of higher education degrees for professional purposes through the respective directives of the European Union.

Our governments, nevertheless, continue to have a significant role to play to these ends, by encouraging ways in which acquired knowledge can be validated and respective degrees can be better recognised. We expect this to promote further inter-university agreements. Progressive harmonisation of the overall framework of our degrees and cycles can be achieved through strengthening of already existing experience, joint diplomas, pilot initiatives, and dialogue with all concerned.

We hereby commit ourselves to encouraging a common frame of reference, aimed at improving external recognition and facilitating student mobility as well as employability. The anniversary of the University of Paris, today here in the Sorbonne, offers us a solemn opportunity to engage in the endeavour to create a European area of higher education, where national identities and common interests can interact and strengthen each other for the benefit of Europe, of its students, and more generally of its citizens. We call on other Member States of the Union and other European countries to join us in this objective and on all European Universities to consolidate Europe's standing in the world through continuously improved and updated education for its citizens.

**Claude
ALLEGRE**

Minister for
National
Education,
Research
and
Technology
(France)

**Luigi
BERLINGUER**

Minister for
Public
Instruction,
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**Tessa
BLACKSTONE**

Minister for Higher
Education (United
Kingdom)

**Jürgen
RÜTTGERS**

Minister for
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The Bologna Declaration of 19 June 1999

Joint declaration of the European Ministers of Education

The European process, thanks to the extraordinary achievements of the last few years, has become an increasingly concrete and relevant reality for the Union and its citizens. Enlargement prospects together with deepening relations with other European countries, provide even wider dimensions to that reality. Meanwhile, we are witnessing a growing awareness in large parts of the political and academic world and in public opinion of the need to establish a more complete and far-reaching Europe, in particular building upon and strengthening its intellectual, cultural, social and scientific and technological dimensions.

A Europe of Knowledge is now widely recognised as an irreplaceable factor for social and human growth and as an indispensable component to consolidate and enrich the European citizenship, capable of giving its citizens the necessary competences to face the challenges of the new millennium, together with an awareness of shared values and belonging to a common social and cultural space.

The importance of education and educational co-operation in the development and strengthening of stable, peaceful and democratic societies is universally acknowledged as paramount, the more so in view of the situation in South East Europe.

The Sorbonne declaration of 25th of May 1998, which was underpinned by these considerations, stressed the Universities' central role in developing European cultural dimensions. It emphasised the creation of the European area of higher education as a key way to promote citizens' mobility and employability and the

Continent's overall development.

Several European countries have accepted the invitation to commit themselves to achieving the objectives set out in the declaration, by signing it or expressing their agreement in principle. The direction taken by several higher education reforms launched in the meantime in Europe has proved many Governments' determination to act.

European higher education institutions, for their part, have accepted the challenge and taken up a main role in constructing the European area of higher education, also in the wake of the fundamental principles laid down in the Bologna Magna Charta Universitatum of 1988. This is of the highest importance, given that Universities' independence and autonomy ensure that higher education and research systems continuously adapt to changing needs, society's demands and advances in scientific knowledge.

The course has been set in the right direction and with meaningful purpose. The achievement of greater compatibility and comparability of the systems of higher education nevertheless requires continual momentum in order to be fully accomplished. We need to support it through promoting concrete measures to achieve tangible forward steps. The 18th June meeting saw participation by authoritative experts and scholars from all our countries and provides us with very useful suggestions on the initiatives to be taken.

We must in particular look at the objective of increasing the international competitiveness of the European system of higher education. The vitality and efficiency of any civilisation can be measured by the appeal that its culture has for other countries. We need to ensure that the European higher education system acquires a world-wide degree of attraction equal to our extraordinary

cultural and scientific traditions.

While affirming our support to the general principles laid down in the Sorbonne declaration, we engage in co-ordinating our policies to reach in the short term, and in any case within the first decade of the third millennium, the following objectives, which we consider to be of primary relevance in order to establish the European area of higher education and to promote the European system of higher education world-wide:

Adoption of a system of **easily readable and comparable degrees**, also through the implementation of the Diploma Supplement, in order to promote European citizens employability and the international competitiveness of the European higher education system

Adoption of a system essentially based on **two main cycles**, undergraduate and graduate. Access to the second cycle shall require successful completion of first cycle studies, lasting a minimum of three years. The degree awarded after the first cycle shall also be relevant to the European labour market as an appropriate level of qualification. The second cycle should lead to the master and/or doctorate degree as in many European countries.

Establishment of a **system of credits** - such as in the ECTS system - as a proper means of promoting the most widespread student mobility. Credits could also be acquired in non-higher education contexts, including lifelong learning, provided they are recognised by receiving Universities concerned.

Promotion of **mobility** by overcoming obstacles to the effective exercise of free movement with particular attention to:

- for students, access to study and training opportunities and to related services

- for teachers, researchers and administrative staff, recognition and valorisation of periods spent in a European context researching, teaching and training, without prejudicing their statutory rights.

Promotion of **European co-operation in quality assurance** with a view to developing comparable criteria and methodologies.

Promotion of the **necessary European dimensions in higher education**, particularly with regards to curricular development, inter-institutional co-operation, mobility schemes and integrated programmes of study, training and research.

We hereby undertake to attain these objectives - within the framework of our institutional competences and taking full respect of the diversity of cultures, languages, national education systems and of University autonomy - to consolidate the European area of higher education. To that end, we will pursue the ways of intergovernmental co-operation, together with those of non governmental European organisations with competence on higher education. We expect Universities again to respond promptly and positively and to contribute actively to the success of our endeavour.

Convinced that the establishment of the European area of higher education requires constant support, supervision and adaptation to the continuously evolving needs, we decide to meet again within two years in order to assess the progress achieved and the new steps to be taken.

Signatories:

Caspar EINEM Minister of Science and Transport (Austria)	
Jan ADE Director General Ministry of the Flemish Community Department of Education (Belgium)	Gerard SCHMIT Director General of French Community Ministry for Higher Education and Research (Belgium)
Eduard ZEMAN Minister of Education, Youth and Sport (Czech Republic)	Anna Mmia TOTOMANOVA Vice Minister of Education and Science (Bulgaria)
Tonis LUKAS Minister of Education (Estonia)	Margrethe VESTAGER Minister of Education (Denmark)
Claude ALLEGRE Minister of National Education, Research and Technology (France)	Maija RASK Minister of Education and Science (Finland)
Ute ERDSIEK-RAVE Minister of Education, Science, Research And Culture of the Land Schleswig-Holstein (Permanent Conference of the Ministers of Culture of the German Länders)	Wolf-Michael CATENHUSEN Parliamentary State Secretary Federal Ministry of Education and Research (Germany)
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Baroness Tessa BLACKSTONE of Stoke Newington Minister of State for Education and Employment (United Kingdom)	Charles KLEIBER State Secretary for Science and Research (Swiss Confederation)

TOWARDS THE EUROPEAN HIGHER EDUCATION AREA

Communiqué of the meeting of European Ministers in charge of Higher Education

in Prague on May 19th 2001

Two years after signing the Bologna Declaration and three years after the Sorbonne Declaration, European Ministers in charge of higher education, representing 32 signatories, met in Prague in order to review the progress achieved and to set directions and priorities for the coming years of the process. Ministers reaffirmed their commitment to the objective of establishing the European Higher Education Area by 2010. The choice of Prague to hold this meeting is a symbol of their will to involve the whole of Europe in the process in the light of enlargement of the European Union.

Ministers welcomed and reviewed the report "Furthering the Bologna Process" commissioned by the follow-up group and found that the goals laid down in the Bologna Declaration have been widely accepted and used as a base for the development of higher education by most signatories as well as by universities and other higher education institutions. Ministers reaffirmed that efforts to promote mobility must be continued to enable students, teachers, researchers and administrative staff to benefit from the richness of the European Higher Education Area including its democratic values, diversity of cultures and languages and the diversity of the higher education systems.

Ministers took note of the Convention of European higher education institutions held in Salamanca on 29-30 March and the recommendations of the Convention of European Students, held in Göteborg on 24-25 March, and appreciated the active involvement of the European University Association (EUA) and the National Unions of Students in Europe (ESIB) in the Bologna process. They further noted and appreciated the many other initiatives to take the process further. Ministers also took note of the constructive assistance of the European Commission.

Ministers observed that the activities recommended in the Declaration concerning degree structure have been intensely and widely dealt with in most countries. They especially appreciated how the work on quality assurance is moving forward. Ministers recognized the need to cooperate to address the challenges brought about by transnational education. They also recognized the need for a lifelong learning perspective on education.

FURTHER ACTIONS FOLLOWING THE SIX OBJECTIVES OF THE BOLOGNA PROCESS

As the Bologna Declaration sets out, Ministers asserted that building the European Higher Education Area is a condition for enhancing the attractiveness and competitiveness of higher education institutions in Europe. They supported the idea that higher education should be considered a public good and is and will remain a public responsibility (regulations etc.), and that students are full members of the higher education community. From this point of view Ministers commented on the further process as follows:

Adoption of a system of easily readable and comparable degrees

Ministers strongly encouraged universities and other higher education institutions to take full advantage of existing national legislation and European tools aimed at facilitating academic and professional recognition of course units, degrees and other awards, so that citizens can effectively use their qualifications, competencies and skills throughout the European Higher Education Area.

Ministers called upon existing organisations and networks such as NARIC and ENIC to promote, at institutional, national and European level, simple, efficient and fair recognition reflecting the underlying diversity of qualifications.

Adoption of a system essentially based on two main cycles

Ministers noted with satisfaction that the objective of a degree structure based on two main

cycles, articulating higher education in undergraduate and graduate studies, has been tackled and discussed. Some countries have already adopted this structure and several others are considering it with great interest. It is important to note that in many countries bachelor's and master's degrees, or comparable two cycle degrees, can be obtained at universities as well as at other higher education institutions. Programmes leading to a degree may, and indeed should, have different orientations and various profiles in order to accommodate a diversity of individual, academic and labour market needs as concluded at the Helsinki seminar on bachelor level degrees (February 2001).

Establishment of a system of credits

Ministers emphasized that for greater flexibility in learning and qualification processes the adoption of common cornerstones of qualifications, supported by a credit system such as the ECTS or one that is ECTS-compatible, providing both transferability and accumulation functions, is necessary. Together with mutually recognized quality assurance systems such arrangements will facilitate students' access to the European labour market and enhance the compatibility, attractiveness and competitiveness of European higher education. The generalized use of such a credit system and of the Diploma Supplement will foster progress in this direction.

Promotion of mobility

Ministers reaffirmed that the objective of improving the mobility of students, teachers, researchers and administrative staff as set out in the Bologna Declaration is of the utmost importance. Therefore, they confirmed their commitment to pursue the removal of all obstacles to the free movement of students, teachers, researchers and administrative staff and emphasized the social dimension of mobility. They took note of the possibilities for mobility offered by the European Community programmes and the progress achieved in this field, e.g. in launching the Mobility Action Plan endorsed by the European Council in Nice in 2000.

Promotion of European cooperation in quality assurance

Ministers recognized the vital role that quality assurance systems play in ensuring high quality standards and in facilitating the comparability of qualifications throughout Europe. They also encouraged closer cooperation between recognition and quality assurance networks. They emphasized the necessity of close European cooperation and mutual trust in and acceptance of national quality assurance systems. Further they encouraged universities and other higher education institutions to disseminate examples of best practice and to design scenarios for mutual acceptance of evaluation and accreditation/certification mechanisms. Ministers called upon the universities and other higher education institutions, national agencies and the European Network of Quality Assurance in Higher Education (ENQA), in cooperation with corresponding bodies from countries which are not members of ENQA, to collaborate in establishing a common framework of reference and to disseminate best practice.

Promotion of the European dimensions in higher education

In order to further strengthen the important European dimensions of higher education and graduate employability Ministers called upon the higher education sector to increase the development of modules, courses and curricula at all levels with "European" content, orientation or organisation. This concerns particularly modules, courses and degree curricula offered in partnership by institutions from different countries and leading to a recognized joint degree.

FURTHERMORE MINISTERS EMPHASIZED THE FOLLOWING POINTS:

Lifelong learning

Lifelong learning is an essential element of the European Higher Education Area. In the future Europe, built upon a knowledge-based society and economy, lifelong learning strategies are necessary to face the challenges of competitiveness and the use of new technologies and to improve social cohesion, equal opportunities and the quality of life.

Higher education institutions and students

Ministers stressed that the involvement of universities and other higher education institutions and of students as competent, active and constructive partners in the establishment and

shaping of a European Higher Education Area is needed and welcomed. The institutions have demonstrated the importance they attach to the creation of a compatible and efficient, yet diversified and adaptable European Higher Education Area. Ministers also pointed out that quality is the basic underlying condition for trust, relevance, mobility, compatibility and attractiveness in the European Higher Education Area. Ministers expressed their appreciation of the contributions toward developing study programmes combining academic quality with relevance to lasting employability and called for a continued proactive role of higher education institutions.

Ministers affirmed that students should participate in and influence the organisation and content of education at universities and other higher education institutions. Ministers also reaffirmed the need, recalled by students, to take account of the social dimension in the Bologna process.

Promoting the attractiveness of the European Higher Education Area

Ministers agreed on the importance of enhancing attractiveness of European higher education to students from Europe and other parts of the world. The readability and comparability of European higher education degrees world-wide should be enhanced by the development of a common framework of qualifications, as well as by coherent quality assurance and accreditation/certification mechanisms and by increased information efforts.

Ministers particularly stressed that the quality of higher education and research is and should be an important determinant of Europe's international attractiveness and competitiveness.

Ministers agreed that more attention should be paid to the benefit of a European Higher Education Area with institutions and programmes with different profiles. They called for increased collaboration between the European countries concerning the possible implications and perspectives of transnational education.

CONTINUED FOLLOW-UP

Ministers committed themselves to continue their cooperation based on the objectives set out in the Bologna Declaration, building on the similarities and benefiting from the differences between cultures, languages and national systems, and drawing on all possibilities of intergovernmental cooperation and the ongoing dialogue with European universities and other higher education institutions and student organisations as well as the Community programmes.

Ministers welcomed new members to join the Bologna process after applications from Ministers representing countries for which the European Community programmes Socrates and Leonardo da Vinci or Tempus-Cards are open. They accepted applications from Croatia, Cyprus and Turkey.

Ministers decided that a new follow-up meeting will take place in the second half of 2003 in Berlin to review progress and set directions and priorities for the next stages of the process towards the European Higher Education Area. They confirmed the need for a structure for the follow-up work, consisting of a follow-up group and a preparatory group. The follow-up group should be composed of representatives of all signatories, new participants and the European Commission, and should be chaired by the EU Presidency at the time. The preparatory group should be composed of representatives of the countries hosting the previous ministerial meetings and the next ministerial meeting, two EU member states and two non-EU member states; these latter four representatives will be elected by the follow-up group. The EU Presidency at the time and the European Commission will also be part of the preparatory group. The preparatory group will be chaired by the representative of the country hosting the next ministerial meeting.

The European University Association, the European Association of Institutions in Higher Education (EURASHE), the National Unions of Students in Europe and the Council of Europe should be consulted in the follow-up work.

In order to take the process further, Ministers encouraged the follow-up group to arrange seminars to explore the following areas: cooperation concerning accreditation and quality assurance, recognition issues and the use of credits in the Bologna process, the development of joint degrees, the social dimension, with specific attention to obstacles to mobility, and the enlargement of the Bologna process, lifelong learning and student involvement



“Realising the European Higher Education Area”

Communiqué of the Conference of Ministers
responsible for Higher Education
in Berlin on 19 September 2003

Preamble

On 19 June 1999, one year after the Sorbonne Declaration, Ministers responsible for higher education from 29 European countries signed the Bologna Declaration. They agreed on important joint objectives for the development of a coherent and cohesive European Higher Education Area by 2010. In the first follow-up conference held in Prague on 19 May 2001, they increased the number of the objectives and reaffirmed their commitment to establish the European Higher Education Area by 2010. On 19 September 2003, Ministers responsible for higher education from 33 European countries met in Berlin in order to review the progress achieved and to set priorities and new objectives for the coming years, with a view to speeding up the realisation of the European Higher Education Area. They agreed on the following considerations, principles and priorities:

Ministers reaffirm the importance of the social dimension of the Bologna Process. The need to increase competitiveness must be balanced with the objective of improving the social characteristics of the European Higher Education Area, aiming at strengthening social cohesion and reducing social and gender inequalities both at national and at European level. In that context, Ministers reaffirm their position that higher education is a public good and a public responsibility. They emphasise that in international academic cooperation and exchanges, academic values should prevail.

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

Ministers take note of the Progress Report commissioned by the Follow-up Group on the development of the Bologna Process between Prague and Berlin. They also take note of the Trends-III Report prepared by the European University Association (EUA), as well as of the results of the seminars, which were organised as part of the work programme between Prague and Berlin by several member States and Higher Education Institutions, organisations and students. Ministers further note the National Reports, which are evidence of the considerable progress being made in the application of the principles of the Bologna Process. Finally, they take note of the messages from the European Commission and the Council of Europe and acknowledge their support for the implementation of the Process.

Ministers agree that efforts shall be undertaken in order to secure closer links overall between the higher education and research systems in their respective countries. The emerging European Higher Education Area will benefit from synergies with the European Research Area, thus strengthening the basis of the Europe of Knowledge. The aim is to preserve Europe's cultural richness and linguistic diversity, based on its heritage of diversified traditions, and to foster its potential of innovation and social and economic development through enhanced co-operation among European Higher Education Institutions.

Ministers recognise the fundamental role in the development of the European Higher Education Area played by Higher Education Institutions and student organisations. They take note of the message from the European University Association (EUA) arising from the Graz Convention of Higher Education Institutions, the contributions from the European Association of Institutions in Higher Education (EURASHE) and the communications from ESIB – The National Unions of Students in Europe.

Ministers welcome the interest shown by other regions of the world in the development of the European Higher Education Area, and welcome in particular the presence of representatives from European countries not yet party to the Bologna Process as well as from the Follow-up Committee of the European Union, Latin America and Caribbean (EULAC) Common Space for Higher Education as guests at this conference.

Progress

Ministers welcome the various initiatives undertaken since the Prague Higher Education Summit to move towards more comparability and compatibility, to make higher education systems more transparent and to enhance the quality of European higher education at institutional and national levels. They appreciate the co-operation and commitment of all partners - Higher Education Institutions, students and other stakeholders - to this effect.

Ministers emphasise the importance of all elements of the Bologna Process for establishing the European Higher Education Area and stress the need to intensify the efforts at institutional, national and European level. However, to give the Process further momentum, they commit themselves to intermediate priorities for the next two years. They will strengthen their efforts to promote effective quality assurance systems, to step up effective use of the system based on two cycles and to improve the recognition system of degrees and periods of studies.

Quality Assurance

The quality of higher education has proven to be at the heart of the setting up of a European Higher Education Area. Ministers commit themselves to supporting further development of quality assurance at institutional, national and European level. They stress the need to develop mutually shared criteria and methodologies on quality assurance.

They also stress that consistent with the principle of institutional autonomy, the primary responsibility for quality assurance in higher education lies with each institution itself and this provides the basis for real accountability of the academic system within the national quality framework.

Therefore, they agree that by 2005 national quality assurance systems should include:

- A definition of the responsibilities of the bodies and institutions involved.
- Evaluation of programmes or institutions, including internal assessment, external review, participation of students and the publication of results.
- A system of accreditation, certification or comparable procedures.
- International participation, co-operation and networking.

At the European level, Ministers call upon ENQA through its members, in co-operation with the EUA, EURASHE and ESIB, to develop an agreed set of standards, procedures and guidelines on quality assurance, to explore ways of ensuring an adequate peer review system for quality assurance and/or accreditation agencies or bodies, and to report back through the Follow-up Group to Ministers in 2005. Due account will be taken of the expertise of other quality assurance associations and networks.

Degree structure: Adoption of a system essentially based on two main cycles

Ministers are pleased to note that, following their commitment in the Bologna Declaration to the two-cycle system, a comprehensive restructuring of the European landscape of higher education is now under way. All Ministers commit themselves to having started the implementation of the two cycle system by 2005.

Ministers underline the importance of consolidating the progress made, and of improving understanding and acceptance of the new qualifications through reinforcing dialogue within institutions and between institutions and employers.

Ministers encourage the member States to elaborate a framework of comparable and compatible qualifications for their higher education systems, which should seek to describe qualifications in terms of workload, level, learning outcomes, competences and profile. They also undertake to elaborate an overarching framework of qualifications for the European Higher Education Area.

Within such frameworks, degrees should have different defined outcomes. First and second cycle degrees should have different orientations and various profiles in order to accommodate a diversity of individual, academic and labour market needs. First cycle degrees should give access, in the sense of the Lisbon Recognition Convention, to second cycle programmes. Second cycle degrees should give access to doctoral studies.

Ministers invite the Follow-up Group to explore whether and how shorter higher education may be linked to the first cycle of a qualifications framework for the European Higher Education Area.

Ministers stress their commitment to making higher education equally accessible to all, on the basis of capacity, by every appropriate means.

Promotion of mobility

Mobility of students and academic and administrative staff is the basis for establishing a European Higher Education Area. Ministers emphasise its importance for academic and cultural as well as political, social and economic spheres. They note with satisfaction that since their last meeting, mobility figures have increased, thanks also to the substantial support of the European Union programmes, and agree to undertake the necessary steps to improve the quality and coverage of statistical data on student mobility.

They reaffirm their intention to make every effort to remove all obstacles to mobility within the European Higher Education Area. With a view to promoting student mobility, Ministers will take the necessary steps to enable the portability of national loans and grants.

Establishment of a system of credits

Ministers stress the important role played by the European Credit Transfer System (ECTS) in facilitating student mobility and international curriculum development. They note that ECTS is increasingly becoming a generalised basis for the national credit systems. They encourage further progress with the goal that the ECTS becomes not only a transfer but also an accumulation system, to be applied consistently as it develops within the emerging European Higher Education Area.

Recognition of degrees: Adoption of a system of easily readable and comparable degrees

Ministers underline the importance of the Lisbon Recognition Convention, which should be ratified by all countries participating in the Bologna Process, and call on the ENIC and NARIC networks along with the competent National Authorities to further the implementation of the Convention.

They set the objective that every student graduating as from 2005 should receive the Diploma Supplement automatically and free of charge. It should be issued in a widely spoken European language.

They appeal to institutions and employers to make full use of the Diploma Supplement, so as to take advantage of the improved transparency and flexibility of the higher education degree systems, for fostering employability and facilitating academic recognition for further studies.

Higher education institutions and students

Ministers welcome the commitment of Higher Education Institutions and students to the Bologna Process and recognise that it is ultimately the active participation of all partners in the Process that will ensure its long-term success.

Aware of the contribution strong institutions can make to economic and societal development, Ministers accept that institutions need to be empowered to take decisions on their internal organisation and administration. Ministers further call upon institutions to ensure that the reforms become fully integrated into core institutional functions and processes.

Ministers note the constructive participation of student organisations in the Bologna Process and underline the necessity to include the students continuously and at an early stage in further activities.

Students are full partners in higher education governance. Ministers note that national legal measures for ensuring student participation are largely in place throughout the European Higher Education Area. They also call on institutions and student organisations to identify ways of increasing actual student involvement in higher education governance.

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

Promotion of the European dimension in higher education

Ministers note that, following their call in Prague, additional modules, courses and curricula with European content, orientation or organisation are being developed.

They note that initiatives have been taken by Higher Education Institutions in various European countries to pool their academic resources and cultural traditions in order to promote the development of integrated study programmes and joint degrees at first, second and third level.

Moreover, they stress the necessity of ensuring a substantial period of study abroad in joint degree programmes as well as proper provision for linguistic diversity and language learning, so that students may achieve their full potential for European identity, citizenship and employability.

Ministers agree to engage at the national level to remove legal obstacles to the establishment and recognition of such degrees and to actively support the development and adequate quality assurance of integrated curricula leading to joint degrees.

Promoting the attractiveness of the European Higher Education Area

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

Ministers declare that transnational exchanges in higher education should be governed on the basis of academic quality and academic values, and agree to work in all appropriate fora to that end. In all appropriate circumstances such fora should include the social and economic partners.

They encourage the co-operation with regions in other parts of the world by opening Bologna seminars and conferences to representatives of these regions.

Lifelong learning

Ministers underline the important contribution of higher education in making lifelong learning a reality. They are taking steps to align their national policies to realise this goal and urge Higher Education Institutions and all concerned to enhance the possibilities for lifelong learning at higher education level including the recognition of prior learning. They emphasise that such action must be an integral part of higher education activity.

Ministers furthermore call those working on qualifications frameworks for the European Higher Education Area to encompass the wide range of flexible learning paths, opportunities and techniques and to make appropriate use of the ECTS credits.

They stress the need to improve opportunities for all citizens, in accordance with their aspirations and abilities, to follow the lifelong learning paths into and within higher education.

Additional Actions

European Higher Education Area and European Research Area – two pillars of the knowledge based society

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

Ministers will make the necessary effort to make European Higher Education Institutions an even more attractive and efficient partner. Therefore Ministers ask Higher Education Institutions to increase the role and relevance of research to technological, social and cultural evolution and to the needs of society.

Ministers understand that there are obstacles inhibiting the achievement of these goals and these cannot be resolved by Higher Education Institutions alone. It requires strong support, including financial, and appropriate decisions from national Governments and European Bodies.

Finally, Ministers state that networks at doctoral level should be given support to stimulate the development of excellence and to become one of the hallmarks of the European Higher Education Area.

Stocktaking

With a view to the goals set for 2010, it is expected that measures will be introduced to take stock of progress achieved in the Bologna Process. A mid-term stocktaking exercise would provide reliable information on how the Process is actually advancing and would offer the possibility to take corrective measures, if appropriate.

Ministers charge the Follow-up Group with organising a stocktaking process in time for their summit in 2005 and undertaking to prepare detailed reports on the progress and implementation of the intermediate priorities set for the next two years:

- quality assurance
- two-cycle system
- recognition of degrees and periods of studies

Participating countries will, furthermore, be prepared to allow access to the necessary information for research on higher education relating to the objectives of the Bologna Process. Access to data banks on ongoing research and research results shall be facilitated.

Further Follow-up

New members

Ministers consider it necessary to adapt the clause in the Prague Communiqué on applications for membership as follows:

Countries party to the European Cultural Convention shall be eligible for membership of the European Higher Education Area provided that they at the same time declare their willingness to pursue and implement the objectives of the Bologna Process in their own systems of higher education. Their applications should contain information on how they will implement the principles and objectives of the declaration.

Ministers decide to accept the requests for membership of Albania, Andorra, Bosnia and Herzegovina, Holy See, Russia, Serbia and Montenegro, "the Former Yugoslav Republic of Macedonia" and to welcome these states as new members thus expanding the process to 40 European Countries.

Ministers recognise that membership of the Bologna Process implies substantial change and reform for all signatory countries. They agree to support the new signatory countries in those changes and reforms, incorporating them within the mutual discussions and assistance, which the Bologna Process involves.

Follow-up structure

Ministers entrust the implementation of all the issues covered in the Communiqué, the overall steering of the Bologna Process and the preparation of the next ministerial meeting to a Follow-up Group, which shall be composed of the representatives of all members of the Bologna Process and the European Commission, with the Council of Europe, the EUA, EURASHE, ESIB and UNESCO/CEPES as consultative members. This group, which should be convened at least twice a year, shall be chaired by the EU Presidency, with the host country of the next Ministerial Conference as vice-chair.

A Board also chaired by the EU Presidency shall oversee the work between the meetings of the Follow-up Group. The Board will be composed of the chair, the next host country as vice-chair, the preceding and the following EU Presidencies, three participating countries elected by the Follow-up Group for one year, the European Commission and, as consultative members, the Council of Europe, the EUA, EURASHE and ESIB. The Follow-up Group as well as the Board may convene ad hoc working groups as they deem necessary.

The overall follow-up work will be supported by a Secretariat which the country hosting the next Ministerial Conference will provide.

In its first meeting after the Berlin Conference, the Follow-up Group is asked to further define the responsibilities of the Board and the tasks of the Secretariat.

Work programme 2003-2005

Ministers ask the Follow-up Group to co-ordinate activities for progress of the Bologna Process as indicated in the themes and actions covered by this Communiqué and report on them in time for the next ministerial meeting in 2005.

Next Conference

Ministers decide to hold the next conference in the city of Bergen (Norway) in May 2005.



The European Higher Education Area - Achieving the Goals

Communiqué of the Conference of
European Ministers Responsible for Higher Education,
Bergen, 19-20 May 2005

We, Ministers responsible for higher education in the participating countries of the Bologna Process, have met for a mid-term review and for setting goals and priorities towards 2010. At this conference, we have welcomed Armenia, Azerbaijan, Georgia, Moldova and Ukraine as new participating countries in the Bologna Process. We all share the common understanding of the principles, objectives and commitments of the Process as expressed in the Bologna Declaration and in the subsequent communiqués from the Ministerial Conferences in Prague and Berlin. We confirm our commitment to coordinating our policies through the Bologna Process to establish the European Higher Education Area (EHEA) by 2010, and we commit ourselves to assisting the new participating countries to implement the goals of the Process.

I. Partnership

We underline the central role of higher education institutions, their staff and students as partners in the Bologna Process. Their role in the implementation of the Process becomes all the more important now that the necessary legislative reforms are largely in place, and we encourage them to continue and intensify their efforts to establish the EHEA. We welcome the clear commitment of higher education institutions across Europe to the Process, and we recognise that time is needed to optimise the impact of structural change on curricula and thus to ensure the introduction of the innovative teaching and learning processes that Europe needs.

We welcome the support of organisations representing business and the social partners and look forward to intensified cooperation in reaching the goals of the Bologna Process. We further welcome the contributions of the international institutions and organisations that are partners to the Process.

II. Taking stock

We take note of the significant progress made towards our goals, as set out in the General Report 2003-2005 from the Follow-up Group, in EUA's *Trends IV* report, and in ESIB's report *Bologna with Student Eyes*.

At our meeting in Berlin, we asked the Follow-up Group for a mid-term stocktaking, focusing on three priorities – the degree system, quality assurance and the recognition of degrees and periods of study. From the stocktaking report we note that substantial progress has been made in these three priority areas. It will be important to ensure that progress is consistent across all participating countries. We therefore see a need for greater sharing of expertise to build capacity at both institutional and governmental level.

The degree system

We note with satisfaction that the two-cycle degree system is being implemented on a large scale, with more than half of the students being enrolled in it in most countries. However, there are still some obstacles to access between cycles. Furthermore, there is a need for greater dialogue, involving Governments, institutions and social partners, to increase the employability of graduates with bachelor qualifications, including in appropriate posts within the public service.

We adopt the overarching framework for qualifications in the EHEA, comprising three cycles (including, within national contexts, the possibility of intermediate qualifications), generic descriptors for each cycle based on learning outcomes and competences, and credit ranges in the first and second cycles. We commit ourselves to elaborating national frameworks for qualifications compatible with the overarching framework for qualifications in the EHEA by 2010, and to having started work on this by 2007. We ask the Follow-up Group to report on the implementation and further development of the overarching framework.

We underline the importance of ensuring complementarity between the overarching framework for the EHEA and the proposed broader framework for qualifications for lifelong learning encompassing general education as well as vocational education and training as now being developed within the European Union as well as among participating countries. We ask the European Commission fully to consult all parties to the Bologna Process as work progresses.

Quality assurance

Almost all countries have made provision for a quality assurance system based on the criteria set out in the Berlin Communiqué and with a high degree of cooperation and networking. However, there is still progress to be made, in particular as regards student involvement and international cooperation. Furthermore, we urge higher education institutions to continue their efforts to enhance the quality of their activities through the systematic introduction of internal mechanisms and their direct correlation to external quality assurance.

We adopt the standards and guidelines for quality assurance in the European Higher Education Area as proposed by ENQA. We commit ourselves to introducing the proposed model for peer review of quality assurance agencies on a national basis, while respecting the commonly accepted guidelines and criteria. We welcome the principle of a European register of quality assurance agencies based on national review. We ask that the practicalities of implementation be further developed by ENQA in cooperation with EUA, EURASHE and ESIB with a report back to us through the Follow-up Group. We underline the importance of cooperation between nationally recognised agencies with a view to enhancing the mutual recognition of accreditation or quality assurance decisions.

Recognition of degrees and study periods

We note that 36 of the 45 participating countries have now ratified the Lisbon Recognition Convention. We urge those that have not already done so to ratify the Convention without delay. We commit ourselves to ensuring the full implementation of its principles, and to incorporating them in national legislation as appropriate. We call on all participating countries to address recognition problems identified by the ENIC/NARIC networks. We will draw up national action plans to improve the quality of the process associated with the recognition of foreign qualifications. These plans will form part of each country's national report for the next Ministerial Conference. We express support for the subsidiary texts to the Lisbon Recognition Convention and call upon all national authorities and other stakeholders to recognise joint degrees awarded in two or more countries in the EHEA.

We see the development of national and European frameworks for qualifications as an opportunity to further embed lifelong learning in higher education. We will work with higher education institutions and others to improve recognition of prior learning including, where possible, non-formal and informal learning for access to, and as elements in, higher education programmes.

III. Further challenges and priorities

Higher education and research

We underline the importance of higher education in further enhancing research and the importance of research in underpinning higher education for the economic and cultural development of our societies and for social cohesion. We note that the efforts to introduce structural change and improve the quality of teaching should not detract from the effort to strengthen research and innovation. We therefore emphasise the importance of research and research training in maintaining and improving the quality of and enhancing the competitiveness and attractiveness of the EHEA. With a view to achieving better results we recognise the need to improve the synergy between the higher education sector and other research sectors throughout our respective countries and between the EHEA and the European Research Area.

To achieve these objectives, doctoral level qualifications need to be fully aligned with the EHEA overarching framework for qualifications using the outcomes-based approach. The core component of doctoral training is the advancement of knowledge through original research. Considering the need for structured doctoral programmes and the need for transparent supervision and assessment, we note that the normal workload of the third cycle in most countries would correspond to 3-4 years full time. We urge universities to ensure that their doctoral programmes promote interdisciplinary training and the development of transferable skills, thus meeting the needs of the wider employment market. We need to achieve an overall increase in the numbers of doctoral candidates taking up research careers within the EHEA. We consider participants in third cycle programmes both as students and as early stage researchers. We charge the Bologna Follow-up Group with inviting the European University Association, together with other interested partners, to prepare a report under the responsibility of the Follow-up Group on the further development of the basic principles for doctoral programmes, to be presented to Ministers in 2007. Overregulation of doctoral programmes must be avoided.

The social dimension

The social dimension of the Bologna Process is a constituent part of the EHEA and a necessary condition for the attractiveness and competitiveness of the EHEA. We therefore renew our commitment to making quality higher education equally accessible to all, and stress the need for appropriate conditions for students so that they can complete their studies without obstacles related to their social and economic background. The social dimension includes measures taken by governments to help students, especially from socially disadvantaged groups, in financial and economic aspects and to provide them with guidance and counselling services with a view to widening access.

Mobility

We recognise that mobility of students and staff among all participating countries remains one of the key objectives of the Bologna Process. Aware of the many remaining challenges to be overcome, we reconfirm our commitment to facilitate the portability of grants and loans where appropriate through joint action, with a view to making mobility within the EHEA a reality. We shall intensify our efforts to lift obstacles to mobility by facilitating the delivery of visa and work permits and by encouraging participation in mobility programmes. We urge institutions and students to make full use of mobility programmes, advocating full recognition of study periods abroad within such programmes.

The attractiveness of the EHEA and cooperation with other parts of the world

The European Higher Education Area must be open and should be attractive to other parts of the world. Our contribution to achieving education for all should be based on the principle of sustainable development and be in accordance with the ongoing international work on developing guidelines for quality provision of cross-border higher education. We reiterate that in international academic cooperation, academic values should prevail.

We see the European Higher Education Area as a partner of higher education systems in other regions of the world, stimulating balanced student and staff exchange and cooperation between higher education institutions. We underline the importance of intercultural understanding and respect. We look forward to enhancing the understanding of the Bologna Process in other continents by sharing our experiences of reform processes with neighbouring regions. We stress the need for dialogue on issues of mutual interest. We see the need to identify partner regions and intensify the exchange of ideas and experiences with those regions. We ask the Follow-up Group to elaborate and agree on a strategy for the external dimension.

IV. Taking stock on progress for 2007

We charge the Follow-up Group with continuing and widening the stocktaking process and reporting in time for the next Ministerial Conference. We expect stocktaking to be based on the appropriate methodology and to continue in the fields of the degree system, quality assurance and recognition of degrees and study periods, and by 2007 we will have largely completed the implementation of these three intermediate priorities.

In particular, we shall look for progress in:

- implementation of the standards and guidelines for quality assurance as proposed in the ENQA report;
- implementation of the national frameworks for qualifications;
- the awarding and recognition of joint degrees, including at the doctorate level;
- creating opportunities for flexible learning paths in higher education, including procedures for the recognition of prior learning.

We also charge the Follow-up Group with presenting comparable data on the mobility of staff and students as well as on the social and economic situation of students in participating countries as a basis for future stocktaking and reporting in time for the next Ministerial Conference. The future stocktaking will have to take into account the social dimension as defined above.

V. Preparing for 2010

Building on the achievements so far in the Bologna Process, we wish to establish a European Higher Education Area based on the principles of quality and transparency. We must cherish our rich heritage and cultural diversity in contributing to a knowledge-based society. We commit ourselves to upholding the principle of public responsibility for higher education in the context of complex modern societies. As higher education is situated at the crossroads of research, education and innovation, it is also the key to Europe's competitiveness. As we move closer to 2010, we undertake to ensure that higher education institutions enjoy the necessary autonomy to implement the agreed reforms, and we recognise the need for sustainable funding of institutions.

The European Higher Education Area is structured around three cycles, where each level has the function of preparing the student for the labour market, for further competence building and for active citizenship. The overarching framework for qualifications, the agreed set of European standards and guidelines for quality assurance and the recognition of degrees and periods of study are also key characteristics of the structure of the EHEA.

We endorse the follow-up structure set up in Berlin, with the inclusion of the Education International (EI) Pan-European Structure, the European Association for Quality Assurance in Higher Education (ENQA), and the Union of Industrial and Employers' Confederations of Europe (UNICE) as new consultative members of the Follow-up Group.

As the Bologna Process leads to the establishment of the EHEA, we have to consider the appropriate arrangements needed to support the continuing development beyond 2010, and we ask the Follow-up Group to explore these issues.

We will hold the next Ministerial Conference in London in 2007.

45 countries participate in the Bologna Process and are members of the Follow-up Group: Albania, Andorra, Armenia, Austria, Azerbaijan, Belgium (Flemish Community and French Community), Bosnia and Herzegovina, Bulgaria, Croatia, Cyprus, the Czech Republic, Denmark, Estonia, Finland, France, Georgia, Germany, Greece, the Holy See, Hungary, Iceland, Ireland, Italy, Latvia, Liechtenstein, Lithuania, Luxembourg, Malta, Moldova, the Netherlands, Norway, Poland, Portugal, Romania, the Russian Federation, Serbia and Montenegro, the Slovak Republic, Slovenia, Spain, Sweden, Switzerland, "the former Yugoslav Republic of Macedonia", Turkey, Ukraine and the United Kingdom. In addition, the European Commission is a voting member of the Follow-up Group.

The Council of Europe, the National Unions of Students in Europe (ESIB), the Education International (EI) Pan-European Structure, the European Association for Quality Assurance in Higher Education (ENQA), the European University Association (EUA), the European Association of Institutions in Higher Education (EURASHE), the European Centre for Higher Education (UNESCO-CEPES) and the Union of Industrial and Employers' Confederations of Europe (UNICE) are consultative members of the Follow-up Group.



18 May 2007

London Communiqué

Towards the European Higher Education Area: responding to challenges in a globalised world

1. Introduction

1.1 We, the Ministers responsible for Higher Education in the countries participating in the Bologna Process, have met in London to review progress made since we convened in Bergen in 2005.

1.2 Based on our agreed criteria for country membership, we welcome the Republic of Montenegro as a member of the Bologna Process.

1.3 Developments over the last two years have brought us a significant step closer to the realisation of the European Higher Education Area (EHEA). Building on our rich and diverse European cultural heritage, we are developing an EHEA based on institutional autonomy, academic freedom, equal opportunities and democratic principles that will facilitate mobility, increase employability and strengthen Europe's attractiveness and competitiveness. As we look ahead, we recognise that, in a changing world, there will be a continuing need to adapt our higher education systems, to ensure that the EHEA remains competitive and can respond effectively to the challenges of globalisation. In the short term, we appreciate that implementing the Bologna reforms is a significant task, and appreciate the continuing support and commitment of all partners in the process. We welcome the contribution of the working groups and seminars in helping to drive forward progress. We agree to continue to work together in partnership, assisting one another in our efforts and promoting the exchange of good practice.

1.4 We reaffirm our commitment to increasing the compatibility and comparability of our higher education systems, whilst at the same time respecting their diversity. We recognise the important influence higher education institutions (HEIs) exert on developing our societies, based on their traditions as centres of learning, research, creativity and knowledge transfer as well as their key role in defining and transmitting the values on which our societies are built. Our aim is to ensure that our HEIs have the necessary resources to continue to fulfil their full range of purposes. Those purposes include: preparing students for life as active citizens in a democratic society; preparing students for their future careers and enabling their personal development; creating and maintaining a broad, advanced knowledge base; and stimulating research and innovation.

1.5 We therefore underline the importance of strong institutions, which are diverse, adequately funded, autonomous and accountable. The principles of non-discrimination and equitable access should be respected and promoted throughout the EHEA. We commit to upholding these principles and to ensuring that neither students nor staff suffer discrimination of any kind.

2. Progress towards the EHEA

2.1 Our stocktaking report, along with EUA's *Trends V* report, ESIB's *Bologna With Student Eyes* and Eurydice's *Focus on the Structure of Higher Education in Europe*, confirms that there has been good overall progress in the last two years. There is an increasing awareness that a significant outcome of the process will be a move towards student-centred higher education and away from teacher driven provision. We will continue to support this important development.

Mobility

2.2 Mobility of staff, students and graduates is one of the core elements of the Bologna Process, creating opportunities for personal growth, developing international cooperation between individuals and institutions, enhancing the quality of higher education and research, and giving substance to the European dimension.

2.3 Some progress has been made since 1999, but many challenges remain. Among the obstacles to mobility, issues relating to immigration, recognition, insufficient financial incentives and inflexible pension arrangements feature prominently. We recognise the responsibility of individual Governments to facilitate the delivery of visas, residence and work permits, as appropriate. Where these measures are outside our competence as Ministers for Higher Education, we undertake to work within our respective Governments for decisive progress in this area. At national level, we will work to implement fully the agreed recognition tools and procedures and consider ways of further incentivising mobility for both staff and students. This includes encouraging a significant increase in the number of joint programmes and the creation of flexible curricula, as well as urging our institutions to take greater responsibility for staff and student mobility, more equitably balanced between countries across the EHEA.

Degree structure

2.4 Good progress is being made at national and institutional levels towards our goal of an EHEA based on a three-cycle degree system. The number of students enrolled on courses in the first two-cycles has increased significantly and there has been a reduction in structural barriers between cycles. Similarly, there has been an increase in the number of structured doctoral programmes. We underline the importance of curricula reform leading to qualifications better suited both to the needs of the labour market and to further study. Efforts should concentrate in future on removing barriers to access and progression between cycles and on proper implementation of ECTS based on learning outcomes and student workload. We underline the importance of improving graduate employability, whilst noting that data gathering on this issue needs to be developed further.

Recognition

2.5 Fair recognition of higher education qualifications, periods of study and prior learning, including the recognition of non-formal and informal learning, are essential components of the EHEA, both internally and in a global context. Easily readable and comparable degrees and accessible information on educational systems and qualifications frameworks are prerequisites for citizens' mobility and ensuring the continuing attractiveness and competitiveness of the EHEA. While we are pleased that 38 members of the Bologna Process, including Montenegro, have now ratified the Council of Europe/UNESCO Convention on the recognition of qualifications concerning Higher Education in the European region (Lisbon Recognition Convention), we urge the remaining members to do so as a matter of priority.

2.6 There has been progress in the implementation of the Lisbon Recognition Convention (LRC), ECTS and diploma supplements, but the range of national and institutional approaches to recognition needs to be more coherent. To improve recognition practices, we therefore ask the Bologna Follow-up Group (BFUG) to arrange for the ENIC/NARIC networks to analyse our national action plans and spread good practice.

Qualifications Frameworks

2.7 Qualifications frameworks are important instruments in achieving comparability and transparency within the EHEA and facilitating the movement of learners within, as well as between, higher education systems. They should also help HEIs to develop modules and study programmes based on learning outcomes and credits, and improve the recognition of qualifications as well as all forms of prior learning.

2.8 We note that some initial progress has been made towards the implementation of national qualifications frameworks, but that much more effort is required. We commit ourselves to fully implementing such national qualifications frameworks, certified against the overarching Framework for Qualifications of the EHEA, by 2010. Recognising that this is a challenging task, we ask the Council of Europe to support the sharing of experience in the elaboration of national qualifications frameworks. We emphasise that qualification frameworks should be designed so as to encourage greater mobility of students and teachers and improve employability.

2.9 We are satisfied that national qualifications frameworks compatible with the overarching Framework for Qualifications of the EHEA will also be compatible with the proposal from the European Commission on a European Qualifications Framework for Lifelong Learning.

2.10 We see the overarching Framework for Qualifications of the EHEA, which we agreed in Bergen, as a central element of the promotion of European higher education in a global context.

Lifelong Learning

2.11 The stocktaking report shows that some elements of flexible learning exist in most countries, but a more systematic development of flexible learning paths to support lifelong learning is at an early stage. We therefore ask BFUG to increase the sharing of good practice and to work towards a common understanding of the role of

higher education in lifelong learning. Only in a small number of EHEA countries could the recognition of prior learning for access and credits be said to be well developed. Working in cooperation with ENIC/NARIC, we invite BFUG to develop proposals for improving the recognition of prior learning.

Quality Assurance and a European Register of Quality Assurance Agencies

2.12 The Standards and Guidelines for Quality Assurance in the EHEA adopted in Bergen (ESG) have been a powerful driver of change in relation to quality assurance. All countries have started to implement them and some have made substantial progress. External quality assurance in particular is much better developed than before. The extent of student involvement at all levels has increased since 2005, although improvement is still necessary. Since the main responsibility for quality lies with HEIs, they should continue to develop their systems of quality assurance. We acknowledge the progress made with regard to mutual recognition of accreditation and quality assurance decisions, and encourage continued international cooperation amongst quality assurance agencies.

2.13 The first European Quality Assurance Forum, jointly organised by EUA, ENQA, EURASHE and ESIB (the E4 Group) in 2006 provided an opportunity to discuss European developments in quality assurance. We encourage the four organisations to continue to organise European Quality Assurance Fora on an annual basis, to facilitate the sharing of good practice and ensure that quality in the EHEA continues to improve.

2.14 We thank the E4 Group for responding to our request to further develop the practicalities of setting up a Register of European Higher Education Quality Assurance Agencies. The purpose of the register is to allow all stakeholders and the general public open access to objective information about trustworthy quality assurance agencies that are working in line with the ESG. It will therefore enhance confidence in higher education in the EHEA and beyond, and facilitate the mutual recognition of quality assurance and accreditation decisions. We welcome the establishment of a register by the E4 group, working in partnership, based on their proposed operational model. The register will be voluntary, self-financing, independent and transparent. Applications for inclusion on the register should be evaluated on the basis of substantial compliance with the ESG, evidenced through an independent review process endorsed by national authorities, where this endorsement is required by those authorities. We ask the E4 group to report progress to us regularly through BFUG, and to ensure that after two years of operation, the register is evaluated externally, taking account of the views of all stakeholders.

Doctoral candidates

2.15 Closer alignment of the EHEA with the European Research Area (ERA) remains an important objective. We recognise the value of developing and maintaining a wide variety of doctoral programmes linked to the overarching qualifications framework for the EHEA, whilst avoiding overregulation. At the same time, we appreciate that enhancing provision in the third cycle and improving the status, career prospects and funding for early stage researchers are essential preconditions for meeting Europe's objectives of strengthening research capacity and improving the quality and competitiveness of European higher education.

2.16 We therefore invite our HEIs to reinforce their efforts to embed doctoral programmes in institutional strategies and policies, and to develop appropriate career paths and opportunities for doctoral candidates and early stage researchers.

2.17 We invite EUA to continue to support the sharing of experience among HEIs on the range of innovative doctoral programmes that are emerging across Europe as well as on other crucial issues such as transparent access arrangements, supervision and assessment procedures, the development of transferable skills and ways of enhancing employability. We will look for appropriate opportunities to encourage greater exchange of information on funding and other issues between our Governments as well as with other research funding bodies.

Social dimension

2.18 Higher education should play a strong role in fostering social cohesion, reducing inequalities and raising the level of knowledge, skills and competences in society. Policy should therefore aim to maximise the potential of individuals in terms of their personal development and their contribution to a sustainable and democratic knowledge-based society. We share the societal aspiration that the student body entering, participating in and completing higher education at all levels should reflect the diversity of our populations. We reaffirm the importance of students being able to complete their studies without obstacles related to their social and economic background. We therefore continue our efforts to provide adequate student services, create more flexible learning pathways into and within higher education, and to widen participation at all levels on the basis of equal opportunity.

The European Higher Education Area in a global context

2.19 We are pleased that in many parts of the world, the Bologna reforms have created considerable interest and stimulated discussion between European and international partners on a range of issues. These include the recognition of qualifications, the benefits of cooperation based upon partnership, mutual trust and understanding, and the underlying values of the Bologna Process. Moreover, we acknowledge that efforts have been made in some countries in other parts of the world to bring their higher education systems more closely into line with the Bologna framework.

2.20 We adopt the strategy "The European Higher Education Area in a Global Setting" and will take forward work in the core policy areas: improving information on, and promoting the attractiveness and competitiveness of the EHEA; strengthening cooperation based on partnership; intensifying policy dialogue; and improving recognition. This work ought to be seen in relation to the OECD/UNESCO *Guidelines for Quality Provision in Cross-border Higher Education*.

3. Priorities for 2009

3.1 Over the next two years, we agree to concentrate on completing agreed Action Lines, including the ongoing priorities of the three-cycle degree system, quality assurance and recognition of degrees and study periods. We will focus in particular on the following areas for action.

Mobility

3.2 In our national reports for 2009, we will report on action taken at national level to promote the mobility of students and staff, including measures for future evaluation. We will focus on the main national challenges identified in paragraph 2.3 above. We also agree to set up a network of national experts to share information, and help to identify and overcome obstacles to the portability of grants and loans.

Social Dimension

3.3 Similarly, we will report on our national strategies and policies for the social dimension, including action plans and measures to evaluate their effectiveness. We will invite all stakeholders to participate in, and support this work, at the national level.

Data collection

3.4 We recognise the need to improve the availability of data on both mobility and the social dimension across all the countries participating in the Bologna Process. We therefore ask the European Commission (Eurostat), in conjunction with Eurostudent, to develop comparable and reliable indicators and data to measure progress towards the overall objective for the social dimension and student and staff mobility in all Bologna countries. Data in this field should cover participative equity in higher education as well as employability for graduates. This task should be carried out in conjunction with BFUG and a report should be submitted to our 2009 Ministerial conference.

Employability

3.5 Following up on the introduction of the three-cycle degree system, we ask BFUG to consider in more detail how to improve employability in relation to each of these cycles as well as in the context of lifelong learning. This will involve the responsibilities of all stakeholders. Governments and HEIs will need to communicate more with employers and other stakeholders on the rationale for their reforms. We will work, as appropriate, within our governments to ensure that employment and career structures within the public service are fully compatible with the new degree system. We urge institutions to further develop partnerships and cooperation with employers in the ongoing process of curriculum innovation based on learning outcomes.

The European Higher Education Area in a global context

3.6 We ask BFUG to report back to us on overall developments in this area at the European, national and institutional levels by 2009. All stakeholders have a role here within their spheres of responsibility. In reporting on the implementation of the strategy for the EHEA in a global context, BFUG should in particular give consideration to two priorities. First, to improve the information available about the EHEA, by developing the Bologna Secretariat website and building on EUA's Bologna Handbook; and second, to improve recognition. We call on HEIs, ENIC/NARIC centres and other competent recognition authorities within the EHEA to assess qualifications from other parts of the world with the same open mind with which they would expect European qualifications to be assessed elsewhere, and to base this recognition on the principles of the LRC.

Stocktaking

3.7 We ask BFUG to continue the stocktaking process, based on national reports, in time for our 2009 Ministerial conference. We expect further development of the qualitative analysis in stocktaking, particularly in relation to mobility, the Bologna Process in a global context and the social dimension. The fields covered by stocktaking should continue to include the degree system and employability of graduates, recognition of degrees and study periods and implementation of all aspects of quality assurance in line with the ESG. With a view to the development of more student-centred, outcome-based learning, the next exercise should also address in an integrated way national qualifications frameworks, learning outcomes and credits, lifelong learning, and the recognition of prior learning.

4. Looking forward to 2010 and beyond

4.1 As the EHEA continues to develop and respond to the challenges of globalisation, we anticipate that the need for collaboration will continue beyond 2010.

4.2 We are determined to seize 2010, which will mark the passage from the Bologna Process to the EHEA, as an opportunity to reaffirm our commitment to higher education as a key element in making our societies sustainable, at national as well as at European level. We will take 2010 as an opportunity to reformulate the vision that motivated us in setting the Bologna Process in motion in 1999 and to make the case for an EHEA underpinned by values and visions that go beyond issues of structures and tools. We undertake to make 2010 an opportunity to reset our higher education systems on a course that looks beyond the immediate issues and makes them fit to take up the challenges that will determine our future.

4.3 We ask BFUG as a whole to consider further how the EHEA might develop after 2010 and to report back to the next ministerial meeting in 2009. This should include proposals for appropriate support structures, bearing in mind that the current informal collaborative arrangements are working well and have brought about unprecedented change.

4.4 Building on previous stocktaking exercises, *Trends*, and *Bologna With Student Eyes*, we invite BFUG to consider for 2010 the preparation of a report including an independent assessment, in partnership with the consultative members, evaluating the overall progress of the Bologna Process across the EHEA since 1999.

4.5 We delegate the decision on the nature, content and place of any Ministerial meeting in 2010 to BFUG, to be taken within the first half of 2008.

4.6 Our next meeting will be hosted by the Benelux countries in Leuven/Louvain-la-Neuve on 28-29 April 2009.

Furthering the Bologna Process

Report to the Ministers of Education of the signatory countries

Prague, May 2001

General Rapporteur: Prof. Pedro Lourtie

Report commissioned by the Follow-up group of the Bologna Process

Executive Summary

The follow-up group of the Bologna Process commissioned the rapporteur to present this report as a contribution to the meeting in Prague, in May 2001, of the European Ministers in charge of Higher Education of the countries that signed the Bologna Declaration in June 1999. The report gives a short overview of the follow-up, reviews succinctly the developments since Bologna and dwells on scenarios for the future.

The organisation of the process was decided by the EU Ministers in September 1999 and a work programme was established by the follow-up group in November 1999. This work programme has included international seminars on three topics ("Credit Accumulation and Transfer Systems", "Bachelor-Level Degrees" and "Transnational Education") and the Convention of European Higher Education Institutions, all leading to the preparation of the Prague Conference. ESIB organised a Student Convention to create input to this meeting.

A move towards a "bachelor"/"master" structure is continuing, both in countries where it started earlier, but also in new ones, with examples in all disciplines. However, some professionally oriented degrees remain long and leading directly to a "master".

Mobility and the instruments of recognition and transparency of qualifications (ECTS, Diploma Supplement and Lisboa Recognition Convention) are receiving unanimous support. Awareness of the employability issue is raising and more degrees with a clear professional orientation are being implemented. Competitiveness is rated highly, but awareness of transnational education challenges still seems to be low and lifelong learning is a priority only in a limited number of countries.

The introduction of ECTS-compatible credit systems is spreading and the acceptance of ECTS units as a basis for a European credit system is increasing. A subject-related approach to identify common learning outcomes was identified as necessary to overcome difficulties concerning both credits and degree structures.

More countries are creating or willing to create quality assurance systems and accreditation is on national and international agendas, at least as a topic for discussion.

With the aim of building the European Higher Education Area, the Bologna Declaration indicates three main goals (international competitiveness, mobility and employability), and six instrumental objectives. However, higher education has broader aims of the social, cultural and human development and the European Higher Education Area will also be the result of shared values and a common social and cultural heritage.

A number of factors contributing towards the goals may be identified. Among these factors are the readability of degrees, acceptance and recognition of qualifications and periods of study, clear information on objectives and learning outcomes, as well as relevance of the programmes, quality assurance and accreditation, dissemination of European knowledge, friendly student services, visa policies and support for mobility.

The main goals and the specific objectives of the Bologna Declaration have received wide acceptance and reforms are under way, both at national and institutional level. However, some issues require clarification, others may be pushed forward and some just need monitoring. Social issues were raised, namely by students, and issues like lifelong learning and transnational education are gaining renewed or new visibility.

A question, which is becoming more apparent as the process progresses, is that of which values and concepts, concerning higher education, are common or to what

extent are they shared among the signatory countries. A study on the values, concepts and terminology would facilitate discussions and communication in the future.

The development of a comprehensive credit system, allowing for accumulation, has proven difficult, although a consensus has grown around basing it on ECTS units. Generalising the use of ECTS units and adopting ECTS compatible national systems is a step forward. National degree structures are converging, but difficulties have been identified in some subject areas. Both difficulties, concerning credits and degree structures, suggest that further work by subject area at European level is required and could lead to identify relevant reference levels, expressed as learning outcomes (including knowledge, competencies and skills). Common reference levels will also facilitate the development of joint degrees, involving institutions from two or more signatory countries.

The development of national quality assurance systems, besides pursuing national objectives, should aim at building mutual trust in the European Higher Education Area and world-wide through European co-operation. The discussions on accreditation suffered from differences in concept and approach, requiring further clarification before any concrete agreement on future action may be reached.

Instruments for recognition, either academic or professional, and transparency, such as the Lisboa Recognition Convention and the Diploma Supplement already exist, just requiring being fully developed and/or generalised. Although recognition is essential for mobility, there are still other obstacles. The Mobility Action Plan endorsed by the European Council is a useful reference for future action.

Lifelong learning has been on the international agenda for some time and there are some experiences. The development of national policies could benefit from sharing experiences and good practices and, besides raising the levels of education and employability, may improve attractiveness of European higher education.

Transnational education is growing and challenging traditional education. Policies geared towards transparency and quality of qualifications should contemplate the transnational offer. On the other hand, the signatory countries may adopt a pro-active approach by offering programmes outside the European Higher Education Area and joint efforts to this effect could be promoted.

To establish the European Higher Education Area, easily accessible information on programmes and institutions, including the conditions offered to students, is essential and can be done using ICT. This information should be available in a form that is relevant for candidates and students, but also for employers and society at large.

Attractiveness of higher education institutions, besides ensuring quality and relevance, require that institutions are aware and respond to the diversity of needs of candidates and students. Such needs are different depending on the student being national or foreign, young or mature, graduate or post-graduate, etc.

To monitor the progress of the European Higher Education Area as a whole, as a basis for future decisions for the Bologna Process, data collected in the various signatory countries should be comparable. If the decision is taken to collect such comparable data, a technical study is required. Besides data, background studies will be needed to prepare future discussions and to support decisions.

The Bologna Process has been conducted on a rather informal basis. This has certain advantages but is also a fragile arrangement, with some risks to the memory of the process. The organisation and mandate of the follow-up structure for the future should, in consequence, be considered.

Furthering the Bologna Process

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INTRODUCTION

1. The present report was prepared as a contribution for the meeting of the European Ministers in charge of Higher Education in Prague on the 18th and 19th of May 2001. The follow-up group decided that, besides the contributions coming from the stakeholders and the outcomes of the seminars and meetings, a specific report should be prepared for the Ministers of Education and commissioned the rapporteur to present this report¹.

2. The report includes, besides the Introduction, two parts. The first one, Developments since Bologna, aims at giving a succinct overview of the trends that may be observed in the European higher education systems, of the outcomes of the events organised in the framework of the Bologna Process and of the issues involved in the main goals of the Bologna Declaration. The second part, Scenarios for the future, analyses the main issues that have been discussed and makes suggestions on directions for future action. These suggestions, although discussed in the follow-up, are the responsibility of the rapporteur.

The steering and enlarged follow-up groups

3. To ensure that the work, necessary to achieve the objectives set by the Bologna Declaration, was done, the European Union's Ministers, assembled in Tampere in September 1999, decided to establish two groups. These are the steering (or restricted) and the enlarged follow-up groups. The enlarged group is composed of the representatives of the 29 signatory countries, the European Commission, the Confederation of EU Rectors' Conferences and the Association of European Universities (CRE)². This group met for the first time in Helsinki, on the 16th November 1999, under Finnish Presidency, and defined a draft programme of events. These events, their themes and outcomes are described below.

4. The steering group is composed of representatives of the EU enlarged troika countries (the Presidency, the previous and the two successive presidencies), the Czech Republic, the European Commission, the Confederation of EU Rectors' Conferences and the Association of European Universities (CRE). This group met for the first time in Lisbon, on the 31st of January 2000, under Portuguese Presidency.

5. The mandate of these groups did not explicitly include accepting other countries or organisations as part of the enlarged follow-up group. Nevertheless, it was the understanding of the groups that it would fall under the mandate of the enlarged group to accept the participation of other organisations as observers. In 2000, the Council of Europe, a Student Platform and EURASHE were added, as observers, to the enlarged group. Any other decisions concerning the participation in the follow-up groups will have to be taken by the Ministers in Prague. If the procedure adopted by the

¹ In preparing the report, the rapporteur was supported by a European Commission grant through the Portuguese NARIC, that made possible his presence at the international seminars and at the Convention of the European Higher Education Institutions, included in programme between Bologna and Prague.

² The Confederation of EU Rectors' Conferences and the Association of European Universities have merged, originating the European University Association.

follow-up groups is to be revised, an appropriate mandate from the Ministers is required.

The work programme

6. The work programme agreed in Helsinki included, besides the Prague Conference, three international seminars. The first one was held in Leiria, Portugal, in November 2000, on the issue of "Credit Accumulation and Transfer Systems". The second one was held in Helsinki, Finland, in February 2001, on "Bachelor-Level Degrees". And the third one was held in Malmö, Sweden, in March 2001, and was on "Transnational Education".

7. The steering group agreed that, unlike the Bologna Conference academic day, the meeting of the academic institutions should be held in advance of the Ministers' conference. In this way, the discussions of the academic institutions could be taken into consideration by the Ministers and, therefore, have an impact on the outcomes of the Prague Conference. The CRE and Confederation offered to jointly organise what became the Convention of European Higher Education Institutions, held in Salamanca, Spain, at the end of March 2001. This convention was also the opportunity for the formal constitution of the European University Association, a merger of the two organisations.

8. Numerous other seminars and conferences, international or national, have taken place in the time mediating from Bologna to Prague. Specific reference to all these events is not possible in a short report, as this one has to be. However, the large number of events related to the Bologna Declaration and those where it has been specifically mentioned, is the best indicator of its impact on European higher education.

I. DEVELOPMENTS SINCE BOLOGNA

I.1 The trends³

9. This section aims at giving a very succinct overview of the developments since Bologna, in June 1999. The Trends II report⁴ will give a fuller account of such developments. Some of the developments that are mentioned would have taken place anyway, others are a direct result of the Bologna Declaration, but one may say that most have, to some extent, been influenced by its objectives. The general goals, competitiveness of the European higher education system, mobility and employability, are common concerns of governments and institutions alike. The six objectives, established in Bologna for the first decade of this century, have received a wider acceptance from the academic community than was possible to anticipate in June 1999. But differences in understanding of the Bologna Declaration and, especially, what it implies for the future, are still significant.

10. The adoption of a system essentially based on two main cycles, graduate and post-graduate, is one of the objectives of the Bologna Declaration for which a consensus proved more difficult to reach. Nevertheless, the move

³ For the preparation of this section, the rapporteur was given access to the responses to the questionnaire and analyses elaborated by the team preparing the "Trends II" report.

⁴ HAUG, Guy; TAUCH, Christian; "Trends in Learning Structures in Higher Education (II)", April 2001.

towards a “bachelor”/“master”⁵ structure has continued, both in countries where it had started earlier, but also in new ones. There are examples of such a structure in all disciplines, although few in medicine. There is a significant trend to the introduction of three year “bachelor” programmes, but there are many examples of four year programmes. There is a trend towards professionally oriented “bachelor” degrees, in spite of some being considered as intermediate qualifications and as a platform for options in terms of further study. At the same time, in several countries, certain professionally oriented degrees remain organised as long, one-tier programmes, leading directly to a “master” degree.

11. The objective relating to the degree structure, is the one objective that has proved more controversial, involving governments and higher education institutions, as well as professional associations, and has given way to the greatest diversity of interpretations.

12. Mobility is receiving unanimous support, including a strong support for the instruments of recognition and transparency of qualifications, such as ECTS, the Diploma Supplement and the Lisboa Recognition Convention.

13. Awareness of the employability issue is rising, although a difference in emphasis may depend on the type of institution, wherever different types exist, and the understanding that being “relevant to the European labour market” does not have to imply that programmes are geared towards a specific professional occupation. But new “bachelors” and “masters” with a clear professional orientation are being implemented.

14. Competitiveness, mainly understood as attractiveness, of the higher education systems is rated highly, although only a limited number of countries have comprehensive plans. On the other hand, awareness of the challenges raised by transnational education still seems to be low.

15. Lifelong learning is far from being generally identified as an integral part of higher education and is a priority only in a limited number of countries.

16. The introduction of ECTS, or of ECTS-compatible credit systems, is spreading. The understanding that the introduction of such credit systems does not compel the institutions to recognise all imported credits, nor that it is a threat to curriculum coherence, is also growing, contributing to their acceptance.

17. The need for a subject-related approach, in what concerns the identification of relevant reference levels in terms of learning outcomes across Europe, has emerged as an issue. It is viewed as enabling greater co-operation and comparability and a way of overcoming some of the difficulties that have been found in a general approach, for instance in what concerns credits and degree structures.

18. Quality assurance is moving forward, with more countries creating or willing to create new quality assurance systems and agencies, as well as, at international level, with the creation of ENQA. There seems to be a move

⁵ The term “bachelor” will be used for simplicity, standing for first degrees of a curricular duration of 3 to 4 years, whatever the specific name used in each country. Identically for the term “master”, although it was already used in the Bologna Declaration.

towards the introduction of national accreditation of programmes and/or institutions, whatever the meaning given to the word “accreditation”. In fact, what is meant by this word is far from being consensual, even among experts.

I.2 Outcomes of the events

19. The outcomes of the events included in the work programme are reviewed succinctly. The Convention of European Higher Education Institutions has reached a number of conclusions and proposals for Ministers when they convene in Prague. This report does not and cannot replace the detailed conclusions and proposals included in the annexes.

The international seminar on credit accumulation and transfer systems

20. The first of the international seminars of the work programme, held in **Leiria, Portugal**, discussed the issue of credit accumulation and transfer systems. The Bologna Declaration states as one of the objectives the “establishment of a system of credits – such as in the ECTS system (...)”. By aiming at “widespread student mobility” and indicating that “credits could also be acquired in non-higher education contexts, including lifelong learning”, it called for a system of accumulation of credits, rather than just of transfer, the objective of ECTS.

21. The “ECTS Extension Feasibility Project Report”, of February 2000, commissioned by the European Commission, provided the basis for the discussions. The general report of the seminar is available⁶, but some conclusions may be singled out. A European credit system, providing for accumulation and transfer, is an important instrument for mobility and for the comparability of learning acquired in various settings. Such a system should be built upon ECTS, given that it is already widely known and used. Having concluded that it is difficult to discuss credits and reference levels in an abstract context, it was put forward that, as a contribution to a general approach, work would have to be developed within broad subject areas, at European level⁷.

The international seminar on Bachelor-level degrees

22. The seminar on bachelor-level degrees, held in **Helsinki, Finland**, dealt with the item of the Bologna Declaration that has given way to a spectrum of interpretations and to discussion between the advocates of increased convergence towards a Bachelor-Master-Doctorate structure and those reacting to a strict convergence process. In fact, the Bologna Declaration states that one of the objectives is the “adoption of a system essentially based on two main cycles (...)” and that “access to the second cycle shall require successful completion of first cycle studies, lasting a minimum of three years”. This has been often considered as indicating that the first degree should correspond essentially to three years of study and that longer programmes would be the exception, with the upper limit of four years. However, in some subject areas, as medicine or engineering, and in many countries, a full

⁶ Annex 1.

⁷ The pilot project “Tuning Educational Structure in Europe”, aiming at exchanging experiences and identifying commonly understood profiles and competencies in the disciplines of Mathematics, Geology, Business, Educational Services and History, was presented at the seminar.

professional qualification requires longer studies. This was taken into consideration in the Conclusions and Recommendations⁸, indicating also that it may be worth developing intermediate qualifications, even if not directly relevant for the labour market.

23. Two specific conclusions are worth emphasising, which are independent of the discussion on the degree structure. The first one is the importance of clarifying, for each programme, the orientation and profile and the learning outcomes, as an instrument of transparency. The second one, the fact that all programmes should aim at developing the transversal skills and competencies required by all active citizens.

The international seminar on transnational education

24. The theme of the seminar held in **Malmö, Sweden**, was transnational education⁹. This topic is not specifically identified in the Bologna Declaration, but, as awareness rises, it is becoming a common concern of the signatory countries and is, in fact, related to most of the issues. As a rapidly growing phenomenon, it cannot be simply ignored. Transnational education has been considered both as very positive and very negative. Positive as it is a way of widening the access to higher education to students that otherwise would not have that possibility, but negative as alongside good quality, there is also low quality and even fraudulent offers.

25. An idea has emerged from the seminar¹⁰, that transnational education challenges national higher education and, in doing so, its growth is often a sign that the national systems are not responding to the needs of potential students. The relevance of the code of practice prepared by the ENIC network of the Council of Europe and UNESCO¹¹ was emphasised. Concerted action by the signatory countries related to quality assessment and recognition policies regarding transnational education was considered necessary and it was suggested that it could be promoted through the association of the NARIC/ENIC network and ENQA.

The convention of European higher education institutions

26. The Convention of European Higher Education Institutions, held in **Salamanca, Spain**, had the objective of formulating the views of the European higher education institutions on the Bologna Process and to convey these views to the Ministers of Education¹². The convention expressed the determination to build a European Higher Education Area and discussed six themes: freedom with responsibility; employability; mobility; compatibility; quality; and competitiveness. As the resulting theses will be presented to the Ministers, what follows is a succinct presentation of the main items.

⁸ Annex 2.

⁹ The background document for the seminar was the following report: ADAM, Stephen; "Transnational Education Project Report and Recommendations", Confederation of European Union Rectors' Conferences, March 2001.

¹⁰ Annex 3.

¹¹ Code of Good Practice in the Provision of Transnational Education, UNESCO/Council of Europe, to be submitted to the Lisboa Recognition Convention Committee for adoption on the 6th of June 2001.

¹² Annex 4.

27. In the first theme, "Freedom with responsibility: empowering the universities", the main message is that the universities need autonomy and want to be held accountable. Furthermore, if mutual trust between government and universities on a partnership basis is required, nursing intellectual autonomy is essential.

28. The second theme, "Employability in the European labour market", lead to the view that employability of the graduates is important and that universities should prepare students to cope with the labour market and their future professional role. The universities should contribute to transparency and recognition of qualifications by specifying the learning outcomes in a way that is meaningful for students, employers and others concerned. Diversity and flexibility of programmes and learning experiences have been considered positively.

29. The "Mobility in the European higher education area" was the third theme. Mobility, both horizontal and vertical, was considered a central value, requiring full implementation of recognition instruments, such as ECTS (extended to accumulation and lifelong learning), the Lisboa Recognition Convention, the Diploma Supplement and the ENIC/NARIC networks. The benefits for staff, students and researchers and the need to remove administrative barriers to mobility were emphasised.

30. The fourth theme was "Compatibility: a common but flexible qualifications framework". The first degree ("Bachelor") after 3 to 4 years, or 180 to 240 credits, was indicated as the rule, although the possibility of 5 years integrated programmes leading to a "Master" degree should be admissible. The importance of ECTS, quality assurance and thematic networks has been indicated.

31. Under "Quality assurance and accreditation", the fifth theme, the establishment of a European platform to disseminate good practice and advise on appropriate procedures was proposed. The objective is to foster mutual acceptance of quality assurance decisions in Europe, preserving national and subject differences and institutional autonomy.

32. In the sixth theme, "Competitiveness at home and in the world", the views expressed were that it is good for students, as it promotes quality, and that it requires more openness and transparency, as well as the European higher education institutions being perceived as welcoming institutions. It calls for strategic networking and to the development of educational trademarks and brands.

33. As a global conclusion, it was emphasised the willingness and capability of the universities to lead the effort to renovate and redefine higher education at a European scale.

Other events

34. Numerous other events have taken place that were motivated by the Bologna Declaration or, in spite of having been programmed independently, were significantly influenced by the process. Although it is not possible to refer to all, it is important to note that a student convention, organised by ESIB (The National Unions of Students in Europe), was held in Göteborg, Sweden, from

the 22nd to the 25th March. With the specific objective “to create input to the Ministers’ Meeting in Prague” and a **Student Göteborg Declaration** was produced¹³.

35. The convention concluded that the Bologna Declaration failed to address the social implications of the process for students. Furthermore, it is stated that students are not consumers of a tradable education service and that it is the governments’ responsibility to guarantee that all citizens have equal access to higher education.

36. The student declaration takes a stand for a system of credits based on workload, a common European framework of criteria for accreditation and a compatible system of degrees. It argues that a two-tier degree system should guarantee free and equal access to all students. Co-operation of the national quality assurance systems is seen as needed to guarantee and improve quality and accreditation is understood as a tool to promote quality.

37. The positive impact of physical mobility of students, teaching staff and researchers is indicated, leading to the need to remove both academic and social, economical and political obstacles. It is considered that the creation of a genuine European Higher Education Area will lead to expanded mobility, higher quality and increased attractiveness of European education and research. The need for all relevant higher education information to be available is seen as a requirement.

38. Finally, the role of students as partners of the Bologna Process has been emphasised.

I.3 The main goals of the Bologna Declaration

39. The overall aim that led to the Bologna Declaration was to build the European Higher Education Area. To that end, several issues were identified as requiring specific action and it is generally accepted that the main goals of the Bologna Declaration are international competitiveness, mobility and employability. The six objectives set out in the declaration are instrumental to these more general goals. However, higher education has broader aims of the social, cultural and human development and an irreplaceable role in a Europe of Knowledge. The European Higher Education Area will be the result of shared values and a common social and cultural heritage, but also of the goals established in the Bologna Declaration.

40. This section aims at reflecting on factors with impact on the main goals of the Bologna Declaration and, thus, setting the scene for the second part of the report where scenarios for future action will be considered.

International competitiveness

41. International competitiveness may be analysed from, at least, two different perspectives, although intertwined: the competitiveness of European diplomas in the international scene and the capacity to attract students from outside the European Higher Education Area. Several factors impacting upon international competitiveness may be identified, such as: readability of degrees by employers, institutions and individuals at large; acceptance of

¹³ Annex 5.

qualifications in academic and professional terms; clear information on the objectives and learning outcomes of the programmes; friendly student services, both educational and non-educational; dissemination of European knowledge production, including textbooks, specialised magazines and research results.

42. One of the main ideas is that European degrees must be clearly understood world-wide, in terms of the knowledge and competencies they document. This requires that the learning outcomes are clearly stated and that they are credible and easily identified as relevant qualifications. Acceptance of the European diplomas by employers and higher education institutions world-wide is important, not only because it means the acceptance of European graduates, but also because it induces the interest of potential students from outside the European Higher Education Area. A precondition for these objectives being achieved world-wide, is that degrees are mutually accepted within the European Higher Education Area, which involves their readability and comparability, as well as credible quality assurance.

43. There are European higher education institutions that have a world-wide reputation and, therefore, do not have any difficulty in having their degrees accepted. Others may have their reputation in a given region of the world, due to special relations between the country to which they belong and that region of the world. These facts may be a positive asset for international competitiveness of Europe, but European higher education institutions are also competing among themselves and a more co-operative and coherent European Higher Education Area may be seen as a threat to some of these specific advantages.

44. International competitiveness may be induced through the promotion of European knowledge production. Diffusion of textbooks, specialised magazines or research results, by conventional means or using information and communication technologies, with world-wide visibility, will enhance the prestige and attractiveness of the European Higher Education Area. Prestige is not an immediate result of quality, but of a continuous perception of quality.

45. Once the interest of potential students from outside the European Higher Education Area has been aroused, the decision to move depends also on the information and the friendliness of the conditions offered to them. Providing the potential students with comprehensive information on academic and living conditions will make the decision to come to Europe easier, as many will be driven away by the unknown. On the other hand, friendly services and guidance to help students to solve day-to-day problems, within and outside the higher education institution, are also a contribution to the decision to move. These facts are, in fact, also important for mobility within the European Higher Education Area.

46. Having graduates of European higher education institutions around the world also has an impact on the acceptance of the European diplomas world-wide. They will tend to act as “ambassadors” of the institutions they attended, provided that they were given access to a good quality education and well supported in the course of their studies.

47. Transnational education is part of the equation when discussing international competitiveness, although it is an issue in itself¹⁴. The global educational services market is growing fast, questions the traditional institutions and can no longer be ignored. Regulatory measures, of a consumer protection nature, may be required to control low quality or even fraudulent offers. However, quality transnational education may be a way of widening the access to higher education to publics that otherwise would not have that possibility. European institutions already participate in this market and the offer will naturally grow. The offer of European programmes available world-wide, through in campus or distance learning, is also a way of making European degrees known, which is potentially good, provided that quality of the offer is assured.

48. In discussing international competitiveness, in a global world, it should be clear who are Europe's competitors. The leading competitor is clearly the United States, as the main international provider of educational services. It should also be clear what are the limits to competitiveness and the role of solidarity with the developing countries. In fact solidarity and competitiveness need not be mutually exclusive. By co-operating with institutions of higher education in the developing countries, the European institutions will help to improve their capacity and, at the same time, compete with the main international providers of education offering locally their programmes.

Mobility of students, teachers, researchers and administrative staff

49. Mobility may be considered within the European Higher Education Area and between this area and other regions of the world. The Bologna Declaration focuses specifically on the mobility within the European Higher Education Area that, besides being considered a priority, will establish practices and attitudes that will favour a wider perspective, as the obstacles hindering both types of mobility are similar. Some of the factors influencing mobility are: recognition of qualifications and periods of study; valorisation of periods of study, teaching, researching and training in a European context, both in academic and professional terms; clear and favourable visa policies for these target groups; friendly services and financial support for mobility.

50. Recognition of qualifications and periods of study is unanimously recognised as essential for mobility. There are two fundamental questions for recognition: trust and flexibility. Trust, in the sense that the institution recognising the qualification or the period of study can trust the quality and the procedures of the institution issuing the qualification or certifying the period of study. Flexibility, as qualifications and programmes are not strictly equal and, therefore, what should be considered, in the process of recognition of qualifications or periods of study, are core knowledge and competencies. The issue of recognition arises not only at international level, but also at national level. It is not uncommon that qualifications and periods of study obtained or followed abroad, in a similar institution, are more easily recognised than those attended at a national institution, but belonging to a different subsystem of higher education.

¹⁴ ADAM, Stephen; "Transnational Education Project Report and Recommendations", Confederation of European Union Rector's Conferences, March 2001,

51. The European Union Directives on professional qualifications¹⁵ provide a framework for professional mobility within the European Union. The objective is professional rather than academic recognition, by regulating the access to professions. Another question is that of academic recognition in general.

52. The approach used by the Lisboa Recognition Convention, an initiative of the Council of Europe and UNESCO (Europe Region) signed in 1997, was that recognition should only be refused on the basis of substantial differences and that refusal has to be justified. The approach used in the Bologna Declaration is that of promoting convergence, transparency and mutual trust. The two approaches complement each other in making recognition easier within the European Higher Education Area¹⁶.

53. The development of systems “essentially based on two main cycles”, rather than long programmes leading to a “master” degree will facilitate mobility, especially at the conclusion of the first degree. The “implementation of the Diploma Supplement”, by providing information on the content of a degree and improving transparency, will also contribute to recognition and mobility. A generalised “system of credits”, introducing a common metric, will contribute to the portability of periods of study. Finally, the development of “common criteria and methodologies” in quality assurance will promote trust and, therefore, recognition of qualifications and periods of study.

54. Valorisation of periods of teaching, researching and training in a European context, as important as they may be as an incentive to the mobility of teachers, researchers and administrative staff, is strongly dependent on the statute of these professionals in each country. Many other policy issues, like visa policies or financial support for mobility, were considered in the European Union context, in the form of a Mobility Action Plan that was endorsed by the European Council in Nice¹⁷. This document may be a useful reference for the discussions on mobility within the European Higher Education Area.

55. Clear information and guidance to the students on all aspects of mobility, from academic matters to lodging, health problems or visas, are a contribution to the integration in a different environment, to overcome the cultural differences and make the most of the stay in a foreign country. All this, with minor variations, is applicable to both mobility within and from outside the European Higher Education Area.

Employability

56. Employability is the most elusive of the three main goals of the Bologna Declaration. Some of the factors impacting on employability are: quality assurance; relevance of programmes; clear information on objectives and learning outcomes of the programmes; and accreditation.

57. It should be stressed that the role and importance of employability in higher education programmes is not consensual. A range of opinions may be found. These opinions have an impact on the design of the programmes and results in diversity of their objectives and learning outcomes, even if they are

¹⁵ Directives 89/48/EEC, 92/51/EEC and 99/42/EC.

¹⁶ Report on Recognition Issues in the Bologna Process, Council of Europe/ENIC, January 2001.

¹⁷ Mobility Action Plan, approved by the Council, 9th November 2000.

not explicit. Diversity is not, however, a problem in itself, if there is clear information on what is being offered to the candidates and if the effective learning outcomes match those announced by the institutions. In the case of programmes that are financed by the national budget, it is a matter for governments to decide whether they wish to finance programmes with given objectives and learning outcomes.

58. Given that there are a variety of designations of higher education institutions, degrees and programmes, it is difficult for someone not acquainted with these to clearly identify what kind of knowledge and competencies are documented by a specific degree. The Diploma Supplement is an essential instrument to this effect, in the case of graduates seeking employment or further studies. There is a case for each higher education institution clearly defining for each programme the objectives and learning outcomes in terms of knowledge and of competencies and skills.

59. It is generally accepted that most programmes have employability of their graduates as an objective, even if it is not the only or even the central objective. It may be more widely accepted to say that higher education, especially at undergraduate level, has the objective of preparing people for an active life and citizenship, that includes being employed or self-employed. If this is so, developing competencies, skills and attitudes, such as social skills, initiative, problem solving skills, the capacity to learn or responsibility, are an essential part of the education process. As a consequence, these objectives should be considered in the learning process and included in the definition of the learning outcomes.

60. Given the rapid scientific and technological changes, inducing social and organisational changes, it is increasingly difficult to pinpoint what will be in the future a relevant body of knowledge for the labour market and employment. The only sure values are a solid and broad scientific education, the capacity to apply knowledge and to learn (to follow new developments, to learn from others and from experience) and horizontal skills. This is also a good personal basis for lifelong learning.

61. Quality assurance is generally recognised as an essential tool for higher education. It has mostly a national dimension, in spite of some experiences of international evaluation and the recent establishment of a European network for quality assurance in higher education (ENQA), created to promote co-operation in this field. The national procedures are diverse and there is no need to harmonise these procedures, as long as they are all recognised as valid.

62. From the point of view of employability, it is important that trustworthy quality assurance systems are in place, but also that quality is recognised in a public statement, that is, accredited. Accreditation covers, however, a diversified range of concepts, as it may be applied to programmes or to institutions as a whole and it may be academic or professional. Furthermore, accreditation may be based on an ex-ante or an ex-post procedure, as it may be only based on externally defined standards or take into account the objectives defined by the higher education institution.

63. Employability is promoted by having learning outcomes that are relevant for the labour market, but also by having a clear and easily understood expression of these outcomes and some form of accreditation that certifies that the learning outcomes are being achieved.

II. SCENARIOS FOR THE FUTURE

64. This part of the report focuses on scenarios for the future development of the Bologna Process. The first section analyses the issues and makes suggestions of actions favouring the development of a European Higher Education Area. The second section deals with the organisation of the process.

II.1 The European Higher Education Area

65. The main goals and the specific objectives set out in Bologna have received wide acceptance in the academic community and reforms are under way, both at national and institutional level. This does not mean that no questions have been raised or that different stakeholders do not understand the same issues in different ways. This implies that in some questions precisions may be required, other issues may be pushed forward and some may just need monitoring, as they are evolving well.

66. The students' organisations have raised several times the social issues, namely whether higher education is being viewed as a responsibility of the state or as a market. In particular, they have reacted to the use of the words "clients", "customers" or "consumers" to designate students, as these words suggest that they are not an integral part of the academic community and that they have a passive role towards higher education provision. It is a fact that there are different types of providers of higher education and that the role of the learner in traditional institutions and in a commercial type of higher education provision varies considerably.

67. An issue that has come up in many discussions in the framework of the Bologna Process as a relevant one, but does not seem to have been incorporated as a priority for higher education in most countries, is lifelong learning. However, a lot of work has been or is being done, for instance, by the Council of Europe¹⁸ and the European Union. At present, within the European Union, there is a consultation process being conducted on the basis of a Memorandum on Lifelong Learning¹⁹, presented by the European Commission, although not specific to higher education. Given the importance that this issue is gaining, it could deserve more attention within the Bologna Process.

68. The fact that employability is one of the main goals of the Bologna Declaration does not mean that it is the only aim of higher education. Higher education has broader objectives in terms of personal and social development. This issue may require some precision to make it clear that higher education is not viewed as just a way of providing the economy with an

¹⁸ E.g. the 3 year project: "Lifelong Learning for Equity and Social Cohesion: a New Challenge to Higher Education".

¹⁹ A Memorandum on Lifelong Learning, European Commission, October 2000.

adequately trained labour force, but also a means to personal, social and cultural development.

69. In what follows, as indeed in the whole of the report, the expression “higher education institution(s)” has been used throughout. It stands for any institution of higher education, independently of being included in a university or a non-university sector.

Shared values and concepts

70. In some of the events that have taken place recently, for instance when discussing transnational education, two different views were confronted: higher education as a responsibility of the state or as a market. Whenever the analysis of higher education provision is made on the basis of a market approach, for instance, by referring to students as clients or consumers, a defence of higher education as a responsibility of the state is to be expected. Although there is a tradition of public higher education in most signatory countries, private and transnational provision of higher education has developed significantly. Some forms of this type of provision may be considered as a market, although imperfect, as the students often pay the full cost of their education and providers are competing among themselves. From purely for profit to purely public, tuition free, higher education, a variety of situations may be found.

71. The balance between the objectives of social, cultural and human development in general and of employability is a delicate one. Differences in understanding may vary from country to country, but they also exist within national boundaries.

72. Furthermore, the traditional concept of higher education institution, especially within a university sector, is that of institutions where research plays a significant role. This is not always the case of, for instance, transnational providers. This raises the question of the essential characteristics of an institution or provider in order to be considered a higher education institution.

73. Accreditation, as referred above, may cover different procedures and objectives. Besides accreditation of institutions or programmes, there is academic and professional accreditation, depending on whether it is related to the award of a degree or the access to a given profession. There is a range of approaches and, from the discussions, it was clear that the same word or its translation into the different languages was being used for significantly different concepts.

74. If the European Higher Education Area of higher education is to be built and consolidated, it is important to know to what extent we all share the same values concerning higher education or what are the values that are common to the whole European Higher Education Area. Such a study could also aim at establishing and clarifying concepts and terminology, in order to facilitate discussions and communication in the future.

A European Credit System

75. The idea of a credit system is already in the text of the Bologna Declaration. It is developing with the aim of becoming a credit accumulation

and transfer system. How and on what basis such a system could be developed, has been the object of a report and an international seminar. Whether the credit system should be based on workload or competencies was questioned. Two conclusions seem to be the most consensual: that a European credit system should be developed as an extension of ECTS; and that a reflection by subject area at European level is required.

76. In fact, discussions on what should be the characteristics of an accumulation system have run against differences in understanding, depending on which subject area was used for the reasoning. There is agreement that a workload system, such as ECTS, is not enough and that other type of descriptors of the learning outcomes sanctioned by the credits is needed. It is, however, difficult to agree on such descriptors at an abstract level. Nevertheless, as a basis upon which to build a more comprehensive credit system, the generalisation of the use of ECTS should be pushed forward. This means that national systems, if ECTS is not adopted nationally, should be readily translatable into ECTS and that, at international level, the use of ECTS becomes common practice.

The degree structures

77. The national degree structures are changing. The trend towards a “bachelor”/“master” structure is growing, with “bachelor” programmes of 3 to 4 years curricular (or theoretical) duration. In some subject areas, especially among those with a strong relation to professions and in countries where long one-tier programmes are traditional, resistance to adopt such a model can be found. If changes are to be introduced, they must involve both administrations and institutions, but also professional associations.

78. In what concerns the degree structure, the Bologna Declaration has been interpreted both in a looser or a more rigid way. However, it has induced a convergent movement, in spite of the difficulties in some subject areas. Convergence at the level of programme duration, however, does not always ensure convergence in terms of learning outcomes. But diversity in objectives and profiles, even within a given subject area, may exist within a single country and may lead to relevant and useful qualifications. These qualifications just need to be understood and made clear for the students or candidates, on the one hand, and for the employers and other higher education institutions, on the other.

79. Therefore, given the movement that was created and that the issue is, to some extent, subject area dependent, work by subject area, at European level, should be pursued.

Reference levels

80. As referred to above, a European credit system, understood as a credit accumulation and transfer system, does not result simply by using ECTS. The discussions carried out, in order to identify the main requirements for accumulation, have been confronted with the difficulty of discussing across subject areas. In discussing degree systems, the same need to confront the various national approaches within broad subject areas has been felt. The implication is that, to move forward, it is necessary to reach some agreement on what are the objectives and learning outcomes, in terms of knowledge,

competencies and skills, that are relevant to be sanctioned by a degree in a given subject area.

81. These reference levels could be a sound basis for further development, greater converge and readability of European qualifications. A pilot project, supported by the European Commission, is under way and may lead to such an outcome²⁰. This approach could be stimulated in order to promote a common understanding of relevant reference levels, including intermediate qualifications, notably in the subject areas where long one-tier degrees are more often found.

Quality assurance and accreditation

82. The Bologna Declaration calls for co-operation in quality assurance. ENQA is a forum for such co-operation. Most countries have quality assurance systems or are planning the introduction of such systems. However, national systems vary in scope and approach. A fundamental objective of co-operation in quality assurance must be to develop mutual trust, leading every country and institution to trust the quality of the higher education programmes of their partners.

83. Accreditation, in spite of the differences in concept, is a public statement, recognising that a given institution or programme fulfils a given set of reference standards. The reference standards may be defined at national or international level and external to the institution of higher education. The question of who is responsible for setting the reference standards has proved to be a delicate and controversial one, especially if it is considered at European level. Alongside those that firmly believe in accreditation, even at European level, there are those that fear externally imposed European standards, as inadequate to their national system or reality and a restriction on the institutional capacity to innovate.

84. It would be already a significant step towards transparency if, besides the institutions clearly stating the objectives and the learning outcomes of each of their programmes, the fact that these objectives and learning outcomes are being achieved could be certified by a credible agency, such as a national quality assurance agency. ENQA is an adequate forum to discuss how quality assurance could be developed, taking into account the differences among the national quality assurance systems.

Lifelong learning

85. Lifelong learning is mentioned in the Bologna Declaration, in relation with establishing a credit system and acquiring credits outside formal higher education. However, lifelong learning is not only a specific education and training issue, but involves also the employment policies. In fact, a comprehensive lifelong learning policy requires that the education and training systems are open to new publics and offer alternative learning paths to standard qualifications, as well as, a variety of non formal learning opportunities. But also that citizens are given the possibility of using such offers while in employment.

²⁰ See footnote 7.

86. From the higher education point of view, the recognition of prior learning and prior experiential learning is one of the instruments to promote access to furthering formal education and, therefore, raise the levels of education attainment and of employability. Furthermore, it would be an additional contribution to make higher education internationally attractive and competitive. However, the procedures for accrediting prior learning or prior experiential learning, as a means to gain access to higher education without the formal qualifications or to obtain credits to be used towards a degree, are complex and require a rigorous approach to be credible.

87. Some countries already have experience in applying such procedures. Through co-operation within the European Higher Education Area, this experience and the good practices could be exchanged and shared, leading to a wider diffusion of lifelong learning policies.

Response to the needs of candidates and students

88. If European higher education is to be attractive for students all over the world, it is not enough to ensure quality, the acceptance of European degrees world-wide or the prestige of European higher education institutions. These are relevant factors, but clear information on the programmes and the conditions offered to attend the programmes are also important. Similar issues to those that may be raised in the context of intra-European mobility.

89. The type of information required is different, depending on the level of study. For instance, for post-graduate studies, in particular at doctorate level, research plays a much greater role than at graduate level. The information required by the students may be made available, as has already been suggested elsewhere, by creating a portal of European higher education, through which information on the national systems and institutions may be found. Such a portal, once sufficient adhesion has been ensured, may have an additional effect of emulation, with national systems and institutions competing to prove the value of their offer. The EU Commission, as has already been proposed, could contribute to develop this portal or gateway.

90. Once interest has been aroused, it is necessary that the candidates decide to move. Such a decision is easier to take if he/she knows what to expect, in terms of costs and living conditions, including where to lodge, what access to health care is provided or what visa formalities are required. But what is offered must also be appealing and a number of academic issues may be mentioned. The type of support they may expect to have to solve problems within the institution, the recognition of his/her qualifications or the flexibility of adapting the studies to his/her previous learning, including the possibility of previous learning being awarded credits towards the degree or diploma, are all relevant issues.

91. A flexible attitude in academic matters and an attitude geared towards the needs of students, besides clear and ready available information can be an effective instrument of attractiveness.

Mobility

92. Mobility has been considered above in the context of the main goals of the Bologna Declaration. The role of the Community programmes is widely acknowledged and could have a greater impact if it wasn't for the inevitable

budget limitations. There are also regional mobility programmes. Nevertheless, the issues raised in the Mobility Action Plan endorsed by the European Council in Nice are relevant in the framework of the European Higher Education Area and could also be adopted as a general reference in this context.

93. The European Union Directives on professional qualifications, although only applicable within the Union, could also be used as a reference for professional mobility within the European Higher Education Area.

Academic recognition

94. Academic recognition within the European Higher Education Area may be viewed in two complementary perspectives. The first one is that, as convergence progresses in terms of qualifications, degrees, learning outcomes, credits, quality assurance and quality certification, etc, academic recognition between countries will certainly be made easier. Nevertheless, this approach, in fact the Bologna Declaration approach as a whole, may not solve all and every problem of academic recognition and a more general approach will continue to be necessary. The Lisboa Recognition Convention offers such an approach, provided that it has been signed and ratified by the Bologna signatory countries.

95. Whatever the approach used, there is no substitute for a flexible attitude on the part of who has to recognise academic qualifications, unless it is made automatic. The criteria for recognition must be based on similarity of level and of the core of knowledge and competencies, rather than on strict equivalence of content²¹. There is still a significant number of issues that need to be addressed to improve the effectiveness and comprehensiveness of recognition²²

Transnational education

96. Transnational education is growing and challenging traditional education. The growth of transnational education may be considered as an indicator that traditional education is unable to respond to the needs of students, either by lack of capacity or by insufficient adaptation to the real needs of students. Its growth increases the pressure to find a solution to the recognition of its degrees and diplomas. The Lisboa Recognition Convention excluded the qualifications obtained through transnational education from its domain of application. However, a code of good practice is being developed, as a follow-up, and may provide the basis for a common approach to the recognition procedures of transnational education qualifications.

97. A pro-active approach to transnational education could be adopted by the signatory countries. Transnational education offered outside the European Higher Education Area is a way of making the European degrees more widely known world-wide and some signatory countries are already promoting the offer of their own programmes abroad. Joint efforts from institutions of higher education involving two or more countries from the European Higher

²¹ A "Recommendation on the Criteria and Procedures for the Assessment of Foreign Qualifications and Periods of Study" will be submitted to the Lisboa Recognition Convention Committee for adoption on the 6th of June 2001.

²² "Recognition Issues in the Bologna Process", DGIV, The Council of Europe, January 2001.

Education Area could be promoted, ensuring the quality of the programmes with the same standards as traditional provision. As convergence progresses and common reference levels, in terms of objectives and learning outcomes, may be agreed, joint distance, e-learning, multi-lingual programmes could be envisaged and promoted.

Comparable data

98. The Bologna Declaration establishes common goals and objectives for the signatory countries. Ministers will meet regularly to monitor the developments and to decide on further actions. Data is collected in the various signatory countries in different forms, making it difficult to have a quantified perception of how the process is evolving. The collection of data for the Bologna Process, in a comparable form in all countries, would facilitate the monitoring of progress achieved.

99. This comparable data, rather than comparison between countries, should aim at translating the progress made. For instance, the number of students from outside the European Higher Education Area studying in the signatory countries, could be an indicator of competitiveness or attractiveness. This is a clear case where comparison between countries should not be made, as differences in attractiveness may simply result from linguistic barriers. The number of students, teachers, researchers and other staff studying or working for a given period abroad, within the European Higher Education Area, could monitor mobility. As the number of joint programmes involving institutions from two or more signatory countries could indicate the development of European co-operation.

100. If the decision is taken to collect such comparable data for the Bologna Process, a technical study is required before the signatory countries reach an agreement.

Background studies

101. Besides the development of comparable data, some topics will require that the reality be better known, as a basis for further discussion of the issues and of further action. In what concerns competitiveness, it would be a useful basis for political decision to know what are the motivations of the students to follow higher education programmes in Europe, both of nationals of the signatory countries and students from outside the European Higher Education Area. The motivation to follow transnational education and for lifelong learning could be included in such a study on student motivations.

102. In what concerns employability, understood in a European-wide approach, to understand the characteristics of education, such as profiles, knowledge, competencies or skills, which favour employability, could be a reference for higher education institutions in a European rather than just national context. This could include a survey of regulated professions and existing professional accreditation systems.

103. Mobility has been the object of previous reports and studies within the European Union, such as the green paper on the obstacles to transnational mobility. However, recognition of qualifications remains an important issue. A survey of the systems and practices of recognition of qualifications, including transnational degrees, the recognition of periods of study, both within each

country and between countries, and the instruments for accreditation of prior learning, in an integrated perspective and at European scale, could provide a basis for further developments. Such a survey could draw on existing expertise, such as that of the ENIC and NARIC networks.

II.2 The Bologna Process

104. The Bologna Declaration process requires that a continuous impetus be maintained. In the first two years of the process, other countries and organisations have been interested in joining the movement. Higher education institutions and the academic community in general did not remain indifferent. This is an achievement in itself. The process has been conducted on a rather informal basis, with no clearly specified mandate for the steering and enlarged follow-up groups, but to push the process forward. The rotating presidency has been able to keep the process rolling and has certain advantages, but it is also a fragile arrangement. The memory of the process is passed on from presidency to presidency, relying on each presidency to ensure that the chain is not broken. As the process develops, the need for a memory of the process will certainly become more important.

105. Such facts point to the need to reflect on how to ensure continuity and momentum of the process. Assuming that an enlarged group and a steering group, or some similar arrangement, will continue to exist, their mandates should be specified. Namely, if the adhesion of new countries and organisations is the decision of ministerial conferences or if the enlarged group is given the mandate to accept new adhesions. If this is the case, the conditions for new adhesions and whether there is a limit to the geographical reach of the European Higher Education Area, should be specified.

106. The follow-up group feels the responsibility of ensuring the success of a process that is showing great vitality and has aroused widespread interest. As a consequence it would like to invite the Ministers of Education of the signatory countries to reflect on the best organisational arrangement to ensure that the process is efficiently run and the goals are fulfilled.

ANNEXES

Reports and conclusions of the events²³

²³ The documents, available in electronic form, were reformatted.

Annex 1

International Seminar on Credit Accumulation and Transfer Systems

Leiria, Portugal, 24 – 25th November 2000

Conclusions²⁴

General Rapporteur: Stephen Adam, University of Westminster

- The revolutionary forces currently impacting on European education represent huge difficulties and challenges for all involved in educational and training. These forces include globalisation and advances in information technology that are leading to rapid adjustments in national education systems. Learning is becoming more student-centred and flexible as credit-based systems are developed. These changes fundamentally challenge our notions as to how, what, whom and where we teach, as well as how we assess. Those who fail to confront and adapt to these questions face a difficult future.
- The '*ECTS Extension Feasibility Project Report*' of February 2000 clearly concluded that the ECTS was an excellent tool to aid transparency and convergence as envisaged by the Bologna Declaration. The study outlined the key advantages as well as the problems facing any extension of ECTS to a credit accumulation system within a lifelong learning perspective. These issues provided the agenda for the seminar workshop groups.
- The workshops achieved a number of things including:
 - Workshop 1: Examined problems associated with the quantification of credits. Understandably, it did not resolve these difficult problems but did highlight the need for credit definitions in terms of 'total student workload' as well as in terms of competencies.
 - Workshop 2: Considered APL and APEL. It found that learning can take place anywhere but the real challenge is to devise rigorous systems to accredit and measure such learning. The credit-based measurement of APEL is particularly important for models of lifelong learning.
 - Workshop 3: Explored distance and lifelong learning issues. These both benefit from credit-based approaches to provide the flexibility that such modes and concepts require. Educational and training programmes expressed in learning outcome and competencies were also seen to have advantages over traditional (input-based) content descriptions.
 - Workshop 4: Examined the use of the Diploma Supplement and Europass within a credit accumulation framework. Both were found to be valuable and workable devices to enhance transparency and recognition.
- The presentation by Pedro Lourtie on Credit Accumulation and Transfer and the goals of the Bologna Declaration reminded the seminar participants of the importance of their work in helping solve some of the problems of competition, employment, mobility, and convergence faced by European education.

In conclusion, the outcome of the two-day international seminar was clear:

1. In Europe we are faced by enormous common educational challenges.
2. Higher education can no longer exist as an island isolated from secondary, vocational and adult education. It must integrate more with these sectors by building appropriate bridges that help create a workable system for lifelong learning. All national education systems need to reflect on their own structures and practices in the light of these imperatives.
3. There was a consensus that credits and credit accumulation are the best devices to help create the converged yet flexible education systems required by European education.
4. The proposed project '*Tuning Educational Structure in Europe*' was endorsed.
5. Building a European education area will not be easy but we have excellent devices, such as ECTS, to help in its creation.

December 2000.

²⁴ Extract from the General Report.

Annex 2

International Seminar on Bachelor-Level Degrees

Helsinki, Finland, 16 – 17th February 2001

Conclusions and Recommendations of the Seminar to the Prague Higher Education Summit

Rapporteur: Anita Lehtikoinen

Benefits of developing bachelor-level degrees

These conclusions concern first degrees or first cycle degrees commonly referred to as bachelor-level degrees. For the sake of clarity, the term bachelor-level degree will be used in this document.

Most European countries have, are introducing or are planning to introduce a higher education degree structure based on a sequence of bachelor, master and doctoral degrees. Reforms in this direction have been carried out in countries with unitary higher education system as well as in countries with binary or dual higher education systems.

Long first study cycles, high drop-out rates and the lengthening of university studies are problems shared by many European countries. Well-planned and efficiently realised bachelor degree programmes help reduce the number of students discontinuing their studies without any qualification and thus facilitates their placement in the labour market while possibly contributing to shortening overall study times. There is a considerable lack of comparability in the European degree structures which is an impediment to mobility.

The bachelor-master (two-tier) structure offers several advantages in comparison with the long, often rather inflexible curricula leading straight up to the master level which have been traditional in many countries. A main benefit is that students can be offered programmes which allow more easily individual flexibility, which also promotes mobility. The two-tier structure makes room for national and international mobility by contributing to the modularisation of study programmes. In the age of life-long learning one of the most significant factors speaking in favour of a two-tier structure is that it allows interaction between studies and working life.

Most of the professionally oriented higher education institutions offer at the moment bachelor-level degrees, and in many countries master-level degrees are being introduced to these institutions. This development may serve the purpose of diversification of higher education provision. It may also contribute to the efficient use of resources because students do not need to change their orientation at the transition point.

The bachelor/master structure has become a world standard. Its adoption will facilitate better recognition of European degrees both within Europe and in the world and will make it more attractive for international students to consider studying in Europe.

Framework for bachelor-level degrees in Europe

The promotion of mobility in Europe requires increased transparency and comparability of European higher education qualifications. In order to achieve this need some common criteria for the definition of bachelor degrees are needed. This framework should be flexible enough to allow national variations, but at the same time clear enough to serve as a definition. These broad definitions should be achieved already in the Prague Summit of Higher Education.

The following factors could be seen as useful common denominators for a European bachelor-level degree:

Bachelor-level degree is a higher education qualification the extent of which is 180 to 240 credits (ECTS). It normally takes three to four years of full-time study to complete the degree. Bachelor-level degrees play an important role in the life-long learning paradigm and learning to learn skills should be an essential part of any bachelor-level degree.

It is important to note that the bachelor-level degrees, often referred to as first degrees can be taken at either traditional universities or at professionally-oriented higher education institutions. Programmes leading to the degree may, and indeed should have different orientations and various profiles in order to accommodate a diversity of individual, academic and labour market needs.

In order to increase transparency it is important that the specific orientation and profile and learning outcomes of a given qualification are included in its title and explained on the Diploma Supplement issued to the student. Information on different study programmes should be transparent to enable the students make informed choices.

Even bachelor degrees which serve as an intermediate qualification preparing students for further study should be based on a proper curriculum. They should not only be seen as a part of a longer curriculum, as some students may wish to change direction or to choose a graduate programme or specialisation offered at another institution.

Labour market relevance

In the European tradition higher education has never been an island. There is a strong need for close interaction between higher education and society at large. Labour market relevance should not undermine higher education's cultural value.

There are many different ways in which bachelor-type degrees can be relevant to the common European labour market. While many curricula ought to be geared towards specific professions and immediate entrance onto the labour market, others need to prepare students for further studies and a later entrance. All curricula should include transversal skills and competencies required from all active citizens in Europe. This entails long-term development of educational contents.

In European countries labour markets expect higher education qualifications from more and more young people. This is likely to be more difficult in countries offering only long one-tier qualifications. The higher education system is expected to offer independent, shorter degrees of the bachelor type geared specifically for labour market needs. At the same time there are needs for updating and upgrading qualifications and skills of the present labour force.

Disciplinary issues

Different disciplines have characters of their own and they have to be taken into consideration when developing degree structures. It should be clear that in some fields which involve professional accreditation bachelor-level degrees will not always serve as independent qualifications leading to full labour market relevant professional competence. However, in those fields too an intermediate qualification may be worth developing for the reasons mentioned above.

In all fields, reasonable transition mechanisms between bachelor and master programmes should be established, both within the same higher education sector and between different higher education sectors. These transition mechanisms should enhance also interdisciplinarity.

Reforming structures only is not enough. Transparency and comparability of transferable core competencies expected from graduates of bachelor and master programmes in broad subject areas are needed at the European level. Higher education institutions and their European networks involving professional bodies and other stakeholders should develop these common guidelines.

Annex 3

International Seminar on Transnational Education

Malmö, Sweden, 2 – 3rd March 2001

Report

General Rapporteur: Rolf Hoffmann

Towards a common policy on Transnational Education (TNE) – the need to cooperate and address this issue together on a European level was the message which the majority of participants took home as one of the most important results of 1 ½ days of intense discussions. TNE is about to surface as one of the major – and most pressing - issues in the process of internationalization of Higher Education in Europe in the near future, in particular in countries with federally financed systems. TNE as the most obvious manifestation of globalization in higher education is flourishing in almost every country, it is demand-oriented and thus introduces a commercial component that is completely new to most higher education systems in Europe.

While the physical presence of TNE institutions is obvious, it's implications for the existing systems are less visible: Higher Education, in European countries usually state-driven and financed, based on (in the best case) federal mid-term planning and with little need to compete, are suddenly confronted by very successful competitors which operate client-minded, and out of the defined Higher Education matrix. They offer international curricula and degrees which prepare students for a global market, they charge tuition and they seem to supply modules and degrees (and models) that state-driven systems often lack. Students – and often the best students – choose TNE-providers over state universities, and if they cannot find appropriate offers in their home country in Europe they go abroad to study there, mostly in the US. Hence, the consequences of TNE, it's challenges of and chances for the various existing systems in Europe, and various approaches to a coordinated response to TNE defined the discussion of the Seminar.

Results

All participants agreed that the findings in the draft report being presented by Stephen Adams are a very sound and well-researched basis to facilitate the discussion on a mutual approach to a common policy on TNE. It was agreed that there was little to be added, or changed to the results and recommendations. Minor suggestions were made (such as a re-draft of 4.22) and will be incorporated by the author. Some issue though drew special attention and were subject to very intense, yet rarely truly controversial discussion.

Information

There was a general concern that much too little is known about the impact of TNE, particularly with regard to

- students and their motivation to choose (and often prefer) TNE institutions and offers over state institutions in their own country
- students, their strategic goals and their expectations with regard to higher education, curricula, degrees and quality of existing state-driven systems
- acceptance of TNE degrees (vs. recognized state degrees) on the labor market
- the current situation of intra-European and trans-European export and import of Higher Education products
- strategic options for TNE and traditional HE models in the future with regard to the growing need for internationalization
- best practices in TNE

- the size and the future demand of the potential 'market', in Europe and on a world-wide basis.

It was very strongly recommended that studies should be commissioned as soon as possible to address these questions since national authorities and actors cannot develop policies without substantial quantitative and qualitative assessment of the situation.

Quality

It was generally agreed upon that the issue of quality, quality assurance and its international transparency would have to become the main focus of all parties involved in TNE in the future. While some state-driven systems had long ago developed a set of internal quality measurements which still may differ widely from country to country they are now faced with the challenge to re-define quality and quality assurance parameters in study and research both to position themselves on the international HE market, and to guarantee at least minimal common national and European standards. For example, top-seed TNE providers (e.g. branches of US Ivy League universities) which actively compete 'next door' with well-established European universities for the best students may create the need for European institutions to quickly develop and apply comparable and transparent quality standards, as much as they need to distance themselves at the same time from degree mills of questionable origin.

It was recommended that

- TNE providers (including European institutions) should be subject to strict quality assurance on a national level (host country; or country of home mother institution if member on EU)
- That every country should set up a proper quality assurance system acknowledged within the EU
- That Naric/Enic should be more aware of their responsibilities with respect to TNE
- That a European platform for quality assurance could be helpful in order to provide the exchange of ideas, approaches and – in particular - to facilitate the coordination of existing initiatives and networks such as Naric and ENQA.

Accreditation can be part of quality assurance, but it is likely to succeed only if generally accepted quality standards are being applied. Different national accreditation standards will multiply problems and dilute quality transparency rather than establish it. Accreditation has become an important tool of efforts to control TNE providers in some member states already, but there is little, if any, coordination or cooperation among states in setting up a commonly agreed-upon set of criteria. Accreditation as a standardized tool to guarantee quality in TNE is most likely successful only if it is developed on a supranational (here: European) level.

Social issues

In various discussions it was mentioned that the social issue in TNE was not being considered appropriately. In particular there seems to be too little concern over the impact of TNE on

- the possibility of a gradual transformation from non-fee systems to fee-based systems ('value for money' – approach)
- the development of national and European student loan and grant schemes in a rapidly opening international market
- the responsibility of Governments for student's needs
- the commercialization of higher education when being subjected to GATS.

It was obvious throughout the discussions that too little is known about the links between students, their motivation with respect to their preferred field of study, the labor market and its

demands, and TNE providers which obviously seem to fill a certain gap. The internationalization of labor markets require a set of new qualifications from students that state-driven national systems cannot easily provide without giving up traditional national positions and protective behaviour. Students who can move freely from one institution to another in a harmonized yet diversified European Higher Education landscape are most likely to fulfill the requirements of future global employers. They will look for the best education, and they will choose those institutions which can provide this in the most efficient manner. The push-and-pull factors have changed over the last years, and the principles of the Lisbon agreement will further This change significantly to a configuration of rules guarding the HE market following the principle of motivation (by students) and attractiveness (of providers).

This new global development requires that internationally accepted quality standards are sound, transparent, applicable to both private and state institutions and transferable.

It was generally agreed that these standards need to be developed as quickly as possible on the broadest European level.

Apart from the strict application of quality assurance, there was consent that there should be as little formal regulation of TNE providers on a national or European level as possible, that in fact a cooperative approach would serve much more the needs of all parties involved. The emergence and success of TNE providers in many countries should be seen as a helpful indicator of the problems of existing state systems, of options for future developments and even best practice models in some cases. Institutions in some countries have already begun to act themselves as TNE providers, and there will be an increased competition for highly qualified students worldwide in the years to come. TNE opens the door to a first step towards a de-regulation of European Higher Education, and thus the need towards a *common* approach.

17 March 2001.

Annex 4

Convention of European Higher Education Institutions

Salamanca, Spain, 29 – 30th March 2001

Conclusions of the work of thematic groups

Rapporteur: Prof. Dr. Konrad Osterwald, Rector, ETH Zürich

The main purpose of the Salamanca Convention was a political one : higher education institutions wanted to formulate in an easily readable way their goals and intentions, the leading principles, major requirements and some of the difficulties that need to be overcome on the way towards the European Higher Education Area.

European universities showed that they want to shape their own future in the new European context. They clearly expressed their will, their intention and their determination to take up the challenge of the Sorbonne/Bologna declaration and to be proactive in the process of building by 2010 the European Higher Education Area.

This short document – also a basis for the *Salamanca Message* to the European Ministers of Education when they meet in Prague on 18-19 May 2001 – sets out the main results of the work of the twelve groups who, during the Convention, debated six key themes taken from the Bologna Declaration of June 1999.

1. Freedom with responsibility: empowering universities

Universities need new freedom if they are to adjust rapidly to "environmental changes" and to new local, national and international partners. The variety of their new tasks calls for freedom of action as the only way towards more efficiency. Universities have to be able to enter into new partnerships, including with commercial partners, and they need to be able to act quickly. This calls for new leadership, the conditions of which depend on the institutions' ability, flexibility and independence to plan strategically.

Universities are not just requesting more freedom, however. They are also willing to accept the corresponding responsibility: they want to be held accountable for what they are doing and for how they use the freedom granted to them.

Thesis 1: Freedom with responsibility

Universities as legal entities need autonomy in, and want to be held accountable for:

- ◆ strategic planning, setting goals and priorities
- ◆ funds allocation
- ◆ selection of partners, locally, nationally and internationally, in research and in teaching
- ◆ selection of research areas
- ◆ definition of curricula
- ◆ management of human capital, in particular the hiring the professors
- ◆ setting of admission rules for students.

Mutual trust between government and universities on a partnership basis is a pre-requisite. Last but not least, nursing intellectual autonomy is still the core task and requirement of academic institutions.

2. Employability in the European labour market

Study programs have to be valid academically and relevant to the labour market at the same time.

Flexibility in curricula and study courses, as well as diversification, respecting different talents and employment prospects are prerequisites. Curricula must meet well defined targets.

The introduction of first cycle programmes is important because of the growing number of students. The articulation of programmes and degrees in two main cycles is a meaningful option if the curriculum takes care of employability (in terms of the competencies acquired) both for students transferring to employment after the first degree and those doing so after the second degree.

Thesis 2

Higher education institutions see the employability of their graduates as an important goal and a necessity. This requires greater programme flexibility and the development of curricular concepts promoting the lifelong employability and adaptability of students. Furthermore it means diversity and multiplicity of entry and exit points of learning experiences.

Thesis 3

Employability in a university context means:

- ◆ a well developed imagination
- ◆ the ability to approach and to solve a problem systematically and methodically applying substantial knowledge
- ◆ the capacity to lead social processes.

The overall structure of university programmes and each element thereof must be targeted towards the development of the above mentioned personal skills, while allowing for a great variety of curricular approaches and for competing course designs.

Thesis 4

Institutions of higher education should contribute to transparency and recognition by explaining their curricular approach and the competencies they strive for in a way that is meaningful for students, employers and others concerned. In other words, they should prepare their students to cope with the labour market and their future professional role (preparation for job search and managing one's career). In conjunction with their public and private partners, they should establish career centres for such purposes.

3. Mobility in the European higher education area

Mobility of students and staff promotes the ability to cope with a new cultural and learning environment and to understand other cultures. It is a requirement in view of today's globalisation but it also promotes European coherence and enriches the scientific outlook.

Two types of mobility should be promoted: horizontal mobility (i.e. the student stays with a host university for one or two terms and then returns to complete a degree from his/her home institution) and vertical mobility (i.e. the student finishes one period of studies at a first institution and then moves to a second one to continue his/her studies. An ideal point for changing institutions in this way is after the completion of one of the cycles).

Necessary conditions for mobility are:

- ◆ ECTS credits used both for exchange and for accumulation;
- ◆ the Diploma Supplement;
- ◆ a more generous approach to recognition issues;
- ◆ the possibility for both virtual and physical mobility, the former not being a substitute to the latter;
- ◆ the availability of funding for staff and student mobility;
- ◆ transparent quality assurance systems in all countries and subject areas.

Thesis 5

Mobility is a core value of the European Higher Education Area.

Existing instruments of recognition should be fully implemented:

- ◆ ECTS (extended to accumulation and life long learning)
- ◆ Lisbon convention
- ◆ Diploma Supplement
- ◆ NARIC/ENIC network.

Thesis 6

Physical mobility should be promoted as an educational experience and cannot be substituted by virtual mobility. A common European approach to virtual mobility is needed, however. The benefits (i.e. the added value) associated with mobility for staff, students and researchers should be publicised. Administrative and structural barriers and obstacles to mobility must at long last be removed. Countries party to the Bologna process should commit themselves to abolish any law/regulation imposing nationality requirements for holders of permanent and temporary positions at their higher education institutions. Portable grants and loans should be made available to students, together with other suitable incentives to both individuals and institutions.

Thesis 7

The creation and development of the European Higher Education Area depends on the recognition of the essential role of higher education institutions. They are a driving force in the whole process. Their clear internationalisation policy needs to take into consideration:

- ◆ the crucial importance of teaching staff with international experience;
- ◆ realistic language provision (this requires the abolition of any law/regulation prohibiting higher education teaching in a foreign language) and the provision of certain courses in widely spoken foreign languages;
- ◆ the need to offer all students in undergraduate education, regardless of their field of specialisation, the possibility to take a number of credits in foreign languages;
- ◆ good quality, user-friendly information of students concerning international opportunities.

4. Compatibility: a common, but flexible qualification framework

Thesis 8

Higher education needs to be structured in such a way that after 3 - 4 years (or rather 180 - 240 ECTS credits) a student should be eligible for a Bachelor-type degree. This degree should either lead to immediate employment or provide preparation for further studies leading to a Master degree. Under certain circumstances a university may decide to structure a curriculum as a 5-year integrated (i.e. unbroken) programme leading directly to a Master-level degree. Professional and discipline networks have an important role in informing such decisions.

Thesis 9

ECTS should be used by universities not only for credit transfer but also for credit for accumulation:

- ◆ by giving credits for assessed learning gained inside or outside the university;
- ◆ subject to the requirements of regulated professions and the right of universities to decide whether credits gained outside are acceptable or not.

Quality assurance is an essential part of this process.

5. Quality assurance and quality certification

Thesis 10

The internationalisation of quality assurance is a necessary response to the current globalisation trends and to the challenges of building a European Higher Education Area. Accreditation is one answer to these challenges and quality assurance mechanisms are a pre-requisite for good accreditation procedures.

Some kind of European platform or clearing system needs to be organised with the full support of higher education institutions in order to disseminate good practice and advise accrediting bodies on appropriate procedures. It should foster the mutual acceptance of quality assurance decisions in Europe while preserving national and subject differences and institutional autonomy and not overloading universities. The role of ENQA in this process should be considered.

6. Competitiveness at home and in the world

Competition promotes quality and is therefore good for students. But universities need more operational freedom and a fair financing scheme to enter true competition. More diversity of curricula will further competition. More competitiveness is needed to attract students from overseas. Competitiveness and co-operation are not mutually exclusive. Competitiveness means academic quality in the first place and cannot be reduced to a commercial concept only.

Europe needs to be in a position to attract the best brains from all over the world, but this requires the speedy removal of inadequate immigration and labour market regulations.

Competition raises issues within Europe (East versus West, South versus North) and there is the danger of an inner-European brain drain. Specific measures could be:

- ◆ the introduction of study programmes taught in major world languages;
- ◆ more marketing in non-European countries, developing educational trade marks and brands;
- ◆ the development of adequate services for foreign students and scholars, allowing European higher education institutions to be perceived as welcoming institutions;
- ◆ competition with other continents through strategic networking.

Thesis 11

Higher education institutions are willing to take the responsibility of operating in a competitive education arena, but this requires more real managerial autonomy (going beyond classical academic freedom), a flexible regulatory framework and fair financing.

Thesis 12

Competition serves the quality of education and is good for students, higher education institutions and other stakeholders. It must be accepted and promoted and at the same time underpinned by reliable quality assurance and accreditation mechanisms that are readable inside and outside of Europe.

Thesis 13

Being globally more competitive also calls for more openness, transparency and competition at home. It requires a revision of our service and marketing culture in line with the realities and values of European higher education, such as cultural diversity, research orientation and social responsibility. Universities in certain accession countries are not yet equipped to compete on an equal basis and need special help.

Conclusions

European universities and their organisations are willing and capable to take the lead in the joint effort :

- ◆ to renovate and rejuvenate higher education;
- ◆ to redefine it at a European scale;
- ◆ to promote the employability of their graduates and the mobility of their students and staff;
- ◆ to further the compatibility between institutions and curricula;
- ◆ to assure quality in the European Higher Education Area;
- ◆ to be more competitive, not excluding cooperation;
- ◆ to address the specific difficulties of universities in certain parts of Europe.

Prerequisites are enough freedom and appropriate funding, as well as the removal of immigration and labour market restrictions.

European higher education institutions want to be in a position to shape their future in the European Higher Education Area. If they all want it, their message will be heard and it will happen.

Annex 5
Student Göteborg Convention
Göteborg, Sweden, 22 – 25th March 2001

Student Göteborg Declaration

PREAMBLE

We, the student representatives in Europe, gathered in Göteborg at the Student Göteborg Convention from the 22nd to the 25th of March 2001. Here we adopted the following declaration on the future of the Bologna Process. ESIB – the National Unions of Students in Europe is and has been actively involved in the construction of the European Higher Education Area.

In June 1999, ESIB and its members, the national unions of students had to invite themselves to the Ministerial meeting on “A European Higher Education Area” in Bologna. Two years later, at the Prague Summit, ESIB is a keynote speaker. The growing recognition of the student input in the process is the result of a strong commitment of European students to promote a high quality, accessible and diverse higher education in Europe.

INTRODUCTION

ESIB sees the Bologna process as the crucial step towards a Europe without boundaries for its citizens. A European higher education area should include all European students on an equal basis. The creation of this area is a common responsibility of all European countries and should take into account the political and socio-economic differences in Europe. The reason for creating a European higher education area is the improvement of all national higher education systems, by spreading good practices and promoting cooperation and solidarity between the European states.

THE SOCIAL IMPLICATIONS

Although the Bologna Declaration pointed out the basic aspects of the European dimension in higher education, it failed to address the social implications the process has on students. Higher education enables students to acquire the skills and the knowledge they need further in life, both personally and professionally. The social and civic contributions must be present as the primary functions of the higher education institutions. Higher education institutions are important actors in civic society; therefore all members of the higher education community should be involved. Students therefore are not consumers of a tradable education service, and as a consequence it is the governments' responsibility to guarantee that all citizens have equal access to higher education, regardless of their social background. This means providing students with adequate funding in the form of study grants and the higher education institutions with enough funding to exercise their public tasks.

THE HIGHER EDUCATION AREA

As stated earlier, accessible higher education of a high quality is of utmost importance for a democratic European society. Accessibility and diversity have traditionally been the cornerstones of European education and should remain so in the future. Next to this and to ensure that all programmes of higher education institutions are compatible and exchangeable, a system of credits based on workload should be implemented in the whole of Europe. A common European framework of criteria for accreditation and a compatible system of degrees is needed, in order to make sure that credits accumulated in different countries or at different institutions are transferable and lead to a recognisable degree. A two-tier degree system should guarantee free and equal access for all students and should not lead to the exclusion of students on other than academic grounds. To guarantee and improve the quality of higher education, a strong European cooperation of the national quality assurance systems is

needed. Accreditation, being a certification of a programme, takes into account, among other criteria, the quality assurance process and should be used as a tool to promote quality.

A European higher education area promoting improvement and cooperation requires physical mobility of students, teaching staff and researchers. Mobility is also a way to promote cultural understanding and tolerance. Obstacles to mobility exist not only in the academic world. Social, economical and political obstacles must also be removed. Governments should guarantee foreign students the same legal rights as the students in the hosting country and higher education institutions should take the responsibility to provide students with mobility programmes.

The creation of a genuine European higher education area as outlined above will lead to expanded mobility, higher quality and the increased attractiveness of European education and research. The measures taken in the Bologna process are only a first step towards transparency. The provision of general information must be encouraged. To improve the level of information Europe needs a fully implemented use of a Diploma Supplement and the creation of a readily accessible database with all relevant higher education information.

THE ROLE OF STUDENTS

Finally, it must be stressed that students, as competent, active and constructive partners, must be seen as one of the driving forces for changes in the field of education. Student participation in the Bologna process is one of the key steps towards permanent and more formalised student involvement in all decision making bodies and discussion fora dealing with higher education on the European level.

ESIB – the National Unions of Students in Europe, being the representative of students on the European level, must be included in the future follow-up of the Bologna declaration.

ESIB – the National Unions of Students in Europe will commit itself to continue representing and promoting the students' views on the European level.

25th March 2001.



Socrates



Education and Culture



BOLOGNA PROCESS BETWEEN PRAGUE AND BERLIN

Report to the Ministers of Education of the signatory countries

Berlin, September 2003

General Rapporteur: Prof. Pavel Zgaga

Report commissioned by the Follow-up Group of the Bologna Process

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EXECUTIVE SUMMARY

The Prague Summit (2001) clearly confirmed that the idea initiated in Bologna two years earlier had evolved into a unique international process of exceptional importance for the future of higher education in Europe. *In the successive period 2001 – 2003, awareness of the importance of the Bologna process and the real need for a common European Higher Education Area (EHEA) dramatically increased all around Europe*, not only at governmental level but also at the level of institutions. Some new European countries expressed readiness to join the Bologna process while it has also received growing interest from other parts of the world. *“Bologna” has become a new European higher education brand, today easily recognized in governmental policies, academic activities, international organizations, networks and media.* The Process now enters a demanding phase in which answers to particular problems detected in the last follow-up period should be found, and detailed strategies and “tuned” structural as well as social tools should be developed.

During the 2001-2003 period, several factors have been pushing the signatory partners of “Bologna” towards a more substantial commitment to the process. They have been preparing and implementing substantial reforms in their higher education systems. There is no country today which has not found it essential to search for complex answers for its future, also through the educational system; there is no country which has not put the reform of higher education high on its political agenda. Even if a country considered this need only for itself, it would be enormously important to study the practices of other countries and their educational systems. However, the Bologna process is much more than just an excellent set of good practices. Challenges to national higher education systems are interlinked with challenges brought about by growing European associating, (re)integrating and globalising processes. In that sense, the Process expresses a conviction of countries and institutions that under these new circumstances national higher education systems should become more comparable and compatible but also more attractive on a global scale.

The “Bologna Club” and the European Union are not of the same composition but most of these principles are applicable in both cases. “The Club” has not been founded on out-voting each other but on jointly exploring the most important issues and searching for consensus. There are *national* educational systems and curricula but there is also a firm understanding that *European cultural diversity* gives us great advantages and richness. Our advantages and richness can be mutually and fully enjoyed only if we create solid “common roads” among us. Richness is the end; “common roads” are the necessary means.

Although the Bologna process was initiated as mainly an intergovernmental process, there is an evident and *growing convergence with EU processes* aimed at strengthening European co-operation in higher education. Decisions of the Spring European Councils, in particular of Lisbon (2000), Stockholm (2001) and Barcelona (2002), as well as the consecutive EU Education Councils have gradually altered the status of the *Bologna Declaration* from a voluntary action to a set of commitments in the framework of the follow-up of the report of the concrete future objectives of education and training systems, endorsed in Stockholm in 2001. At least from this point on, the Process was no longer merely a voluntary action for the EU Member States, or for the candidate Member States either. Therefore, in the light of EU enlargement, the growing convergence between the Bologna process and educational policy making on the EU level will soon become more and more visible. However, since its establishment the “Bologna Club” has been wider than the EU, and even after the forthcoming EU enlargement in 2004 it will remain wider. This can only give additional dynamism to the Process.

In the forefront of the follow-up process between Prague and Berlin was *a series of official follow-up seminars which aimed* to explore the areas pointed out in the *Prague Communiqué*. The list of official conferences between Prague and Berlin consists of ten seminars, spread over the period between March 2002 and June 2003, organized in six problem areas (quality assurance and accreditation;

recognition issues and the use of credits; development of joint degrees; degree and qualification structure; social dimensions of the Bologna process; lifelong learning) and covering all key issues of the Bologna Process. Altogether, more than 1 000 participants – representatives from national ministries and international organizations, experts, academics, students, employers etc. – took part in all ten official Bologna follow-up seminars. The seminars have developed into a unique pan-European forum, which reflects the "snowball effect" of the Bologna process.

On the other hand, particular contributions by the EU Commission as well as by the Council of Europe, the European University Association (EUA), the European association of institutions in higher education (EURASHE) and National Unions of Students in Europe (ESIB) have to be mentioned separately.

The Bologna process fits closely into the broader agenda defined at a meeting of the European Council in Lisbon in March 2000, stressing the importance of "education and training for living and working in the knowledge society". In 2002 and 2003, the *D. G. of Education and Culture* released successive *Progress Reports* that offered a systemic review of its various and continuous activities and measures related to the Process. In most cases, the Commission is implementing measures in direct partnership with the higher education sector of the EU member and associate countries but also other countries. Today, the Community programme Socrates (and Erasmus within it) is a widely known promoter of the developmental projects and of the continuous increase of students' and teachers' mobility in European higher education. Socrates-Erasmus is also the main mechanism for the promotion of ECTS and the large-scale introduction of the Diploma Supplement. New exploratory projects have been launched in 2002, aimed at expanding the ECTS experience to lifelong learning. Measures to promote European co-operation in quality assurance are also high on their agenda.

The Council of Europe is another important contributor to the Bologna process. First and foremost, it has taken on the distinguished role of a bridge between those countries party to the Bologna process and the remaining European countries – signatories of the European Cultural Convention – that may benefit from the Process but that are not (yet) party to it. It is also an important actor in recognition issues. Traditionally, the Council has offered a platform for debate between Ministry and academic representatives, through the double composition of representatives in its *Steering Committee on Higher Education and Research* (CD-ESR). At the October 2002 plenary session of the CD-ESR a well-attended round table debate on the Bologna process was organized; it was one of those events of the period between Prague and Berlin with the highest representation (over 50 delegations). Finally, one particularly important contribution refers to a number of seminars on the Process in the countries that have not yet joined officially (South-Eastern Europe, the Russian Federation).

EUA in general, and various activities of individual *universities and higher education institutions* in particular, have also been very influential during the period 2001–2003. EUA's contributions during this period are numerous and wide-ranging; they arch from Council meetings and animation of internal discussions on main issues with members institutions, through active involvement in the work of the official follow up bodies (as an observer) as well as participation in the follow-up seminars, to launching pilot projects with help from EC Socrates Programme, coordinating ECTS and DS counsellors, etc. In this context, the *Trends III Report* is not to be missed. A special mention should be given to the EUA Convention on *Strengthening the Role of Institutions* in Graz (Austria) in May 2003, which formed the peak of activities for this period and was an important advance in the Bologna process. The Convention affirmed that its common vision is a Europe of knowledge based on strong research and research-based education in universities across the continent.

EURASHE represents *professional higher education institutions* which form an important part of tertiary education. Through its active contribution at follow-up events, it has presented specific aspects and concerns that are essential to a complete understanding of key issues. EURASHE's Annual Conference held in Gyöngyös (Hungary) in June 2003 confirmed again that institutions of professional higher education definitely belong to the emerging EHEA. These institutions also play a part in implementing the two-tier structure throughout Europe putting strong emphasis on social relevance

and practical preparation of students for the reality of the world of work. EURASHE's particular contribution to the follow-up process between Prague and Berlin is the *Survey of Tertiary Short-Cycle Education in Europe*. It defines tertiary short-cycle education with regard to existing sub-degree education in European countries. A comprehensive, up-to-date presentation of this sector could well be used as the main reference in comparative discussions.

Student organizations have been particularly active partners in the Process during the follow-up period 2001–2003. There were no official Bologna follow-up seminars without student representatives, and they have always contributed competently and constructively to seminar results. Numerous activities have been well co-ordinated through ESIB as the students' representative at the European level. Today, there is no key theme within the Process that has not been discussed in the framework of European student organizations. As a result, ESIB produced a set of valuable policy documents. ESIB's *Brussels Student Declaration* (November 2001) states that creating a genuine European Higher Education Area requires more than educational, structural and institutional changes; what is really important is access to higher education on an equitable basis. The *Communiqué* of the 5th European student convention (Athens, February 2003) emphasizes the multiple benefits of study abroad but also deals with a number of factors that limit and hinder genuine student mobility and need to be progressively removed to achieve a higher participation rate in mobility schemes.

An important extension of the Bologna process in the period between the Prague and Berlin Summits are the "Bologna activities" at national and institutional levels. Any attempt to report on numerous activities at these levels would be doomed to remain incomplete. *National reports* (prepared in spring and summer 2003) offer an extremely useful insight into them. A high degree of correspondence between national higher education reforms and "Bologna" action lines is evident. Almost all countries report on establishing "Bologna co-ordination groups" and on organizing national "Bologna events". Reports from most countries also contain information about *lively activities at the institutional level and in student organizations*. Partners in these activities are becoming aware that round tables, debates and communication on various "Bologna" issues are meaningful and productive in relation to their own national and local problems. In a growing number of cases, other stakeholders – employers and social partners in particular – take part in these discussions and communications.

Probably the clearest proof that the Process has now reached the concrete level of subject-specific study areas comes from the growing number of reports and communications from specialized organizations, academic and professional associations, networks, various initiative groups, etc. Here also, we witness an extremely wide spectrum of activities and initiatives. It is impossible to review them all here in the limited frame of this report; therefore, only a few specific cases – e.g. associations in engineering (CESAER and SEFI), in arts (ELIA and AEC), in law (ELFA), in education (TNTEE); co-operation projects as "Tuning", "Joint Masters' Project", Quality Culture Project, Joint Quality Initiative, ENQA, ECA, ICE-PLAR; contributions by ENIC and NARIC Networks, European Access Network, etc. – are given to illustrate their dimension, frequency, weight and importance while bibliographical and website sources are given for a more comprehensive picture.

Since the Prague Summit, a constant and growing interest for joining the Bologna process and/or for various modes of participating has been observed. Official follow-up bodies (BFUG and BPG) paid considerable attention to issues of further accessions to the Process and its "external dimension".

BFUG and BPG were in a permanent communication with countries which applied for joining at the Berlin Summit. On the other hand, *an internal discussion on further accessions* focused on the need to revise the eligibility criteria laid down in the *Prague Communiqué*, and to introduce into the *Berlin Communiqué* also a specific commitment of the signatory states to realize the Bologna objectives, notwithstanding national differences and particularities. While the origin of this debate is to be found in (a) possible applications for further accessions, it quickly became clear that this was only one of the issues in the further development of the Bologna process as a framework for the reform of higher education in Europe, and that the question of new accessions cannot be divorced from (b) considerations of the implementation of the Bologna process by its current members. *The closer we*

get to 2010, the more important it will be to assess whether policies have been implemented or are likely to be put in place in time for the EHEA to be established.

The increasing relevance and attractiveness of the Bologna process in the global higher education arena also manifested itself in the 2001-2003 period. Partly, these issues have been linked to the UNESCO agenda and its various international fora; partly there have also been purely “regionally grounded” interests, for example from some Latin American or Caribbean countries where the Bologna process is being considered as a possible model of good practice for the further development of higher education. In discussions, it was pointed out that the Process has its own identity; but it is clear that ways need to be found to deal with the "external dimension" of the Process in future. It was agreed that UNESCO Headquarters might offer a great service, and in fact it has already expressed its interest in participating more actively in the Bologna process.

How the particular goals of both the Bologna Declaration and the Prague Communiqué are reflected in all these discussions, findings and documents of the follow-up period? As we saw, conclusions and recommendations from official follow up seminars are important but they are not the only reference points to answer this question; surveys and studies developed in parallel to the seminars, other discussions, various projects and events should be also taken into account. For that reason, the impact of various Bologna events of the period 2001-2003 is considered in two roughly-drawn clusters – *structural* and *social* dimensions of the Bologna process – at the end of the main chapter.

This is a report commissioned by the Follow-up Group of the Bologna process; therefore, at the end a notice on *the work of both follow-up bodies (BFUG and BPG)* as well as some *remarks on steering the Process* are also made. BFUG and BPG have been responsible for the successful implementation of decisions from Prague but they also had to take care of the steering process itself: to reflect on and evaluate their own work, advantages and deficiencies of structures, and methods developed since Bologna and Prague. Thus, BFUG prepared a “Berlin” proposal for further “handling” of the Process aiming at even more efficient work of the next follow up period 2003 – 2005.

At the end, *Bibliography and Internet sources* are listed for everybody who would like to study results of the follow up period 2001 – 2003 in details, and *a list of abbreviations* is also added. In the *annexes*, recommendations from all ten official Bologna follow-up seminars are given.

1. DEVELOPMENTS SINCE PRAGUE SUMMIT 2001

1.1 Introduction

01. The Prague Summit (18-19 May 2001) clearly confirmed that the idea initiated in Bologna two years earlier (19 June 1999) had evolved into a unique international process of exceptional importance for the future of higher education in Europe. In the successive period 2001 – 2003, awareness of the importance of the Bologna process and the real need for a common European Higher Education Area (EHEA) dramatically increased all around Europe, not only at governmental level but also – thanks to the support of the academic community – at the level of institutions. Some new European countries expressed readiness to join the Process while it has also received growing interest from other parts of the world.

“Bologna” has become a new European higher education brand, today easily recognized in governmental policies, academic activities, international organizations, networks and media.

However, “Bologna” connects all partners sharing this brand. With the brand, they also share a conviction that the Process has now advanced to a degree which does not allow any retreat from the general goals stated in Bologna and confirmed in Prague. On the contrary, the Process now enters a demanding phase in which answers to particular problems detected in the last follow-up period should be found, and detailed strategies and “tuned” structural as well as social tools should be developed. Berlin is a crucial landmark in this process.

This report has a sole intention: to synthesize – as much as possible in the given frame – the evidence of problems and solutions as well as the essence of discussions and contributions of the follow-up period 2001-2003. In the *first chapter*, we will venture an evaluation of the Bologna process from today’s perspective. The *second chapter* focuses on outcomes of events, classified into three parts: (a) follow-up seminars, special contributions and other related activities on various levels, (b) further accessions to the Process and its “external dimension”, and (c) realization of the main goals from Bologna and Prague, from the perspective of the most recent follow-up period. The *third chapter* centres on problems and issues important for the near future, and the *fourth chapter* relates to steering of the Bologna process, that is the work of the Bologna Follow-up Group (BFUG) and the Bologna Preparatory Group (BPG). *Bibliography and Internet sources* are listed in the fifth chapter. In the sixth chapter a *list of abbreviations* is added. Finally, in the *annexes*, recommendations from all ten official Bologna follow-up seminars are given. In order to make reading easier, cross references (**bold** figure in brackets, referring to the relevant paragraph) and some footnotes are also added.

1.2 Trends and developments – four years after

02. Witnesses of the signing ceremony in Bologna in June 1999 would quite probably agree that nobody at that time expected such a fast and broad development of the ideas embodied in the *Declaration*. Paradoxically, it seems that in the later stages we encounter more problems and difficulties than during the initial phase of the process. As we have learned from our history, real scholarship consists of constant questioning to enable us to describe the “landscape” of the problem, to safeguard us from getting lost in its labyrinth, and finally to offer some logically coherent and practically feasible answers. “Bologna” has an extremely complex landscape: it is not only about study structures, recognition of qualifications or even about governance of higher education but it is also about strengthening the research component, social dimensions and lifelong perspectives in higher education. More: it is about constructing a European dimension while preserving our diversities at the same time; it is about economic growth and social cohesion of our societies; it is about growing

international co-operation and about competition on a global scale. In that sense, the Bologna process is an area-specific answer to challenges we all face in the contemporary world.

03. During the 2001-2003 period, several factors have been pushing the signatory partners of "Bologna" towards a more substantial commitment to the process. They have been preparing and implementing substantial reforms in their higher education systems. There is no country today which has not found it essential – from the point of view of *national interests* – to search for complex answers for its future, also through the educational system; there is no country which has not put the reform of (higher) education high on its political agenda. Even if a country considered this need only for itself, it would be enormously important to study the practices of other countries and their educational systems. Reforms of national education systems all over Europe, the systemic exchange of information between countries, and *expanded co-operation on the international level* encourage each particular country to intensify its search for more coherent, compatible and productive solutions.

However, the Bologna process is much more than just an excellent set of good practices. *Challenges to national higher education systems are interlinked with challenges brought about by growing European associating, (re)integrating and globalising processes.* In that sense, the Bologna process expresses a conviction of countries and institutions that under these new circumstances national higher education systems should become more comparable and compatible, more interlinked and interdependent but also more attractive on a global scale. Nobody pushes them in that direction administratively; it is more and more a national need and a national priority. To fulfil that need, a country has to take advantage of the common European cultural diversity, different traditions in research and teaching. It has to improve continuously the quality of education, easy student mobility, and recognition of qualifications. Evidently, these tasks require mutual co-operation, but they also demand, again and again, pushing forward at the national level.

The "Bologna Club" and the European Union are not of the same composition but most of these principles are applicable in both cases. "The Club" has not been founded on out-voting each other but on jointly exploring the most important issues, on open discussions and searching for consensus. From this point of view, "the European educational system" or "the European curriculum" do not exist; nor do signatory countries wish to establish them. There are national educational systems and curricula but there is also a firm understanding that European cultural diversity gives us great advantages and richness. *Our advantages and richness can be mutually and fully enjoyed only if we create solid "common roads" among us.* We couldn't take advantage of our cultural diversity, different traditions in research and teaching, we couldn't enhance mobility and recognition, improve quality and promote our knowledge worldwide – neither as a national state nor as an association – if our *systems* remained rigid, insisting on particularities and exclusiveness. Richness is the end; "common roads" are the necessary means. We must build them.

Therefore, joining the Bologna Club is not just a verbal note to neighbours; it demands hard work at the national level to improve and connect the "local infrastructure" to agreed "common roads": readable and comparable degrees, quality assurance, promotion of mobility, etc., etc. *The follow-up period 2001-2003 firmly confirmed these beliefs.* National reports provided at the end of this period and available at the official Berlin Summit website speak for themselves. A huge amount of work has been done: improvements of national systems are interlinked with gradual implantation of the "Bologna" action lines. At the same time the process showed clearly that discussions and searching for consensus are hard but trustworthy methods, and provide a realistic guarantee of resolution of problems, controversies, dilemmas and paradoxes appearing in the process. These methods will become more and more useful and effective as "the Club" evolves into more firm and binding forms.

04. The initial ideas - expressed on an intergovernmental level in Paris (1998), in Bologna (1999), and further developed as part of the Process - that enhanced European co-operation in (higher) education is a matter of urgency, have found clear correspondence with several European Council documents. One of most frequently cited sentences from the Lisbon European Council's (March 2000) Conclusions is deeply linked with these ideas: "The Union has today set itself a *new strategic goal* for the next

decade: *to become the most competitive and dynamic knowledge-based economy in the world, capable of sustainable economic growth with more and better jobs and greater social cohesion.*” Such an ambitious goal demands precision as well as concrete action targets, and the European Council has asked the Council of Education “to undertake a general reflection on the concrete future objectives of education systems, focusing on common concerns and priorities while respecting national diversity”.¹ The process which animated European higher education in the 1990s received an additional and specific confirmation; during the same period, ideas about enhanced European co-operation broadened their relevance to education and training in general. Two years later (Barcelona 2002), the European Council made an even clearer reference to the emerging common area of higher education, and called for further action “to introduce instruments to ensure the transparency of diplomas and qualifications (ECTS, diploma and certificate supplements, European CV) and closer co-operation with regard to university degrees in the context of the Sorbonne-Bologna-Prague process prior to the Berlin meeting in 2003; similar action should be promoted in the area of vocational training”.²

05. It was clear: enhanced co-operation not only in higher education but also in vocational education and training (VET) is essential to meet the mandate of the Barcelona European Council and to make Europe’s education and training systems a world-wide quality reference by 2010. Moreover, the Bologna process - at least indirectly - was an important incentive for launching the so-called *Bruges-Copenhagen process*. The decisive step in this direction was the Bruges meeting of the EU Directors General for vocational training in 2001, which initiated a thorough political process aimed at developing transparency and mutual trust in VET. On 30 November 2002, the education ministers of 31 European countries and the European Commission adopted the *Copenhagen Declaration* on enhanced co-operation in European vocational education and training. This meeting was also attended by the European Social Partners, underlining their commitment and indispensable role in the enhancement of co-operation in VET. The Declaration follows a Resolution of the Education Council on the same subject, taking up the same principles and priorities for enhanced co-operation, and ensuring that the candidate countries, EEA-EFTA countries, and Social Partners are involved as full partners in the follow-up to this important initiative.

In its first lines, the *Copenhagen Declaration* recalls the *Bologna Declaration* which “marked the introduction of a new enhanced European co-operation” in the area of higher education and enlarges its spirit in the area of VET. The *Copenhagen Declaration* stresses the following main priorities: strengthening the European dimension in VET, increasing transparency through implementation and rationalization of information tools and networks, supporting information, guidance and counselling, encouraging recognition of competences and/or qualifications through developing reference levels, principles for certification, a credit transfer system for VET, validation of non-formal and informal learning, and promoting co-operation in quality assurance. The Declaration states that “measures should be voluntary and principally developed through bottom-up co-operation” and that “co-operation should be based on the target of 2010, set by the European Council in accordance with the detailed work programme and the follow-up of the Objectives Report”.³ The Copenhagen meeting will be followed up in 2004 by a second ministerial meeting under the Dutch presidency, where progress against all the priorities of the Declaration will be assessed and new priorities established.

06. Although the Bologna process was initiated (and has been characterized) as mainly an intergovernmental process, there is – at least seen not only from the perspective of the 15 EU Member States but also the 10 candidate Member States, all of which are signatory to the *Bologna Declaration*

¹ *Presidency Conclusions*. Lisbon European Council, 23-24 March 2000 (5 and 27).

² *Presidency Conclusions*. Barcelona European Council, 15-16 March 2002 (44).

³ “*Copenhagen Declaration*”. Declaration of European Ministers of Vocational Education and Training, and the European Commission, convened in Copenhagen on 29 and 30 November 2002, on enhanced European co-operation in vocational education and training.

– an evident and growing convergence with EU processes aimed at strengthening European co-operation in higher education. Decisions of the Spring European Councils, in particular of Lisbon (2000), Stockholm (2001) and Barcelona (2002), as well as the consecutive EU Education Councils have gradually altered the status of the *Bologna Declaration* from a *voluntary action* to a set of *commitments* in the framework of the follow-up of the report of the concrete future objectives of education and training systems, endorsed in Stockholm in 2001. The Bologna process and its action lines are explicitly mentioned as important for the implementation of the objective of “strengthening European co-operation”; that is, objective 3.5⁴ of the so-called “Objectives Report”. At least from this point on, the Bologna process was no longer merely a voluntary action for the EU Member States, or for the candidate Member States either. The follow-up of the “Objectives Report” will last until 2010, and in the meantime the accession of new countries to the EU will go on. Therefore, in the light of EU enlargement, the growing convergence between the Bologna process and educational policy making on the EU level will soon become more and more visible. However, since its establishment the “Bologna Club” has been wider than the EU, and even after the forthcoming EU enlargement in 2004 it will remain wider. This can only give additional dynamism to the Process.

07. The follow-up period 2001-2003 shows an ever broader and stronger commitment to the Paris-Bologna-Prague objectives. “Bologna” has continued to develop from an intergovernmental action to a broad process which encompasses – besides governmental bodies – on the one hand, international organizations, and on the other, higher education institutions, students and various stakeholders.

Therefore, the *Bologna process today is an item on various agendas*. What does this mean? First of all, it is proof of the vitality of the initial idea. Further, it is proof that the Process has evolved to a stage where the principles are brought face to face with the “devils of details”. This stage is most crucial for the future of the Process and for the expected European Higher Education Area (EHEA). Now, concrete answers should be developed to break the spell and to clarify details. It is a particularly important time for *higher education institutions*, which have to develop appropriate contents and tools for research, teaching and governance. It is an important time for *national ministries* to help remove legal obstacles, strengthen efficiency of the system and provide stable financing. It is an important time for *all other partners*, which calls for an enhanced participation and co-ordination of the process.

08. The *Trends I* and *Trends II* reports have provided important and effective contributions to the Bologna and Prague Summits; they give a sound picture of relevant trends and developments in higher education. The *Trends III Report*,⁵ a survey conducted by the European University Association (EUA) and funded with support from the European Commission, gives an even more comprehensive picture than the previous reports. Its particular significance lies in a broader methodology: this is the first time that, besides ministries, higher education institutions themselves have been asked for their feedback on the implementation of the European Higher Education Area. Results of the survey are based on 800

⁴ “In the new Europe of the knowledge society, citizens should be able to learn and work together throughout Europe, and make full use of their qualifications wherever they are. In the higher education area in particular, the obstacles to mobility and to recognition of qualifications are already being tackled both through the EU instruments (such as the ECTS or the university partnerships within the Socrates programme) and through the ‘Bologna process’. However, in many areas there is substantial work to be done. Therefore higher education institutions and other educational authorities should be encouraged to develop more compatible systems of qualifications across Europe and a common understanding of what are the minimum levels of quality required for accreditation. The policies on the transparency and recognition of qualifications must be strengthened. The development of joint degrees and qualifications and on the accreditation systems must be supported if the education and training institutions in Europe are to be recognised world-wide as centres of excellence.” - *Detailed work programme on the follow-up of the objectives of educational and training systems in Europe*. Council of European Union, Brussels, 20 February 2002, p. 42.

⁵ Reichert, S. and Tauch, Ch., *Trends in Learning Structures in European Higher Education III. Bologna four years after: Steps towards sustainable reform of higher education in Europe*. EUA Graz Convention, 29-31 May 2003. - <http://eua.uni-graz.at/documents.html>

responses to a questionnaire returned from all 33 countries. In addition, responses from national student organizations are also included. Thus, *Trends III* gives an excellent insight in the trends and developments from the perspective of key players at the national level: ministries, institutions and students.

As the *Trends III Report* forms part of the Berlin Summit documentation, the present report will concentrate on main events, in particular follow-up seminars, activities of the international and institutional partners, and reports from various relevant networks and projects.

2. OUTCOMES OF THE EVENTS

09. As already noted, the follow-up process between Prague and Berlin has been extraordinarily intensive, but in the forefront of events was a series of official follow-up seminars which aimed to explore the areas pointed out in the *Prague Communiqué*. Basic facts about these seminars are presented in the first sub-chapter below (2.1.1). The seminars have developed into a unique pan-European forum, which reflects the "snowball effect" of the Bologna process. The contributions, challenges and responses of the seminars – together with findings, problems and dilemmas encountered as well as some possible answers – are presented in subsequent chapters.

2.1 Main events and developments

2.1.1 Official Bologna Follow-up Seminars

10. The list of official conferences between Prague and Berlin consists of ten seminars organized in six problem areas and covering all key issues of the Bologna Process. Seminars took place in ten countries (Netherlands, Portugal, Switzerland, Sweden, Italy, Finland, Denmark, Greece, Norway and Czech Republic) spread over the period between March 2002 and June 2003. Organizers were mostly respective national Ministries and Rectors' Conferences but also the Council of Europe, European Universities Association (EUA), local higher education institutions and student organizations.

Seminars were open to participants from all signatory countries, to countries that have applied to join, to representatives of the European Commission, the Council of Europe, the EUA, the European Association of Institutions of Higher Education (EURASHE) and the National Unions of Students in Europe (ESIB) as well as to other interested organizations and individuals. Altogether, more than 1 000 participants – representatives from national ministries and international organizations, experts, academics, students, employers etc. – took part in all ten official Bologna follow-up seminars. On average, there were approximately 80 participants per seminar; in some cases even more (e.g. the Zürich seminar on the use of credits with 330 participants). All seminars consisted of plenary sessions and workshops, thus giving opportunity for active participation and for detailed elaboration of various aspects of the seminar themes. Surveys based on special questionnaires and analytical papers have been prepared and put on web sites together with experts' presentations and final conclusions and recommendations. Several publications have also been edited (see 4.1. *Bibliography*) and widely distributed.

11. Quality Assurance and Accreditation. This issue was systematically discussed at the conference 'Working on the European Dimension of Quality', held in Amsterdam, 12-13 March 2002, and organized by the Centre for Higher Education Policy Studies (CHEPS) on the initiative of the Ministries of Education of the Netherlands and Flanders. Participants analysed movements towards a European dimension in quality assurance and accreditation and launched a debate on shared generic descriptors for Bachelor and Master learning outcomes (prepared by the "Joint Quality Initiative"). The debate was enriched by contributions from representatives of the *Tuning* project. This was the very first seminar in the follow-up period 2001 – 2003, and the only official Bologna follow-up seminar during this period that covered systemically the issue of quality assurance and accreditation.

However, this topic has been constantly under discussion at almost all other conferences as well as at other nationally or internationally related events. Contributions and outcomes of the Amsterdam Seminar appeared also as a book published in 2003.

12. Recognition Issues and the Use of Credits. Two events dealt with these issues. The first, a seminar on “Recognition Issues in the Bologna Process”, was held in Lisbon on 11-12 April 2002 as a Council of Europe contribution to the emerging EHEA, in co-operation with the Ministry of Education of Portugal. The seminar was organized to mark the fifth anniversary of the adoption of the Council of Europe/UNESCO *Convention on the Recognition of Qualifications concerning Higher Education in the European Region* (Lisbon Recognition Convention; 1997), and to take stock of the current situation with regard to the recognition of qualifications; a third aim was to outline how improving the recognition of qualifications can contribute to establishing the EHEA. The seminar adopted a broad set of recommendations to various stakeholders: institutions, academic networks and student organizations, ENIC and NARIC, Governments and international organizations, etc. This document makes an important contribution to the growing awareness of the crucial role which recognition issues will play in the ongoing development of the EHEA.

The second event, a conference on ‘Credit Transfer and Accumulation – the Challenge for Institutions and Students’ was held at ETH Zürich, 11-12 October 2002, and was jointly organized by EUA and Swiss Confederation. This was the most heavily attended official follow-up seminar, with participants from many European universities, student bodies, national ministries and international organizations. They agreed on a number of key features of credit transfer and accumulation, and on the importance of introducing widely the European Credit Transfer System (ECTS) as the only broadly tested credit system in Europe. Participants focused on defining the objectives of a credit transfer and accumulation system such as ECTS, and recognized key features of such a system. At the same time, a number of open issues for further reflection were identified, e.g. the role of ECTS in developing joint degrees, the issue of the grading scale, links between credits and levels, quality assurance, etc. These issues were further discussed in the period prior to the EUA Convention in May 2003.

13. Development of Joint Degrees was also discussed at two seminars, organized successively in Spring 2002 and in Spring 2003. The first, “Seminar on Joint Degrees within the Framework of the Bologna Process”, was organized by the Ministry of Education and Science of Sweden and took place in Stockholm, 30-31 May 2002. The seminar explored the possibilities of the development of joint degrees as a means of achieving the objectives set in the *Bologna Declaration*; its focus was mainly on the legal aspects and a common European framework for such degrees. As a basis for the discussions, a compilation was prepared of the responses (from 17 European countries and European Commission) to a special questionnaire. The seminar developed a set of criteria that could be useful common denominators for European joint degrees.

The second seminar on this topic, “Integrated Programmes – Implications and Prospects”, was organized by the Ministry of Higher Education and Research of Italy and held on 11-12 April 2003 in Mantova. It focused more on the content and curriculum development of such degrees, taking into account various statements and conclusions developed at previous seminars. In particular, participants discussed motivations for planning as well as methodology for designing and implementing integrated curricula, various concepts and models in integrated programmes at Master level, and prospects in integrated Doctoral studies. The seminar took stock of the respective trends in national legislation and policies; it also stressed the impact of integrated curricula on citizenship and employability.

14. Degree and Qualification Structure. These were discussed at two successive follow-up events, both in March 2003. However, these topics were also high on the agendas of almost all other follow-up seminars and other related meetings. The Finnish Ministry of Education organized an “International Seminar on Master-level Degrees” in Helsinki on 14-15 March 2003. (It should be noted here that Helsinki also hosted a closely related follow-up seminar as early as 2001 – “Seminar on Bachelor-level Degrees”, 16-17 February 2001, before the Prague Summit.) The 2003 Helsinki seminar focused on different dimensions of Master degrees as second-cycle higher education qualifications in European

countries, discussed mobility and multicultural implications of the two-tier system as well as its position in global competitiveness in higher education. Seminar participants also searched for a possible common framework. In the conclusions and recommendations of the seminar, they identified several common denominators for a Master degree in the EHEA.

Two weeks later, the Danish Ministry of Science, Technology and Innovation in co-operation with the Danish Rectors' Conference organized a seminar on "Qualification Structures in Higher Education in Europe" (Copenhagen, 27-28 March 2003). This time, the development of a higher education qualifications framework and alternative approaches for clarifying the cycles and levels in these qualifications were in the frontline. In a detailed survey for this seminar, all main trends and approaches were presented, offering a useful starting point for discussion. In the working groups, participants discussed qualifications framework in relation to three key issues: curriculum planning, quality assurance, and recognition. The seminar reporter produced a comprehensive report which can serve as a useful synthesis document for further work. Concrete recommendations were adopted at the end. This Copenhagen seminar was an important milestone in understanding structural issues in the emerging EHEA, and therefore of great importance for the further Process.

15. The topic *Social Dimensions of the Bologna Process* was highlighted in the *Prague Communiqué*, and proved its importance throughout the follow-up period 2001- 2003. Two seminars were organized specifically to explore this issue. The first was the "Seminar on the Social Dimensions of the Higher Education Area" organized by the Greek Ministry of National Education and Religion Affairs in Athens on 19-20 February 2003. Lively discussions focused mainly on analysis of various social dimensions of the European Higher Education Area but in particular on the notion of higher education as a public responsibility and a public good, as well as on the position of (national) higher education in the GATS negotiations. The seminar attracted about 150 participants: students, academics, experts, representatives from national ministries and international organizations. Their unanimous conclusion was that the *Prague Communiqué's* emphasis on the social dimension of the EHEA was legitimate, and that the *Berlin Communiqué* must follow up this dimension and pay even greater attention to the different elements involved.

The second event about this topic was a seminar on "Student Participation in Governance in Higher Education" organized by the Norwegian Ministry of Education and Research and planned together with ESIB and the Norwegian national unions of students, NSU and StL. The seminar took place in Oslo on 12-14 June 2003. Participants looked at student participation in Europe in a historic as well as in a contemporary perspective; they discussed in depth the legislative, decision-making and system-improvement aspects of student participation as well as case studies and best practice from various countries and/or organizations. Based on discussions from previous events, participants argued that students should be treated as partners in higher education and not (only) as consumers. They discussed the impact of internationalization on student participation, and sought to define the motivation for participation in governance. In these discussions, a detailed survey on student participation in the governance of higher education in Europe was very helpful; this survey was commissioned from the Council of Europe by the Norwegian Ministry of Education especially for this seminar.

16. *Lifelong Learning* is another topic stressed in the *Prague Communiqué* of 2001, thus broadening the list of action lines of the Bologna process. The Czech Ministry of Education, Youth and Sports and the Czech Technical University in Prague organized a seminar on "Recognition and Credit Systems in the Context of Lifelong Learning" (Prague, 5-7 June 2003) to discuss systematically related concepts in European higher education, in particular the validation of education and credits gained outside formal higher education study programmes and courses. The starting point of the seminar was that higher education is no longer a once-in-a-lifetime experience. The full complexity of the issue was explored, from searching for a common denominator in various definitions to an analysis of the concrete characteristics of lifelong learning. The seminar shed new light on lifelong learning's flexible paths and their relationship to (traditional) qualification frameworks, on the various issues of quality and recognition of prior (non-traditional, etc.) learning, and on the use of various tools (ECTS, Diploma Supplement, portfolios, etc.). Productive connections were found with the work done in

previous seminars; Lifelong learning should not be treated as an isolated subject but as an important, integral part of the Process, involving all appropriate stakeholders in creating a qualifications framework for the European Higher Education Area. This framework should encompass the full range of lifelong learning paths, opportunities and techniques, and should make appropriate use of ECTS credits.

2.1.2 Contributions by the EU Commission

17. The European Commission has the special status of an additional full member in the Bologna process, which was originally initiated as an intergovernmental process. Since the goals of the Process and their realization are inseparably linked with the tough everyday realities of higher education at the institutional level, and also with co-ordination and enhancing of activities at the international level, the Process has not been exclusively intergovernmental from the very beginning. Geographically, the map of signatory countries also exceeds EU member countries. However, the approaching EU enlargement in the context of the developing knowledge society, overall developments on the Old Continent, and complex relations with other parts of the world argued firmly in favour of the Commission's special status in the structures of the Bologna process.

The Bologna action lines coincide with EU policy in higher education, well known to the broad – and not only academic! – European public through programmes such as Socrates/Erasmus, Tempus, Cards, etc. As already mentioned (see above, **04**), the Bologna process also fits as closely as possible into the broader agenda defined by the Heads of States and Governments at a meeting of the European Council in Lisbon in March 2000, setting for Europe “a new strategic goal for the next decade” and stressing the importance of “establishing a European Area of Research and Innovation” as well as “education and training for living and working in the knowledge society”. From the point of view of (not only) higher education, these aims were confirmed in a more profiled way in Barcelona two years later, this time setting “the objective of making these educative and training systems a world quality reference by 2010”. These statements closely correspond to those from the *Bologna Declaration* and the *Prague Communiqué*⁶.

18. In 2002 and 2003, the Directorate General (D.G.) of Education and Culture released successive *Progress Reports* that offered a systemic review of its various and continuous activities and measures to the members of BFUG, BPG and other interested individuals. They relate to all action lines of the Bologna process as well as to the monitoring and reporting activities and to concrete Bologna follow-up events. In most cases, the Commission is implementing measures in direct partnership with the higher education sector of the EU member and associate countries but also other countries. Today, the Community programme Socrates (within its framework particularly Erasmus) is a widely known promoter of the developmental projects (**35**) and of the continuous increase of students' and teachers' mobility in European higher education. It is worth mentioning here again the celebration of the one-millionth Erasmus student in the course of academic year 2002-2003. On this occasion, in October 2002, the “Socrates-Erasmus Student Charter” was launched; this is a card stating clearly the rights and obligations of mobile students.

⁶ E.g.: “A Europe of Knowledge is now widely recognised as an irreplaceable factor for social and human growth and as an indispensable component to consolidate and enrich the European citizenship, capable of giving its citizens the necessary competencies to face the challenges of the new millennium, together with an awareness of shared values and belonging to a common social and cultural space.” The Ministers stated the “objectives, which we consider to be of primary relevance in order to establish the European area of higher education and to promote the European system of higher education world-wide”. *Bologna Declaration*, 1999. – Comp. also *Presidency Conclusions*, Lisbon European Council, 23-24 March 2000 (5, 12, 25); Barcelona European Council, 15-16 March 2002 (43).

Socrates-Erasmus is also the main mechanism for the promotion of ECTS and the large-scale introduction of the Diploma Supplement. Exploratory projects have also been launched in 2002, aimed at expanding the ECTS experience to lifelong learning. With regard to employability, an important data-base for job and learning opportunities (PLOTEUS, 2002) was set up to help graduates and citizens find their own way in the European education offer.

Measures to promote European co-operation in quality assurance are also high on the agenda. For example, a special “bottom-up” pilot scheme to promote quality culture within universities (50 institutions selected) was launched anew, again in co-operation with the EUA, to introduce internal quality assurance mechanisms and to prepare for external evaluations. Along the same lines, another pilot scheme on European higher education quality evaluation – “Transnational European Evaluation Pilot” or TEEP – was created in 2002, with 15 universities, in collaboration with the European Network for Quality Assurance in Higher Education (ENQA). More initiatives of this kind exist, and some of them will be described later (38, 39, 40).

19. Besides the well-known and today almost routine mobility schemes, growing thematic networks, quality assurance co-operation, e-learning opportunities, developing databases, etc., some new and challenging pilot projects have recently been launched with important support from the Commission. They contribute greatly – and will contribute even more in the near future – to the development of the Bologna process. In the period between Prague and Berlin, a project called “*Tuning Educational Structures in Europe*” (36) produced its first results, immediately attracting much public interest. The *Tuning* results were highly appreciated, in particular at the Bologna follow-up seminars. In the same vein, a series of newly launched European Masters and joint Doctoral Courses should be mentioned (37). The pilot project, organized by the EUA and well promoted in media, started in September 2002. Systemic support for new Masters courses is also foreseen in the proposed *Erasmus World*, another project that attracts the attention of the European and world higher education scene and the media. *Erasmus World* aims to develop a European higher education “product” providing both European students and scholars as well as students and invited scholars from third countries with added value. Host European postgraduate courses will be selected for a five-year period. At the end of the programme in 2008, around 250 “EU Master Courses” are expected to be established.

At the start of 2003, the EU Commission initiated a debate on the role of universities and other higher education institutions within the knowledge society and economy in Europe. A 23-page communication was sent to all interested parties, inviting them to discuss dilemmas, problems and possible solutions common to policy makers and institutions. The fundamental question in the communication – “Can the European universities, as they are organized now, hope in future to retain their place in society and in the world?” – is also the fundamental question of the Bologna process (23).

2.1.3 Contributions by the Council of Europe

20. The Council of Europe is an important contributor to the Bologna process, in several ways. Formally, it is an observer in the structures of the process (on BFUG as well as on the BPG) and the process benefited greatly from its irreplaceable international role based on specific traditions and particular references. The Council also provided support within BPG and BFUG, taking over the development of some studies and papers. First and foremost, the Council of Europe has recently taken on the distinguished role of a bridge between those countries party to the Bologna process and the remaining European countries – in principle, signatories of the European Cultural Convention – that may benefit from the Process but that are not (yet) party to it. Traditionally, the Council has offered a platform for debate between Ministry and academic representatives, through the double composition of representatives in its *Steering Committee on Higher Education and Research* (CD-ESR). The Committee comprises delegates from 48 States party to the European Cultural Convention, as well as observers from other countries, IGOs and NGOs active in the field of higher education, notably the EUA and ESIB. The Council of Europe is also an important actor in recognition issues (together with UNESCO, most meritorious for the adoption of Lisbon Recognition Convention in 1997).

Based on an overall assessment of the Bologna process activities, the 2002 CD-ESR plenary session discussed possible future activities. The present activities will continue, but CD-ESR also identified three additional areas of possible further contribution to the Bologna process. They are (1) the issue of higher education as a public responsibility and a public good, (2) aspects of university autonomy, and (3) the role of legislation in the creation of the EHEA. All three are related to projects and activities in which the Council of Europe has already proved its good sense and vitality.

21. As a part of the October 2002 plenary session of the CD-ESR a well-attended *round table debate on the Bologna process* was organized; it was one of those events of the period between Prague and Berlin with the highest representation (43 European and 2 observer countries, 7 IGOs and NGOs as well as numerous individual experts). Seven panellists presented their views, for example on internal and external dimensions of the Process as well as on its enlargement; on the importance of a closer link between recognition and quality assurance; on concrete co-operation between ENIC and NARIC Networks and ENQA; on Master's Degrees and Joint Degrees in Europe; on university autonomy in relation to the Process, and on the special issue of "faculty autonomy" in some countries of South Eastern Europe.⁷

Governmental as well as academic representatives from most countries took part in a debate raising many substantial issues, making comments and concrete proposals. The issue of higher education as a public good was discussed in close relation to the issue of democratic values; the importance of higher education as a public responsibility was stressed. Attention was called to the terminology; the term "public good" often seems to be used in the vague and misleading sense of "free of charge". Further, the discussion pointed to transnational education providers and to the importance of dealing with the situation of private institutions in the Bologna process. The special weight of ratification of the Lisbon Convention in relation to both "Bologna" and the GATS issue was confirmed, as well as the role and responsibility of higher education institutions with regard to recognition. The potential risk of provoking brain drain in developing countries, and potential areas of conflict within the Process (for example between employability and mobility, between mobility and public good, between academic quality standards and employability) were also explored. A firm connection needs to be established between mobility and quality standards, and information about the Bologna process needs to be spread more widely to all levels of higher education systems. The group also asked for a stronger focus on Doctoral studies within the common EHEA. A proposal was made to clarify the *legal* consequences of the Bologna process, preferably through a special seminar devoted to this issue. In addition, a need was expressed to supervise the Process and assess its progress; otherwise its status and influence could diminish.

In its conclusion, the CD-ESR approved the report for the Lisbon seminar on recognition issues (see above, **12**) and adopted the recommendations made in this report. It encouraged the ENIC Network to pursue its co-operation with the NARIC Network and ENQA, searching for synergies between quality assurance and recognition. It also encouraged the Lisbon Recognition Convention Committee to consider adopting a subsidiary text to the Convention on the recognition of joint qualifications, while it encouraged delegations to initiate a review of national legislation to make the development of joint programmes possible and to remove indirect obstacles to joint programmes and qualifications (**70**).

22. The Council of Europe and its representatives made important contributions to all the events between Prague and Berlin. It provided the Rapporteur for two Bologna seminars, and presentations for most of the others, in addition to organizing the April 2002 seminar with the Portuguese authorities. As for the formal structures of the Process, their share in the *ad hoc* working group proposing criteria for further accessions to the Bologna process as well as for setting milestones and taking stock of progress towards the "Bologna goals" for new members should be stressed. One

⁷ Council of Europe, Steering Committee for Higher Education and Research (CD-ESR), *Meeting Report. 1st plenary session*. Strasbourg, 3-4 October 2002, pp. 8-13.

particularly important contribution refers to a number of seminars on the Bologna process in the countries that have not yet joined officially.

Some of these seminars took place in South-Eastern Europe (54, 55). In the autumn of 2002 there were three important events: a national Bologna seminar for Albania in Tirana, a similar seminar for Bosnia and Herzegovina, including a special session on the Lisbon Recognition Convention, and finally a conference on quality assurance in higher education in Belgrade, organized jointly with the EUA, the German Rectors' Conference (HRK) and the Association of Serbian Universities. This support continued in early 2003 with a national Bologna seminar in "the former Yugoslav Republic of Macedonia" (Skopje, February 2003), and a national seminar on the recognition of qualifications in Bosnia and Herzegovina (Banja Luka, April 2003). In addition, advice on higher education legislation in Bosnia and Herzegovina and "the former Yugoslav Republic of Macedonia" was organized; in Bosnia and Herzegovina the Council actually plays the lead role in developing a framework law for higher education. In December 2002, the Council of Europe was a co-organizer – together with the Ministry of Education of the Russian Federation, the Committee for Education and Sciences of the State Duma, and St. Petersburg State University – of the international seminar "Integration of the Russian higher school into the European zone of higher education: Perspectives and Problems". This was the first Bologna seminar for high-level representatives of Russian higher education, which probably represents another important landmark on the way toward a common European higher education area. The achievements of those events will be highlighted later (56). The Council of Europe has also made important contributions to the discussions of the UNESCO Global Forum and related meetings (57-59).

2.1.4 EUA Contributions

23. In the preparation for the Prague Ministerial Conference in 2001, the EUA Convention in Salamanca played an extraordinarily important role. The EUA in general, and various activities of individual universities and higher education institutions in particular, have also been influential during the period 2001–2003. EUA's contributions during this period are numerous and wide-ranging: they arch from Council meetings and animation of internal discussions on main issues with members institutions, through active involvement in the work of BFUG and BPG (as an observer) as well as participation in the official follow-up seminars, to launching pilot projects with help from EC Socrates Programme, coordinating ECTS and DS counsellors, etc. In this context, the *Trends III Report* is not to be missed. At some other points in this Report special emphasis is given to particular projects and activities (see e.g. 37, 38), but here a special mention should be given to the EUA Convention in Graz (Austria) in May 2003, which formed the peak of activities for this period and was an important advance in the Bologna process.

The 2nd Convention of European Higher Education institutions "Strengthening the Role of Institutions" was the result of long and broad preparatory work centred on key "Bologna" topics of special importance for universities. Internally, the EUA started working for the Convention soon after the Prague Summit, involving its official bodies and members in collective preparation. Early in 2002, the EUA Council already adopted "Graz themes" to be discussed thoroughly at further Council meetings and Conferences. During this preparation work, in the spring of 2003, EUA also adopted a reply to the EC communication on "The role of universities in the Europe of knowledge" which constituted another collective framework for Graz discussions.

24. The Convention was held from 29-31 May 2003 in Graz, Austria, organized by EUA and hosted jointly by the three universities in Graz: the Karl-Franzens University, the Graz University of Technology and the University of Art and Music. The Graz Convention highlighted the role of higher education institutions in driving reform at European level through the Bologna process. With about 600 higher education leaders from across Europe, students and numerous guests from governmental and international organizations the Convention was *the biggest and most influential event of this period*, which strengthened the role of the institutions in the creation of the EHEA and formulated a

coherent message from higher education institutions. It provided an excellent opportunity for universities, students and their different partners to take stock of the developments of the last two years and to debate priority issues for future action. Mrs. V. Reding, EU Commissioner for Education and Culture, addressed participants at the opening, and Mr. P. Busquin, EU Commissioner for Research, at the closing of the Convention. In plenary, a draft version of the *Trends III Report*, also conducted by EUA, was presented for the first time.

The main debates at the Convention were spread over 12 working groups and covered five relevant themes: (1) European higher education in a globalized world, (2) Re-visiting the links between higher education and research, (3) Consolidating a quality culture in Europe's universities, (4) Improving institutional governance and management, and (5) Pushing forward Bologna and Prague. These themes reflected the clear need to set priorities in the Bologna process especially with regard to institutions, to identify the next steps and to consolidate the long-term vision for universities in Europe. Debates in the working groups were also a good indicator of how EUA members see their own responsibilities in these activities.

25. The Convention affirmed that its common vision is *a Europe of knowledge based on strong research and research-based education in universities across the continent*. It recognized diversity as a strong asset and a base for a common cultural and civic European identity; at the same time, diversity and cultural richness make European higher education attractive for students, scientists and scholars from other parts of the world. European universities are well aware of their crucial role in providing social and economic welfare but also in the cultural development of their societies. They are able to compete on a global scale and to foster excellence; but they do not forget the role of higher education in enhancing social cohesion, the importance of equal access, etc. The Bologna process is a stimulus to take a close look at modern higher education in all its dimensions, but it also requires a search for broad consensus on proposed changes. At the governmental or institutional level, reforms should avoid being dogmatic or prescriptive. Commitments of partners in a voluntary process have been an essential element of the Process since its beginning; and they form a sound basis for further progress.

Participants felt strongly that with the increased differentiation of their mission, universities must ensure that their graduates at all levels have been exposed to a research environment and to research-based training. Higher education institutions accept the two-tier system and other goals of the Bologna process; they know well their particular liabilities in curricular reform, they jointly develop new contents and tools and share good practice, as was demonstrated at the Zürich seminar on credit transfer and accumulation and later on other occasions. At the same time, however, the Convention affirmed *a need to upgrade the Process towards a three-tier system*. The Doctoral level should be conceived as the third cycle, and – together with post-doctoral study – seen as an integral part of the European Higher Education Area, integrated with the European Research Area. A broad consensus was reached that the Process now enters a phase when strengthening the role of institutions will be decisive for success.

Many other issues were highlighted in the working groups and at the plenary sessions which relate to findings from follow-up seminars and other “Bologna” events. It is not possible to cover them here more extensively. After the Convention, a general report was prepared and submitted to the EUA Council, based on documents prepared in advance, plenary presentations, group discussion reports, and various comments made directly to the organizer. The Council adopted the *Graz Declaration* “Forward from Berlin: the Role of Universities” as one of the documents to be presented directly at the Berlin Summit.

2.1.5 EURASHE Contributions

26. EURASHE, the European association of institutions in higher education, is also recognized as an observer, both in BFUG and BPG. Today, professional higher education institutions (colleges,

polytechnics, etc.), as distinct from universities, form an important part of tertiary education. In Europe there are 1.7 million students in tertiary short-cycle programmes, and more than 800 000 in post-secondary education. Through its active contribution in BFUG and BPG as well as at follow-up seminars and other events, EURASHE has presented specific aspects and concerns that are essential to a complete understanding of key issues.

EURASHE's recent activity culminated at the 13th Annual Conference held in June 2003 in Gyöngyös, Hungary. The title of the conference, “The Assets of the Bologna Process for Professional Higher Education”, reflects the particular position of institutions of professional higher education in the follow-up process. They definitely belong to the emerging EHEA, offering a wide variety of Bachelor degrees – in some countries even Master degrees – and putting strong emphasis on social relevance and practical preparation of students for the reality of the world of work. Clearly these institutions also play a part in implementing the two-tier structure throughout Europe.

With regard to the two-tier structure, EURASHE draws particular attention to the existing short-cycle higher education, stressing that it constitutes a large and important sector in many European countries which should be fully taken into consideration in the Bologna process. A typical issue that broadened the follow-up discussion on mobility is *the issue of trainee placements*. Since trainee periods are an important and integral part of a large number of these programmes, facilitation of trainee placements should also find an appropriate place within measures to strengthen international mobility. Along similar lines, discussions on short-cycle higher education pointed to another “obstacle to mobility”: namely, *barriers and obstacles between levels of (higher) education*. Finally, on an optimistic note, the special strength of this sector in lifelong learning was often stated.

The Plenary Council at the meeting in Gyöngyös approved the *EURASHE Policy Statement*. It affirms that EURASHE will continue to strengthen its role as the representative body of the professional higher education sector within an inclusive and open EHEA. In the gradual process of creating the EHEA, priority will be given to the creation of networking structures and mechanisms among professional higher education institutions, universities, and other higher education institutions as well as to further improvement and enlargement of co-operation with stakeholders, especially students, business and industry. EURASHE believes that these measures are necessary to further improve quality control mechanisms, to develop curricula and programmes with continued relevance to the labour market, to elaborate new teaching and learning methods in aspects of life-long learning and the social dimension of education, and to encourage and facilitate development of joint Bachelor, Master and research programmes.

27. At its Gyöngyös meeting EURASHE promoted the *Survey of Tertiary Short-Cycle Education in Europe*⁸ as its particular contribution to the follow-up process between Prague and Berlin. The survey defines tertiary short-cycle education with regard to existing sub-degree education in European countries. While the Bologna process has led to a substantial body of documentation about first- and second-cycle higher education, this particular sector remained unclear. Now, this gap is filled by a most comprehensive, up-to-date presentation of this sector, which could well be used as the main reference in comparative discussions. To some extent, it is a sector-specific document parallel to the *Trends III Report*: a survey also based on questionnaires (in four major languages).

The study encompasses brief reviews from each of “Bologna” countries and a general analysis presenting the organization of tertiary short-cycle education, entrance requirements, duration and certification of studies, profile of students and teachers, use of ECTS and DS, mobility, quality assessment and accreditation, transition to degree studies, organization of post-secondary education and examples of good practice. The general analysis ends with conclusions and recommendations that synthesize all main aspects of the sector in relation to the Bologna process. Findings of this study

⁸ Kirsch, M., Beernaert, Y., Nørgaard, S., *Tertiary Short Cycle Education in Europe. A comparative study*. Brussels: EURASHE, May 2003.

argue clearly for encompassing the totality of *tertiary education* (a term as used in OECD studies and elsewhere⁹) in the EHEA context. On the other hand, new structures that are being developed as part of the Bologna process (e.g. qualification frameworks, mobility, ECTS and DS, competence portfolios, quality assurance, etc.) should include specific references to tertiary short-cycle education. Last but not least, the study recommends more in-depth research in this field.

2.1.6 ESIB Contributions

28. Student organizations have been particularly active partners in the Process during the follow-up period 2001–2003. There were no official Bologna follow-up seminars without student representatives, and they have always contributed competently and constructively to seminar results. Numerous national and international activities have been well co-ordinated through ESIB as the students' representative at the European level. ESIB is the umbrella organization of 50 National Unions of Students across 37 European countries; through these members, ESIB represents more than 11 million students. It developed its own higher education policy statements even before the Bologna conference in 1999, but later – in particular after the Prague meeting in 2001 where ESIB was officially invited as an observer – they acquired a higher profile and more recognition. Today, there is no key theme within the Bologna process that has not been discussed in the framework of European student organizations. As a result, ESIB produced a set of valuable policy documents and conclusions.

Soon after the Prague Summit, in October 2001, an ESIB Board Meeting discussed student involvement in quality assurance, while the Convention in November 2001 centered on the important theme of social dimensions of the Bologna process. In 2002, two important structural topics were considered: recognition issues and student perspectives on trans-national education. Two more meetings focused on the European dimension, discussing the future of EU in the context of higher education and the students' vision of a common Europe.

However, the most “student-relevant” theme on this list is surely the one on social dimensions. This is the theme where the ESIB contributed greatly to having it included in the list of “Bologna action lines” at the Prague Summit 2001. ESIB's 3rd European Student Convention in November 2001 discussed this issue, and adopted the *Brussels Student Declaration*, stating that creating a genuine European Higher Education Area requires more than educational, structural and institutional changes. What is really important is access to higher education on an equitable basis. The *Declaration* defines “social dimension” as the struggle for the creation of a democratic and inclusive higher education, and for the promotion of student well-being in order to ensure that students are able to excel in their studies and become active citizens. Coherent governmental social educational policy is needed in this area, not only during higher education *but also before*. The success of higher education heavily depends on high-quality prior education, providing students with fundamental knowledge and core skills. The *Declaration* also stresses that “explicit” selection mechanisms should be eliminated; selection should above all be non-discriminatory, not based on any grounds other than acquired knowledge. ESIB rejects the idea of students as consumers that purchase a product. In a critical reference to GATS negotiations, it states that education is a human right and that human rights can never be “trade-able”. The *Declaration* argues that co-operation rather than competition should be the guiding principle for the enhancement of student well-being.

⁹ In this context, *tertiary education* is defined as “a level or stage of studies beyond secondary education. Such studies are undertaken in tertiary education institutions, such as public and private universities, colleges, and polytechnics, and also in a wide range of other settings, such as secondary schools, work sites, and via free-standing information technology-based offerings and a host of public and private entities.” – Wagner, A., “Lifelong Learning in the University: a New Imperative?” In: Hirsch, W. and Weber, L. (eds.), *Challenges Facing Higher Education at the Millennium*. Phoenix: American Council on Education – Oryx Press, 1999, p. 135.

29. Finally, as their most important meeting during this period, the 5th European student convention was held in Athens, 21st-23rd February 2003 in association with the Greek Presidency of the EU. Under the heading "*How to achieve genuine student mobility*" – one of the key issues of the Bologna process – the Convention brought together 150 student representatives from 40 European countries to formulate part of ESIB's input towards the Berlin Summit 2003, as well as ESIB's response to the European Commission's public consultation on the future of the Socrates programme. The Convention discussed student mobility from several aspects: social and economical aspects, access to mobility, horizontal and vertical mobility and e-Mobility.

The Convention produced a *Communiqué* which emphasizes the multiple benefits of study abroad but also deals with a number of factors that limit and hinder genuine student mobility and need to be progressively removed to achieve a higher participation rate in mobility schemes. ESIB reaffirms its principal opposition to any tuition fees; in particular it states that fees for foreign students must not be higher than fees for domestic students. The document refers not only to "systemically organized" mobile students (e.g. Erasmus), but also to the so-called "free movers" who have somehow been forgotten in recent discussions. Visas and residence permits are still a problem that should be reconsidered again by national governments. However, the main issue in enhancing student mobility is a demand to develop and improve the social-economical systems and, in particular, to develop mechanisms at the European level to counterbalance inequalities.

The *Communiqué* draws special attention to students with disabilities, students with children and students with other special requirements, but also students from South East and Eastern Europe who have very limited chances to apply for mobility programmes. When a student comes to another country, he/she has to be fully integrated into the new academic and social community. The Convention stressed that new counselling services and tutoring programmes are needed, but other aspects also need to improve: accommodation, health care systems, the same employment rights as domestic students, etc. The document further refers to language issues: students are convinced that introducing (more) study courses in widely spoken languages would increase mobility, and that language courses for mobility students should be free of charge. ESIB stresses that the impact of two-cycle degree structures on vertical and horizontal mobility needs to be closely monitored and assessed. For horizontal mobility, these structures will need to be sufficiently flexible, while for vertical mobility, two-cycle degrees will possibly have a positive effect. Finally, the *Communiqué* confirms the obvious benefits of e-learning in the context of higher education, but warns against a technology gap between different regions in and beyond Europe. It also states that e-learning must not be seen as a replacement for physical mobility but rather as a complement to it.

2.1.7 Bologna activities at national, institutional and subject-specific levels

30. Any attempt to report on the numerous "Bologna activities" at national and institutional levels would be doomed to remain incomplete. However, BFUG called upon Bologna signatories – as well as new applicants – to prepare system reports on implantation efforts and improvements in national higher education systems, and to submit these to BPG to be edited on the official Berlin Summit web site. Obviously, countries wished their reports to be as comprehensive and up-to-date as possible, and therefore most texts could be presented only in late spring and early summer 2003 when this report had already been finalized.

National reports offer an extremely useful enlargement of the picture given by the *Trends III Report*. A high degree of correspondence between national higher education reforms and "Bologna" action lines is evident. Almost all countries report on establishing "Bologna co-ordination groups" and on organizing national "Bologna events". This is an important extension of the Bologna process in the period between the Prague and Berlin Summits; the awareness of the emerging common EHEA has increased considerably, and national processes have been better co-ordinated with pan-European trends. Countries also paid attention to improved information: some developed special communication tools and set up special "national Bologna web sites" (e.g. Austria, Denmark). In particular, countries

improved public information about their higher education systems, providing basic legislation translated into widely spoken languages (national legislation for some countries is now also available from the official Berlin Summit web site). Facts and figures on higher education institutions, mobility, and financing, but also information about future plans and reform initiatives are included. Some countries also decided to organize international events (e.g. a well-attended seminar on flexible learning paths in higher education, organized by the Ministry of the Flemish Community in Brussels in February 2003) which supplemented the official follow-up seminars at a suitable level and could be a model of good practice for the next follow-up period.

It is *strongly recommended that national reporting becomes a constant feature* in the Bologna process: such reports bring much-needed update information that is an important source for experts preparing analyses and proposals. They also strengthen commitment and mutual trust. However, in further follow-up periods, more standardization – at least some common methodology – for reporting could be very productive. At present, comparative approaches to a variety of collected material are often difficult, and since not all reports are available by a common deadline, it is not possible to make full use of their potential added value.

Last but not least, BFUG discussed very carefully whether the further run of the Process towards the goals stated for 2010 is possible at all without continuous reporting on individual countries' progress with regard to commonly agreed action lines (see 49-51).

31. National reports from most countries contain interesting information about *lively activities at the level of higher education institutions and in student organizations*. Here, the important role of EUA, EURASHE and ESIB in stimulating these activities should also be stressed. As can be seen from these reports – complemented by other sources and further confirmed by the *Trends III Report* – in the follow-up period 2001-2003 the so-called “Bologna co-ordinators” and/or “co-ordination groups” have also begun to work at the institutional level. Still, it seems that only a minor share of institutions¹⁰, and not in all signatory countries, decided to strengthen their Bologna agendas in this way. Again, this good practice of institutional Bologna co-ordination groups should be warmly recommended for the next follow-up period 2003-2005 when strength at the institutional level will be even more needed.

Moreover, universities and other higher education institutions, national and institutional student organizations are becoming aware that round tables, debates and communication on various “Bologna” issues are meaningful and productive in relation to their own national and local problems. And in a growing number of cases, other stakeholders – employers and social partners in particular – take part in these discussions and communications; in this context, we should mention the commitment to the Process and the wide-spread international activities of the European Trade Union Committee for Education (ETUCE).

32. Probably the clearest proof that the Bologna process has now reached the *concrete level of subject-specific study areas* comes from the growing number of reports and communications from specialized organizations, academic and professional associations, networks, various formal and informal initiative groups, etc. Here also, we witness an extremely wide spectrum of activities and initiatives (some links to respective web sites can be found via the official Berlin Summit web page). It is impossible to review them all here in the limited frame of this report; therefore, only a few specific cases will be given to illustrate their dimension, frequency, weight and importance while bibliographical and website sources are given later (see *chapter 4*) for a more comprehensive picture.

An excellent example was set by two distinguished associations in engineering, the Conference of European Schools for Advanced Engineering Education and Research (CESAER) and the European Society for Engineering Education (SEFI), who organized a seminar at Helsinki University of

¹⁰ According to Trends III Report, “only 47% of universities and only 29.5% of other HEIs have created the position of a Bologna coordinator” (draft summary, p. 3; first draft, p. 27).

Technology in February 2003 to discuss issues in *engineering higher education and research in the perspective of a common EHEA* and also agreed on a joint *Communication on the Bologna Declaration*. In their *Communication*, CESAER and SEFI strongly support the idea of the creation of EHEA. Basically, they also support the adoption of a system based on two main cycles, but also added that the specific needs of engineering education should be properly taken into account. CESAER and SEFI draw attention to the two existing, distinct types of engineering curricula in Europe – one longer, more scientifically oriented and the other shorter, more application or vocationally oriented – both serving particular needs and well accepted in the job market. They state that there must continue to be provision for an integrated route through to the Master level, as this preserves the coherence and efficiency of professional preparation in engineering. From that point of view, they regard first-cycle degrees more as a stepping stone for specialization and/or transfer to the second cycle.

The CESAER and SEFI *Communication* shows that more attention should be given in the next follow-up period to the particular questions of implementing “Bologna” principles in specific study areas and professional fields. However, along with raising new questions and problems, reports usually express strong commitment to all main principles. There is a sound agreement that an EHEA would also strongly contribute to the attractiveness of particular study and research areas, as (e.g.) engineering certainly is. There is also a clear awareness, sometimes even more clear than at the national level, that new curricula couldn’t be designed without a productive partnership with industry. Appeals to extend “two-tier” discussions also to the Doctorate level – noted also in the EUA framework and at some follow-up seminars – have also been heard frequently, on the grounds that doctoral students play a crucial role in research and a special role in inter-linking teaching and research at institutions. The need to strive for quality and excellence is also frequently expressed.

33. Similar cases in other subjects also illustrate this trend. One good example comes from “the opposite side” – the arts. Two organizations, the European League of Institutes of the Arts (ELIA) and Association Européenne des Conservatoires, Académies de Musique et Musikhochschulen (AEC), organized a seminar “*Bologna – A European space for talented young artists?*” on 10-11 April 2003 in Vienna. The seminar's objective was to discuss the specific implications of the Bologna Process for the arts, to exchange views on the European dimension in higher arts education, and to inform national ministries and European organizations about the positions, debates and initiatives in higher arts education and in professional music training. The meeting was organized in the framework of the Socrates Thematic Network “Innovation in Higher Arts Education in Europe”. Strong student participation was possible thanks to an ELIA grant from the European Cultural Foundation. ELIA and the AEC represent more than 550 higher arts education institutes across Europe, providing higher education in architecture, art, dance, design, media arts, music and theatre, for more than 200 000 students annually.

In their position paper, launched and discussed at the conference, participants strongly support the Bologna process. It emphasizes that a better integrated European space of higher education should also seek to retain cultural diversity, and that arts education must be recognized as functioning up to and including higher education level in all European countries. Participants agreed that many qualities in the arts are shared with other disciplines but also pointed to the features that make teaching and learning in higher arts education a unique and different experience, like focusing on creation and presentation of works of art in teaching, learning and evaluation. The position paper also analyzes main Bologna action lines from the perspective of the arts, and supports trends to improve transparency and comparability. It stresses in particular the importance of quality assurance in arts education, and the idea of that individual creative development is fundamental to higher arts education. ELIA/AEC are opposed to using the outcome of quality assurance processes for the ranking of individual institutions, but support the creation of informative profiles of higher arts education institutions. They also emphasize a need to build quality assurance and enhancement on mutual trust among institutions, using processes such as peer review and self-evaluation and providing effective support for institutions towards maintaining and raising standards. ELIA/AEC also support the implementation of the two-cycle system, providing students with professional qualifications at both levels. Within the Socrates thematic network ‘Innovation in higher arts education in Europe’, they are

currently surveying the implications of the two-cycle structure, and developing initiatives in quality assurance, mobility, transparency, specific descriptors for art disciplines, and joint Master courses.

34. Many other joint institutional projects have identified Bologna issues in various fields of study (mostly in the context of Socrates-Erasmus Thematic Networks). These cases cannot be fully presented here, but we will give two examples.

The first refers to the annual general *European Law Faculties Association* (ELFA) meeting in February 2003 which dealt with “New directions in European legal education: Credible, credited and continuing legal education”, with particular reference to the application of ECTS in legal studies in European countries. A special panel discussion on the developments in the Bologna process was an excellent occasion for participants to exchange views on national perceptions of the Process in relation to legal studies. ELFA, which also adopted a special *Statement on Bologna* in May 2002, is already planning another interesting conference on “Quality assurance, assessment and accreditation in European Law Schools: Comparative approaches in the light of the Bologna process”, to be held in 2004. Interestingly, the system and method of assessment of students feature prominently on the draft agenda, and marking methods and scales, group exams, projects and essays as well as ECTS and Diploma Supplements will be discussed.

The second example refers to a group of eight universities from seven EU member and associate countries joined in an Erasmus project EUDORA (formerly EDIL), also related to the *Tuning* project. It deals with the issue of joint degrees (Doctorates) in education and teacher education, and also carried out a small survey of “Bologna” effects, state of affairs and expectations in education sciences and teacher education. A report has been prepared (based on answers from institutions from almost all “Bologna” countries) which allows some comparison to the more general *Trends III Report* from the perspective of this subject-specific area.¹¹ The EUDORA project is closely linked also to the Thematic Network on Teacher Education (TNTEE), a flexible multilingual trans-national forum for the development of teacher education in Europe funded by the EC.

Both examples prove clearly that the Bologna process has reached the level of institutions, and that particular study fields offer some new – usually very concrete – perspectives; but they also raise some new problems to be solved in the next follow-up period. Other cases go beyond the level of institutional or study-field co-operation, and spread out into specialized networks and interesting developmental projects. These should be analyzed separately.

2.1.8 Networking, pilot projects and development

35. Project co-operation between European universities and higher education institutions has been growing very fast during the last decade, along with the rapid increase in mobility. Of course, both dimensions are inter-connected and in both cases the incentives of the Socrates programme – as well as Tempus for associate and other countries – have been immense. Today, European higher education systems are creatively connected and densely interwoven through numerous networks and joint development projects. On the one hand, experiences gained from co-operation in Socrates-Erasmus Thematic Networks, ECTS and other pilot projects are relevant for all institutions in all countries; on the other hand, institutions know how to use these experiences to design new projects on a higher level. It is simply impossible here to give even a brief survey of these extremely wide-ranging activities; however, a few examples can illustrate trends.

36. In the summer of 2000, a group of universities - co-ordinated by the University of Deusto, Spain and the University of Groningen, The Netherlands - has taken up the Bologna challenge collectively

¹¹ See www.pa-linz.ac.at/international/Alert/Tntee/Tntee_publication/menu.htm

and designed a comprehensive pilot project that is widely known today as *Tuning*¹² ("Tuning educational structures in Europe"). The EUA helped to widen the group of participants and the EC granted support in the framework of the Socrates programme. Some 100 institutions participated in Phase I of the project (2000-2002), representing the EU and EEA countries, organized in the following seven subject areas: *Business Administration, Education Sciences, Geology, History, Mathematics, Physics and Chemistry*. Phase II of the *Tuning* project – 2003-2004; launched in Brussels in May 2003 – intends (1) to consolidate its findings together with stakeholders (professional associations, employers, quality assurance agencies, etc.); (2) extend its scope to pre-accession and candidate countries (the group has been enlarged with another 30 institutions of which 15 come from EU acceding and candidate countries) as well as to two new subject areas (*European Studies* as an interdisciplinary and *Nursing* as a professionally oriented discipline); and (3) transfer its methodology to the Socrates-Erasmus Thematic Networks. Special attention in Phase II is given to the role of learning, teaching, assessment and performance in relation to quality assurance and evaluation.

Tuning addresses several action lines of the Bologna process, notably the adoption of a system of readable and comparable degrees, the adoption of a system based on two cycles, and the establishment of a system of credits. As already mentioned, its findings and concrete proposals have made important contributions to many issues discussed at official Bologna follow-up seminars. During Phase I, the main aim of *Tuning* was to design an appropriate methodology and identify points of reference for generic and subject-specific competences of first- and second-cycle graduates. Results of this phase are now available to academia and the wider public through a double web site.¹³ The starting point of the project was the idea that competences describe learning *outcomes*: what a learner knows or is able to do after completing a learning process. This concerns both *subject specific competences* and *generic competences*, like communication skills, leadership, etc. Competences are described as "points of reference" for curriculum design and evaluation; they still allow flexibility and autonomy in the construction of curricula. In the context of the Bologna process, descriptions of competences also provide a *common language for describing what curricula are aiming at*. A more general ambition of *Tuning* is to become a platform for the exchange of experience and knowledge among European countries, higher education institutions and staff with regard to the implementation of the Bologna process at Europe-wide level. Thus it can play an important role in the further construction of the EHEA.

37. Another well known project in this area is *the Joint Masters' Project* launched by the EUA in September 2002 (and sponsored through EC Socrates programme) as a part of its Action Plan in support of the emerging EHEA. At the launch conference, EUA stated that a great deal of attention has focused upon convergence of higher education structures and the introduction of Bachelors and Masters degrees, but that so far little attempt has been made to examine actual co-operation among European universities. The *Joint Masters' Project* is intended to fill that gap, perfectly timed just when academic communities were awaiting the launch of *Erasmus World*. The current discussion about degree structures and the importance attached to compatible qualifications at the undergraduate and postgraduate level across Europe need practical tests, and this project can help answer some key

¹² "The name *Tuning* has been chosen for the project to reflect the idea that universities do not look for harmonisation of their degree programmes or any sort of unified, prescriptive or definitive European curricula but simply for points of reference, convergence and common understanding. The protection of the rich diversity of European education has been paramount in the *Tuning* project from the very start and the project in no way seeks to restrict the independence of academic and subject specialists, or damage local and national academic authority." See <http://europa.eu.int/comm/education/tuning.html>

¹³ University of Deusto <http://www.relint.deusto.es/TUNINGProject/index.htm> and University of Groningen <http://www.let.rug.nl/TuningProject/index.htm>

questions. Parallel to the launch of the project, EUA also presented a comparative study on Masters Degrees and Joint Degrees in Europe.¹⁴

The project is based on partnerships among at least three universities from three different countries, and on existing student and staff mobility among participating institutions. Masters' programmes of 1 or 2 years' duration were eligible to apply for this project. Sixty applications were received from higher education networks; 11 programmes involving 73 European universities were selected. Partners had to demonstrate course integration and ensure that full recognition is given to course units developed and delivered separately by the different partners in the Consortium. They were expected to define clearly the nature and form of the final diplomas delivered based upon the legislation in force in the partner countries (e.g. as one diploma endorsed by all universities involved, or as two or several separate degree certificates). Transparent procedures on quality assurance were in place from the beginning. It was particularly important that institutions should show that they have a clear language policy; if programmes are taught in a language other than that of the host institution, language training or other induction courses are expected. The project started during the academic year 2002-2003, and preliminary results were presented at the EUA Convention in May 2003.

At the Prague Summit in 2001, Ministers strongly encouraged universities and other higher education institutions to take full advantage of existing national legislation and European tools aimed at facilitating academic and professional recognition. They also called upon the higher education sector to increase the development of modules, courses and curricula offered in partnership by institutions from different countries and leading to a recognized joint degree. For that reason, the development, implementation, monitoring and dissemination of examples of good practice in inter-university co-operation at Masters' level in Europe is so vital. This project understood it very well.

38. The EUA also launched another project that should, at least briefly, be reported here. The *Quality Culture Project* (2002 – 2003) is a Socrates-funded project with origins in the EUA's Action Plan 2001 – 2003, and in a Policy position paper on quality (EUA Council, Dubrovnik, September 2001). Both documents emphasized the importance of universities' capacity for developing a robust internal quality culture, which is integrally linked to institutional autonomy and public accountability. Fifty institutions – representing 29 countries – participated in this one-year project; they covered a spectrum of institutional size, types, traditions, structures and cultures. They were grouped into six small networks – co-ordinated by the universities of Bogazici, Leeds Metropolitan, Padova, Greifswald, Bergen and Vilnius – on the following themes: research management, teaching and learning, international partnerships, implementing Bologna, students support services and decision-making structures and communication flow. As in some other cases, the project is based on the EUA's and its members' conviction of the benefit of mutual learning “Bologna lessons” in the context of European diversity.

39. Generally, the concern for quality in European higher education has been very high on various agendas in the period between Prague and Berlin Summits, and indeed has widened its scope and initiatives. An interesting multi-country example of good practice is found in the *Joint Quality Initiative*. An informal network was set up for quality assurance and accreditation of Bachelor and Master study programmes in Europe. This initiative started soon after the Prague Summit, from a meeting of representatives from 11 countries (Maastricht, 24-25 September 2001) which introduced (or considered introducing) the accreditation of Bachelor and Master courses, aimed at transparency of higher education provision and internationalization of quality assurance and accreditation.

At its start, the *Joint Quality Initiative* formulated outlines of an action programme consisting of the following elements: a need for cross-border quality assessment, possibly followed by accreditation of new two-tier programmes; a need to share experience and discuss standards of new programmes; a need to initiate cross-national benchmarking; a need to consider franchising and quality assurance and

¹⁴ Tauch, Ch. and Rauhvargers, A., *Survey on Master Degrees and Joint Degrees in Europe*. Genève: EUA, September 2002.

to compare various conceptualizations of accreditation. A series of working meetings and seminars – also in co-operation with other agencies and groups, e.g. the *Tuning* project – followed, giving very fruitful results that were noted and discussed far beyond the limits of the initial group. The most interesting contributions of the group are draft descriptors of Bachelor and Master programmes at different levels as well as considerations and remarks on what needs to be addressed next. Today, the wider academic public knows the so-called *Dublin descriptors* (a result of the Dublin workshop, 15 February 2002), but some still do not associate them with the valuable work of the *Joint Quality Initiative*. The Initiative has been instrumental in organizing the first official Bologna follow-up seminar of the period between Prague and Berlin, “Working on the European Dimension of Quality” (11).

40. In reporting on concerns for quality in European higher education, the particularly important position of the *European Network for Quality Assurance* (ENQA) should be highlighted. ENQA is a European network to disseminate information, experiences, good practices and new developments in quality assessment and quality assurance in higher education among interested parties: higher education institutions, public authorities and quality assurance agencies. The idea for the network originates from the *European Pilot Project for Evaluating Quality in Higher Education*. It was established on the basis of the European Council Recommendation of 24 September 1998, while the *Bologna Declaration* gave it additional momentum one year later. The General Assembly meeting of March 2000 adopted the regulations and action plan; since then, the *Network* has figured prominently in discussions about quality issues in the Bologna context. In the period between Prague and Berlin, ENQA has been particularly active.

ENQA has been important to the Process in several ways. It has made remarkable contributions to the establishment of a common frame of reference, as coordinator of a pilot “*Trans-National European Evaluation Project*” (TEEP), supported by the EC Socrates programme. The project investigates operational implications of a European trans-national quality evaluation in three disciplines: Physics, History and Veterinary Science. With the purpose of increasing co-operation in European quality assurance, ENQA has also taken the initiative for EUA, ESIB and EURASHE to discuss – over a series of meetings – mutual points of interests and developments. ENQA has accepted, and continues to accept, quality assurance agencies from EU-associated countries as its member organizations. Last but not least, a joint working party has been set up of the recognition networks ENIC and NARIC and ENQA, to work on a joint agenda to improve the decision-making criteria for recognition of qualifications. In particular, the working group addresses key issues such as how the results of quality assurance can be taken into account in recognition of individual qualifications, the recognition of transnational qualifications, and joint degrees.

41. In the *Prague Communiqué*, “Ministers called upon the universities and other higher education institutions, national agencies and the ENQA, in co-operation with responding bodies from countries which are not members of ENQA, to collaborate in establishing a common framework of reference and to disseminate best practice”. A major focus in this process is the extent to which national external quality assurance procedures may meet the Bologna requirements for European compatibility and transparency. To this end, ENQA initiated a survey¹⁵ to identify shared protocols of quality assurance among European countries. This survey is definitely one of most interesting and useful products of this follow-up period: it demonstrates clearly which evaluation models are used in various countries and analyzes basic similarities and differences. The results of the survey demonstrate that European quality assurance has expanded both in scope and type of evaluation methods, and that especially the concepts of accreditation and benchmarking are rapidly gaining new ground. The survey report points to four main issues: (1) it gives an overview on quality assurance agencies, (2) it analyzes types of evaluation in European quality assurance, (3) it continues with a description of the four-stage model (autonomy and independence in terms of procedures and methods; self-assessment; external

¹⁵ The Danish Evaluation Institute. *Quality procedures in European Higher Education. An ENQA survey*. ENQA Occasional Papers 5. European Network for Quality Assurance in Higher Education. Helsinki, 2003 (41 pp.)

assessment; publication of a report), and (4) it concludes by considering the use of criteria and standards as a growing common element of most if not all evaluation procedures.

42. While evaluating recent activities and considering its possible future role, ENQA also prepared a special statement for the Berlin Summit. It reports that the 2002 General Assembly ended with a strong intention to increase its involvement and visibility in the development of the European quality assurance system. ENQA adds that, in the light of this encouragement by the General Assembly, it cannot ignore expectations from its members to comment actively on - as well as participate in - the formulation of the European dimension, while keeping in mind that ENQA is a network of independent opinions among its members.

Based on a letter to all its member organizations asking for their views regarding *the future role of ENQA in the European quality assurance* landscape, two different strategies were discussed in spring 2003. Under the *first strategy*, ENQA could continue with the role it was assigned in 2000: a mutually supportive voluntary membership body of independent European quality assurance agencies, heterogeneous in nature, providing professional services to its members. The *second strategy* would develop a more active policy-based role. ENQA stated that if it were to develop in that direction it would involve heading a movement towards a common European approach to quality assurance in higher education, with the appropriate authority and organizational structures, and would require ENQA to turn itself into the leading European policy development and advisory body in this area.

The feedback from members indicates that they expect ENQA to engage in active participation, both as a mutually supportive body that provides professional services *and* as a wider advisory body on methodological questions, with a mandate to issue recommendations. It is expected that this strategic discussion will continue at the next ENQA General Assembly in September 2003.

43. However, Spring 2003 brought another initiative in this field: *the European Consortium for Accreditation* (ECA). Representatives of thirteen accreditation organizations from eight countries (Austria, Belgium/Flanders, Germany, Ireland, Norway, Spain, Switzerland, The Netherlands) as well as from the *Joint Quality Initiative* and the EC participated in the initial meeting held in The Hague on 12-13 June 2003. The meeting aimed at contributing to the development of a concept of accreditation that not only serves national needs but also the needs of the emerging EHEA. As the ultimate aim, participants stressed the achievement of mutual recognition of accreditation, either bilaterally or multilaterally. They see the main benefit of mutual recognition in the fact that a decision about accreditation taken in one country is recognized also by the other countries. Participants agreed that a consortium is an appropriate tool to strengthen collaboration among organizations primarily responsible for accreditation higher education. They were against becoming a “club” imposing accreditation as the sole instrument for quality assurance, and stressed that the consortium must have an open structure and should collaborate pro-actively with other organizations and initiatives, such as ENQA, the *Joint Quality Initiative* and NARIC. They also set up three working groups to study high priority issues (mutual recognition; European qualification framework; international transparency of accreditation decisions) and agreed to have the next meeting in Cordoba in November 2003, when each working group will present its preliminary findings as well as a working plan.

The discussion paper for the preparatory workshop in The Hague contains important considerations about the relationship between the ECA and existing networks like ENQA, the *Joint Quality Initiative* or the *D-A-CH-Network* (a network among the German-speaking countries). The paper puts an interesting question: why was this initiative not taken by ENQA, and what is the relationship between ECA and ENQA? The answer given is that “The ground for the initiative to establish the ECA as a separate consortium is simple: ENQA is not yet the place to discuss the implementation and operationalization of accreditation. The discussion is still too much between countries *in favour* of accreditation and countries *against* accreditation. This discussion serves a goal in itself, but it does not help the countries that have already made the choice *for* accreditation. As a matter of course it is

important to keep in touch with ENQA.”¹⁶ The fact that a number of ECA members are also members of ENQA should prevent the ECA from acting "in a closed world", and ensure continuity of work. ECA pays special attention to the relationship with Central and Eastern European countries. It stated that although the consortium started with accrediting bodies in Western Europe, it is to be considered an open consortium: any accrediting body that endorses the aims of the consortium can apply for membership.

44. Concerns for *quality* are closely connected to *assessment and recognition issues*; these issues are even more important when the special dimensions of lifelong learning are considered. ICE-PLAR (*International Credential Evaluators and Prior Learning Assessors*) is a project on prior learning assessment and recognition (PLAR). It is carried out by the ENIC/NARICs of the Czech Republic, Germany and Sweden and led by the Dutch ENIC/NARIC, which has sought to develop a methodology for the recognition of non-formal or informal learning or – in broader terms – any kind of competence at higher education level that cannot be documented by traditional means. Through different forms of assessment, including interviews, simulations and tests as well as the candidate's portfolio, the PLAR methodology seeks to establish the candidate's actual competences, whether for the purpose of access to higher education (at whatever level appropriate) or for employment. Thus, this pilot project provides a wide range of experiences that could be very helpful in searching for systemic procedures and tools in lifelong learning in the Bologna process.

45. Recognition issues and the Bologna Process were the main focus of the 10th Joint Meeting of the ENIC and NARIC Networks held in Vaduz, Liechtenstein, 18-20 May 2003. The meeting finalized an important document which will influence European higher education in the near future: the *Draft Recommendation on the Recognition of Joint Degrees* (see below, 70). It also adopted the *Statement by the ENIC and NARIC Networks on the EHEA (Vaduz Statement)*, which ought to be mentioned here. The Networks emphasize their positive contribution to the Bologna process since their annual meeting in Vilnius in June 1999. Their work to improve and facilitate recognition of qualifications in Europe relies on, and seeks to implement, the *Lisbon Recognition Convention*, as well as – for professional qualifications – the *EU Directives on professional recognition*. In Vaduz, they confirmed their intention to continue to contribute to the Process and to support its ultimate goal to facilitate the mobility of students, staff and higher education graduates within as large a part of Europe as possible.

The ENIC and NARIC Networks recognize that the EHEA must be built on both national and joint policies in key areas agreed within a European framework, and that without commitment to and implementation of these policies at national level, the EHEA will not become an effective reality. They consider the Bologna process to be the most important reform of higher education in Europe, and see their contribution to it as helping to build bridges between education systems and qualifications and as fora for the further development of recognition policies in Europe and beyond. They stress again that recognition of qualifications is of key importance to the realization of Bologna process goals, and also to its "external dimension". The outcomes of transparent quality assurance procedures are also of key importance to the recognition of qualifications, and therefore the Networks declare their intention to continue their co-operation with the ENQA.

Specifically, the ENIC and NARIC Networks see their further contribution to the EHEA in facilitating recognition of qualifications issued within the two-tier degree structure, in developing co-operation between the recognition and quality assurance networks, in improving information about the recognition of foreign qualifications, and in improving recognition of joint degrees. They will also seek to develop recognition procedures that focus on the recognition of learning *outcomes* rather than on the formal paths that have led to these outcomes, especially because recognition based on learning outcomes also facilitates lifelong learning. The Networks will contribute to the development of

¹⁶ *Towards a European Consortium for Accreditation (ECA)*. Discussion paper for preparatory workshop in The Hague on 12-13 June 2003.

transparent qualifications frameworks at national level as well as in the context of the EHEA, and improve recognition of qualifications from other parts of the world.

46. Among the numerous networks that have recently put “Bologna” on their agendas, the *European Access Network* (EAN) deserves mention for a particular reason. Both the *Bologna Declaration* and the *Prague Communiqué* stressed the importance of broad and equal access to higher education as well as removing obstacles. EAN's mission is precisely in this field: to encourage wider access to higher education for those who are currently under-represented, whether for reasons of gender, ethnic origin, nationality, age, disability, family background, vocational training, geographic location, or earlier educational disadvantage. To mark the European Year of People with Disabilities 2003 and to contribute to the Bologna process, the 12th Annual Conference of the EAN (held in Prague from 29 June to 2 July 2003) raises key questions about equity and future higher education development, under the heading “*Parity of Access Across Europe?*”

The conference provided a unique opportunity for delegates to play an effective role in shaping the access agenda in an enlarged Europe, including Central and Eastern Europe and the Balkans. The EAN strongly believes that an educated society and an informed citizenry are vital in fighting xenophobia, racism and religious intolerance. However, the ultimate goal of using education to democratize society cannot be achieved until equality of access to education and training is available to all groups in society. As many European countries are beginning to implement the key areas of the Bologna process, the EAN is concerned that access and equity, fundamental in the prevention of social exclusion, must be highlighted, otherwise the essence of social inclusion in a knowledge-based society will be lost. The momentum created by the Bologna process is not a magic wand; in today's circumstances, it offers an alternative path between new opportunities and possible new barriers for disadvantaged and under-represented groups. The EAN asked an important question which should be more strongly heard in the future of the Process: *how inclusive is the European Higher Education Area?* Will it merely preserve the advantages and enlarge the benefits already enjoyed by the same groups that are already over-represented in higher education?

47. This sub-chapter aims to give a brief overview of enhanced networking in European higher education and of various pilot and developmental projects. Despite its relative length in comparison to other chapters, it was possible to draw attention only to the most important events and to give a few examples. Yet before we go on to the next issue, one more feature of increasing networking must be mentioned: – *regional co-operation*. It is obvious that in between the national and pan-European levels there are areas with more or less traditional forms of co-operation. The Bologna process gives a new momentum to these areas. On the other hand, it seems that the EHEA will need a more structured “continental” landscape, and in this regard regional initiatives could be very useful. Today, there are many formal and informal initiatives of this type all around Europe; some of them – e.g., the Adriatic-Ionian initiative, Nordic Space for Higher Education or South East European Educational Co-operation Network – also have Bologna agendas as part of their profile. These networks strengthen the Bologna process from the inside, but they are – due to geographical, cultural, linguistic, etc. reasons – also important for further accessions as well as for the external dimension of the Process.

2.2 Further accessions and the external dimension of the Bologna process

48. BFUG and BPG paid considerable attention to issues of further accessions to the Bologna process and its “external dimension”. Since the Prague Summit, a constant and growing interest for joining and/or for various modes of participating has been observed. Signatories of the *Bologna Declaration* didn't close themselves off from other European countries; they also expressly underlined the need to make the EHEA more attractive to the rest of the world. Both “dimensions” – further accession as well as global attractiveness – became even more important during the 2001-2003 follow-up period.

Soon after the Prague Summit, BFUG and BPG received expressions of interest, not only from new potential signatory countries but also from other parts of the world. Much interest came from countries of South Eastern Europe. At the CD-HCR round table in October 2002 (see 21), Russia also declared its informal interest in joining the Bologna Process and described some of the concrete steps taken towards educational reform in Russia. Later, similar intentions were received from Ukraine and from two countries of other geographical parts of Europe – Andorra and the Holy See. These communications crystallized at the beginning of 2003 into complete applications received from Albania, Serbia and Montenegro, Bosnia and Herzegovina and “the former Yugoslav Republic of Macedonia” as well as in further preparatory work and exchange of information with other countries.

Meanwhile, the increasing relevance and attractiveness of the Bologna process in the global higher education arena also manifested itself in the 2001-2003 period. Partly, these issues have been linked to the UNESCO agenda and its various international fora; partly there have also been purely “regionally grounded” interests, for example from some Latin American or Caribbean countries where the Bologna process is being considered as a possible model of good practice for the further development of higher education. In discussions, it was pointed out that the Process has its own identity; but it is clear that ways need to be found to deal with the “external dimension” of the Process in future. It was agreed that UNESCO Headquarters might offer a great service, and in fact it has already expressed its interest in participating more actively in the Bologna process.

BFUG and BPG have maintained continual communication with all interested partners and discussed these issues at their meetings. They fall mostly into two clusters. The first cluster includes requests from newly applicant countries (or organizations wishing to become “observers”) and raises the question of eligibility. The second cluster includes interest expressed by other geographical areas, and raises the question of the emerging EHEA and its external relations. These questions were discussed thoroughly and systematically.

2.2.1 Further accessions

49. Already at the BFUG meeting in Santander in May 2002 a question of principle was raised – how to respond if a new higher education law is being prepared in an applicant country that not only fails to be in compliance with the principles of the *Bologna Declaration* but actually runs counter to the reform process. This led to a discussion about criteria for eligibility and possible selection of new members of the Bologna process. There was a consensus that the Process can provide important guidance to non-signatory states, and that those who are interested should be invited to attend follow-up seminars while the Ministers will decide on the received applications at their forthcoming Summit in Berlin. A discussion focused on the need to revise the eligibility criteria laid down in the *Prague Communiqué*, and to introduce into the *Berlin Communiqué* also a specific commitment of the signatory states to realize the Bologna objectives, notwithstanding national differences and particularities.

An introductory discussion led to a decision that an *ad hoc* working party should be formed to analyse the issue and prepare further debate. While the origin of this debate is to be found in (a) *possible applications for further accessions*, it quickly became clear that this was only one of the issues in the further development of the Bologna process as a framework for the reform of higher education in Europe, and that the question of new accessions cannot be divorced from (b) *considerations of the implementation of the Bologna process by its current members*.

A working group drafted a paper on “*Further Accessions to the Bologna process – Considerations and Suggestions for further Action*” which was discussed both in BFUG and BPG in late 2002 and early 2003. The working group stated that at both the Bologna and Prague meetings, the Ministers recognized the potential for further expansion of the Bologna process but at the same time stated that this should be based on a commitment to the goals of the Process as stated in the *Bologna Declaration* and, implicitly, also in policy documents adopted by subsequent Ministerial meetings. However,

further developments and specific issues articulated two further questions: *what form and content should applications have*, and according to *what criteria* should they be assessed? Here, the working party emphasized *the two aspects of the Process*: on one side and in conjunction to the “Bologna” goals, there are examples of good practice that are seen as beneficial by the participating countries and that may be of interest to other countries; and on the other side, there is the commitment to set up (by 2010) a formal structure of the EHEA with firm obligations and policy commitments.

50. The working group stated that 2010 has been stipulated as the end goal of the Bologna Process through the setting up of the EHEA, but many questions remain to be answered – and probably also to be asked – about how this will happen and what the implications will be. The group then asked: “Will the [dynamic] *process* inevitably be transformed into a [static] *state of affairs*?”¹⁷ Certainly this is an important question that couldn’t be raised in Bologna in 1999, but only at an advanced stage of the Process. At least in part, this question will determine follow-up discussions over the next two years or even longer. We haven’t answered it yet, despite serious attempts in previous discussions.

At the November 2002 Copenhagen BFUG meeting, a wish was expressed to develop a more formalized structure with milestones and stock-taking. The geographical question was also addressed, and the need for a more precise criterion for access to the Bologna process. The issue of precise goals and contents of the EHEA should be addressed soon, together with a discussion on the organizational structure of the process; a “mid-way” report was also suggested. In addition, the importance that the EHEA goal should be reached by 2010 was stressed. The meeting also agreed that the same requirements should apply to applicants as to present members, and that keeping openness and a dynamic balance – with a minimum of formality and structure – are of vital importance to the Process and its breadth.

51. The working party submitted the improved paper – with a slightly changed title¹⁸ – at the next BFUG meeting in Athens in February 2003. Now, it reflects on *three main aspects* of the Bologna process: (a) as a more or less formal structure seeking to set up the EHEA with a number of common characteristics, within which students and staff will be able to move with relative ease; (b) as a process towards a target in which its specific objectives are differentiated and deepened; and finally (c) as an “example of good practice” indicating higher education policies and practices that are seen as beneficial by the participating countries and that may be of interest to other countries or systems of higher education. The second aspect, *the process* – put between two “extremes”: *formal structure* and *voluntary examples* – is a result of discussions in the groups and a thorough analysis of coping with the recent and current reality of the Process.

The concept of process is important for the signatory countries as well as for accession of new members. In Bologna – as well as in Prague – no questions were asked as to the real intentions of the signatories, nor were countries asked to submit plans showing how they intended to reach the Bologna goals. However, *the closer we get to 2010, the more important it will be to assess whether policies have been implemented or are likely to be put in place in time for the EHEA to be established*. It should be kept in mind that new partner countries will be held to the same deadlines as the original 29, even if they may have to implement their higher education reform in less time. The working party noted that this has at least been the assumption so far, as there has been no discussion of transition measures or deadlines –for example, when new countries accede to the European Union.

¹⁷ Bologna Follow Up Group. *Further Accessions to the Bologna Process – Considerations and Suggestions for Further Action*. Report by an *ad hoc* working party. Bonn/Strasbourg/Bruxelles, October 10, 2002, p. 4.

¹⁸ Bologna Follow-Up Group. *Further Development of the Bologna Process: Milestones, Stocktaking and Further Accessions. Considerations and Suggestions for Further Action*. Report by an *ad hoc* working party. Bonn/Strasbourg, January 15, 2003.

52. At the June 2003 BFUG meeting in Athens it was clear that applications from four countries of South Eastern Europe were received on time, that they fulfil the criteria, and that they can be submitted to the Ministerial Summit in September. The BFUG meeting was also informed about a recent letter from the Russian Minister Mr. Filippov to the Greek Minister Mr. Eftimiu, informing him about progressive reforms of the Russian higher education and asking for participation in forthcoming meetings with a view to join the Bologna process. As already announced at the St. Petersburg seminar in December 2002 (see 56), another important national conference on these issues will take place in Russia in autumn 2003.

On the basis of previous correspondence, Ukrainian Minister Mr. Kremen notified the same BFUG meeting that the Ministry of Education and Science of Ukraine is ready to organize an international conference to discuss the position and respective development of national higher education and to study experience of European countries and their realization of the *Bologna Declaration*. Participants in the June 2003 BFUG meeting also took note of correspondence with Andorra and the Holy See; no complete applications had been received at that time. The existing criteria for membership as defined in the *Prague Communiqué* (eligibility for the EU programmes Socrates, Leonardo da Vinci or Tempus/Cards) also proved inadequate in some of these cases, and BFUG decided to propose that they should be reconsidered at the Berlin Summit.

Events in some of the countries mentioned above deserve more attention here, in particular preparatory seminars held in the 2001-2003 period (some of them already mentioned, see 22) in countries of South Eastern Europe and Russian Federation.

2.2.2 The Bologna Process and South Eastern Europe

53. Countries of *South Eastern Europe* (SEE) and their higher education systems went through hard times in the 1990s, and they now seek to join international co-operation and integration to foster national economic, social and cultural recovery. Universities can play an important role in these processes, offering knowledge and qualifications as well as democratic values. An interesting regional event with relevance for the Bologna process took place in August 2002, supported by the Croatian Ministry of Science and Technology. University Rectors of all SEE countries met at the Inter-University Centre (IUC) in Dubrovnik for the first time after a decade of conflicts in the region, and discussed international processes in higher education from a regional point of view. In their final Statement they appealed “to the European institutions immediately to admit the regional universities within the Erasmus and Socrates programs, i.e., to facilitate the mobility and exchange of students and faculty from the region”. They decided to organize two working groups “on the following important issues: (a) curriculum reform, (b) mutual recognition of periods of study and diplomas within and outside the region.”¹⁹ The second SEE Regional Rectors’ Conference in August 2003 focuses on curricular reform, but also on various aspects of excellence building and on specific projects of regional academic co-operation.

54. The main Bologna follow-up event in the SEE region was a conference on “The External Dimension of the Bologna Process: South-East European Higher Education and the European Higher Education Area in a Global World” organized jointly by UNESCO-CEPES and EUA and held in Bucharest on 6-8 March, 2003. It relied on the Project “Regional University Network of Governance and Management of Higher Education in South East Europe”, supported by the European Commission in the framework of the CARDS Programme. The conference explored four main topics: (1) challenges and opportunities facing higher education systems and institutions participating in the project (from Albania, Bosnia and Herzegovina, Croatia, Kosovo, FYR of Macedonia, Montenegro

¹⁹ Statement from the Dubrovnik Meeting of University Rectors of Southeast European Countries. Inter-University Centre in Dubrovnik, 23 August 2002.

See http://www.see-educoop.net/portal/id_bologna.htm

and Serbia) in the context of the Bologna process; (2) challenges to academic values and to the organization of academic work at a time of increasing globalization; (3) higher education as a public responsibility and a public good, and its significance for higher education in the region; (4) quality assurance, accreditation and recognition of qualifications as regulatory mechanisms in the EHEA.

This conference was rich in content. The organizers provided analytical materials on the reforming processes at nine selected SEE universities²⁰, and the preliminary results of the analysis of *Trends III* data for the SEE region were presented for the first time followed by other presentations and interesting discussions among participants from a total of 18 European countries. Experience in the above-mentioned project has demonstrated that those responsible for higher education in SEE countries have already used the provisions of the *Bologna Declaration* and the *Prague Communiqué* as a reference framework for their own reform initiatives. Today, there is clear evidence of a strong commitment to achieving the Bologna process objectives in the region. Participants recommended that the Ministers meeting in Berlin take this into consideration and welcome new applicants from the region as full members in the Bologna process. Participants also welcomed the opportunity of promoting debate and exchange of experience between representatives of the BFUG and of the various applicant countries from the region.

55. Participants analyzed recent developments in depth, and made recommendations. *University autonomy* is now legally protected in all the countries concerned and the practical implementation of this essential element is also improving. The values of academic freedom are highly regarded and embedded in everyday academic work. However, in terms of *governance* there are still many issues to be addressed. The current organization of universities as mostly weak federations of legally autonomous faculties hinders the effective implementation of the objectives of the Bologna process. Although *students* have a formal role in institutional governance bodies, they are, in practice, in many cases not yet actively involved. *Quality assurance* has become a key challenge for national authorities and institutions across the region. Given the small size of the respective higher education systems, the introduction of more systematic and effective institutional quality assurance mechanisms, including a wider European dimension, becomes ever more important. Therefore, institutions have been encouraged to strengthen their European networking activities in this field, and fledgling national agencies should work together with the ENQA; countries that have not yet established an ENIC are expected to do so as soon as possible.

Universities in the region are well aware that their main priority should be curricular reform. Structures remain traditional, curricula have not been restructured and the duration of studies at Bachelor level is longer than intended in the Bologna process while the Master level tends to be simply an add-on to the previous one. Attention was drawn to the importance of diversification, the need to develop alternative forms of provision, and the need to promote lifelong learning. However, pilot projects are on the way and considerable efforts have been made in all countries to introduce ECTS. Compared to the past, academic mobility has increased dramatically, despite obstacles encountered both by staff and students (visa requirements, financial resources). On the negative side, many of the best students and graduates do not return after their study abroad, thus contributing to brain drain from the region. There are still difficulties with the recognition of qualifications and periods of study, both internally between the countries in the region, and in relation to other countries.

Participants dealt also with the issue of *higher education as a public responsibility and a public good*, from a specific regional point of view. They believed there is now a need to focus attention on the responsibility of public authorities for higher education. They saw the dilemma facing the countries of the region as that of coping with the consequences of accepting public responsibility for higher

²⁰ Case studies from universities of Zagreb and Split (Croatia), Banja Luka (Bosnia and Herzegovina), Montenegro (Montenegro), Novi Sad and Niš (Serbia), Prishtina (Kosovo), Tirana (Albania) and Ss. Cyril and Methodius University in Skopje (FYR of Macedonia).

See http://www.see-educoop.net/portal/id_bologna.htm

education - the challenges of supporting a system ensuring equity and equal access for all according to merit, and high quality of provision - at a time of strictly limited state budgets, multiple and growing funding demands, and recent large increases in higher education participation rates across the region. There is a need for further investigation of various possible models of funding higher education systems, taking into consideration the growing competitiveness in the emerging EHEA where sustainable levels of excellence are a prerequisite.

2.2.3 The Bologna Process and the Russian Federation

56. At the CD-ESR round table in October 2002 (see **21**), Russia declared its interest in joining the Bologna process and described some of the concrete steps taken towards educational reform in Russia. A related event, important for the external dimension of the Bologna process, was held in December 2002 in St. Petersburg, Russian Federation: the international seminar “*Integration of the Russian higher school into the European zone of higher education – perspectives and problems*”. Representatives of legislative and executive authorities of the Russian Federation, headed by the Minister of Education of the Russian Federation Mr. Filippov, the Chair of the Education Committee of the Duma Mr. Alexander Shishlov, rectors and pro-rectors of Russian institutions of higher education and the representatives of public organizations took part in the seminar. Representatives of the BPG and some experts from international organizations joined the seminar and presented key topics of the Bologna process.

The seminar established that *the preconditions for the introduction of higher professional education system into the Bologna process had been met in the Russian Federation*. In the discussion, it was stressed that the current legislation has foreseen the possibility of realizing a multi-stage structure of higher education, which is in fact already functioning in many institutions. The results of pilot projects in some institutions based on credit points were presented. After a lively plenary discussion the participants agreed on a number of recommendations to the Russian Ministry of Education. They stressed the need to ensure citizens and foreign students access to information about the Russian educational system, about the professional qualification and degree structures, and about the modernization process of higher professional education in Russia, but also the necessity of Russian integration into European and world educational systems.

It is worth setting out the following key ideas from a long list of recommendations: (1) close co-operation inside the Russian administration should be established, with a view to improving the recognition of the Bachelor degree in enterprises, institutions and organizations; (2) a methodology of modular construction of study programmes should be developed; (3) there is a need to establish a system of graduation documents consistent with the European “Diploma Supplement” and the instructions for completing the diploma forms and their supplements on the basis of credit points; (4) the possibility of introducing a decentralized model for recognition of foreign educational documents should be examined; (5) most attention should be given to preparation of a quality assurance system consistent with international procedures of quality assessment; (6) the initiative of the Russian institutions of higher education to strengthen academic mobility should be supported.

Last but not least, participants stressed that decision-making about incorporation of the Russian Federation into the Bologna process should be accelerated. A joint working group was set up consisting of experts from St. Petersburg State University, Moscow State University and the Russian Ministry of Education, along with representatives of leading institutions of higher education in the Russian Federation and public organizations. The working group will examine all aspects of Bologna process and the compatibility of its requirements with the actual state of Russian education.

2.2.4 UNESCO and global processes in higher education

57. From the very beginning, it has been clear that the idea of the EHEA is closely related not only to European but also to global processes in higher education. Therefore, it couldn't be mere coincidence that between *Sorbonne* and the *Bologna Declaration* an important global meeting took place: UNESCO's *World Conference on Higher Education*, organized in Paris in October 1998. It has had an important follow-up, which is today highly relevant to the external dimension of the Bologna Process. Besides the particular issues – which are mostly linked to South Eastern and Eastern Europe, where UNESCO-CEPES has had an important role in the Bologna process – there are today also literally global higher education issues that should be addressed. There is a consensus that UNESCO offers the best forum for such a discussion.

In the footsteps of the *World Conference* of 1998, and in the new context – to which the Bologna Process has also contributed – UNESCO organized on 17-18 October 2002 in Paris the *First Global Forum on International Quality Assurance, Accreditation and the Recognition of Qualifications in Higher Education*. It was launched as part of UNESCO's mission to respond to the challenges and dilemmas facing higher education as a result of globalization, with a special focus on sharing responsibilities between the North and the South. It aims to provide a platform for dialogue between a wide range of higher education providers and stakeholders and to link existing frameworks dealing with international issues of quality assurance, accreditation and the recognition of qualifications.

The *Global Forum* recalled UNESCO's support for the principles of access to quality higher education for all on the basis of merit as a human right, and of education remaining a 'public good'. The debate contributed to the understanding of this important, hence sometimes fuzzy, notion. The participants agreed that bridges should be built between education and trade in services; UNESCO, the WTO and the OECD could act as complementary organizations providing a joint forum for discussing both the cultural and commercial aspects of trade in higher education. After a debate the *Global Forum* proposed an Action Plan for UNESCO covering a range of activities. Reinforcement, revision and updating of the existing regional conventions on the recognition of qualifications seem to be high on the agenda to respond to new needs and to represent international standards in the GATS framework. Research on and articulation of what is meant by 'public good' – especially in view of the rapid growth in private national and transborder higher education provision in certain regions and member states – was perceived as another priority area. The *Forum* also stressed the need for capacity building at the regional and national levels for quality assurance and accreditation mechanisms, within a strengthened international framework.

58. The *Second Global Forum on Globalisation and Higher Education: Implications for North - South Dialogue* was held in Oslo, 26-27 May 2003, co-hosted by the Norwegian Ministry of Education and Research and UNESCO. It was a follow up to the first *Forum*, and focused on challenges individual institutions and national higher education systems are facing in a global environment, in response to the pressures of an emerging knowledge society and economic growth. This conference brought together some 200 participants, representing a wide range of stakeholders in higher education, including some Ministers and heads of institutions, from Africa, the Arab States, Asia and the Pacific, Europe and North America, Latin America and the Caribbean.

The Assistant Director-General for Education, UNESCO, Mr. Daniel, summed up the discussions as "a dialogue between different views of the world, notably between a stance that emphasizes the role of the nation state or the collectivity and a position that stresses the freedom of an of the individual".²¹ Indeed, the organizer did succeed in gathering the most relevant speakers and representatives, and providing opportunities for real dialogue. The most attractive part was a discussion on the first day among the World Bank with its role in the development of higher education, the World Trade Organization that is implementing GATS, and UNESCO with its mandate to ensure free exchange of

²¹ Daniel, J., *A Way Forward: Closing Remarks*. The Second Global Forum on Globalisation and Higher Education: Implications for North - South Dialogue. Norwegian Ministry of Education and Research and UNESCO. Oslo, 26-27 May 2003 (4 pp.). <http://www.ldv.no/unesco>

ideas and knowledge. However, inputs from governmental representatives, representatives from Council of Europe, world student organizations (All Africa Students Union, Asian Students Association, ESIB), universities all around the world, and last but not least, from employers and industry, made this dialogue even more constructive and fruitful.

Several key themes were discussed at the *Forum*, but the role of UNESCO's Regional Conventions and new challenges of globalization seem to be most notable and appropriate. Not only in Oslo, but also in recent debates in general, the essence of this issue has been recognized as bridging quality assurance and recognition frameworks. The *Forum* confirmed the need for a legal framework to facilitate the recognition of qualifications and provide transparent arrangements for quality assurance; there was also a consensus that such a framework should be established through the co-operation of public authorities and the higher education community. It also recommended that all UNESCO Regional Conventions should be revised, using the *Lisbon Recognition Convention* as the starting point. This work is likely to start with a feasibility study on what needs to be added to these Conventions to make them into useful instruments that are complementary to GATS, first of all by bringing together the issues of qualification frameworks, quality standards and benchmarks, quality assurance and accreditation, and the recognition of qualifications. Participants saw such a general study as a necessary step before launching the process of revision of the Regional Conventions. Revision would be necessary in any case – even without the GATS – if these Conventions are to remain useful guides in the rapidly changing world of higher education. As it did a decade ago, when the *Lisbon Recognition Convention* was drafted, the Council of Europe has again offered to contribute to such a study.

59. Finally, there was a third UNESCO conference with specific relevance to the Bologna process, in particular to its external dimension: the *World Conference on Higher Education + 5 (WCHE+5)*, held in Paris, 23-25 June 2003 and attended by more than 400 experts and authorities from some 120 countries. This was a real follow-up of the Conference of 1998 which contributed a great deal to a new vision of higher education. In order to turn this vision of higher education into reality, special emphasis has been placed on quality, the potential and implications of the use of technologies, management and financing, sharing knowledge and know how, etc. In this latter respect, the need to stem the brain drain and to establish credible, long-term partnerships – based on common interest, mutual respect and solidarity – has been emphasized in various discussions over the last few years. Five years after the initial 1998 *Conference*, it appeared both useful and necessary to draw up a balance sheet. The main purpose of this assessment was to identify changes that have taken place in higher education since 1998 and their consequences, to identify examples of good practice, and to try to define orientations for future action.

In the preparatory activities for the WCHE+5 conference, a questionnaire was sent to member states to collect data on higher education over the past five years, aimed at identifying changes that have occurred. UNESCO offices, centres and institutes responsible for follow-up at regional level had also been asked to prepare regional reports on the development of higher education since 1998. The WCHE+5 conference presented and discussed the results of this world-wide survey, examining how systems are changing country by country.²²

2.2.5 The external dimension: attractiveness, openness and co-operation

60. It is obvious that the “external dimension” has been one of the priority issues on the BFUG and BPG agendas. Already at the meeting in Santander in May 2002, BFUG agreed that a specific point for debate of the external aspects of the Bologna process should be prepared for a systemic discussion at the next meetings. For that purpose, another *ad hoc* working party was formed which prepared

²² See *Bibliography* for details.

several drafts of the report.²³ The conclusions were phrased so that they could be easily used in the process of drafting the *Berlin Communiqué*. The discussion started with familiar statements from the *Bologna Declaration* and *Prague Communiqué*, but also took into account the objectives of the Lisbon 2000 European Council (04, 17) and continued under the headings *attractiveness*, *openness* and *co-operation*.

61. The working group found that *attractiveness* of European higher education depends on many factors of which the most important are quality, transparency, diversity and visibility. The commitment to quality as a prime responsibility of the institutions and the quality assurance systems set up in the signatory countries should be a guarantee for students from abroad who want to study at the frontline in their subject. Among European universities, it should be possible to find in every subject area at least a dozen institutions of world class, based on linking research and teaching. The transparency of European higher education degrees is the second factor, featuring prominently on the “Bologna” agenda. Diversity in scientific approaches as well as in culture and language is also a benefit of European higher education, and should be promoted as such; for foreign students this could be experienced through joint programmes. Excellent programmes of European higher education have to be known worldwide in order to be attractive; therefore, more transparent information is needed.

62. The group defined *openness* as openness to students from all over the world. However, existing legal provisions hinder the best students from third countries to join European higher education, mainly due to their financial situation. In order to meet this challenge the already existing systems of scholarship programmes should be improved, and general scholarship programmes for citizens from third countries to individual universities should be established at the national as well as the EU level. Many countries have already established programmes for foreign students. There is a tendency to move from the bilateral system to a more open multilateral approach; Norway and the Netherlands, among others, have already done this. Some other countries are considering rearrangements at the moment. However, some European study programmes may be organized as joint programmes offered in partnership by universities in different European countries; this trend is expected to increase in the near future. The establishment of a scholarship programme (*Erasmus Mundus*) will be an important step, but because of its size it will only benefit a limited number of students. Visas and stay permit regulations should also be reconsidered.

63. With regard to *co-operation with third countries*, the group pointed out that signatories already have a huge task on their hands in accomplishing the “Bologna objectives”, and that at this stage associating with non-European countries would add too many complications. Instead, the Bologna-countries should co-operate with regions and countries in other parts of the world by promoting the idea and practice of regional co-operation, and by practical advice and dissemination of experiences. The main idea of regional co-operation in higher education “à la Bologna” should be promoted in other parts of the world. However, such co-operation can only be established under certain conditions, e.g. a governmental “climate” that allows peaceful co-operation in the region, free associations of students and academics, autonomous institutions (in line with the *Magna Carta Universitatum* of 1988), acceptance of a common language or a common ability to work in several languages, commitment of governments and institutions to reform, etc. Existing co-operative frameworks, contacts with UNESCO regions and exchange of information via existing channels can be very helpful in developing this new type of co-operation. Regional conferences about the Bologna process and support to leading countries as promoters in the particular region could enhance it even more.

The group identified the following world regions as potential targets: Middle Eastern and Southern Mediterranean countries, SNG/CIS countries, Caribbean and Latin America as well as South-East Asia. From a practical standpoint, the group drew attention to the long-standing traditions of co-operation with non-European countries developed by several European countries. This could be an

²³ Bologna Follow-Up Group. *Attractiveness, Openness and Cooperation*. Report by the Danish delegation (4. draft). Athens, 20 June 2003 (8 pp.).

important resource for future European co-operation in general with overseas regions. On the other hand, the EU is entitled by art. 181 of the Treaty to enter into agreements with third countries or groups of such countries; existing agreements often contain provisions for co-operation in higher education, and in this way they support the external dimension of the Bologna process. Similarly, the Council of Europe can make an important contribution; it links numerous European countries (European Cultural Convention), and plays an important role in recognition of qualifications as well as in other aspects of higher education policy. Last but not least, the potential of European organizations at the non-governmental level should not be overlooked.

2.3 The main goals of the *Bologna Declaration* and *Prague Communiqué* in the light of 2003

64. Coming to the concluding part of this review, we will slightly change the focus and try to synthesize the *content* of Bologna activities during 2001–2003. The question is how the particular goals of both the *Bologna Declaration* and the *Prague Communiqué* are reflected in discussions, findings and documents of the follow-up period (presented above). To do this, we might take a walk along the nine Bologna action lines. However, it is very difficult – and at some points even dangerous – to observe them in isolation, one by one: Bologna action lines should be taken as an integral agenda. They are closely interlinked, and drawing demarcation lines between them – e.g. between a “system of easily readable and comparable degrees” on the one hand and “the adoption of a system essentially based on two main cycles” on the other – would be artificial and unjustified.

Official follow-up seminars were not organized strictly along particular (nine) action lines but along (six) clusters of issues. Today, participants would agree that this was the right approach: issues were mostly discussed in all their complexity and mutual relevance. Conclusions and recommendations from official follow up seminars are important but they are not the only reference points for this attempt at synthesis; surveys and studies developed in parallel to the seminars, other discussions, various projects and events are also taken into account. Therefore, in this chapter some specific action lines are reviewed in two roughly-drawn clusters (*structural* and *social* dimensions), and the impact of various Bologna events of the period 2001-2003 is considered, to the extent that the limited frame of this chapter allows. In addition, some newly identified problems, issues and scenarios for the future are mentioned.

2.3.1 Structural dimensions

65. Four seminars had a special focus on various issues related to *a system of easily readable and comparable degrees essentially based on two main cycles*: Stockholm and Mantova, Helsinki and Copenhagen. But other seminars – e.g. Amsterdam launching a discussion on “generic descriptors”, or Zürich discussing credit systems, or Prague working on the lifelong learning context – contributed importantly to these issues as well. These contributions extend to other events also, in particular to the EUA Graz Convention. The *Trends III Report* gives an excellent insight into these issues, as does another special survey (see 37, note 13) conducted by EUA. Finally, in listing relevant inputs on these issues we should not forget various pilot projects and national reports.

According to *Trends III*, important progress has been made regarding the introduction of study structures based on an undergraduate and a graduate tier. First of all, legal possibilities have been considerably improved and many governments have fixed deadlines for the transition to the new degree system. More than one-half of higher education institutions report today that they are introducing the two-tier structure, and more than one-third of them are planning it. The survey on Master Degrees confirms a strong trend towards “second level” degrees, too. Interesting evidence has been gathered also from the *Tuning* project and, in particular, from the clear affirmation of its findings among higher educational communities across Europe: for example, showing that *convergence that*

fully respects diversity can be achieved, starting from analysis of the role of competences and learning outcomes.

66. In the period between Prague and Berlin increased attention has been given to the *detailed structure of the two main cycles*. The terms of Bachelor and Master have been widely used to characterize both cycles; however, concerns have been expressed that these terms – in particular with reference to the EHEA – could provoke confusion both in countries that have traditionally used them and in those that haven't. Participants in the seminars worked hard to agree on a definition of the internal composition of individual levels. Already before the Prague Summit, at the Finnish "Seminar on Bachelor-level Degrees", an agreement was reached that a "*Bachelor-level degree is a higher education qualification the extent of which is 180 to 240 credits (ECTS)*"²⁴. This agreement was confirmed again in the period that concludes with the Berlin Summit; discussions went more in depth, stressing that concerns for *learning outcomes* and qualification are even more important than *length of study*. This approach led to some very detailed questions on qualification frameworks that could be extremely important on the road towards EHEA. However, in the pre-Berlin period much more attention than pre-Prague has been given to the composition of the "second level" (Master) degrees.

As was shown in the survey mentioned above, there is a growing trend towards Master level degrees that require the equivalent of 300 ECTS credits, although examples of slightly longer and slightly shorter courses can be found. The majority of countries and institutions seem to be inclined towards *90-120 ECTS Master programmes*. Medicine and related disciplines require a different scheme in most – but not all – countries, and expectations for an "integrated" Master degree have been noted also, in particular in environments with traditionally long one-cycle programmes. Some comments have been made at seminars and on other occasions that "particularities" should not be used as a pretext for "diversity", which should be respected. Similar comments have been expressed with regard to a tendency to see first-cycle degrees only as a stepping-stone or orientation platform for the second level degree and not as an end in itself, "relevant to the European labour market as an appropriate level of qualification". On the other hand, differentiation among "academic" and "professional" second-cycle degrees – which have been developed in some countries – doesn't seem to create problems, at least not in principle. It seems much more important to change approaches to *learning*, e.g. learning should not be expressed in traditional terms of "seat-time" but in terms of study credits gained. Considerable attention has been given to the question of access: in principle, entrance to second-cycle degree programmes should be made possible without additional requirements, but actual admission should remain the responsibility of the institutions offering second-cycle degrees.

Against the background of previous discussions, the "second" Finnish seminar (14) focused entirely on "Master-level Degrees". The Conclusions and Recommendations of this seminar²⁵ place strong emphasis on the frame of reference for Master degrees in Europe. Participants established that various initiatives are underway that aim at defining learning outcomes, skills and competences both at the Bachelor and Master level, and stated that this will allow capitalizing on the richness of European higher education traditions and creating European profiles in various disciplines. Since the promotion of mobility in Europe requires increased transparency and comparability, some common criteria for the structural definition of Master degrees - in their various national names - are necessary. Therefore, participants of the Helsinki seminar aimed for a frame of reference ("*common denominators for a Master degree in the EHEA*") that should be flexible enough to allow national and institutional variations, but also clear enough to serve as a definition.

²⁴ *Conclusions and Recommendations of the Seminar to the Prague Higher Education Summit*. The Bologna Process. Seminar on Bachelor-level Degrees. Helsinki, 16-17 February 2001.

²⁵ Note that in this document the term Master degree is used to describe all second-cycle higher education degrees at Master level irrespective of their different national titles.

According to these recommendations, a Master degree should be seen as a second-cycle higher education qualification. The Helsinki recommendations also offer a definition of the composition of Master degree programmes, which synthesized earlier discussions but also provoked new ones: normally, such a degree carries 90-120 ECTS credits, while the minimum requirements should amount “to 60 ECTS credits at Master level”. As the length and the content of Bachelor degrees vary, there is a need to have similar flexibility at the Master level. Credits awarded should be of the “appropriate profile”. However, Bachelor and Master degrees should have differently defined outcomes and should be awarded at different levels; they should be described on the basis of content, quality and learning outcomes, not only according to the duration of programmes or other formal characteristics. In principle, all Bachelor degrees should provide access to Master studies, and all Master degrees should give access to Doctoral studies. Master degree programmes should provide the learning skills needed to pursue further studies or research in a largely self-directed, autonomous manner. A transition from Master level to Doctoral studies without the formal award of a Master degree should also be possible if the candidate demonstrates the necessary abilities. Master degrees can be taken at universities, and in principle also at other higher education institutions. Programmes leading to a Master degree may have different orientations and various profiles to accommodate a diversity of individual, academic and labour market needs. Differences in orientation or profile of programmes should not affect the “civil effect” [social value] of the Master degree.

67. These recommendations helped to broaden the scope from the two-tier structure alone to many detailed aspects of content, approach, methods, etc. *Tuning* gave an important message: a simple statement that there should be two successive cycles *is insufficient to make degrees comparable and compatible on a European level*. The first *Tuning* exercise made clear that the length of degree programmes (in terms of credits) is not an issue that stands by itself, but should be regarded as one crucial factor in the entire process of convergence of higher education: including the content, nature and level of study programmes.

Warnings have been heard that there is a constant danger of only superficial implementation of the new degree structures, and that systemic encouragement should be given to *strengthen attempts to renew curricula at the institutional level*. Pilot and developmental projects like *Tuning* could be of great help on this point. However, it has become obvious that while dissemination of good practice is extremely valuable, it doesn’t suffice to achieve the stated objectives. Beyond specific needs for curricular reform at the institutional level, the current discussions about level descriptors, learning outcomes and qualification frameworks have opened a whole new systemic chapter that could be vital for the future of the Process.

In view of the results of the 2001-2003 follow-up period, the objective of a “system of easily readable and comparable degrees” as a distinctive feature of the EHEA can only be achieved if the next period will put the highest priority on the process of elaborating *national qualification frameworks*, possibly in relation to an overarching – broad but common – *European qualification framework*. This distinct idea was expressed not only at the seminars on degrees and qualification structures, but also at the Prague seminar on lifelong learning; it is also mentioned in various reports from other events and surveys.

68. The Danish follow-up seminar on “*Qualification structures in Higher Education in Europe*” (14) marked a turning point in the recent follow-up discussions. The central focus moved from the two-tier structure to more detailed issues: descriptors, levels, generic vs. subject-specific competences, workload, credit frameworks, learning outcomes, etc. The adoption of a common two-tier system was just a first step on the road towards EHEA. We must now work towards a deeper level of transparency about the types, principles, levels and purposes behind different (national) qualifications and their place in any overarching framework. Without such precise attention to detail, there is a danger that the creation of a common two-tier system masks significant differences among countries, institutions, etc. The outcomes of the Copenhagen seminar were a logical consequence of many former discussions, summed up at the right time and the right place.

In Copenhagen, a (national) framework of qualifications was defined as *a systemic description of all qualifications offered within a given education system as well as a description of how they relate to each other*.²⁶ Actually, all higher education systems have a qualifications network. However, traditional qualifications networks emphasize *input* factors and formal characteristics, while the novelty of the Copenhagen seminar was that it built on *output* factors such as learning outcomes. It also tended to be more explicit about some elements that were hitherto simply assumed. The *elaboration of a new qualifications framework* demands a refinement of the very concept of a "qualification". From that perspective, the traditional concepts of workload and level have been refined and are no longer expressed only in terms of "years of study"; the framework should not only describe how various qualifications interrelate, but also how students can progress from one qualification to another.

A national qualifications framework could provide much more precision and accuracy, and facilitate the key "Bologna objective" of transparency and comparability. From this point it is only a single step to an *EHEA qualifications framework* as an overarching concept: it would be primarily a general consensus about credits, levels, types of qualifications, systems and tools to describe them, etc. Thus, the Copenhagen seminar provided us with "a skeleton of a Bologna qualification structure".²⁷ It highlighted some experiences at national level (the examples of Denmark, Ireland, the UK; and Scotland generated particular interest among participants), but most countries are only just starting to plan this work. Therefore, intensive work on an *EHEA qualifications framework* could be very helpful to them, in particular if they will look for ways to "joint learning". Bringing together various national experiences in different contexts has always been useful.

69. The 2001–2003 follow up period put *the development of joint degrees* – an item which was stressed in the *Prague Communiqué* – high on its agenda. Two seminars (Stockholm and Mantova, **13**) were organized and a special survey was taken (see **37**, note 13). In practical terms, the problem was explored in a number of pilot projects, and ENIC/NARIC also approached it from the angle of recognition. However, referring to *Trends III*, joint curricula and joint degrees still do not receive sufficient attention from ministries and Rectors' Conferences. There is much more support at the level of institutions, but it seems that initiatives are still left to individual professors. At the follow-up seminars and other occasions, a consensus was reached that joint degrees – in principle Master and Doctoral – at the European level should become an important feature of European higher education, both to promote intra-European co-operation and to attract talented students and researchers from other continents to study and work in Europe.

Already at the *Stockholm seminar* (**13**), participants stated that joint degrees are important instruments for implementing the objectives set out in the *Bologna Declaration* and the *Prague Communiqué*: promoting student and teacher mobility, employability, quality, the European dimension and the attractiveness and competitiveness of the EHEA. Joint study programmes could provide an instrument for giving students the chance to gain academic and cultural experience abroad, and institutions of higher education an opportunity to co-operate. Such co-operation could exploit a wider range of competences and resources than those available at any single institution. Participants expressed a need for a common framework for joint degrees, tried to draft some criteria which could be useful common denominators for joint degrees in Europe, reminded us of the contents of the Council of Europe/UNESCO *Lisbon Recognition Convention* (1997) but also noted that in most countries a jointly awarded degree would require amendments to the national legislation. As also shown in the above-mentioned survey, very few countries have specific legal provisions regarding joint degrees; in

²⁶ Adam, S., *Qualification Structures in European Higher Education*. To consider alternative approaches for clarifying the cycles and levels in European higher education qualifications. Danish Bologna Seminar, 27-28th March 2003.

²⁷ *Qualification Structure in European Higher Education*. Report by the General Rapporteur Sjur Bergan. København, March 27-28, 2003.

particular, *the award of a single degree on behalf of several institutions is still legally difficult*. When a joint degree is awarded as a national degree, it is recognized like any other foreign degree. If it is a real joint award of several institutions from various countries, it falls outside the framework of both national and international legislation and encounters problems of recognition.

70. This issue must be treated seriously and precisely. In fact, there are people who can deal with it: those from the ENIC and NARIC Networks. They already declared their willingness and ability to contribute to the Bologna process in 1999; since then, their support for the Process has been constant. At their meeting in May 2003, the Networks considered a far-reaching *Draft Recommendation on the Recognition of Joint Degrees*, to be submitted to the Convention Committee for adoption in 2004 (see **45**). The key is to improve recognition of joint degrees and other innovative initiatives aimed at increasing student mobility, bridging the gaps between national education systems, and increasing their readiness to contribute to these objectives. In this, they will build on the study and pilot on joint degrees at Master level carried out by the EUA (**37**, note 13).

This *Draft Recommendation* is based on various discussions referred to above (e.g. **12, 13, 37, 38**); it also refers to the *Lisbon Recognition Convention*, one of the key standards for the Bologna process. The *Convention* has a double function. In legal terms, it is a treaty between states, and as such it is valid as a *legal standard for the recognition of qualifications* awarded by the higher education systems of the parties to the *Convention* as well as the qualifications covered by its subsidiary texts. In a broader sense, it also serves as a *guide to good practice*, and in this sense its provisions can be applied to all higher education qualifications, regardless of their origin. (These are also major reasons why participants of the follow-up seminars and other events so often urged countries that have not yet ratified the *Convention* to do it at the earliest occasion.) Clearly, this message is part of Recommendations from the *Lisbon seminar* on “Recognition issues in the Bologna Process” of April 2002. By mid-2003, about two-thirds of the Bologna signatory countries had already ratified the *Convention*²⁸.

The main purpose of the new *Draft Recommendation* is to help ensure fair recognition for a kind of qualification that has considerable potential, but that is, in a strictly legal sense, not covered by the *Lisbon Recognition Convention*. It seeks to define joint degree as a generic term and to explore the main types of joint degrees. According to the Draft, joint degrees should be recognized at least as favourably as other qualifications from the education systems from which they originate. On the other hand, the *Draft* makes a case for reviewing national legislation (par. 9), which is quite in line with statements and recommendations expressed at some seminars: “Governments of States party to the Lisbon Recognition Convention should therefore review their legislation with a view to removing any legal obstacles to the recognition of joint degrees and, where appropriate, introduce legal provisions that would facilitate such recognition”. At any rate, the next session of the Lisbon Recognition Convention Committee (expected in spring 2004) will be an important further step towards EHEA; this again is a reason to speed up the ratification procedures in all countries – members of the Bologna process – which haven’t yet ratified the *Convention*.

71. The *Mantova seminar* (**13**) gives new inputs to this issue. It affirmed again the high value of integrated curricula and joint degrees in reaching the EHEA objectives, and warned again against legislative obstacles. A report on “Joint Degrees: the Italian Experience in the European Context” provided some background information on the Italian case and attracted participants’ attention as an example of good practice. The 1999 reform had already introduced the new possibility of awarding joint degrees to encourage the development of inter-university co-operation. Based on special agreements, Italian universities are legally enabled to give joint awards with other Italian or foreign universities. The rules governing procedures for the award of joint degrees are referred back to

²⁸ See <http://conventions.coe.int/Treaty/EN/cadreprincipal.htm> for detailed information (not only on Bologna countries). “Total number of ratifications/accessions: 33. Total number of signatures not followed by ratifications: 11. Status as of 19/07/03.”

university teaching regulations. In the case of joint degrees between Italian universities, the degree itself should include a list of the universities that are parties to the agreement; in the case of joint degrees involving foreign universities, award procedures should be expressly governed by individual agreements, given the diversity of regulation among national education systems.

The Mantova seminar focused on the *curricular component of joint degree programmes*, based on the view that curricular integration – intended as joint curriculum design and implementation – is a necessary condition for awarding joint degrees. Joint degree programmes based on integrated curricula were recognized again as most valuable instruments for developing European “citizenship” (i.e., cultural, linguistic and social experience) and European “employability” (i.e., competences necessary to have a successful professional life). Participants agreed that the future development of European joint degree programmes depends considerably on common criteria, as proposed already at the Stockholm seminar. Moreover, a clear distinction should be made between joint and double degree programmes, in terms of their curricular objectives and organizational models, also with a view to protecting students, and a complete glossary of terms should be drawn up for the purpose of evidence. Learning outcomes and competences, as well as student workload described in ECTS credits, should be seen as essential elements in constructing any joint programme. Adequate quality assurance procedures should be jointly developed and activated by partners in a joint programme, and made explicit to learners/users. Students, graduates, employers and other relevant actors should be consulted about the areas in which the implementation of joint degree programmes would be most appropriate. Higher education institutions – as partners for a joint degree programme – should be chosen on the basis of shared mission and clear commitment, as well as their capacity to develop and sustain such a programme in academic, organizational and financial terms. Thematic networks could provide experience for identifying suitable partners in any European country.

72. The Mantova seminar also stressed that joint doctoral programmes educating for research professions in Europe should be understood as a cornerstone for greater co-operation between EHEA and ERA. Synergy between the two areas is viewed as an essential prerequisite for the creation of a Europe of Knowledge. However, a need for *more structured Doctoral studies* in Europe has been expressed also at other occasions and in various discussions (25, 32). Today, in half of the countries Doctoral students receive mainly individual supervision and tutoring, while in the other half taught Doctoral courses are offered in addition to individual (research) work. Increasing international co-operation and attempts to develop joint degrees demand more attention to comparable Doctorate degrees, first of all to ensure quality standards. Doctoral studies will certainly be a crucial lever of the knowledge society, and form an important element of the attractiveness of the EHEA. Therefore, an answer to a need for a transparent, readable and comparable “third degree” should be elaborated seriously in the next follow-up period 2003–2005.

2.3.2 Social dimensions

73. The majority of students, however, experience the emerging EHEA at their first- or second-cycle studies. National ministries and individual institutions encounter problems with student (and teacher) mobility mainly here. According to *Trends III*, student and teacher mobility has increased across Europe but there are obvious differences with regard to particular countries, types of mobility, etc. For instance, incoming mobility has grown more in the EU than in the accession countries. There is a clear distinction between “importers” and “exporters” of Erasmus students. Public funds have increased in the majority of EU countries but only in a minority of accession countries. In addition, language issues in mobility seem to become more important everywhere: in countries with “smaller” as well as in those with “broadly spoken” languages. These indicators show that some reconsideration of academic mobility is urgent today, on the institutional, national and international level.

The good news is that an important tool to strengthen mobility – the European Credit Transfer System (ECTS) – is clearly emerging as the European credit system. ECTS, initiated already in late 1980s, was developed by the European Commission to facilitate the transfer of competence earned at one

institution or within one higher education system to another institution or system. It has achieved this by developing a standard unit expressing workload – the ECTS credit, 60 of which constitute an average workload for an academic year – as well as a standardized grading scheme. In recent years, it has become a legal requirement in many countries. According to *Trends III*, two thirds of institutions today use ECTS for *credit transfer* (and 15% use a different but compatible system). *Trends III* also reports that three quarters of institutions declare that they have introduced credit accumulation, but the authors of the report worry about possible insufficient understanding of the particularities of a *credit accumulation system*. Therefore, efforts of institutions and, in particular, EUA activities in this field are exceptionally important for actual implantation of credit transfer and accumulation in the real lives of students. In this regard, the central event of the period 2001 – 2003 was the Zürich follow-up seminar (12), in fact a conference on “Credit Transfer and Accumulation – the Challenge for Institutions and Students”.

As a credit transfer and accumulation system, ECTS is the tool that could contribute most to the Bologna objectives, first of all by improving transparency and comparability of study programmes and qualifications, and secondly by facilitating the mutual recognition of qualifications. The conference stressed the *conceptual basis of ECTS*: it is a student-centred system based on the student workload required to achieve the objectives of a programme. These objectives are preferably specified in terms of learning outcomes. Therefore, a successful implantation of ECTS could not be done in a mechanistic way (e.g. re-calculating traditional contact hours into credits) but in fact demands thorough curricular reform at the institution level. Credits are not automatically interchangeable from one context to another. They can only be used to obtain a recognized qualification when they constitute an approved part of a study programme. The seminar also emphasized that ECTS must be developed to include the concept of *level*. The Zürich Conference demonstrated that Europe’s universities recognize the importance of credit transfer and accumulation for the future development of the EHEA, and accept their own responsibilities in this process. This means that on the basis of the key features agreed in Zürich, institutions need to be able to apply ECTS in a transparent but flexible way, taking into account their own specific missions and priorities. The EUA Graz Convention confirmed this position a few months later.

74. Another useful instrument is being introduced in a growing number of countries: the *Diploma Supplement (DS)*. In many countries, institutions are now obliged by law to issue it to their students once they earn their degrees. It has been developed jointly by the European Commission, the Council of Europe and UNESCO, aiming at describing a qualification in terms of the education system within which it was earned. The Diploma Supplement can also be adapted to qualifications – such as joint degrees – earned within two or more higher education systems. The Diploma Supplement – which is an addition to and not a substitute for the original diploma – contains information on the student, the institution and programme, the competences earned and the higher education system. It could be particularly valuable for students (learners) in the context of lifelong learning, as was confirmed also at the Prague follow-up seminar (16). At this seminar, another useful but less widely used tool was presented and discussed: *a portfolio*. Where the various kinds of educational experiences could not be readily described through the Diploma Supplement and the ECTS, these *transparency instruments* could be brought together with the remaining elements in a portfolio, describing all the relevant experience, skills and competences that constitute the person’s overall achievements. One possible model could be the *European Language Portfolio*, developed by the Council of Europe’s Language Policy Division to describe a person’s competencies in foreign languages, whether formally certified or not, according to a list of well established criteria of fluency. In the case of computing skills, the EU has developed a *European Driving License*. In the case of many lifelong learning experiences, an important aspect is that candidates are closely involved in creating their own portfolios.

75. At first glance, ECTS, Diploma Supplement and similar tools belong probably more to the “structural dimension” of the Bologna process, but their importance for mobility, transparency, employment, etc. also argues for classifying them as part of the “social dimension”. Of course, such a division is only conditional, and various questions should always be asked about their interdependence. However, seminars and other events of the follow up period 2001–2003 contributed

directly and importantly to clarifying social issues. In this regard, three seminars are of special importance, each of them in its particular line: the Athens seminar which directly stressed the “Social Dimension of the EHEA”, the Oslo seminar on “Student Participation in Governance” (for both see 15) but also the Prague seminar on “Recognition and Credit Systems in the Context of Lifelong Learning” (16). The social dimension in higher education is mostly discussed with reference to new entrants and young students; however, it is extremely important to understand this issue in a lifelong perspective. The Prague seminar only opened the door to this enormously spacious area, and therefore it deserves appropriate priority in the next follow-up period. Moreover, student participation in higher education governance is, last but not least, a “school of citizenship”, and therefore should receive more attention from this specific angle.

Broad access to higher education has become a key topic of the last decades. On the one hand, it presumes and requests changes of structures; on the other, it really widened access and increased numbers of candidates for higher education and students. This raises serious questions about studying and living conditions, and about systemic removal of obstacles related to students’ social and economic backgrounds. Introduction and maintenance of social support schemes for students, including grants (portable as far as possible), loan schemes, health care and insurance, housing and academic and social counselling become *equally important issues for the successful establishment of the EHEA as changes in higher education structures*. We made reference to this point on several previous occasions. At the same time, with a growing student body it is more and more important to consider the issue of students’ participation in governance of higher education (institutions) very carefully. Finally, participants at the Prague seminar underlined the importance of improving the possibilities of all citizens to follow lifelong learning paths, established within qualifications frameworks in accordance with their aspirations and abilities. “Prague” recommended that we explore how this goal may be achieved, in preparation for the Ministerial conference of 2005.

76. Another frequent theme has been the dispute on GATS in relation to issues resulting from the emerging global market for higher education services and trans-national provision of education, and stimulated by the increasing demand for study places and radical new possibilities based on ICT. These changes are leading to a growing trend towards global competition in higher education. This trend is a real challenge to the creation of the EHEA and to its potential attractiveness on a global level; however, discussions at follow-up seminars and other events (in particular the important discussion at UNESCO’s *Second Global Forum* in Oslo; see 58) showed that real changes should be based on academic values, respect for diversity, and co-operation between different countries and regions of the world. *How to achieve a balance between competition and co-operation?* This remains a difficult dilemma, with enormous relevance for the Bologna process.

Closely related to these themes, the recent period has also broached the issue of higher education as a public good and public responsibility. Participants in the Athens seminar (15) reaffirmed the commitment of the *Prague Communiqué* to consider higher education a public good, and stressed that any negotiations about trade in education services must not jeopardize the responsibility of financing the public education sector. Much uneasiness was expressed with regard to procedures in the GATS negotiations. They further stressed that recognition agreements and the right of countries to implement quality assurance mechanisms should not be put in question, in particular because no experts from the higher education sector have been consulted. Here, we should quote a minor - but not marginal - comment from the *Oslo Global Forum*: “In future, governments should ensure that their ministers of trade talk to their ministers of education”!

3. STEERING OF THE BOLOGNA PROCESS

77. The steering bodies of the Bologna process have been responsible for the successful implementation of decisions from Prague; in particular, to explore the most important issues through a series of follow-up seminars, carefully prepared in advance and attracting all partners. On the other

hand, they also had to take care of the steering process itself: to reflect on and evaluate their own work, advantages and deficiencies of structures, and methods developed since Bologna and Prague. This chapter aims to sum up the main data about the establishment and work of both steering groups, as well as findings on possible improvements of steering the Process.

3.1 The work of BFUG and BPG

78. In the *Prague Communiqué*, Ministers committed themselves to continuing their co-operation based on the objectives set out in the *Bologna Declaration*. They also confirmed the need for a structure for the follow-up work, consisting of a follow-up group and a preparatory group: “The follow-up group should be composed of representatives of all signatories, new participants and the European Commission, and should be chaired by the EU Presidency at the time. The preparatory group should be composed of representatives of the countries hosting the previous ministerial meetings and the next ministerial meeting, two EU member states and two non-EU member states; these latter four representatives will be elected by the follow-up group. The EU Presidency at the time and the European Commission will also be part of the preparatory group. The preparatory group will be chaired by the representative of the country hosting the next ministerial meeting.” The *Communiqué* also stated: “The European University Association (EUA), the European Association of Institutions in Higher Education (EURASHE), the National Unions of Students in Europe (ESIB) and the Council of Europe should be consulted in the follow-up work”. Ministers finally encouraged the Bologna follow-up group to arrange a series of international seminars to explore the most important issues: “co-operation concerning accreditation and quality assurance, recognition issues and the use of credits in the Bologna process, the development of joint degrees, the social dimension with specific attention to obstacles to mobility, the enlargement of the Bologna process, lifelong learning and student involvement”.

79. Immediately after Prague, new inter-governmental structures for the Bologna process and a work programme for the period between Prague and Berlin were established. Based on decisions of the *Prague Communiqué*, the former “enlarged group” – with four new members: Croatia, Cyprus, Turkey and Liechtenstein – became the *Follow-up Group of the Bologna Process* (BFUG). The group met in September 2001 at the first meeting after the Prague Summit. The former steering group was abolished, as the steering task had become entirely the competence of BFUG, presided over by the consecutive EU-Presidencies, i.e. Belgium (2nd semester 2001), Spain (1st semester 2002), Denmark (2nd semester 2002), Greece (1st semester 2003) and Italy (2nd semester 2003).

80. At the same meeting, BFUG established the *Bologna Preparatory Group* (BPG), chaired by Germany as the host country of the next ministerial meeting. BFUG outlined an agenda which dictated the organization of the following meetings: the group discussed the first outline of the Berlin Summit and plans for the follow-up activities in general, responsibilities of the BPG, information from the Commission and other organizations, information about seminars of international relevance which member countries intended to organize, etc. BFUG decided to centre the proposed seminars and other events on these topics, as chosen in Prague.

The topics were later developed into *six clusters* (as can be clearly seen in retrospect, this programme can also be read as consisting of *two major components*: a complex of issues on *degree structures and qualifications* on the one hand and *the social dimension of higher education* on the other). The clusters are as follows:

- (1) co-operation concerning accreditation and quality assurance;
- (2) recognition issues and the use of credits;
- (3) development of joint degrees;
- (4) degrees and qualification structures;
- (5) social dimension of the Bologna process, with special attention to obstacles of mobility

and student involvement;
(6) lifelong learning in higher education.

81. During the period 2001-2003, BFUG met six times (Brussels, 13 September 2001; Santander, 24 May 2002; Copenhagen, 4 November 2002; Athens, 18 February 2003; Athens, 20-21 June 2003; Berlin, 17 September 2003) but also extensively used IT as their means of communication. At its sessions, BFUG constantly monitored the Bologna process: taking note of information on meetings of the BPG and discussing its proposals and initiatives, in particular preparation and organization of the Berlin Summit; paying constant attention to the preparation and results of official Bologna seminars as well as to other scheduled meetings, events and initiatives related to the Bologna process, etc. Because of the large number of seminars, it was agreed that for each seminar a special rapporteur would be appointed.

BFUG also discussed important issues of the enlargement of the Bologna process and new applications for access, as well as some less visible but no less important themes such as the Bologna process and the issue of languages. It also formed a few working groups to prepare particular issues for discussion. At its second meeting, BFUG appointed the general rapporteur who joined the work of both groups and prepared this report with their enormous and generous help. However, BFUG devoted most of its working time and expertise to a discussion about possible directions for the further development of the Bologna process and to considerations of issues important for the drafting of the *Berlin Communiqué*.

82. The BPG was inaugurated and seated at its first working meeting immediately after its election. In the period 2001-2003, it met altogether nine times (Brussels, 13 September 2001; Brussels, 12 December 2001; Brussels, 21 February 2002; Santander, 23 May 2002; Brussels, 19 September 2002; Berlin, 9 December 2002; Athens, 17 February 2003; Athens, 19 June 2003; Berlin, 17 September 2003). BPG has been responsible for the concrete preparation of the Berlin Summit and assumed a key role in collecting and managing the necessary information. It was important that a small team was set up in Berlin early on, as well as an official website (www.bologna-berlin2003.de) to support these tasks. The website covers valuable information of the previous Paris, Bologna, Salamanca and Prague meetings and existing translations of earlier “Bologna” documents, but it also enlarged the scope to include important news and events, interesting links, national legislation and reports, position papers on the Bologna process by other organizations, stakeholder associations, etc.

The group was also given a mandate to get in contact with stakeholders (e.g. employers, trade-unions, etc.) or organizations with special expertise (e.g. accreditation, etc.) not directly represented in the “Bologna Structures”. Thus, BPG held occasional hearings on the Bologna process with representatives of those bodies, for example with the Steering Group of the European Network of Quality Assurance (ENQA), UNESCO European Centre for Higher Education (CEPES), Union of Industrial and Employers’ Confederations of Europe (UNICE) and with the European Trade Union Committee for Education (ETUCE).

3.2 Evaluation and a proposal for further “handling” of the Process

83. The existing practice of steering the Bologna process has regularly been the subject of reflection. Already at its Santander meeting, BFUG’s working party on Further Accessions (**49**) made some important observations on the issue of steering the Process, when it found that its basic question – accessions – is linked to setting milestones and stock-taking (**51**). The BPG meeting in Athens in February 2003 went even more into details of how the future follow-up process should be structured after the Berlin Summit; it reported its findings to the BFUG. It was concluded that – in the interest of efficiency and a continuous flow of information, but also in the light of the ongoing discussion on a European Convention – more permanent structures for the further follow-up work might be envisaged. Three possible models were discussed: (a) either the present structure is maintained (with a clear

sharing of tasks between BPG and BFUG); (b) or BFUG retains its rotating chair but is assisted by a permanent secretariat, (c) or BFUG will be headed by a permanent chair and assisted by a permanent secretariat. BPG asked a working group (Germany, Czech Republic, Denmark, Greece, Italy) to analyze and evaluate the existing steering structure and to prepare a discussion document for the next BFUG meeting in June 2003.

84. At its June meeting in Athens, BFUG received from BPG a document proposing several variants. The heading of this document²⁹ reflects the complexity of the issue, but gives also a taste of the jargon developed in the friendly and constructive atmosphere of both groups. Following the minutes of the BPG's February session, the working group analyzed the three alternative designs. According to the first, the present structure would be maintained with a clearer sharing of tasks between BPG and BFUG ("present structure"). According to the second, BFUG would retain its rotating chair but be assisted by a permanent secretariat ("rotating chair"). According to the third alternative, BFUG would be headed by a permanent chair and assisted by a permanent secretariat ("permanent chair"). The working group analysed all three designs, looking at the working structures thus far put in place after Bologna, and at the needs for further development of the process after Berlin, especially with a view to the working programme to be defined in the *Berlin Communiqué*.

In its findings, the working group stated that, in view of the widening tasks and increasing frequency of meetings and seminars, the Bologna Process is developing more and more into a range of complex activities based on the common political will of ministers and aiming at strengthening the *international co-operation* between all member states and partners. The Process also fosters the *inter-dependent link* between international co-operation and national implementation of actions into policy, and the goal of creating the EHEA by 2010. The main tasks of the steering structures in the coming years will be – among others – (1) to organize the further follow-up programme after the *Berlin Communiqué*, (2) to organize the stock-taking exercise, (3) to secure continuity and further clarification of the principles of the Bologna process, (4) to secure close co-operation with relevant stakeholders and (5) to prepare the next ministerial conference.

It was underlined that the agreements between signatory countries are of a purely political nature and without any supra-national power of endorsement. Therefore, any working-structure of the Bologna process must be clearly founded on strong involvement of the competent national authorities. The necessary *link between national implementation and international co-operation* can be guaranteed only by getting all members involved, and by giving them a chance of active participation. This argument requires a large group with an overall responsibility for following up on the decisions of ministers, and preparing the ministerial conference. On the other hand the demanding and comprehensive programme after Berlin will - as present experiences show - *require even more than before an effective administrative as well as content-regarding working structure*. The large group couldn't manage this task efficiently; therefore a proposal was made that inclines towards a smaller steering group with support from a permanent secretariat.

85. On the basis of these considerations, BFUG at its June 2003 meeting was confronted with three variants. BFUG members were asked to communicate their preferences before the meeting in order to facilitate discussion and decision. From the beginning, it was obvious that the first variant ("present model") has simply no supporters. The second variant ("rotating chair") was presented in two slightly different forms (2a – with a smaller task force, and 2b – with a larger Board). After the first round of discussion, interest was distributed among the three variants 2a, 2b and 3 ("permanent chair", with a larger Board), without a clear majority for any of them.

This could mean that the discussion came to a dead end. However, combining the votes led to the identification of two separate majorities: one in favour of the "rotating chair" (variants 2a+2b) and one in favour of a "larger Board" (variants 2b+3). Encouraged by the chair, BFUG found that the

²⁹ Bologna Preparatory Group. *Handling the Bologna Process*. 6 June 2003.

combination of the two majorities crosses at the model 2b, and this variant prevailed as a realistic compromise. BFUG decided to ask the Ministers to approve the proposed change of steering structures of the Bologna process in the adequate paragraph of the *Berlin Communiqué*. Responsibilities of the Board and of the Secretariat have not yet been specified. If Ministerial approval is given, they will be specified at the first meeting of the Follow-up group after the Berlin Summit. Similarly, the elections procedure for the three countries to be elected for the Board should be prepared, probably in a similar way to the procedure that was followed after Prague for the two elected members in the BPG 2001-2003.

4. Paper and WWW Goldmine

86. In the following “Goldmine” – the expression is borrowed from *Tuning* colleagues –bibliographic and Internet sources are listed. In principle, the bibliography is limited to the period 2001-2003 and presents only most the relevant “Bologna” documents and studies produced during this period and referred to in this report. Only a few key documents that emerged earlier – and are referred to in this report – are also added.

Numerous presentations and contributions from official Bologna follow-up seminars and other events have been routinely posted on the Internet; our bibliography here would become unwieldy if *all* inputs of the last two years (surveys, papers, presentations, information, documents, statements, etc.) were included. Internet sources are divided into three categories to facilitate access to websites where an enormous quantity of documents, studies, links and other information produced during the 2001-2003 Bologna follow-up period is available.

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4.2 Internet

4.2.1 Governmental and nongovernmental international organizations

Bologna Process / Berlin Conference (September 2003) – The Official Site
<http://www.bologna-berlin2003.de>

Council's of Europe "Bologna Web Site"
<http://www.coe.int/T/E/Cultural%5FCo%2Doperation/education/Higher%5Feducation/Activities/Bologna%5FProcess/> and
http://www.coe.int/T/E/Cultural_Co-operation/education/Higher_education/

EC - European Commission / DG Education and Culture
<http://leuropa.eu.int/comm/education.html> and
<http://europa.eu.int/comm/research/area.html>

ECTS – European Credit Transfer System
<http://europa.eu.int/comm/education/socrates/ectswww.html>

E-LEARNING - The eLearning initiative of the European Commission
<http://www.elearningeuropa.info/>

ESIB - The National Union of Students in Europe
<http://www.esib.org>

ETUCE - The European Trade Union Committee for Education
<http://www.ei-ie.org/etuce/english/eetuceindex.htm>

EUA – European University Association
<http://www.unige.ch.eua>

EURASHE - European Association of Institutions in Higher Education
<http://www.euroshare.be/info/info.htm>

OECD – Directorate for Education
http://www.oecd.org/departement/0,2688,en_2649_33723_1_1_1_1_1,00.html

UNESCO
<http://www.unesco.org/education/educprog/wche/index.html>

UNESCO/CEPES - European Centre for Higher Education
<http://www.cepes.ro/>

4.2.2 National and/or regional multilingual “Bologna Web Sites”

Adriatic-Ionian initiative
<http://www.uniadriion.unibo.it/>

Austrian “Bologna Web Site”
<http://www.bologna.at>

Danish “Bologna Web Site”
http://www.videnskabsministeriet.dk/cgi-bin/theme-list.cgi?theme_id=137751

Nordic Space for Higher Education
<http://www.bologna-berlin2003.de/pdf/Nordic.pdf>

South East European Educational Co-operation Network – “Bologna pages”
http://www.see-educoop.net/portal/id_bologna.htm

4.2.3 Organizations, networks and projects with specific relevance to “Bologna issues”

ACA - Academic Co-operation Association – “Study in Europe”
<http://www.study-in-europe.org/>

ACE - Admission officers and credential evaluators
<http://www.aic.lv/ace/>

AEC - Association Européenne des Conservatoires, Académies de Musique et Musikhochschulen
<http://www.aecinfo.org/>

ALPINE - Adults Learning and Participating in Education
<http://www.qub.ac.uk/alpine/>

CEL-ELC - The European Language Council
<http://www.fu-berlin.de/elc/en/index.html>

CESAER - The Conference of European Schools for Advanced Engineering Education and Research
<http://www.cesaer.org/>

<http://www.utwente.nl/cheps/index.html>

EADTU - European Association of Distance Teaching Universities
<http://www.eadtu.nl/>

EAIE - European Association for International Education
<http://www.eaie.nl>

EAN - European Access Network
<http://www.wmin.ac.uk/ean/>

ELFA – European Law Faculties Association
<http://elfa.bham.ac.uk/>

ELIA - The European League of Institutes of the Arts
<http://www.elia-artschools.org/>

ENIC and NARIC networks
<http://www.enic-naric.net>

ENQA - European Network for Quality Assurance in Higher Education
<http://www.enqa.net/>

EUDORA - European Doctorate of Teaching and Teacher Education;
IP EPAC – Intensive Programme Education Policy Analysis in a Comparative Perspective
www.pa-linz.ac.at/international/Alert/Tntee/Tntee_publication/menu.htm

EURYDICE – The information network on education in Europe
<http://www.eurydice.org/>

EURODOC - The Council for Postgraduate Students and Junior Researchers in Europe
<http://www.eurodoc.net/>

FEANI - European Federation of National Engineering Associations
<http://www.feani.org/>

ICE-PLAR - International Credential Evaluators and Prior Learning Assessors
<http://www.ice-plar.net>

JOINT QUALITY INITIATIVE
<http://www.jointquality.org/>

PLOTEUS - The Portal on Learning Opportunities throughout the European Space
<http://www.ploteus.net>

SEFI - European Society for Engineering Education
<http://www.sefi.be/>

TEEP - Trans-National European Evaluation Project
http://www.fys.ku.dk/undervisning/temp/teep_2002.htm

TNTEE - Thematic Network on Teacher Education
<http://tntee.umu.se/>

TRANSFINE -Transfer between formal, informal and non formal education
<http://www.transfine.net>

TUNING educational structures in Europe
<http://www.relint.deusto.es/TuningProject/index.htm>

5. ABBREVIATIONS

AEC	Association Européenne des Conservatoires, Académies de Musique et Musikhochschulen
BFUG	Bologna Follow-Up Group
BPG	Bologna Preparatory Group
CD-ESR	Council of Europe, Steering Committee for Higher Education and Research
CEPES	UNESCO European Centre for Higher Education
CESAER	Conference of European Schools for Advanced Engineering Education and Research
CHEPS	Centre for Higher Education Policy Studies (University of Twente)
D-A-CH-Network	A network among German-speaking countries (Germany, Austria, Switzerland)
DS	Diploma Supplement
EAN	European Access Network
ECTS	European Credit Transfer System
EUDORA	European Doctorate of Teaching and Teacher Education
ELFA	European Law Faculties Association
ELIA	European League of Institutes of the Arts
ENQA	European Network for Quality Assurance in Higher Education
EUA	European University Association
EHEA	European Higher Education Area
EURASHE	European Association of Institutions of Higher Education
ESIB	National Unions of Students in Europe
ETUCE	European Trade Union Committee for Education

GATS	General Agreement on Trade in Services
ICE-PLAR	International Credential Evaluators and Prior Learning Assessors
IGO	Inter-Governmental Organization
NGO	Non-Governmental Organization
SEFI	European Society for Engineering Education
TEEP	Trans-National European Evaluation Project
TNTEE	Thematic Network on Teacher Education in Europe
UNICE	Union of Industrial and Employers' Confederations of Europe

6. ANNEXES

Recommendations from the official Follow-up Seminars

6.1. Quality Assurance and Accreditation

6.1.1. “Working on the European Dimension of Quality”

Ministry of Education, Netherlands, Flemish Community of Belgium (Departement van Onderwijs), Germany (HRK), CHEPS; Amsterdam, Netherlands, 12-13 March 2002

Consensus, Issues and Questions. Some Results of the Conference.³⁰

8.2. Descriptors of Bachelor and Master Programmes at Different Levels

There is a widely-shared consensus that the ‘Dublin Descriptors’, defining key outcomes for Bachelors and Masters programmes in general (see paper ‘Towards shared descriptors for Bachelors and Masters’) are useful. These generic descriptors are complementary to the more specific outcomes of the *Tuning* project, which have been developed at the level of areas of knowledge (‘disciplines’). In other words, the ‘Dublin Descriptors’ need to be ‘tuned’. Moreover, the Tuning project outcomes are not to be taken as prescriptive. In that respect, it should be remembered that outcomes do not define curricula

Gains from the Tuning project further include that there is a broader than expected consensus among European higher education institutions on descriptors of their programmes, starting from outcomes rather than starting from curriculum inputs and elements. At the same time, there is less than expected diversity regarding length/credits of programmes in specific disciplines. The approach to quality building on a combination of the ‘Dublin Descriptors’ and Tuning project outcomes apply to ‘traditional’ delivery of higher education as well as to transnational education, distance education, etc.

8.3. Quality Assurance at Different Levels

A discussion arose on the relative value of programme vs. institutional approaches to quality assurance. Both are important, was the general view. The ‘Dublin Descriptors’ as well as the Tuning project outcomes are directed primarily at programme level approaches. Many, including expressly the student representatives, gave programme level quality assessment the priority for public policy, *inter alia* because this gives more direct assurance of quality (‘consumer protection’). Institutional quality assurance was mostly seen as a responsibility of autonomous, well-managed higher education institutions, even though some participants voiced the opinion that with ‘mass’ or ‘universal’ higher education, and in the emerging network society, such coherent higher education institutions will become ever rarer.

8.4. Questions: What needs to be addressed in next steps?

³⁰ Westerheijden, F. D., Leegwater, M. (eds.), *Working on the European Dimension of Quality. Report of the conference on quality assurance in higher education as part of the Bologna process*. Amsterdam, 12-13 March 2002. Zoetermeer: Ministry of Education, Culture and Sciences, 2003, pp. 97-99. - Rapporteurs: Marijke van der Wende & Don Westerheijden.

Capitalising on the broad consensus among the conference participants, next steps could be proposed, during which the following issues will need to be addressed.

An application question

1. What is the right balance between generic and specific for accreditation frameworks and criteria? Cross-border quality assessment projects will play a role in the learning process to develop a common understanding at a European level.

Ownership and participation questions

2. Who is involved in (a) developing criteria for accreditation / quality assessment, (b) updating criteria for accreditation / quality assessment, (c) criteria in actual accreditation / quality assessment?

3. What are the implications of answers to the previous questions for acceptance of consequences by the higher education community and society of consequences of (non-) accreditation?

Implications for higher education institutions?

4. Higher education institutions have to develop their ‘accreditation capacity’: how to elicit all information necessary for different quality assessment or accreditation agencies?

5. How to maintain quality improvement in a context of increasing attention for accreditation? Could institutional evaluation be a major tool on that account?

6. What is or should be their involvement in the current quality initiatives? Involvement of the higher education institutions is needed on the one hand to develop curricula responding to the frameworks as part of their institutional autonomy, because frameworks couched in terms of outcomes do not define curricula in terms of content and instructional design.

7. An associated question of involvement regards the input higher education institutions can give into frameworks or criteria defined or handled by quality assessment agencies or accreditation agencies.

Transnational education

8. The specific issue of quality assurance of transnational education, especially in the form of collaborative frameworks (commonly known as ‘franchising’ arrangements, but actually broader than that) was also dealt with in this conference.

9. The main question in this respect concerns the balance between responsibility for quality by ‘sender’ and by ‘receiver’. Participants broadly agreed that the Code of Good Practice (developed by UNESCO and Council of Europe) with its principle that both ‘sender’ and ‘receiver’ take responsibility is indeed a good practice.

6.2. Recognition Issues and the Use of Credits

6.2.1. “Recognition issues in the Bologna Process”

Council of Europe, Ministry of Education, Portugal; Lisboa, Portugal, 11-12 April 2002.

Recommendations³¹

To the higher education institutions

- Develop discussion on learning outcomes and competences, in order to help move recognition procedures away from formal issues such as length of study and names of courses, and towards procedures based on the results of student learning
- Continue to develop co-operation between institutions leading to joint degrees and other forms of automatic recognition, as confidence building measures leading to more widespread acceptance of mutual recognition
- Examine what information is provided regarding recognition procedures at the institution, to ensure students and other stakeholders are correctly informed
- Examine how this information is provided, to ensure that it is easily accessible in a transparent and effective way
- Ensure adequate internal structures, to ensure that recognition procedures are carried out in an efficient and transparent manner
- Develop appropriate human resources and staff policies to meet the challenges, especially to ensure that all staff (academic and administrative) are fully aware of European best practice in the field
- Include recognition issues and procedures in your internal quality assurance procedures, to continue to develop these fields for the benefit of the institution, its staff and students.

To academic networks, including student organisations

- Ensure your members are fully aware of recognition issues and practices, in order to develop a more coherent approach to these issues across Europe
- Monitor recognition issues affecting your members, in order to take action where necessary and to provide feedback to the European higher education community on areas of best practice or concern
- Develop consensus on learning outcomes and competences, in order to promote a European approach in these fields.

To ENIC and NARIC networks

- Examine ways in which a European virtual recognition platform could be developed, making accumulated existing knowledge and experience more visible and accessible, in order to promote existing good practice and to ensure widespread European visibility and awareness
- Develop co-operation and exchange with national and European quality assurance bodies, to ensure that recognition issues are also covered by quality assurance procedures
- Examine the feasibility of supplying standard guidance to prospective students (e.g. in the form of a fact sheet on recognition issues and a list of basic questions which they should take into consideration), to assist students regarding what to look for and which questions to ask when choosing institutions and dealing with recognition issues
- Assist the relevant academic and other partners in developing frameworks for the description of learning outcomes

³¹ Integral text. - Rapporteur: Lewis Purser, EUA.

- Examine the feasibility of creating an international working group to develop a European code of good practice for the provision of recognition information

To governments

- Provide incentives for the reform of institutional management practice in the field of recognition, to encourage higher education institutions to develop effective and efficient institutional procedures when dealing with recognition issues
- Ensure legislation is adequate and forward looking, to ensure that higher education institutions and recognition bodies are in a position to apply best European practice
- Ensure adequate human and financial resources at Ministry, ENIC/NARIC and institutional level to meet the new challenges of recognition
- Ensure an integrated national system for recognition is available via the ENIC/NARIC, to provide a clearly visible one-stop-shop for students and other stakeholders in each country
- Include recognition issues in the remit of appropriate quality assurance bodies.

To the Council of Europe, possibly in partnership with UNESCO, the European Commission and other international governmental and non-governmental organisations

- Monitor the implementation of the Lisbon Convention and how measures are applied in individual countries, including any gaps between implementation and the legal provisions, in order to provide feedback to the Bologna Process, national governments, the European academic community, including students and other stakeholders
- Examine the feasibility of developing a tool for use by citizens to gauge their own competences, as a contribution to the discussion on learning outcomes and competences, and as a way to encourage access to higher education and/or the labour market

To Ministers responsible for Higher Education, who will meet in Berlin in 2003

- In response to concerns expressed by a part of the higher education community, including some students, make clear that new degree structures should continue to ensure that higher education promotes three main qualities in its graduates:
 - Preparation for the labour market
 - Preparation for active citizenship
 - Preparation for continued personal development
- Encourage further work at national and European levels on the issue of learning outcomes
- Encourage the development of a stronger European awareness of recognition issues, by strengthening existing networks and promoting more open access to relevant information
- Invite all European States of the Bologna Process to ratify the Lisbon Convention, as a major element to facilitate the creation of the European Higher Education Area.

6.2.2. “Credit Transfer and Accumulation – The Challenge for Institutions and Students”

EUA and Swiss Confederation; Zürich, Switzerland, 11-12 October 2002

Conclusions and Recommendations for Action³²

II. ECTS: a credit system for Europe

Over the last decade, the European Credit Transfer System (ECTS) has been successfully introduced in Socrates ERASMUS. Primarily for facilitating European mobility, ECTS has therefore been used on a small scale as a credit transfer system, impacting upon a relatively small number of students. The further development of ECTS into a credit accumulation system at national level, speeded up by the Bologna process, effectively means mainstreaming ECTS as a generalised credit system for the emerging EHEA, and thus is of key importance for Europe’s higher education institutions and students.

III. Objectives

As a credit transfer system:

- to facilitate transfer of students between European countries, and in particular to enhance the quality of student mobility in ERASMUS and thus to facilitate academic recognition;
- to promote key aspects of the European dimension³³ in Higher Education.

As an accumulation system:

- to support widespread curricular reform in national systems;
- to enable widespread mobility both inside systems (at institutional and national level) and internationally;
- to allow transfer from outside the higher education context, thus facilitating Lifelong Learning and the recognition of informal and non-formal learning, and promoting greater flexibility in learning and qualification processes;
- to facilitate access to the labour market;
- to enhance the transparency and comparability of European systems, therefore also to promote the attractiveness of European higher education towards the outside world.

As a credit transfer and accumulation system, the key goals of ECTS are:

- to improve transparency and comparability of study programmes and qualifications;
- to facilitate the mutual recognition of qualifications.

³² Integral text; only a short general introductory remark on context excluded. - Rapporteur: Prof. Konrad Osterwalder, ETH Zurich.

³³ Cf. the *Memorandum on Higher Education in the European Community, 1991*: this refers to student mobility; cooperation between institutions; Europe in the curriculum; the central importance of language; the training of teachers; recognition of qualifications and periods of study; the international role of higher education; information and policy analysis; dialogue with the higher education sector.

IV. Key features

- The European Credit Transfer and Accumulation System (ECTS) is a student-centred system based on the *student workload* required to achieve the objectives of a programme, objectives preferably specified in terms of *learning outcomes*.
- ECTS is based on the convention that 60 credits measure the notional workload of an average full time student during one academic year. This includes the time spent in attending lectures, seminars, independent study, preparation for and taking of examinations, etc
- Credits are allocated to all educational and training components of a study programme (such as modules, courses, placements, dissertation work, etc.) and reflect the quantity of work each component requires in relation to the total quantity of work necessary to complete a full year of study in the programme considered.
- Credits can be obtained only after completion of the work required and appropriate assessment of the learning outcomes achieved.
- ECTS presupposes use of a minimum number of essential tools, first and foremost respect for the *Learning Agreement* which in terms of student mobility and credit transfer has to be concluded, before departure, between the student and the responsible academic bodies of the two institutions concerned. The use of Learning Agreements should also be extended to home students for registering study options and programmes.³⁴
- As an accumulation system, ECTS credits are used to describe entire study programmes. The basis for the allocation of credits is the official length of the study programme. There is broad agreement that first cycle degrees lasting three to four years require 180-240 credit points.
- Credits are not interchangeable automatically from one context to another and can only be applied to the completion of a recognised qualification when they constitute an approved part of a study programme.
- The Diploma Supplement and ECTS are complementary tools for enhancing transparency, and facilitating recognition.

V. Towards Graz and Berlin: next steps

Europe's Universities

The Zürich Conference demonstrated that Europe's universities recognise the importance of credit transfer and accumulation for the future development of the EHEA and accept their own responsibilities in this process. This means that on the basis of the key features agreed in Zürich institutions need to be able to apply ECTS in a transparent but flexible way taking into account their own specific mission and priorities.

This in turn requires:

- Institutional commitment ensuring that especially the institutional leadership is informed of the objectives and key features of ECTS and its full potential for supporting curricular reform, and not just as a support for international co-operation;
- Assessing the cost and benefits of developing and expanding ECTS and allocating sufficient human and financial resources for its implementation and proper use;
- Developing appropriate instruments to ensure adequate monitoring and evaluation.

³⁴ Other essential ECTS tools are the Course Catalogue and the Transcript of Records.

The European University Association (EUA)

EUA will:

- Encourage and support its members in the implementation of the Zürich recommendations at institutional level;
- Through its Socrates supported ECTS monitoring and institutional visit programme follow-up the following open questions identified during discussions in Zürich:
 - The role of ECTS in the development of joint degrees;
 - The introduction and use of ECTS at doctoral level;
 - The ECTS grading scale and national credit systems;
 - Linking credits and different levels of study;
 - ECTS and quality: as an instrument for promoting transparency ECTS facilitates the dialogue on quality in a comparative perspective;
- Take forward the outcomes of the Zürich Conference to the Graz Convention of European Higher Education Institutions (May 2003);
- Present the recommendations formally to the Bologna Follow-Up Group for inclusion in the preparation of the Berlin Ministers' meeting (September 2003).

EUA Brussels, 12. 11. 2002

6.3. Development of Joint Degrees

6.3.1. “Development of Joint Degrees”

Ministry of Education and Science, Sweden; Stockholm, Sweden, 30-31 May 2002

The Stockholm Conclusions³⁵

The Bologna objectives. Joint degrees are important instruments for implementing the objectives set out in the Bologna Declaration and the Prague Communiqué: promoting student and teacher mobility, employability, quality, the European dimension and the attractiveness and competitiveness of the European Higher Education Area (EHEA). Joint study programmes could provide an instrument for giving students the chance to gain academic and cultural experience abroad and institutions of higher education an opportunity to co-operate. Such co-operation could exploit wider competences and resources than those available at any single institution.

These conclusions concern joint degrees in a system of higher education essentially based on two main cycles.

Framework. The basis for joint degrees in the EHEA is established in the Bologna Declaration and the Prague Communiqué, which stress the importance of transparency and compatibility.

A common framework for joint degrees must be flexible in order to allow for and reflect national differences, but it must also include a definition of a joint degree, which will serve as a basis for a legal framework at the national level. The national, legal base must be clear on the conditions for awarding a joint degree and must not limit co-operation between institutions.

The national authorities should also be reminded of the contents of the Lisbon Convention.

In most countries a jointly awarded degree would require amendments to the national higher education legislation. In various countries higher education institutions are increasingly developing bilateral or multilateral degrees (Dutch-Flemish Hogeschool, French-German University, Italian-French University, Danish-Swedish Öresund University, for example). There is, however, reluctance towards and no legal foundation for establishing joint degrees at the supranational level.

General and professional degrees. Most countries consider joint degrees possible in both general and professional degree fields but expect difficulties in establishing joint degrees in regulated professions. Attempts should, however, be made and the density of regulations should be reduced.

Quality assurance. Documented quality assurance is necessary to guarantee the international acceptance and competitiveness of joint degrees on the world education and employment markets. On the basis of mutual trust and general acceptance of national assurance systems, principles and general standards for quality assurance and accreditation should be developed. Joint study programmes which adhere to these principles and standards could use an EHEA label, which could be established within the framework of the Bologna Process and supervised by the national authorities.

It is essential that the national quality assurance agencies co-operate within European Network of Quality Assurance (ENQA), in accordance with the Prague Communiqué.

³⁵ Integral text. - Ministry of Education and Science; Stockholm, Sweden.

Structure. It should be possible to award joint degrees in each cycle, including doctoral studies.

Criteria. The following criteria could be useful common denominators for European joint degrees:

- Two or more participating institutions in two or more countries.
- The duration of study outside the home institution should be substantial and continuous, e.g. 1 year at bachelor level.
- Joint degrees should require a joint study programme settled on by co-operation, confirmed in a written agreement, between institutions.
- Joint degrees should be based on bilateral or multilateral agreements on jointly arranged and approved programmes, with no restrictions concerning study fields or subjects.
- Full use should be made of the Diploma Supplement and the ECTS in order to ensure comparability of qualifications.
- A joint degree should preferably be documented in a single document issued by the participating institutions in accordance with national regulations.
- Joint degrees and study programmes should require student and staff/teacher mobility.
- Linguistic diversity in a European perspective should be ensured.
- Joint study programmes should have a European dimension, whether physical mobility or intercultural competence in the curriculum.

Students. Students have a role as one of the main actors in higher education institutions and will use their power to choose courses of their own preference.

The social dimension should be taken into account by the member states and the students' social conditions should be guaranteed. Foreign students should have the same benefits as regular, national students.

Funding. Additional funding is needed to develop joint study programmes. Member states are encouraged to ensure that students following a joint study programme in a foreign country can transfer their national study allowances abroad.

The ERASMUS programme should be drawn upon.

Labour market. Education is an important factor for mobility on the labour market. Consultation with the social partners could be considered when establishing joint degrees.

Monitoring of the system of joint degrees should be included in the course of the Bologna-Prague-Berlin process up to 2003.

In order to facilitate an exchange of information and experience on the development of joint degrees the member states are kindly invited to report to the Bologna Follow-up Group at regular intervals on the joint degrees their higher education institutions are taking part in.

6.3.2. “Integrated Curricula: Implications and Prospects”

Ministry of Education, Higher Education and Research, Italy; Mantova, Italy, 11-12 April 2002

Final Report³⁶

4. 2. Recommendations to the education ministers meeting in Berlin

Legal obstacles to the awarding and recognition of joint degrees should be removed in all countries.

Additional funds should be provided to cover the higher costs of joint degree programmes, keeping in mind particularly the need to create equal opportunities for student participation. Besides national and regional governments, which will normally bear the costs, HE institutions - in the framework of their autonomy -, international bodies and other actors should be invited to provide special support for these programmes.

Involvement of institutions in joint degree programmes should be encouraged and supported in all Bologna signatory countries, particularly in those which are not yet participating actively.

Public awareness of the high value of joint degree programmes based on integrated curricula, in terms of European identity, citizenship and employability, should be increased, also by guaranteeing adequate visibility to existing examples of good practice.

4. 3. Recommendations to HE institutions

The development of European joint degree programmes should be based on the criteria identified in the Stockholm conclusions. Moreover, a clear distinction should be made between joint and double degree programmes, in terms of their curricular objectives and organizational models, also with a view to protecting the learners/users. A complete glossary of terms should be drawn.

Joint degree programmes based on integrated curricula should be developed to address identified needs of European and global society that cannot be adequately addressed through national programmes, both in educating new professional figures and identifying new research areas.

Students, graduates, employers and other relevant actors should be consulted about the areas in which the implementation of joint degree programmes would be most appropriate. However, it is recommended that HE institutions use to full potential their role as proactive planners for long range societal needs. Students should also be involved in planning and evaluation activities.

Institutions that develop joint programmes should fully integrate and support them as a core function of their mission.

Partners for a joint degree programme should be chosen on the basis of shared mission and commitment, as well as their capacity to develop and sustain such a programme in academic, organizational and financial terms. Thematic networks could provide experience for identifying suitable partners in any European country.

³⁶ Integral text of recommendations; only introductory part of the report eliminated. - Rapporteur: Prof. Giancarlo Spinelli, Politecnico di Milano.

Full consensus should be reached with partners regarding the model and the methodology to be used, as well as the elements of innovation and academic interest.

Learning outcomes and competencies, as well as student workload described in ECTS credits, should be viewed as crucial elements in constructing any joint programme.

Adequate quality assurance procedures should be jointly developed and activated by partners in a joint programme, and made explicit to learners/users.

Proper provision for linguistic diversity and language learning should be ensured all through joint degree programmes. These programmes should also promote European identity, citizenship and employability.

May 12, 2003

6.4. Degree and Qualification Structures

6.4.1. “Master-Level Degrees”

Ministry of Education, Finland; Helsinki, Finland, 14-15 March 2003

Conclusions and Recommendations of the Conference³⁷

Framework of reference for master degrees in Europe

There are various European initiatives underway today that aim at defining learning outcomes and skills and competencies both at the bachelor and master level. This will allow capitalising on the richness of European higher education traditions and creating European profiles in the various disciplines. At the same time, the promotion of mobility in Europe requires increased transparency and comparability of European higher education qualifications. Some common criteria for the structural definition of master's degrees - in their various national names - are needed. This framework of reference should be flexible enough to allow national and institutional variations, but at the same time clear enough to serve as a definition.

The following recommendations adopted by the participants in the conference could be seen as useful common denominators for a master degree in the EHEA:

1. A master degree is a second-cycle higher education qualification. The entry to a master's programme usually requires a completed bachelor degree at a recognised higher education institution. Bachelor and master degrees should have different defined outcomes and should be awarded at different levels.

2. Students awarded a master degree must have achieved the level of knowledge and understanding, or high level in artistic competence when appropriate, which allows them to integrate knowledge, and handle complexity, formulate judgements and communicate their conclusions to an expert and to a non-expert audience.

Students with a master degree will have the learning skills needed to pursue further studies or research in a largely self-directed, autonomous manner.

3. All bachelor degrees should open access to master studies and all master degrees should give access to doctoral studies. A transition from master level to doctoral studies without the formal award of a master's degree should be considered possible if the student demonstrates that he/she has the necessary abilities.

Differences in orientation or profile of programmes should not affect the civil effect of the master degrees.

4. Bachelor and master programmes should be described on the basis of content, quality and learning outcomes, not only according to the duration of programmes or other formal characteristics.

³⁷ Integral text of recommendations; only introductory part of the report excluded. - Ministry of Education and Science; Helsinki, Finland.

5. There are several ongoing international projects related to developing coherent quality assurance mechanisms in the EHEA. This work should be continued, and international aspects of national and regional quality assurance systems should be further developed.
6. Joint master programmes at the European level should be developed to promote intra-European co-operation and attract talented students and researchers from other continents to study and work in Europe. Particular attention must be paid to solving recognition problems related to joint degrees.
7. While master degree programmes normally carry 90 - 120 ECTS credits, the minimum requirements should amount to 60 ECTS credits at master level. As the length and the content of bachelor degrees vary, there is a need to have similar flexibility at the master level. Credits awarded should be of the appropriate profile.
8. In certain fields, there may continue to exist integrated one-tier programmes leading to master degrees. Yet, opportunities for access to intermediate qualifications and transfer to other programmes should be encouraged.
9. Programmes leading to a master degree may have different orientations and various profiles in order to accommodate a diversity of individual, academic and labour market needs. Master degrees can be taken at universities and in some countries, in other higher education institutions.
10. In order to increase transparency it is important that the specific orientation and profile of a given qualification is explained in the Diploma Supplement issued to the student.

6.4.2. “Qualification Structures in Higher Education in Europe”

Ministry of Science, Technology and Innovation, Denmark; København, Denmark, 27-28 March 2003

Recommendations³⁸

The participants in the conference on Qualification Structures in European Higher Education, organized by the Danish authorities in Copenhagen on March 27 – 28, 2003 recommend:

1. The Ministers meeting in Berlin in September 2003 should encourage the competent public authorities responsible for higher education to elaborate national qualifications frameworks for their respective higher education systems with due consideration to the qualifications framework to be elaborated for the European Higher Education Area.
2. The Ministers’ meeting should also be invited to launch work on an overarching qualifications framework for the European Higher Education Area, with a view to providing a structural framework against which individual national frameworks could articulate with due regard to the institutional, historical and national context.
3. At each appropriate level, qualifications frameworks should seek to describe the qualifications making up the framework in terms of workload, level, quality, learning outcomes and profile. An EHEA framework should seek to describe qualifications in generic terms (e.g. as first or second cycle degrees) rather than in terms specific to one or more national systems (e.g. Bachelor or Master)
4. Qualifications frameworks should also seek to describe these qualifications with reference to the objectives or purposes for higher education, in particular with regard to four major purposes of higher education:
 - (i) preparation for the labour market;
 - (ii) preparation for life as active citizens in democratic society;
 - (iii) personal development;
 - (iv) development and maintenance an advanced knowledge base.
5. While at national level, qualifications frameworks should as far as possible encompass qualifications at all levels, it is recommended that, at least as a first step, a framework for the European Higher Education Area focus on higher education qualifications as well as on all qualifications giving access to higher education. As far as possible, an EHEA framework should also include qualifications below first-degree level.
6. Within the overall rules of the qualifications frameworks, individual institutions should have considerable freedom in the design of their programs. National qualifications frameworks, as well as an EHEA framework, should be designed so as to assist higher education institutions in their curriculum development and design of study programs. Qualifications frameworks should facilitate the inclusion of interdisciplinary higher education study programs.
7. Quality assurance agencies should take the aims of the qualifications frameworks into account in their assessment of higher education institutions and/or programs and make the extent to which

³⁸ Integral text. - Rapporteur: Sjur Bergan, Council of Europe.

institutions and/or programs implement and meet the goals of the qualifications framework of the country concerned, as well as an EHEA framework, an important element in the overall outcome of the assessment exercise. Higher education institutions should also take account of the qualifications frameworks in their internal quality assurance processes. At the same time, the qualifications frameworks should define their quality goals in such a way as to be of relevance to quality assessment.

8. While an EHEA qualifications framework should considerably simplify the process of recognition of qualifications within the Area, such recognition should still follow the provisions of the Council of Europe/UNESCO Recognition Convention. The Ministers meeting in Berlin in September 2003 should therefore invite all states party to the Bologna Process to ratify this Convention as soon as possible.

9. The main stakeholders in higher education within the EHEA should be invited to contribute to a dialogue on a qualifications framework for the European Higher Education Area as well as give consideration to how such a framework could simplify the process of recognition of qualifications within the framework. Considerations of national frameworks could benefit from taking into account experience with other frameworks.

10. Transparency instruments such as the Diploma Supplement and the ECTS should be reviewed to make sure that the information provided is clearly related to the EHEA framework.

11. Whether at national level or at the level of the European Higher Education Area, qualifications frameworks should make provision for the inclusion of joint degrees and other forms of combination of credits earned at the home institution and other institutions as well as credits earned through other relevant programs or experiences.

12. Qualifications frameworks, at national level as well as at the level of the European Higher Education Area, should assist transparency and should assist the continuous improvement and development of higher education in Europe.

6.5. Social Dimensions of the Bologna Process

6.5.1. “Exploring the Social Dimensions of the European Higher Education Area”

Ministry of Education and Religious Affairs, Greece; Athinai, Greece, 19-20 February 2003

Conclusions³⁹

A. The issues of the “social dimension” and the “public good”

In the Berlin Communiqué, the Ministers should explicitly reaffirm the importance of the social dimension of the Bologna Process towards the construction of the European Higher Education Area. They should also reaffirm their position that higher education should be considered a public good and a public responsibility. Moreover, the Ministers should specify the social aspects of the European Higher Education Area, taking also stock of the outcomes of the official Bologna Seminar held in Athens and of the European Student Convention.

Improving the social characteristics of the European Higher Education Area should counterbalance the need for competitiveness and be seen as a value in itself as well as one of the conditions of competitiveness, and should aim at reducing the social gap and strengthening social cohesion, both at national and at European level. In the knowledge-based society and economy, the social component should be given considerable concern with regards to research as well.

Higher education as a public good cannot only be interpreted as an economic issue but also as a social and political one. In that context, higher education should be made equally accessible to all, on the basis of capacity, by every appropriate means, and in particular by the progressive introduction and the defence of free education.

Under conditions of wide access to higher education, the need for quality and accountability becomes predominant, and should be realised through the establishment of appropriate quality assurance procedures. At the same time, the maintenance of public support on the one hand and the efficient use of the available resources on the other are of special importance as well.

Appropriate studying and living conditions should be ensured for the students so that they can finalise successfully their studies in time without being prevented by obstacles related to their social and economic background. In this context, it is necessary to introduce and maintain social support schemes for the students, including grants, portable as far as possible, loan schemes, health care and insurance, housing and academic and social counselling.

Removing the obstacles to the free movement of students should be considered a prerequisite for provision of equal mobility opportunities to all students irrespective of their social and economic background, thus providing for a genuine mobility.

Participants underlined the need for on-going research at European level, including comparative analyses and best practices, so that the social dimension of the Bologna Process and the consideration of higher education as public good and public responsibility to be further improved.

B. The issue of the GATS negotiations

³⁹ Integral text. - Rapporteur: Stephan Neetens, ESIB.

Participants took notice of the emerging global market for higher education services as well as developments in trading these services in the framework of the General Agreement on Trade in Services (GATS) within the World Trade Organisation (WTO).

Participants also noted the increasing trend towards global competition in higher education. However, they reaffirmed that the main objective driving the creation of the EHEA and the internationalisation of HE on a global level, should first and foremost be based on academic values and co-operation between different countries and regions of the world.

Participants welcomed the announcement of the European Commission not to include education in its negotiation proposal for the ongoing GATS negotiations as a positive development. The majority also welcomed the efforts of keeping the existing commitments of the EU limited entirely to for-profit privately funded education services.

Participants reaffirmed the commitment of the Prague Communiqué for considering higher education a public good and stressed that any negotiations about trade in education services must not jeopardise the responsibility of financing the public education sector. They further stressed, that recognition agreements and the right of countries to implement quality assurance mechanisms should not be put in question.

Generally, participants believe that the positions to develop future and maintain existing regulatory and funding frameworks on national and international level have to be guaranteed.

Participants also believe that it is necessary to continue to develop alternative frameworks for internationalisation within the Bologna Process and the international context based on academic co-operation, trust and respect for diversity.

Furthermore, it is necessary in each country to assess the possible impacts of GATS on education systems from a legal and practical perspective, also taking into account the role of higher education in society.

Participants expressed the need for transparency in the GATS negotiations and that GATS negotiators should consult closely the higher education stakeholders.

Participants stressed that in case of the necessity of dispute settlement under GATS procedures, experts from the higher education sector should be consulted.

It is asked from the Bologna Follow-Up Group to elaborate a text proposal on European higher education and GATS for inclusion in the Berlin Communiqué by the next meeting of the Bologna Follow-up Group in June 2003.

6.5.2. “Student Participation in Governance in Higher Education”

Royal Ministry of Education and Research, Norway; Oslo, Norway, 12-14 June 2003

1 – Summary⁴⁰

In the Prague Ministerial Summit student involvement was identified as one of the important topics for the future discussions within the Bologna Process and the call for a follow-up seminar on the topic was eagerly taken by the Norwegian Ministry. This is the reason why more than 100 representatives from the Ministries, institutions, European organisations and student organisations gathered between the 12th and the 14th of June 2003 in Oslo in a seminar hosted by the Norwegian Royal Ministry for Education and Research and where ESIB, the Norwegian national unions of students (NSU and STL) and the Council of Europe were valuable co-organisers.

The seminar’s main theme was the role of student participation in institutional national and international processes of governance in higher education. There was a focus, from various perspectives on how legislation may include and regulate student’s participation in governance of higher education institutions and on the students’ participation in the academic life. The Seminar consisted of a series of panel interventions, case studies presentations and 4 workshops.

A survey about student participation was carried out and later on used as the fundamental background information for the success of this seminar. The report was commissioned from the Council of Europe by the Norwegian Ministry of Education and Research. The survey focused on the issue of student participation in the *governance* of higher education. The survey shows that there is a wide and positive attitude towards increased student influence in higher education governance.

During the first two days of this seminar, students, institutions and ministries had the opportunity to present their national practices concerning student participation. This was an effective way to means test the previously known results of the survey on student participation.

The participants were generally critical of the fact that some levels of decision making are still not fully available to students and that sometimes the formal involvement is not a guarantee of actual participation as equal partners and members of the higher education community.

The workshops discussed the role of students being partners or Consumers; the impact of internationalisation on student participation, the degree of involvement of students in Higher Education governance and how they can be motivated to participation and also the support of the international community for student participation.

2 - Seminar Conclusions

1 - Further involvement of students is needed at all levels of decision making, this involvement should not only be legally permitted but effectively encouraged by providing the means necessary for active participation both in the formal and informal approaches.

2 - This encouragement could include mechanisms of recognition and certification of the experience and of the competences and skills acquired by being a student representative. It should also require effective involvement of other stakeholders in the motivation towards not only becoming a student representative but also towards participation in elections and on the decision making process

⁴⁰ Integral text. - Rapporteur: Paulo Fontes, ESIB.

3 - Further involvement brings further responsibilities and demands. Mechanisms of assuring accountability, transparency and the flow on information to other students should be prioritized.

4 – There is an ethical obligation to hand over the knowledge acquired so that an effective student representation exists independently of the rotation of individual student representatives.

5 - Usually the higher the level of representation the higher the demand level also is. Students' Organizations should be supported on obtaining the financial, logistical and human resources necessary for creating a situation of equality in participation. Informed and motivated students are often the driving force behind beneficial reforms instead of being the grain of sand in the clock work.

6 - Universities that assure student participation and student organisations that organise this participation must definitely be seen as schools of citizenship and agents of development of society not only at the local level but also within an international responsibility of solidarity and co-operation. With an effective work on this level it will be society that will emulate the Higher Educations Institutions environment and not the other way around. Having this in mind students cannot be considered simply consumers or clients.

6.6. Lifelong Learning

6.6.1. “Recognition and Credit Validation of Education Acquired in Non-Higher Education Contexts, Including Lifelong Learning, for Further Bachelor, Master and Doctoral Studies”

Ministry of Education, Youth and Sports, Czech Republic; Praha, Czech Republic, 5-7 June 2003

Recommendations⁴¹

To higher education institutions and others

Higher education institutions and others should:

- reconfirm their historical commitment to, and reconsider their approach and relationship to, lifelong learning, bring learning closer to the learner and interact more with local communities and enterprises;
- adopt internal policies to promote the recognition of prior formal, non-formal and informal learning for access and study exemption;
- reconsider skills content in courses and the nature of their study programs;
- use the Diploma Supplement, ECTS credits and skills portfolios to record learning as well as to facilitate individual learning paths;
- express all qualifications in terms of explicit reference points: qualifications descriptors, level descriptors, learning outcomes, subject related and generic competencies;
- integrate lifelong learning into their overall strategy, global development plan and mission; develop partnerships with other stakeholders.

To public authorities responsible for higher education

Public authorities responsible for higher education should:

- clarify and define their goals with regard to lifelong learning and develop appropriate implementation strategies;
- develop new style national qualifications frameworks that integrate forms of lifelong learning as possible paths leading to higher education qualifications, as well as access qualifications, within this qualifications framework;
- take appropriate measures to ensure equal access to and appropriate opportunities for success in lifelong learning to each individual in accordance with his/her aspirations and abilities;
- ensure the right to fair recognition of qualifications acquired in different learning environments;
- encourage higher education institutions to develop and implement lifelong learning policies and measures the measures and support them in their endeavours;
- apply appropriate methods for the evaluation and, where appropriate, accreditation of various forms of lifelong learning.

To international institutions and organizations

International institutions and organizations should:

- through the ENIC and NARIC Networks, seek to develop international good practice to promote the recognition of qualifications earned through lifelong learning paths, as far as possible using the provisions and principles of the Lisboa Recognition Convention;

⁴¹ Integral text. - Rapporteur: Sjur Bergan, Council of Europe.

- where appropriate and needed, develop international instruments to facilitate such recognition;
- bring together existing experience with national qualifications frameworks with a view to facilitating the development of further national frameworks as well as a qualifications framework for the European Higher Education Area that would encompass lifelong learning paths;
- support and develop projects furthering the integration of lifelong learning paths within qualifications frameworks, improved description of lifelong learning paths and improving the opportunity of learners to follow the paths thus established;
- stimulate networks working in this area.

To the Berlin Higher Education Summit

The Ministers of the Bologna Process, meeting for the Berlin Higher Education Summit on September 18 – 19, 2003 may be invited to:

- launch work involving all appropriate stakeholders on a qualifications framework for the European Higher Education Area encompassing the wide range of lifelong learning paths, opportunities and techniques and making appropriate use of the ECTS credits. In entrusting the Bologna Follow Up Group with the organization of this endeavour, they should encourage co-operation between the development of this framework and the work of the Brugge-København Process in vocational education and training;
- underline the importance of improving the possibilities of all citizens to follow the lifelong learning paths established within qualifications frameworks in accordance with their aspirations and abilities and entrust the Bologna Follow Up Group, in time for the 2005 Ministerial Conference, with exploring how this goal may be achieved.



Trends 2003 Progress toward the European Higher Education Area

By Sybille Reichert and Christian Tauch

Summary

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Executive Summary

Aims of the study

This study aims to capture the most important recent trends related to the Bologna reforms. It is a follow-up to the two Trends reports which were written for the Bologna Conference in 1999 and the Prague Conference in 2001. Unlike the two first reports, which were mainly based on information provided by the Ministries of Higher Education and the Rectors' Conferences, Trends 2003 tries to reflect not only these two perspectives but also those of students, employers and, most importantly, the HEIs themselves, thus giving a fairly comprehensive picture of the present phase of the Bologna Process. If the EHEA is to become a reality, it has to evolve from governmental intentions and legislation to institutional structures and processes, able to provide for the intense exchange and mutual cooperation necessary for such a cohesive area. This means that higher education institutions are heavily and directly involved in the development of viable interpretations of concepts which were and are sometimes still vague, even in the minds of those who use these concepts most often. Concrete meaning needs to be given to:

- Ø the term "employability" in the context of study programmes at Bachelor level;
- Ø the relation between the new two tiers;
- Ø workload-based credits as units to be accumulated within a given programme;
- Ø curricular design that takes into account qualification descriptors, level descriptors, skills and learning outcomes;
- Ø the idea of flexible access and individualised learning paths for an increasingly diverse student body;
- Ø the role of Higher Education inserting itself into a perspective of lifelong learning;
- Ø the conditions needed to optimise access to mobility; and last but not least, to
- Ø meaningful internal and external quality assurance procedures.

We may thus assert from the outset that this study emphasises the need for complementarity between the top-down approach applied so far in the Bologna Process, with the emerging bottom-up process in which higher education institutions are already playing and should continue to play a key role - as expected of them by the ministers when they first met in Bologna. Institutional developments in line with the objectives of the Bologna Process are not only emerging rapidly, but also represent challenges worthy of our full attention, as this study hopes to prove.

Awareness and support of the Bologna Process

Awareness of the Bologna Process has increased considerably during the last two years. Nevertheless, the results of the Trends 2003 survey and many other sources suggest that, despite this growing awareness among the different HE groups, the reforms have yet to reach the majority of the HE grass-roots representatives who are supposed to implement them and give them concrete meaning. Deliberations on the implementation of Bologna reforms currently involve heads of institutions more than the academics themselves. Hence, interpreting Bologna in the light of its goals and the whole context of its objectives at departmental level, i.e. rethinking current teaching structures, units, methods, evaluation and the permeability between disciplines and institutions, is a task that still lies ahead for a majority of academics at European universities. Administrative staff and students seem so far to be even less included in deliberations on the implementation of Bologna reforms. Generally, awareness is more developed at universities than at other higher education institutions. In Estonia, Lithuania, Sweden, Germany, Ireland and most strongly the UK, deliberations on institutional Bologna reforms are even less widespread than in the other Bologna signatory countries. This does not mean, of course, that no reforms are being undertaken, but that if there are reforms they are not explicitly associated with the Bologna Process. In the case of Sweden, for instance, reforms along the lines of the Bologna Process are often not carried out in the name of Bologna.

In the light of the scope of the Bologna reforms, which involve not only all disciplines but different groups of actors in the whole institution, it should be noted that only 47% of universities and only 29,5% of other HEIs have created the position of a Bologna coordinator.

There is however **widespread support for the Bologna Process among heads of HEIs**. More than two thirds of the heads of institutions regard it as essential to make rapid progress towards the EHEA, another 20% support the idea of the EHEA but think the time is not yet ripe for it. However, some resistance to individual aspects and the pace of the reforms obviously remains. Such resistance seems to be more pronounced in Norway, France, the French-speaking community of Belgium, Germany, Hungary, Portugal, Ireland and the UK. Though some South East European (SEE) countries have not yet formally joined the Bologna Process, they already take it as a reference framework and actively promote its objectives.

The role of HEI in the Bologna Process

While being mostly supportive of the Bologna process, 62 % of university rectors and 57% of heads of other HEIs in Europe feel that institutions should be involved more directly in the realisation of the Bologna objectives.

Moreover, 46% of HEI leaders find that their national legislation undermines autonomous decision-making - at least in part. Particularly in Belgium, Denmark, France, Germany,

Greece, Hungary, Poland, Portugal, the Slovak Republic, Slovenia, Spain, Sweden and SEE, higher education representatives and rectors' conferences point to the limits of autonomous decision-making by institutions.

While many governments have made considerable progress with respect to the creation of legal frameworks which allow HEIs to implement Bologna reforms, only half of them seem to have provided some funding to the HEIs for these reforms. **The lack of financial support for the Bologna reforms is highlighted by nearly half of all HEIs of the Bologna signatory countries.** This means that the Bologna reforms are often implemented at the cost of other core functions or essential improvements. 75% of all heads of HEIs think clear financial incentives for involvement in the Bologna reforms should be provided. Obviously, the dialogue between rectors and academics, institutions and ministry representatives has to be intensified, beyond the reform of legislation, including both the implications of Bologna reforms at institutional level and the State support needed to foster these reforms, without detriment to other core functions of higher education provision.

The role of students in the Bologna Process

At 63% of universities in Bologna signatory countries, students have been formally involved in the Bologna Process, through participation in the senate or council or at faculty/departmental level. The same trend is valid for the non-signatory countries in SEE.

A significantly lower degree of formal participation in the Bologna Process at institutional level can be noted in Greece, Portugal, Slovenia, Iceland and the UK. Half of the students, as represented by their national and European student associations, feel they are playing a very or reasonably active role in the construction of the European Higher Education Area. At institutional and particularly at departmental level, the inclusion of students in the deliberations concerning a qualitative reform of teaching and learning structures, methods and evaluation in the spirit of the Bologna declaration still leaves considerable room for improvement.

Student representatives express the highest hopes concerning the principles of the Bologna reforms **and the harshest criticism** concerning their implementation and frequently reductive interpretations. The students' contribution to the deliberations on the Bologna reforms has been particularly strong on issues of the social dimension of Higher Education and the emphasis of HE as a public good, and in connection with discussions of the possible consequences of GATS on Higher Education Institutions. Students have also continuously stressed the values of student-centred learning, flexible learning paths and access, as well as a realistic, i.e. empirically-based, estimation of work load in the context of establishing institution-wide credit systems.

Academic quality and graduate employability as compatible aims

Enhancing academic quality and the employability of graduates are **the two most frequently mentioned driving forces behind the Bologna process** according to the representatives of ministries, rectors' conferences and higher education institutions.

A remarkable consensus has been reached at institutional level on the value of the employability of HE graduates in Europe: 91% of the heads of European higher education institutions regard the employability of their graduates to be an important or even very important concern when designing or restructuring their curricula. However, **regular and close involvement of professional associations and employers in curricular development still seems to be rather limited**. HEIs should be encouraged to seek a close dialogue with professional associations and employers in reforming their curricula. However, fears of short-sighted misunderstandings of the ways in which higher education should aim at employability and relevance to society and the economy have re-emerged frequently in the context of comparing and redesigning modules or degree structures. To do justice to the concerns of stakeholders regarding the relevance of higher education and the employability of HE graduates, without compromising the more long-term perspective proper to higher education institutions and to universities in particular, may well be the most decisive challenge and success-factor of Bologna-related curricular reforms. It should be noted that the growing trend towards structuring curricula in function of the learning outcomes and competences, is often seen as a way to ensure that academic quality and long-term employability become compatible goals of higher education. This understanding has also been the basis for the project "Tuning Educational Structures in Europe" in which more than 100 universities have tried to define a common core of learning outcomes in a variety of disciplines.

Promotion of mobility in Europe

While outgoing and incoming **student mobility has increased** across Europe, incoming mobility has grown more in the EU than in the accession countries. **A majority of institutions report an imbalance of outgoing over incoming students**. Net importers of students are most often located in France, The Netherlands, Denmark, Sweden and, most strongly, in Ireland or the UK where 80% of the institutions report an imbalance of incoming over outgoing students.

Teaching staff mobility has increased over the last three years at a majority of higher education institutions in more than two thirds of the signatory countries.

Public funds for mobility have been increased in the majority of EU countries but only in a minority of accession countries. However, the number and level of mobility grants for

students is not sufficient to allow for equal access to mobility for those from financially less privileged backgrounds.

Comparable and European-wide data on all mobility (including free movers), including students' financial and social conditions, **is urgently needed** in order to allow monitoring of any progress in European mobility and benchmarking with other regions in the world.

Attractiveness of the EHEA and the national higher education systems

Enhancing the attractiveness of the European systems of Higher Education in the non-European world is **a third driving force of the Bologna Process**, ranked by Trends III respondents after improving academic quality and preparing graduates for a European labour market. **The EU is by far the highest priority area for most institutions** (mentioned by 92%). The second priority area is Eastern Europe (62%), followed by US/Canada (57%), Asia (40%), Latin America (32%), Africa and Australia (24% and 23%) and the Arab World (16%). In some European countries, the priorities diverge considerably from this ranking, notably in the UK, Spain, Germany and Romania where Europe is targeted significantly less often.

In order to promote their attractiveness in these priority areas, joint programmes or similar co-operation activities are clearly the preferred instrument (mentioned by three quarters of all HEIs). **Only 30% of HEIs mention the use of targeted marketing for recruiting students**, with the notable exceptions of Ireland and the UK where more than 80% of universities conduct targeted marketing.

A majority of countries have developed national brain drain prevention and brain gain promotion policies. Most HEIs still have to define their own institutional profiles more clearly in order to be able to target the markets which correspond to their priorities. In light of the competitive arena of international student recruitment, HEIs will not be able to avoid targeted marketing techniques if they want to position themselves internationally, even if such efforts may go against the grain of established academic culture and habits.

Higher Education as a public good

A large consensus appears to exist in the emerging EHEA regarding **Higher Education as a public good and a public responsibility**. It is widely recognised that social and financial support schemes, including portable grants and loans, and improved academic and social counselling are conditions for wider access to higher education, more student mobility and improved graduation rates.

However, the conflict between cooperation and solidarity, on the one hand, and competition and concentration of excellence, on the other, is currently growing as HEIs are faced with

decreasing funds. Higher education institutions can try to combine widened access, diversified provision and concentration of excellence, but often have to pursue one option to the detriment of the others. In competing with other policy areas for public funding, HEIs still have to convince parliaments and governments of the vital contribution of HE graduates and HE-based research to social and economic welfare.

Higher Education in the GATS

Only one third of the Ministries have developed a policy on the position of **Higher Education in the World Trade Organisation's General Agreement on Trade in Services (GATS)**, while two thirds have not. The situation is similar for the Rectors' Conferences. Only 20% of HEI leaders declared themselves to be *fully aware* of the GATS negotiations, almost half of these leaders considered themselves to *be aware without having specific details*, and 29% said they were *not yet aware* of GATS, with considerable differences between countries.

Students' associations seem to be well aware of GATS and the threats posed by the further inclusion of HE in the on-going negotiations. There is a consensus that more transparency and consultation of higher education representatives is needed in the ongoing and future GATS negotiations.

To meet the internationalisation challenges, there is a growing need for enhanced quality assurance procedures and regulatory frameworks, also given the emergence of many private for-profit institutions in Europe.

Degree structures, qualification frameworks and curricula

Regarding the introduction of study structures based on undergraduate and graduate tiers, important progress has been made in legal terms. Today, **80% of the Bologna countries either have the legal possibility to offer two-tier structures or are introducing these**. Many governments have fixed deadlines for the transition from the traditional to the new degree system. In the remaining 20% of countries, the necessary legislative changes are being prepared. The latter holds true also for SEE countries.

As for the HEIs, 53% have introduced or are introducing the two-tier structure while 36% are planning it. In other words, **almost 90% of HEIs in the Bologna countries have or will have a two-tier structure**. Only 11% of HEIs see no need for curricular reform in this process. About 55% of HEIs in SEE have not yet introduced the two-tier structure.

The need for more structured doctoral studies in Europe has been highlighted repeatedly in recent years. The traditional procedure of leaving doctoral students largely on their own and

providing them with individual supervision only is no longer suited to the challenges of modern society and hampers the realisation of the European Higher Education Area.

Europe is divided in two halves regarding the organisation of these third-tier doctoral studies. In half of the countries, doctoral students receive mainly individual supervision and tutoring, while in the other half, taught doctoral courses are also offered in addition to individual work. HEIs still face the challenge of how to cooperate, with the support of governments, at doctoral level nationally and across Europe, and whether or not this should involve **the setting-up of structured doctoral studies, particularly in interdisciplinary and international settings.**

Student support for the new degree structures clearly outweighs the reservations, but the risk of putting too much emphasis on “employability” still causes unease among a substantial number of student associations.

In countries where first degrees at Bachelor level have not existed in the past, there still appears to be a tendency to see these as a stepping stone or orientation platform, rather than as degrees in their own right. The perception of Bachelor degrees as valid and acceptable qualifications still leaves room for improvement.

Governments and HEIs will have to cooperate closely to **ensure that the implementation of the new degree structures is not done superficially**, but is accompanied by the necessary curricular review, taking into account not only the ongoing European discussions on descriptors for Bachelor-level and Master-level degrees, learning outcomes and qualification profiles, but also institution-specific needs for curricular reform.

To achieve the objective of a “system of easily readable and comparable degrees” within the European Higher Education Area, it will be essential that governments and HEIs use the next phase of the Bologna Process to **elaborate qualifications frameworks based on external reference points (qualification descriptors, level descriptors, skills and learning outcomes), possibly in tune with a common European Qualifications Framework.** The outcomes of the Joint Quality Initiative and the Tuning project may be relevant in this respect.

Joint Curricula and Joint Degrees

Joint Curricula and Joint Degrees are intrinsically linked to all the objectives of the Bologna Process and have the potential to become an important element of a truly European Higher Education Area. Nevertheless, and in spite of the appeal in the Prague Communiqué, Joint Curricula and Joint Degrees still do not receive sufficient attention, as is confirmed by the fact that most Ministries and Rectors’ Conferences attach only medium or even low importance to these. More than two thirds of the Ministries claim to give some kind of financial incentive to the development of Joint Curricula/Joint Degrees but the extent of such support is not known.

While support for Joint Curricula and Joint Degrees is clearly higher among HEIs and students, these have not yet been recognised as core tools for institutional development. Their

creation and coordination still appears to be left entirely to the initiative of individual professors.

HEIs and national higher education systems in the EHEA would lose an enormous opportunity to position themselves internationally if they were not to focus their attention more than before on systematic – including financial - support for the development of Joint Curricula/Joint Degrees.

Of course, such support would entail amendments and changes in the existing higher education legislation of many countries, as **in more than half of the Bologna Process countries, the legislation does not yet allow the awarding of Joint Degrees**. It would also call for the elaboration of agreed guidelines and definitions for Joint Curricula/Joint Degrees, both at national and European level, and would rely on enhanced networking between the HEIs themselves.

Recognition

About **two thirds of the Bologna signatory countries have so far ratified the most important legal tool for recognition, the Lisbon Recognition Convention**. The European Higher Education Area would benefit if this Convention were ratified by *all* Bologna signatory states as soon as possible.

Correspondingly, more than half of the academic staff are reported as being *not very aware* or *not aware at all* of the provisions of the Lisbon Convention. *Close cooperation* with the relevant ENIC/NARIC is reported by only 20% of HEIs, while 25% don't cooperate at all with their ENIC/NARIC. A further 28% of HEIs say they do not know what ENIC/NARIC is (or at least not under this name).

Thus **awareness of the provisions of the Lisbon Convention, but also of the ENIC/NARIC initiatives (recognition procedures in transnational education etc.) among academic staff and students needs to be raised**, through cooperation between international organisations, national authorities and HEIs. Moreover, the position of the ENIC/NARIC also needs to be strengthened in some countries.

Two thirds of the Ministries, more than half of the HEIs and slightly less than 50% of the student associations expect that the Bologna Process will greatly facilitate academic recognition procedures. While HEIs are rather optimistic with regard to the smoothness of recognition procedures of study abroad periods, in many countries, however, institution-wide procedures for recognition seem to be quite under-developed, and the recognition of study abroad periods often takes place on a case-by-case basis. Even where formal procedures exist, students, as the primarily concerned group, often say they are unaware of these. Almost 90% of the students' associations reported that their members occasionally or often encounter recognition problems when they return from study abroad.

It is a positive sign that more than 40% of the students' associations indicated that appeal procedures for recognition problems were also in place in their members' institutions. But, clearly, more HEIs should be encouraged to **develop more and better institutional recognition procedures, and especially to intensify communication with students** on these matters.

The **Diploma Supplement** is being introduced in a growing number of countries, but the main target group - the employers - is still insufficiently aware of it. Awareness of the potential benefits of the Diploma Supplement therefore also needs to be raised. The introduction of a *Diploma Supplement label* (like that of an *ECTS label*) would probably lead to a clear qualitative improvement in the use of the Diploma Supplement.

Credits for transfer and accumulation

ECTS is clearly emerging as *the* European credit system. In many countries it has become a legal requirement, while other countries with national credit systems are ensuring their compatibility with ECTS.

Two thirds of HEIs today use ECTS for credit transfer, 15% use a different system. Regarding *credit accumulation*, almost three quarters of HEIs declare that they have already introduced it – this surprisingly high figure needs further examination and may result from an insufficient understanding of the particularities of a credit accumulation system.

The ECTS information campaign of the past years, undertaken by the European Commission, the European University Association and many national organisations, has yet to reach a majority of institutions where the use of **ECTS is still not integrated into institution-wide policies or guidelines**, and its principles and tools are often insufficiently understood

The basic principles and tools of ECTS, as laid down in the "**ECTS Key Features**" **document**, need to be conveyed to academic and administrative staff and students alike in order to exploit the potential of ECTS as a tool for transparency. Support and advice is particularly needed regarding credit allocation related to learning outcomes, workload definition, and the use of ECTS for *credit accumulation*. The introduction of the ECTS label will lead to a clear qualitative improvement in the use of ECTS.

Autonomy and Quality Assurance

Increasing autonomy normally means greater independence from state intervention, but is **generally accompanied by a growing influence of other stakeholders in society, as well as by extended external quality assurance procedures and outcome-based funding mechanisms**. However, many higher education representatives stress that a release of higher education institutions from state intervention will only increase institutional autonomy and

optimise the universities' innovative potential, as long as this is not undone by mechanistic and uniform *ex post* monitoring of outputs, or by an overly intrusive influence of other stakeholders with more short-term perspectives.

All Bologna signatory countries have established or are in the process of establishing agencies which are responsible for external quality control in some form or another. 80% of HEIs in Europe already undergo external quality assurance procedures in some form or another (quality evaluation or accreditation). The **previous opposition between accreditation procedures in the accession countries and quality evaluation in EU countries seems to be softening**: A growing interest in accreditation and the use of criteria and standards can be observed in Western Europe, while an increasing use of improvement-oriented evaluation procedures is noted in Eastern European countries. Two recent comparative studies also observe a softening of opposition between institution- and programme-based approaches among QA agencies and an increasing mix of these two approaches within the same agencies.

The **primary function of external quality assurance** (quality evaluation or accreditation), according to the responsible agencies and the majority of HEIs, consists in **quality improvement**. Only in France, Slovakia and the UK, accountability to society is mentioned more frequently than quality improvement. Even accreditation agencies, traditionally more oriented toward accountability, have stressed improvement in recent years. Generally speaking, external quality procedures are evaluated positively by the HEIs. Most frequently, they are regarded as enhancing institutional quality culture. Higher education representatives, however, often observe that the effectiveness of the quality evaluation procedures will depend to a large extent on their readiness to consider the links between teaching and research and other dimensions of institutional management. As complex systems, universities cannot react to a problem seen in one domain without also affecting other domains indirectly. Likewise, the efficiency and return on investment in quality review processes will depend on the synergies and coordination between the various national and European accountability and quality assurance procedures, as well as the funding mechanisms in place across Europe.

Internal quality assurance procedures seem to be just as widespread as external ones and mostly focus on teaching. 82% of the heads of HEIs reported that they have internal procedures to monitor the quality of teaching, 53% also have internal procedures to monitor the quality of research. Only a quarter of the HEIs say they have procedures to monitor aspects other than teaching and research. At the moment, however, internal procedures are not yet developed and robust enough to make external quality assurance superfluous.

Ministries, rectors' conferences, HEIs, and students all generally **prefer mutual recognition of national quality assurance procedures over common European structures**. However, the objects and beneficiaries (or "victims") of quality evaluation and accreditation, the higher education institutions themselves, are significantly more positively disposed toward common structures and procedures than the national actors. For instance, nearly half of higher education institutions say they would welcome a pan-European accreditation agency.

The ultimate challenge for QA in Europe consists in creating transparency, exchange of good practice and enough common criteria to allow for mutual recognition of each others' procedures, without mainstreaming the system and undermining its positive forces of diversity and competition.

Lifelong learning

Definitions of Lifelong Learning (LLL) and its relation to Continuing Education (CE) and Adult Education are still vague and diverse in different national contexts. Generally speaking, as far as the HE sector is concerned, LLL debates constitute the follow-up to the older debates on Continuing Education and Adult Education, sharing their focus on flexible access to the courses provided, as well as the attempt to respond to the diverse profiles and backgrounds of students. All of the recent definitions of LLL reflect an emphasis on identifying how learning can best be enabled, in all contexts and phases of life.

The need for national LLL policies seems to be undisputed, and was strongly pushed in the context of the consultation on the European Commission's Memorandum on LLL (November 2000). The Trends 2003 survey reveals that in 2003 the majority of countries either intend or are in the process of developing a LLL strategy. Such policies already exist in one third of Bologna signatory countries, namely in Belgium, Denmark, Finland, France, Iceland, Ireland, The Netherlands, Norway, Poland, Slovakia, Sweden and the UK.

Most of the policies and actions undertaken at European and national levels do not target the higher education sector as such, and do not address the particular added value or conditions of LLL provision at HEIs.

At institutional level, the UK, Iceland, France, the Czech Republic, the Slovak Republic and Bulgaria have the highest percentages of higher education institutions with LLL strategies, while Germany, Austria, Italy, Hungary, Turkey, Romania and other SEE countries have the lowest percentages.

A majority of student associations have observed changes in attitude to LLL over the last three years at institutions in their countries. Nearly half of the student representatives noted changes with respect to the courses offered to non-traditional students, while a third observed greater encouragement of LLL culture among students. Little change was observed with respect to teaching methodologies or access policies.

Most national LLL policies comprise two co-existing agenda of social inclusion, stressing flexible access and diversity of criteria for different learner profiles, and economic competitiveness, focusing on efficient up-dating of professional knowledge and skills. The latter dimension is often funded and developed in partnership with labour market stakeholders. If the competitiveness agenda is reinforced by tight national budgets and not

counterbalanced by government incentives, university provision of LLL may well be forced to let go of the more costly social agenda.

The development of LLL provision reflects a clear market orientation and a well-developed dialogue with stakeholders. Two thirds of the European institutions provide assistance on request and respond to the expressed needs of businesses, professional associations and other employers. Nearly half (49%) actually initiate joint programmes, with considerably more institutions doing so in Finland, Iceland, Sweden, Norway, Estonia, France, Ireland and the UK. However, the inclination to respond directly to market needs is also one of the reasons for the critical attitude of many academics toward LLL units at higher education institutions, especially at universities.

European reforms of degree structures seem to affect LLL at many institutions. 39% of heads of institutions find that the implementation of new degree structures also affects the design of LLL programmes and modules.

With the exception of exchanging experience in major European networks of continuing education, European cooperation between institutions in LLL, e.g. for the sake of joint course development, is still the exception rather than the rule.

LLL provision is still generally marginalised, i.e. rarely integrated in the general strategies, core processes and decision-making of the institution. Even in those countries where CE or LLL has been playing an important political role and where incentives are provided to develop LLL, such as France, the UK and Finland, CE centers are not always recognised on an equal footing with the rest of university teaching and research. In order to position themselves in an expanding market and clarify the added value of their expertise, HEIs will have to make more of an effort to integrate LLL into their core development processes and policies.

Diversification of institutional profiles

Currently, a large majority of European higher education institutions are alike in the relative weight they attribute to teaching and research, and in the dominance of a national orientation regarding the community they primarily serve. Only 13% of all European HEIs (16% of universities) see themselves as serving a world-wide community (with large country divergences in this respect), while only 7% see themselves as primarily serving a European community.

Higher education institutions are facing an increasing need to develop more differentiated profiles, since the competition for public and private funds, as well as for students and staff, has increased in times of more intense internationalisation and even globalisation of parts of the Higher Education market. However, the readiness of HEIs to develop more differentiated profiles depends to a large extent on increased autonomy - which is only partially realised in

Europe, as well as on funding mechanisms which allow for such profiling, and which are not yet in place in any European country.

A major challenge for the future consists in addressing the new needs which arise from the diversified body of immediate partners in teaching and research. Universities will not only have to decide what the limits of these partners' roles should be, in order to maintain their own academic freedom, but will also have to sell the 'unique added value' of what the university's role and contribution to teaching and research can be, distinguishing themselves from other organisations which also offer teaching or research. Their learning structures and outcomes, with suitable supporting quality criteria, including their individual ways of relating academic quality to sustainable employability, will certainly become one of the prime ingredients of institutional positioning in Europe and the world.

CONCLUSIONS: TOWARD SUSTAINABLE REFORMS OF HIGHER EDUCATION IN EUROPE?

This study has looked at the Bologna Process from a predominantly institutional point of view. It has traced European and national trends pertaining to the overall Bologna goals and operational objectives, and has attempted to draw attention to implications, emerging consequences and possible interpretations of such developments at the level of higher education institutions. While concrete conclusions have already been drawn at the end of each individual section, we would like to emphasise four more fundamental conclusions which have emerged from the current phase of implementing the Bologna reforms at national and institutional levels, and which apply to any given ingredient of the reforms:

1. HOLISTIC BOLOGNA

Implementing the Bologna objectives becomes most fruitful if they are taken as a package and related to each other. Thus, for instance, the links between creating a Bachelor/Master degree structure, establishing an institution-wide credit transfer and accumulation system, and, less obvious to some, opening a lifelong learning perspective, have clearly emerged as points of synergy in the course of reflections on how to implement such reforms at institutional level. These links have crystallised around the issues of creating modular structures and defining qualification frameworks and profiles, as well as concrete learning outcomes in terms of knowledge, competences and skills. Other links were already clearly visible two years ago, such as the fact that creating compatible structures and improvement-oriented quality assurance would build trust and facilitate recognition, which in turn would facilitate mobility. In the course of devising viable academic solutions to some of the Bologna challenges, higher education representatives are now beginning to discover that, if given enough time, they may have embarked on more far-reaching and meaningful reforms than they had originally envisaged, enhancing attention to learners' needs as well as flexibility within and between degree programmes, institutions and national systems.

2. SYSTEMIC BOLOGNA

Implementing the Bologna objectives has far-reaching implications for the whole institution, not just in terms of reforming the teaching provision but also regarding counselling and other support services, infrastructure and, last but not least, university expenditure. Bologna

reforms are not "cost-neutral"; they imply initial investments as well as increased recurrent costs of provision which affect other core functions of the institutions if overall budgets do not increase in real terms. But the systemic integration of the Bologna reforms does not just assert itself in administrative, infrastructural and financial terms. It also becomes blatantly obvious in the establishment of the new Bachelor and Master degrees, in which the role of research may have to be redefined. Master degrees, of course, cannot be reformed without due regard to their links and interrelation with doctoral-level teaching and research. To state the obvious, teaching cannot and should not be reformed at universities without considering its interrelation with research, from creating opportunities of recruiting young researchers to the integration of research projects into teaching.

3. AMBIVALENT BOLOGNA

In practically all action lines of the Bologna reforms, two potentially conflicting agenda emerge:

On the one hand, there is the competitiveness agenda, which aims at bracing institutions and national systems for global competition, using transparent structures and cooperation with European partners in order to survive or even thrive in an increasingly tough competition for funds, students and researchers. According to this agenda, greater concentration of excellence and centres of competence, clearer emphases of strengths and harsher treatment of weaknesses are necessary, even urgent, if European higher education is to contribute to reaching the lofty goal of Europe becoming "the most competitive dynamic knowledge-based economy in the world" by 2010 (Lisbon 2000).

On the other hand, there is the social agenda, stressing cooperation and solidarity between equal and unequal partners, flexible access, attention to individuals and individual contexts, including addressing issues such as the dangers of brain drain. It would be naïve to assume that the European Higher Education Area is being built only on the latter agenda.

Both agenda are needed to fuel the process. But they also have to be weighted, balanced and adapted to any given institutional context as well as interpreted in the light of each institution's attempts to find an appropriate niche in the national and European system of higher education. Well-meaning attempts to square the circle by trying to pursue both agenda, without any further differentiation regarding their application to different parts of each given system or institution, are bound to kill the fragile emerging institutional profiles which can be witnessed in a number of European countries. In any case, national legislators, policy-makers and institutional leaders must try to avoid the considerable danger of creating contradictory policies, incentives or measures if they want to succeed in either or both of these agenda. Instead, legislators and policy-makers should enlarge – and higher education institutions should use – the spaces for autonomous decision-making in order to allow for such differentiation.

4. FURTHERING BOLOGNA

So far, the Bologna Process has made considerable progress in achieving the objectives set out in 1999. This study proves once again that these objectives are realistic enough to inspire confidence in the developments leading to the European Higher Education Area. However, we should point to some neglected view-points and issues which seem to us to be essential for the creation of a genuine European Higher Education Area:

There seems to be a surprising lack of attention to the issue of facilitating a truly European-wide recruitment of professors. There are very few European higher education institutions which have a sizeable minority, let alone a majority, of non-national European academic staff. While this issue is addressed in the framework of the European Research Area, it belongs just as centrally to the creation of a European Higher Education Area and it should receive greater attention in the next phases of the Bologna Process. How can HEIs be encouraged to internationalise their recruitment procedures? What obstacles to long-term staff mobility must be overcome in terms of health insurance, pensions rights etc.?

Furthermore, the issue of free choice of study locations anywhere in Europe, even at undergraduate level at the very beginning of a study career, has not received attention. This is surprising, especially if one considers that the removal of all obstacles to such free choice would be the clearest evidence of a European Higher Education Area worthy of this name. Linguistic matters are another neglected aspect of the EHEA: impressive progress is being made in terms of structural convergence, greater transparency, portability of grants etc., but many years of experience with EU mobility programmes have shown the effectiveness of language barriers. Is the total dominance of the English language in most institutions and programmes really the price we have to pay for true European mobility, or are there ways to safeguard Europe's linguistic and cultural diversity and convince students (and institutions) that "small languages" are worth bothering about?

Last but not least, if the enormous potential of using the Bologna objectives as a trigger for long-needed, fundamental and sustainable reforms of higher education in Europe is not to be wasted, the voice of the academics, within the institutions, will need to be heard and listened to more directly in the Bologna Process.



EUROPEAN COMMISSION
Education and Culture

Berlin Conference of European Higher Education Ministers

“Realising the European Higher Education Area”

Contribution of the European Commission

Berlin, 18/19 September 2003

Brussels, 30 July 2003

1. Introduction

The Bologna Declaration of June 1999 has put in motion a series of reforms needed to make European Higher Education more compatible and comparable, more competitive and more attractive for our own citizens and for citizens and scholars from other continents. In Prague, in May 2001, the Ministers took note of the progress so far and added three new Action lines. In Berlin the challenge will be to set priorities and define concrete targets in order to make sure that the European Higher Education Area becomes a reality.

The potential in Europe is enormous. Thousands of universities produce knowledge and transmit their knowledge to hundreds of thousands of graduates every year. Many universities, many individual departments are world class. Europe is the biggest single market in the world. But we do not use our potential to the full. There are still too many barriers to the mobility of students, teachers and researchers. Universities do not co-operate enough, the transmission of new knowledge to the world of enterprise is not sufficiently organised and funding is often inadequate or used inefficiently. Reforms are needed.

The Bologna process coincides with Commission policy in higher education over the years through the European co-operation programmes and notably Socrates-Erasmus. In Prague, this fact was acknowledged and the Commission was invited to become a full member of the Bologna follow-up structure, alongside the Signatory States.

The Commission supports most of the Bologna Action lines, e.g. through actions ranging from the Diploma Supplement label, promoting transparency of qualifications, to the launch of "Erasmus Mundus", fostering the attractiveness of European higher education on a global scale. All these measures, which are part of the overall EU approach to educational matters, and the - geographically wider - Bologna process are reinforcing each other, improving the chances of the genuine implementation of declared objectives across the various higher education systems. Such synergies are illustrated, for instance, by the impact of EU mobility actions on the call for more transparency and recognition of qualifications in Europe. The latter, in its turn, supports the EU's broader reform agenda under the Lisbon strategy.

In March 2000, EU Heads of State and Government in Lisbon decided on an objective and a strategy making Europe by 2010 *"the most competitive and dynamic knowledge-based economy in the world, capable of sustainable economic growth with more and better jobs and greater social cohesion"*. In Barcelona, in March 2002, they added that the European education and training systems should become a *"world quality reference"*.

The EU Education Ministers have translated this far-reaching ambition into a series of common objectives for the different education and training systems in Europe. Progress in reaching these objectives will be evaluated against "Reference Levels of European Average Performance" or "European Benchmarks". In November 2003, the Commission will present an Interim Report on the Lisbon Objectives to the EU Ministers of Education and Training, while reminding them of the commitments made in Bologna and Prague. On that occasion the Commission will also stress the link with the Copenhagen process, launched in December 2002, on enhanced European co-operation in Vocational Education and Training in important fields such as the transparency of qualifications, credit transfer and quality assurance.

The present paper describes in brief the contribution of the Commission to the Bologna reforms in the context of a broader ambition of strengthening the role of universities in the

Europe of Knowledge. It also suggests a few concrete steps forwards Ministers could decide upon in Berlin.

2. Strengthening the Role of Universities in the Europe of Knowledge

On 5 February 2003, the Commission adopted a Communication on the role of the universities in the Europe of knowledge⁴². The Communication outlines the challenges European higher education is faced with being at the crossroads of research, advanced training and innovation. The Communication has led to many reactions from academia and society at large, individual academics, universities, university networks, research bodies, public authorities, employers, trade unions etc. This section contains preliminary information about the reactions and suggestions received.

2.1. A first observation is that the Communication and the opportunity to contribute to the debate were welcomed by those concerned. 140 answers were received and are currently being analysed in detail by the Commission. Given that most answers are from European and national networks and consortia rather than from single institutions or persons, this is a very satisfactory quantitative answer. There were 7 answers from governments, 13 from economic/industrial stakeholders and altogether comments were received from 19 countries.

2.2. Many answers received provide comments, examples of national or institutional initiatives and suggestions in some or all of the 8 areas in which specific answers were invited. They are in broad agreement with the Commission's underlying analysis of the key role for universities in the Europe of knowledge and of the basic conditions under which universities will be able to fulfil their role. Many contributions stress the need to address the fundamental issues with fresh energy while doing away with some traditional taboos. The importance of funding issues is largely underlined, in terms of the level of funding required, the necessary diversification of revenues and the need to use existing resources in the most efficient way. Overlong studies and high dropout rates are seen as wasted resources both from the learner's and the university's side. While the trends towards more institutional autonomy are generally welcomed, many contributions emphasise the need to develop more professional management approaches and procedures in university management. While there should not be a disconnection between research and teaching, the general picture of a diversified European university landscape, with various degrees of research-intensity, various types of research/innovation and various profiles of teaching/learning are generally accepted as a way into the future. Specific support for excellence in research, but also in teaching and in social/regional involvement, is widely seen as desirable.

2.3. Universities and their representative networks expect more action at European level, in particular with regard to the creation of the European Higher Education Area and the European Research and Innovation Area. Suggestions in this context include increased EU financial support, e.g. to underpin mobility, structural change in the Bologna framework, capacity building in research and innovation, regional innovation clusters, the attractiveness of Europe in education and research, etc. They also call for the creation of various European instruments, such as joint degrees, doctoral schools, quality assurance mechanisms, transparency tools, flexible admission policies, etc. Such recommendations are often combined with pleas to relinquish national regulations in areas such as access, recognition and

⁴² COM(2003) 58 final of 05.03.2003 http://europa.eu.int/eur-lex/en/com/cnc/2003/com2003_0058en01.pdf

staff mobility, seen as hindering universities in several countries from fully taking advantage of new opportunities emerging at European level. The answers also reflect a high awareness of the role of universities as engines of regional development, as well as much concern about regional imbalances and their possible impact on brain drain. Various suggestions were made for stronger support for universities from the European Structural Funds⁴³.

2.4. There seems to be a general recognition of the need to enhance the attractiveness of higher education systems and institutions in Europe and world-wide. Many answers stress the need to compare Europe with the USA (which factors make the US system successful?) and submit comparative data. At the same time, in line with the Commission's view, they caution against wishing to transplant all US features. Human resource aspects (careers, status, development opportunities) and curricular aspects (degree recognition, demonstration of quality, relevance to learners' needs) are seen as particularly important in this context.

The Commission will complete the analysis of all answers during the autumn of 2003 with a view of presenting a follow-up Communication during the first semester of 2004. It will look in more detail into some of the main issues, through seminars (e.g. on regional aspects and on human resource management) or specific studies (notably on the funding of higher education as well as of research). A conference on possible follow-up measures at national and European level will be held in Liege on 26/28 April 2004.

3. From Prague to Berlin the EU Contribution

The Commission actively contributes to the realisation of the Bologna process in partnership with the higher education sector and with the support of 30 European countries gathered in the Socrates-Erasmus Programme Committee. The Commission supports the main Bologna events, conferences, seminars and reports⁴⁴ (Trends III Report and the Official Rapporteur Prof. Zgaga). The Commission has also decided to fund pilot projects in a number of areas in order to test innovative Bologna concepts in practice. A number of Commission activities relevant to the Bologna process are briefly presented below.

3.1 Credits for Lifelong Learning

The aim of this activity is to transform the existing ECTS into a system that would help citizens to accumulate credits gained through formal, non-formal and informal learning. Exploratory projects have taken place in 2002-2003. They will be followed by small scale testing in 2003-2004. A new broad scheme on Credits for Lifelong Learning (ECTS plus) could start in 2004-2005 involving learners, employers, universities, vocational training institutions and other LLL providers. As a preparation, the Commission will launch a special campaign to promote the consistent use of ECTS throughout Europe and an ECTS label will be awarded to universities which use ECTS in all first and second cycle degree programmes.

⁴³ i.e. the European Social Fund and the European Regional Fund.
http://europa.eu.int/comm/employment_social/esf2000/index-en.htm
http://europa.eu.int/comm/regional_policy/index_en.htm

⁴⁴ The Commission will also publish an Eurydice survey on the implementation of the Bologna structural reforms in 30 European countries in September 2003.

3.2 European Cooperation in Quality Assurance

Under this heading the Commission supports two types of activities: Activities aiming at promoting an internal quality culture within universities and activities improving the impact of external quality evaluations.

The internal quality assurance activities are supported through a pilot scheme organised by the European University Association EUA. Six groups of universities and other higher education institutions have worked together for one year on themes such as "research management", "teaching and learning" and "implementing Bologna reforms". The pilot scheme helped the institutions to introduce internal quality assurance mechanisms, improve their quality levels and being better prepared for external evaluations. The pilot demonstrated the need for strong university leadership and university autonomy in developing a quality culture. The Commission intends to continue the pilot with a second group of universities, thus spreading this experience across a variety of institutions in Europe.

External quality assurance is being promoted through the European Network for Quality Assurance in Higher Education ENQA. As an experiment, ENQA has carried out an external evaluation of 14 departments against sets of common evaluation criteria in three subject areas: History, Physics and Veterinary Science. The Trans-national European Evaluation Project (TEEP 2002) has shown that it is possible to evaluate study programmes across borders against sets of common criteria as long as the universities concerned agree to take the common criteria as a starting point for the evaluation.

After the Berlin Conference, the Commission will present a Report to the Parliament and the Council of Ministers on the implementation of the Council Recommendation of September 1998 on European co-operation in quality assurance in higher education. Drawing lessons from the experiences acquired, the Commission Report will contain proposals on how to make European quality assurance more coherent. See also section 4 below.

3.3 Joint Degrees

Well-defined European degrees can contribute to the quality and visibility of European Higher Education. The Commission has supported a pilot project on Joint Masters organised by the EUA in the academic year 2002-2003. The Pilot Project has shown how Joint Masters function in practice, how universities integrate their curricula, how they organise mobility and how the recognition of diplomas is dealt with at present. The outcomes of the pilot will be used in the implementation of the "Erasmus Mundus" programme. The Commission welcomes the proposed commitment of Ministers at national level to remove legal obstacles to the establishment and recognition of joint degrees.

3.4 Doctoral level

The Commission welcomes the proposed extension of the Bologna reforms (transparency, credits, quality assurance, recognition etc.) to the doctoral level. On 18 July 2003, the Commission adopted a Communication "Researchers in the European Research Area, One Profession, Multiple Careers"⁴⁵, which recommends that doctoral programmes take into account broader needs of the labour market and integrate structured mentoring as an integral

⁴⁵ COM(2003) 436 final of 18.07.2003

part. The time may indeed be right to take a fresh look at the notion of "European doctorates" and the recognition of doctoral degrees in Europe for the purpose of careers in R&D. Bologna Signatory States are called upon to adjust the legislative framework so that joint doctorates can be implemented more easily and obstacles to recognition removed. As a concrete step, the Commission will support in 2003-2004 a pilot project examining the status of doctoral candidates, the functioning of doctoral programmes in Europe, ways to improve them and to promote pooling of resources in cross-border activities and programmes, possibly leading to a "European Doctorate".

3.5 Tuning Educational Structures in Europe

Another important Commission supported activity which relates to the Bologna reforms is the project called "Tuning Educational Structures in Europe", a university initiative co-ordinated by the universities of Deusto (Spain) and Groningen (The Netherlands). Some 135 universities are participating in this project, which addresses several of the action lines of the Bologna process, notably the adoption of a system of easily readable and comparable degrees and the adoption of a two-cycle system. More specifically, the project aims at identifying generic and subject specific competences for first and second cycle studies in nine subject areas (Business studies, Education Sciences, Geology, History, Mathematics, Chemistry, Physics, European Studies and Nursing) and provides a methodology for analysing common elements and differences.

Competences describe what a learner knows in theory and is able to do in practice on the labour market. They provide a common language for describing learning without interfering in the organisation of the university and the method of teaching. Agreement on core competences will facilitate comparison and recognition of degrees, whilst respecting the autonomy of the university and its capacity to innovate and experiment. Competence descriptors will assist universities in curriculum development and can also be used for the purpose of internal and external quality assurance.

4. Concrete steps forward in Berlin

The European Higher Education Ministers share the common objective to realise the European Higher Education Area by 2010. For this to happen, a series of reforms need to be introduced, not only by law but also in the daily practice of the higher education institutions. It is not enough to take stock of the progress achieved so far. Ministers should set priorities and agree on targets to be achieved in key areas of the Bologna process already in 2005 in order to have the reforms in place by 2010. The Commission agrees that these priorities are: quality assurance, the two cycle system and recognition of degrees and periods of study.

- As regards quality assurance, all Signatory States should have quality assurance systems in operation by 2005. At the European level it is necessary to have, by 2005, agreed sets of standards, procedures and guidelines for external evaluations carried out by quality assurance and/or accreditation agencies. The agencies themselves should be subject to some form of monitoring or peer review in order to ensure their independence and trustworthiness. The European Network for Quality Assurance in Higher Education ENQA should work out such agreement in consultation with the higher education sector represented at European level.

- All countries should have started implementing the two cycle system by 2005. Six years after the signing of the Bologna Declaration, the legal and practical conditions should be in place and students must be able to enrol in the new style programmes of their choosing. The new degrees should fit into National Qualifications Frameworks, allowing citizens, under well-defined conditions, to move between different types of formal, non-formal and informal learning. The National Qualifications Framework would articulate against the emerging European Qualifications Framework, based on a common understanding of learning outcomes and competencies acquired by graduates.
- A European Qualifications Framework, complemented by a coherent system of Quality Assurance - for Ministers to approve by 2005 - would create a climate of trust based on transparency and would facilitate the recognition of diplomas and periods of study. Recognition would also benefit from the ratification and application of the Lisbon Recognition Convention. By 2005, all students graduating should receive the Diploma Supplement issued in a widely spoken European language and free of charge. In order to promote this objective, the Commission has introduced a Diploma Supplement Label for universities already fulfilling this requirement.
- The Commission also welcomes proposals to make student loans and grants portable in order to enable students to carry out short periods of study or full cycles in other European countries.

5. Conclusion

The realisation of the European Higher Education Area requires substantial efforts on the part of the Bologna Signatory States, universities and higher education institutions. There is commitment at national, regional and institutional level to reach this objective. The European Commission has taken a number of initiatives and is supporting others. It is now for Ministers responsible for Higher Education to take decisive steps forward with the aim of realising the "European Higher Education Area" as part of the "Europe of Knowledge".

* * *



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Graz Declaration

Forward from Berlin: the role of universities

To 2010 and beyond

1. *Universities* are central to the development of European society. They create, safeguard and transmit knowledge vital for social and economic welfare, locally, regionally and globally. They cultivate European values and culture.
2. *Universities* advocate a Europe of knowledge, based on a strong research capacity and research-based education in universities – singly and in partnership – across the continent. Cultural and linguistic diversity enhances teaching and research.
3. The development of European universities is based on a set of core values: *equity and access; research and scholarship in all disciplines as an integral part of higher education; high academic quality; cultural and linguistic diversity.*
4. *Students* are key partners within the academic community. The Bologna reforms will: facilitate the introduction of flexible and individualised learning paths for all students; improve the employability of graduates and make our institutions attractive to students from Europe and from other continents.
5. *European universities* are active on a global scale, contributing to innovation and sustainable economic development. Competitiveness and excellence must be balanced with social cohesion and access. The Bologna Reforms will only be successful if universities address both the challenge of global competition and the importance of fostering a stronger civic society across Europe.
6. *Universities* must continue to foster the highest level of quality, governance and leadership.

Universities as a public responsibility

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

their role as essential partners in advancing social, economic and cultural development.

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

Research as an integral part of higher education

9. The integral link between higher education and research is central to European higher education and a defining feature of Europe's universities. *Governments* need to be aware of this interaction and to promote closer links between the European Higher Education and Research Areas as a means of strengthening Europe's research capacity, and improving the quality and attractiveness of European higher education. They should therefore fully recognise the doctoral level as the third 'cycle' in the Bologna Process. *Universities* need to keep pressing the case for research-led teaching and learning in Europe's universities. Graduates at all levels must have been exposed to a research environment and to research-based training in order to meet the needs of Europe as a knowledge society.
10. The diversity of universities across Europe provides great potential for fruitful collaboration based upon different interests, missions and strengths. Enhancing European collaboration and increasing mobility at the doctoral and post-doctoral levels are essential, for example through the promotion of Joint Doctoral programmes, as a further means of linking the European Higher education and Research Areas.

Improving academic quality by building strong institutions

11. Successful implementation of reforms requires leadership, quality and strategic management within each institution. *Governments* must create the conditions enabling universities to take long-term decisions regarding their internal organisation and administration, e.g. the structure and internal balance between institutional level and faculties and the management of staff. *Governments and universities* should enter negotiated contracts of sufficient duration to allow and support innovation.
12. *Universities* for their part must foster leadership and create a structure of governance that will allow the institution as a whole to create rigorous internal quality assurance, accountability and transparency. Students should play their part by serving on relevant committees. External stakeholders should serve on governing or advisory boards.

Pushing Forward the Bologna Process

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

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

Mobility and the Social Dimension

15. Student mobility in itself promotes academic quality. It enables diversity to be an asset, enhancing the quality of teaching and research through comparative and distinctive approaches to learning. It increases the employability of individuals. Staff mobility has similar benefits.
16. If the EHEA is to become a reality *governments* must: tackle the current obstacles to mobility, amend legislation on student support, e.g. to make study grants and loans portable and improve regulations on health care, social services and work permits.
17. *Governments and institutions* together must give incentives to mobility by improving student support (including social support, housing and opportunities for part-time work) academic and professional counselling, language learning and the recognition of qualifications. Institutions must ensure that full use is made of tools which promote mobility, in particular ECTS and the Diploma Supplement. Possibilities also need to be increased for short-term mobility, and mobility of part-time, distance and mature students.
18. Career paths for young researchers and teachers, including measures to encourage young PhDs to continue working in/return to Europe, must be improved. Gender perspectives require special measures for dual career families. Restrictions on transfer of pension rights must be removed through portable pensions and other forms of social support.
19. Increasing the participation of women in research and teaching is essential in a competitive Europe. Gender equality promotes academic quality and *universities* must promote it through their human resource management policies.
20. The TRENDS III Report demonstrates that the information base, in particular in relation to mobility issues, is inadequate. National governments should co-operate to improve statistical data and work with the European Commission to review existing

monitoring mechanisms. There should be more research on issues related to the development of the EHEA.

21. Joint programmes and degrees based on integrated curricula are excellent means for strengthening European cooperation. *Governments* must remove legal obstacles to the awarding and recognition of joint degrees and also consider the specific financial requirements of such collaboration.
22. *Institutions* should identify the need for and then develop joint programmes, promoting the exchange of best practice from current pilot projects and ensuring high quality by encouraging the definition of learning outcomes and competences and the widespread use of ECTS credits.

Quality assurance: a policy framework for Europe

23. Quality assurance is a major issue in the Bologna process, and its importance is increasing. The EUA proposes a coherent QA policy for Europe, based on the belief: that institutional autonomy creates and requires responsibility, that *universities* are responsible for developing internal quality cultures and that progress at European level involving all stakeholders is a necessary next step.
24. An internal quality culture and effective procedures foster vibrant intellectual and educational attainment. Effective leadership, management and governance also do this. With the active contribution of students, *universities* must monitor and evaluate all their activities, including study programmes and service departments. External quality assurance procedures should focus on checking through institutional audit that internal monitoring has been effectively done.
25. The purpose of a European dimension to quality assurance is to promote mutual trust and improve transparency while respecting the diversity of national contexts and subject areas.
26. QA procedures for Europe must: promote academic and organisational quality, respect institutional autonomy, develop internal quality cultures, be cost effective, include evaluation of the QA agencies, minimise bureaucracy and cost, and avoid over regulation.
27. EUA therefore proposes that stakeholders, and in particular universities, should collaborate to establish a provisional 'Higher Education Quality Committee for Europe'. This should be independent, respect the responsibility of institutions for quality and demonstrate responsiveness to public concerns. It would provide a forum for discussion and, through the appointment of a small board, monitor the application of a proposed code of principles, developing a true European dimension in quality assurance.

Universities at the centre of reform

28. The Bologna process was initially politically driven. But it is now gaining momentum because of the active and voluntary participation of all interested partners: higher education institutions, governments, students and other stakeholders. Top down

reforms are not sufficient to reach the ambitious goals set for 2010. The main challenge is now to ensure that the reforms are fully integrated into core institutional functions and development processes, to make them self-sustaining. Universities must have time to transform legislative changes into meaningful academic aims and institutional realities.

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

Leuven, 4 July 2003



Message to the Berlin Higher Education Summit

From Mr Walter Schwimmer,
Secretary General of the Council of Europe

I confirm the Council of Europe's commitment to the Bologna Process aiming to establish a European Higher Education Area by 2010. In this way, the Council of Europe will, with all the participating countries and important partners help bring about the most important reform of higher education in Europe since the immediate aftermath of 1968.

As Ministers responsible for higher education, you will at the Berlin Higher Education Summit make decisions that will bring the Bologna Process an important step forward in terms of both content and geographical scope, based on our common heritage and values as transmitted by the European higher education community.

The Council of Europe is fully prepared to continue to play an important role in carrying out your decisions and in forming the work programme of the Bologna Process through active participation in the Bologna follow-up structures. I firmly believe the participation of a pan-European intergovernmental organisation will be a useful supplement to the expertise of the representatives of national Ministries in the follow-up structures.

In keeping with its fundamental values of democracy, human rights and the rule of law, the Council of Europe is committed to equal opportunities for higher education for all qualified candidates regardless of their gender, race, colour, disability, language, religion, political or other opinion, national, ethnic or social origin, association with a national minority, property, birth or other status. The Council of Europe therefore believes that public authorities should play an important role in the provision of higher education as well as in devising the framework within which this provision is given. As a contribution to the reflection on the social dimension of higher education, the Council of Europe therefore intends to organise a major conference on the public responsibility for higher education in 2004. The conference will be held at Council of Europe headquarters in Strasbourg, and I would very much welcome its inclusion in the official work programme of the Bologna Process 2003 – 2005.

Having in mind that new demands on and changes in European higher education systems should be followed with efficient and participative higher education governance, this is another key area to which the Council of Europe will contribute on the strength of years of experience from both intergovernmental and bilateral work. In this area, the Council of Europe will address a number of issues including the definition of institutional autonomy, student participation in higher education governance, the relationship between institutional self-governance and the participation of external stakeholders in the decision making of higher education institutions and the relationship between the central levels of the institution and the faculties.

On the basis of our Lisbon Recognition Convention, and in co-operation with the European Commission and UNESCO, the Council of Europe will continue to develop policies and best practice to facilitate the recognition of higher education qualifications, as well as qualifications giving access to higher education throughout the European Higher Education Area. The ENIC Network has approved a draft Recommendation on the recognition of joint degrees, which will be submitted to the Lisbon Recognition Convention for adoption in 2004, as well as a statement on its contribution to the Bologna Process.

On the basis of the pan-European platform offered by the European Cultural Convention, the Council of Europe is uniquely well placed to provide a bridge between the European Higher Education Area and the remaining countries of Europe. Over the past two years, the Council of Europe has presented the main policies of the Bologna process to important parts of the higher education communities of Albania, Bosnia and Herzegovina, Serbia and Montenegro and "the Former Yugoslav Republic of Macedonia", all of which have now applied for membership of the Bologna Process, as well as in Russia. The Council of Europe has also assisted with the revision of national legislation in these countries, underlining the importance of legislative reforms for the Bologna Process to reach its goals. The Council of Europe will continue to help implementing the policies that make up the backbone of the European Higher Education Area in those European countries that have not yet become a party to the Area, or that have joined only recently.

Not least, the Steering Committee for Higher Education and Research (CD-ESR), through its double membership of government and academic representatives contributes significantly to the dialogue between policy makers in Ministries responsible for higher education and the higher education community.

The CD-ESR is well placed to give an impetus to what should be the ultimate goal of the Bologna Process:

a European Higher Education Area encompassing as much of Europe as possible and building on clear policies that will enhance the quality and attractiveness of higher education in Europe, stimulate the mobility of students, graduates and staff and guide public authorities and institutions in fulfilling the main purpose of higher education:

- preparation for the labour market
- preparation for life as active citizens in democratic societies;
- personal development;
- development and maintenance of an advanced knowledge base.

I wish the Berlin Higher Education Summit every success in its progress towards the European Higher Education Area and assure you of the full support of the Council of Europe in this endeavour.

A handwritten signature in black ink, appearing to read 'Walter Schimmer', with a stylized, flowing script.

Walter SCHWIMMER

EURASHE POLICY STATEMENT on the BOLOGNA PROCES – TOWARDS BERLIN 2003.

approved by the Plenary Council at the meeting in Gyöngyös, Hungary, 6th June 2003

EURASHE has been engaged in and has supported the Bologna Process since its inception and following the summit of European Ministers of Education in Prague in 2001 is represented in the Bologna Follow-up Group and the Berlin Preparatory Group.

EURASHE welcomes this breakthrough of acknowledgement for the Professional Higher Education Area in Europe. EURASHE supports the European Higher Education Area (EHEA) in a Europe of Knowledge and the general thrust of the declarations developed through the dynamic and on-going Bologna Process.

In accordance with its general policy EURASHE will continue to strengthen its role as the representative body of the Professional Higher Education Area within the inclusive and open EHEA. Also, EURASHE will continue to encourage, initiate and elaborate concrete plans of action along the general lines of the Bologna Process.

As immediate priorities in the creation of EHEA EURASHE sees,

- **The creation of networking structures and mechanisms between Professional Higher Education Institutions, Universities and other higher education institutions.**
- **The further improvement and enlargement of cooperation with stakeholders, especially students and business and industry.**

EURASHE believes that these measures are necessary to further improve quality control mechanisms, to develop curricula and programs with continued relevance to the labour market, to elaborate new teaching and learning methods in the aspects of life-long learning and the social dimension of education, and to encourage and facilitate joint bachelor, master and research programs.

Other issues of importance to EURASHE are,

- **The full implementation of the Bachelor-Master structure in all areas of higher education by all Bologna signatories**

In this context EURASHE will draw attention to the existing Short Cycle Higher Education Area that in fact constitutes a large and important sector in many European countries and therefore should be taken into consideration in the creation of EHEA.

- **The further facilitation of mobility**

EURASHE will welcome the support of further tuning pilot-projects within the area of Professional Higher Education.

Also, trainee periods are an important and integrated part of a large number of professional higher education programs. The facilitation of trainee placements in countries abroad should be an issue in the Bologna Process.

- **The promotion of the European dimensions in higher education**

EURASHE agrees with the overall views on democracy in education, i.e. stakeholder, teacher, researcher, student and staff involvement in the process of decision making. We also believe that values connected to human rights, non-discrimination and gender equality must be integrated values in European education programs and institutions.

DAAD

Deutscher Akademischer Austausch Dienst
German Academic Exchange Service

HRK

Hochschul
Rektoren
Konferenz

“FROM BERLIN TO BERGEN”

**General Report
of the Bologna Follow-up Group
to
the Conference of European Ministers
Responsible for Higher Education
Bergen, 19-20 May 2005**

Oslo, 3 May 2005

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“FROM BERLIN TO BERGEN”

Executive Summary of the General Report of the Bologna Follow-up Group to the Conference of Ministers Responsible for Higher Education, Bergen, 19-20 May 2005

Halfway towards 2010

Halfway in the Bologna Process towards 2010, we start to see the contours of the European Higher Education Area (EHEA). It is not a single, unified higher education system, but a group of more than forty national systems developing according to jointly agreed principles.

For many countries, “Bologna” is an inspiration and a recipe for highly needed reforms in their higher education systems. At the same time we are jointly building a common framework to turn into reality the idea that students and staff shall be able to move freely within the EHEA, having full recognition of their qualifications. Priority has been given to developing

- a three-cycle degree system in each participating country,
- national quality assurance systems cooperating in a Europe-wide network,
- mutual recognition between participating countries of degrees and study periods.

Each of these elements has a national dimension and a European Dimension. So has the concept of qualifications frameworks now introduced in the Bologna Process, with national frameworks fitting into an overarching framework for the EHEA. Agreed standards and guidelines introduce a European dimension also in quality assurance.

Developments

As the Bologna Process has been developing, its ten action lines have tended to overlap or merge and new concepts have been introduced. The action lines have been imperative for the dynamics of the Bologna Process, but they do not explicitly define the final goal.

Recommendations from the fourteen *Bologna Follow-up Seminars* included in the BFUG Work Programme have fed into the stocktaking project, into the development of the overarching framework for qualifications and into the joint efforts in quality assurance, and have also directly influenced the drafting of the Bergen Communiqué.

All participating countries have produced National Reports. These reports have given information on planned reforms as well as on what has already been accomplished.

An overarching framework of qualifications for the EHEA

The report from the Working Group established by the BFUG provides a series of recommendations, among them the following:

- the framework for qualifications in the EHEA should be an overarching framework with a high level of generality, consisting of three main cycles, with additional provision for a short cycle within the first cycle;
- the framework should include cycle descriptors in the form of generic qualification descriptors that can be used as reference points. It is proposed that the Dublin Descriptors are adopted as the cycle descriptors for the framework for qualifications of the European Higher Education Area;
- *guidelines* for the credit range typically associated with the completion of each cycle:
 - o Short cycle (within the first cycle) qualifications: 120 ECTS credits;
 - o First cycle qualifications: 180-240 ECTS credits;

- o Second cycle qualifications: 90-120 ECTS credits, with a minimum of 60 credits at the level of the 2nd cycle;
- o Third cycle qualifications do not necessarily have credits associated with them.

Considerations by the Bologna Follow-up Group

The Bologna Follow-up Group has advised Ministers that they may adopt the overarching framework for qualifications in the EHEA, comprising three cycles (including the possibility of shorter higher education linked to the first cycle), generic descriptors for each cycle based on learning outcomes and competences, and credit ranges for the first and second cycles.

The BFUG has also advised Ministers to commit themselves to elaborating national frameworks for qualifications compatible with the overarching framework for qualifications in the EHEA by 2010, and to having started work on this by 2007.

The BFUG has further advised Ministers to underline the importance of complementarity between the overarching framework for the EHEA and the broader European framework of qualifications for lifelong learning now being developed within the European Union.

European cooperation in quality assurance

In Berlin, Ministers called upon ENQA, in cooperation with the EUA, EURASHE and ESIB, to develop an agreed set of standards, procedures and guidelines on quality assurance and a peer review system for quality assurance bodies. The main results and recommendations are:

- There will be European standards for internal and external quality assurance, and for external quality assurance agencies.
- European quality assurance agencies will be expected to submit themselves to a cyclical review within five years.
- A European register of quality assurance agencies will be established.
- A European Register Committee will act as a gatekeeper for the register.

Considerations by the Bologna Follow-up Group

The BFUG has advised Ministers that the proposed standards and guidelines for quality assurance in the EHEA and the proposed model for peer review of quality assurance agencies may be introduced and tried out on a national basis in the participating countries.

The BFUG has welcomed the establishment of a European Register of quality assurance agencies and asked ENQA to develop rules and regulations for such a register. The BFUG has advised Ministers that the practicalities of implementation of the Register and the Register Committee may be further developed by ENQA in cooperation with EUA, EURASHE and ESIB.

Recognition of degrees and study periods

In June 2004, a Recommendation on the Recognition of Joint Degrees was adopted as a subsidiary text to the Lisbon Recognition Convention. Governments should review their legislation and introduce legal provisions that would facilitate recognition of joint degrees.

By April 2005, 31 of the 40 participating countries in the Bologna Process and all five applicant countries had ratified the Lisbon Recognition Convention.

Considerations by the Bologna Follow-up Group

The BFUG has advised Ministers to urge participating countries that have not already done so to ratify the Convention without delay. They should ensure the full implementation of its principles,

and incorporate them in national legislation. Ministers may call on all participating countries to address recognition problems identified by the ENIC/NARIC networks. Ministers should express support for the subsidiary texts to the Lisbon Recognition Convention and call upon all national authorities and other stakeholders to recognise joint degrees awarded in two or more countries in the EHEA.

Higher education institutions and others should improve recognition of prior learning including non-formal and informal learning for access to and as elements in higher education programmes. The development of national and European frameworks for qualifications may be an opportunity to further embed lifelong learning in higher education.

Stocktaking

To conduct the stocktaking exercise asked for by Ministers in Berlin, a Working Group was established by the BFUG. At the request of the Working Group, the EURYDICE report *“Focus on the Structure of Higher Education in Europe”* extended its review beyond the 31 countries normally covered by its network in order to provide a uniform analysis of the 40 “Bologna” countries. Along with the material prepared by EURYDICE, the National Reports represented the main source of information.

Scorecards have been developed for each participating country as well as average scores for the forty countries. The analysis indicates that overall, participating countries have made good progress in the three priority action lines. However, the strength of the Bologna Process has been its voluntary and collaborative nature. The increased membership underlines the need to ensure consistency of progress, and participating countries should be prepared to take responsibility to assist each other as we all move towards 2010.

Considerations by the Bologna Follow-up Group

The BFUG has noted that substantial progress has been made in the three priority areas. It is important to ensure that progress is consistent across all participating countries, and the BFUG will advise Ministers that there is a need for greater sharing of expertise to build capacity at both institutional and government level.

The BFUG has noted that the two-cycle degree system is being implemented on a large scale, with more than half of the students being enrolled in it in most countries. However, there are still some obstacles to access between cycles. Ministers may see the need for greater dialogue, involving governments, institutions and social partners, to increase the employability of graduates with bachelor qualifications, including posts within the public service.

The BFUG has noted that almost all countries have made provision for a quality assurance system based on the criteria set out in the Berlin Communiqué and with a high degree of cooperation and networking. However, there is still progress to be made, in particular as regards student involvement and international cooperation.

With reference also to the follow-up of the Lisbon Recognition Convention mentioned above, Ministers are advised to draw up national action plans to improve the quality of the process associated with the recognition of foreign qualifications.

Five new participating countries

The criteria for admission of new participating countries (members) to the Bologna Process were set by the Berlin Communiqué, saying that

“countries party to the European Cultural Convention shall be eligible for membership of the European Higher Education Area provided that they at the same time declare their willingness to pursue and implement the objectives of the Bologna Process in their own systems of higher education.

A document consolidating principles and action lines of the Bologna Process made it clear to potential newcomers that the EHEA can only be achieved by incorporating the “Bologna” principles in the higher education system of each country. Just as all participating countries were asked to produce a National Report, newcomers were asked to produce a report in a similar format, with a special focus on the three intermediate priorities.

By the deadline applications had been received from Armenia, Azerbaijan, Georgia, Kazakhstan, Moldova and Ukraine. Later, Kosovo also applied. All applications were in accordance with the prescribed procedure; however, Kazakhstan and Kosovo are not signatories to the European Cultural Convention.

Considerations by the Bologna Follow-up Group

Based on the applications and reports received, the BFUG has advised Ministers to welcome Armenia, Azerbaijan, Georgia, Moldova and Ukraine as participating countries (members) in the Bologna Process at the Bergen conference.

2010 and beyond

The Bologna Process is a process of voluntary cooperation between different national systems overseen by the BFUG and associating the various partners. There are no legally binding provisions except for the Lisbon Recognition Convention; the cooperation is based on mutual trust. Participating countries have adapted their legislation to the principles and objectives of the Bologna Process, and higher education institutions are committed to implementing them.

The Follow-up Group has had preliminary discussions concerning 2010 and beyond, as the vision of the European Higher Education Area is gradually being translated into reality. Within the overarching framework for the EHEA, all participating countries should have developed by 2010 a national framework of qualifications based on three cycles in higher education, and national quality assurance arrangements implementing an agreed set of standards and guidelines. All higher education institutions in participating countries will recognise degrees and periods of studies according to the Lisbon Recognition Convention. The social dimension of the Bologna Process will be a constituent part of the EHEA: Higher education should be equally accessible to all and students should be able to complete their studies without obstacles related to their social and economic background. The EHEA will encompass the principles of public responsibility for higher education, institutional autonomy, and the participation of students in higher education governance.

1 HALFWAY TOWARDS 2010

Halfway in the Bologna Process towards 2010, we start to see the contours of the European Higher Education Area. It is not a single, unified higher education system, but a group of more than forty national systems developing according to jointly agreed principles. As additional countries will join when Ministers meet in Bergen in May 2005, the Bologna Process can be seen as a truly pan-European Process.

For many countries, “Bologna” is an inspiration and a recipe for highly needed reforms in their higher education systems. At the same time we are jointly building a common framework to turn into reality the idea that students and staff should be able to move freely within the EHEA, having full recognition of their qualifications. There are limitations to free movement in the form of legal and financial restrictions outside the competence of Ministers of Education, but building a Europe of Knowledge, we must strive to overcome these problems.

At the previous Ministerial Conference in Berlin in September 2003, priority was given to the further development of three central elements in the Bologna Process,

- a three-cycle degree system in each participating country with degrees at bachelor, master and doctoral level,
- national quality assurance systems cooperating in a Europe-wide network,
- mutual recognition between participating countries of degrees and study periods.

Each of these elements has a national dimension and a European Dimension. So has the concept of qualifications frameworks, with national frameworks fitting into an overarching framework for the European Higher Education Area. The Follow-up Group will report on the development of an overarching framework for higher education that may be a first element in a European educational framework also spanning vocational education and training.

Ministers have also asked for the development of an agreed set of standards, procedures and guidelines for quality assurance to be used in national quality assurance systems. The Follow-up Group can report that agreement on key points has been reached, thus introducing a European dimension in quality assurance.

There already exists an international legal instrument for mutual recognition of degrees and study periods: the Lisbon Recognition Convention. By April 2005 the Lisbon Recognition Convention has been ratified by 31 of the 40 countries participating in the Bologna Process and by all the five applicant countries. Formal difficulties related to the ratification procedure should not keep participating countries from practising the principles of the Lisbon Convention, thus recognising degrees and study periods from the other countries as equivalent to degrees and study periods in their own educational system. Correspondingly, higher education institutions in all participating countries should recognise courses from partner institutions in the other countries as equivalent to their own courses.

The stocktaking exercise shows that substantial progress has been made in the three priority areas. However, to ensure that progress is consistent across all participating countries, there is a need for greater sharing of expertise to build capacity at both institutional and government level.

*3 May 2005
Germain Dondelinger
Chair, Bologna Follow-up Group*

*Per Nyborg
Head of the Secretariat*

2 THE BFUG WORK PROGRAMME 2004-2005

In the Berlin Communiqué, Ministers asked the Bologna Follow-up Group (BFUG) to co-ordinate activities in the Bologna Process as indicated in the themes and actions covered by the communiqué and to report on them in time for the next Ministerial Conference in 2005.

The recommendations of the Berlin Communiqué were directed at national authorities, institutions and organisations. Countries and organisations have launched relevant follow-up activities in accordance with the Communiqué. This active participation of all partners is of great importance to the long-term success of the Bologna Process.

To co-ordinate activities, the BFUG developed a Work Programme for the period from Berlin to Bergen, decided in its final form in March 2004. Members and consultative members of the BFUG have initiated most of the actions included in the Work Programme, and as such, it is basically a bottom-up process. However, the Follow-up Group has ensured that the Work Programme related in the best possible way to the Berlin Communiqué as a whole and that it had a reasonable balance between the various action lines of the Bologna Process.

Seminars were the main vehicle for the follow-up of the Prague Communiqué, and have also been important in the follow-up after Berlin. The European Commission has supported a number of Bologna Follow-up Seminars in priority areas under the Socrates and Tempus programmes. Fourteen Bologna Follow-up Seminars were included in the BFUG Work Programme. Responsibility for organising these seminars was widely spread among participating countries and organisations. Condensed reports from the seminars have been included in this report.

The intermediate priorities defined in the Berlin Communiqué have been central in the Work Programme.

It was clear from the Berlin Communiqué that the Ministers wished for the BFUG to take responsibility for actions in the following areas:

- monitoring the ENQA project on quality assurance;
- developing an overarching framework of qualifications;
- carrying out the stocktaking exercise.

As may be seen from separate chapters in this general report, these projects have received special attention from the BFUG. For each project a Working Group was established: For the quality assurance project ENQA, EUA, EURASHE and ESIB worked together in the “E4” group. For the qualifications framework project and for the stocktaking project the BFUG appointed separate Working Groups. The work of these groups has been essential to the success of the projects.

This report contains an overview of the activities carried out and decisions taken under the responsibility of the BFUG up to the Ministerial Conference in Bergen in May 2005. The report has been written by the Secretariat of the Bologna Process set up by Norway as the host country of the upcoming conference, and has been discussed by the BFUG in the process of writing. Under the mandate given by the BFUG, the final version has been authorised by the BFUG Board.

All documents and reports referred to in this general report are available at <http://www.bologna-bergen2005.no>.

3 THE BOLOGNA ACTION LINES

Six action lines were introduced in the Bologna Declaration:

- 1 Adoption of a system of easily readable and comparable degrees;
- 2 Adoption of a system essentially based on two cycles;
- 3 Establishment of a system of credits;
- 4 Promotion of mobility;
- 5 Promotion of European co-operation in quality assurance;
- 6 Promotion of the European dimension in higher education.

Three more were introduced in the Prague Communiqué:

- 7 Lifelong learning;
- 8 Higher education institutions and students;
- 9 Promoting the attractiveness of the European Higher Education Area.

A tenth action line was introduced in the Berlin Communiqué:

- 10 Doctoral studies and the synergy between the EHEA and the ERA.

In the follow-up after Prague and Berlin, *the social dimension of higher education* has been seen as an overarching or transversal action line.

When the Follow-up Group made a selection of seminars for inclusion in the BFUG Work Programme 2004-2005, a reasonable coverage of the various action lines was sought. This supplemented the selection according to the explicit priorities of the Berlin Communiqué.

As the Process has been developing, action lines have tended to overlap or merge and new concepts have been introduced. The system of two degree cycles from Bologna (action line 2) was supplemented by a third cycle (action line 10) in Berlin. Action lines 1, 2, 3 and an important part of 10 may now be described within *a framework of qualifications for higher education*, and the ambition is that action line 7 may also be included in *a general framework of qualifications* that may span both higher education and vocational education and training, and also possibly other parts of the educational system. Establishing an *overarching framework of qualifications for the European Higher Education Area* will be essential also for action line 6, the European dimension.

A concept implicit in action lines 1 and 4 has turned out to be central to the Bologna Process: *recognition of degrees and study periods*. The legal instrument has been with us from the start, in the form of the Lisbon Recognition Convention, saying that all States party to the Convention shall recognise degrees and study periods from other parties as equivalent to degrees and study periods in their own system, provided there are no substantial differences. Hence the appeal from Ministers in Berlin that all participating countries should ratify the Lisbon Recognition Convention.

Action line 5 *Promotion of European cooperation in quality assurance* has been central in the follow-up after Berlin. With the development of an agreed set of standards and guidelines for quality assurance, a common basis for recognition is introduced. The cooperation and trust developing in the quality assurance sector may also be seen as yet another element of the European dimension of higher education (action line 6).

Action line 8 keeps reminding us of the importance of higher education institutions and student organisations as partners in the Process. The active participation of institutions and their staff and of students in the *implementation* of the European Higher Education Area will be vital to the

success of the Bologna Process. This implies that the basic principles for this partnership between national authorities and the higher education sector must be clearly visible also in the description of the EHEA, first of all the principle of autonomous institutions and the principle of student participation in the governance of higher education institutions.

Action line 8 also initiated after Prague the discussion of higher education as a public good and a public responsibility. The public responsibility for higher education encompasses the structural elements of the Bologna Process such as a national framework, degree structure, quality assurance and recognition. The public responsibility for the structure of higher education is defined in all countries by national legislation. A seminar was organised by the Council of Europe in September 2004 to look more closely into the public responsibility for higher education and research, and another seminar organised by UNESCO/CEPES in November 2004 studied the legislation for higher education in a large group of participating countries in the Bologna Process (see chapter 4 on seminars).

Student and staff mobility is at the heart of the Bologna Process, and *mobility* has been defined as a separate Bologna action line (action line 4). However, several seminars and also discussions in the Follow-up Group have shown that mobility is indeed a transversal subject. Many challenges must be met to further increase mobility between different groups of participating countries, and further studies and endeavours will be necessary relating to its various elements, including the recognition issue, social and linguistic issues, financial issues, immigration and social security issues and the legislative framework.

A tentative conclusion regarding action lines may be that they have been imperative for the dynamics of the Bologna Process. However, this does not necessarily imply that they should also be parameters for the description of the European Higher Education Area which will be the *outcome* of the Process: The action lines have shown the way to go, but they do not explicitly define the final goal.

4 BOLOGNA FOLLOW-UP SEMINARS

Seminars were the main vehicle for the follow-up of the Prague Communiqué, and they have also been important elements in the follow-up after Berlin. *Bologna Follow-up Seminars* have been organised by BFUG members and consultative members in accordance with their own priorities and objectives, taking account of criteria approved by the Follow-up Group. Fourteen Bologna Follow-up Seminars were included in the BFUG Work Programme 2004-2005, reflecting the priorities set by the Ministers in Berlin and having the potential of contributing to making the European Higher Education Area a reality.

The seminars have been open to participants from all the participating countries as well as the applicant countries, to representatives of the European Commission, the Council of Europe, UNESCO-CEPES, EUA, EURASHE and ESIB and to other interested parties. All seminars have consisted of plenary sessions and workshops, giving the opportunity for active participation and for elaboration of various aspects of the seminar themes. In a number of cases surveys and background documents were prepared by the organisers. This material is available on the Bologna-Bergen web site at <http://www.bologna-bergen2005.no> together with complete reports and recommendations from each seminar.

The seminars have been important in increasing the awareness of the Bologna Process in the participating countries and also in other countries. The Council of Europe and UNESCO/CEPES have both been very active in their support of new and prospective participating countries. EUA and ESIB have been co-organisers of a number of seminars, also reaching out to national rectors' conferences and national student unions in participating countries and stimulating the dialogue between Bologna Partners at the national level.

Recommendations from Bologna Follow-up Seminars have fed into the stocktaking project, into the development of the overarching framework for qualifications and into the joint efforts in quality assurance. Recommendations from seminars have also directly influenced the drafting of the Bergen Communiqué.

4.1 “Joint Degrees – Further Development”, Stockholm, 6-7 May 2004

50 participants from 18 countries and a number of organisations attended this seminar organised by the Swedish Ministry of Education and Research. General Rapporteur was professor Pavel Zgaga. The seminar built on previous activity in the field. Two seminars were held in the preceding period related to joint degrees: in May 2002, also in Stockholm, and in Mantova in April 2003, focussing on integrated curricula. In addition, a survey in 2002 and a project on joint master's degree programmes, both conducted by the EUA, had pointed to a number of problems. In the Berlin Communiqué, Ministers undertook to remove legal obstacles to the establishment and recognition of joint degrees and actively support the development and adequate quality assurance of integrated curricula leading to such degrees.

The seminar considered the situation against this background. In most Bologna countries, degrees are regulated in national legislation. Many higher education institutions co-operate in developing and delivering joint study programmes and joint degrees, but few joint diplomas are awarded. Most countries do not make explicit legal provision for the awarding of joint degrees and joint diplomas. The seminar reiterated the importance of joint degrees for achieving the Bologna objectives, underlining that the process of developing and offering joint study programmes is the core activity, and discussed aspects such as the use of the Diploma Supplement and ECTS and quality assurance. In a lifelong learning perspective it was pointed out that the possibilities for all

types of students to participate should be taken into account when developing joint study programmes and joint degrees.

It was recommended that the Bologna Follow-up Group should map the experience of higher education institutions and students with joint study programmes and joint degrees and if possible report conclusions and recommendations to the Bergen ministerial meeting. Further, each country should report on the progress made in removing legal obstacles to joint degrees as agreed in the Berlin Communiqué. As a result of the latter recommendation a question about this was included in the template for the national reports.

The seminar made the following recommendations to the Bergen Ministerial Meeting:

- The possibility of awarding joint degrees with national and foreign higher education institutions should be clearly referred to in national legislation. Every country should report on the progress of their work in time for the ministerial meeting in 2007.
- The format of the Diploma Supplement should be adapted to facilitate the description of joint degrees. The Diploma Supplement should include a cross-reference when double degrees are issued.
- Ministers should encourage the development of incentives for higher education institutions to participate in joint study programmes leading to joint degrees. Higher education institutions should give proper recognition to students and staff who participate in joint degree programmes.

4.2 “Bologna and the challenges of e-learning and distance education”, Ghent, 4-5 June 2004

The main focus of the seminar, organised by the Ministry of the Flemish Community (Belgium) and the University of Ghent in cooperation with several academic partners, was on the integration of the lifelong learning perspective in higher education. In particular the seminar explored the issue of widening access to higher education, e.g. for a more mature student public that combines studies with other responsibilities. General Rapporteur was professor Jef Van den Branden.

The seminar was attended by 100 policy makers, representatives of the academic world and specialists both in international relations and in e-learning from a large variety of countries and organisations participating in the Bologna Process.

The seminar discussed how non-classical teaching and learning forms can be of use in an emerging European Higher Education Area the cornerstones of which are quality assurance and recognition as well as mobility and social issues. The challenges which distance education at the higher education level poses in this perspective were explored accordingly.

The following recommendations were made for the further development of the Bologna Process:

- To make the EHEA an *Open* Higher Education Area by fully integrating the dimension of flexible learning paths supported by e-learning and other non-classical learning and teaching forms.
- To extend quality assurance, accreditation and qualifications frameworks to e-learning and other non-classical modes of delivery in an integrated approach encompassing the full range of higher education.
- In the context of widening access, to develop leadership in higher education institutions in order to integrate a lifelong learning-for-all strategy in joint responsibility with staff, students and the local and international community.
- To explore how the principles of the Lisbon Recognition Convention may be used to establish a common understanding and shared standards on the validation of prior learning experiences

in both formal and non-formal settings as a concrete step to the integration of the lifelong learning perspective in higher education.

- To acknowledge the contribution of so-called “virtual mobility” to international academic exchange and joint curriculum development and to take it on board in the design of international mobility schemes.
- To promote a broad approach to all “Bologna tools” (as for instance ECTS and the Diploma Supplement) to include e-learning and non-classical teaching and learning.

4.3 “Using Learning Outcomes”, Edinburgh, 1-2 July 2004

The seminar, organised by the Scottish Ministry responsible for Higher Education together with national partners, brought together some 160 participants from 28 countries and from partner organisations. A background report had been commissioned from Professor Stephen Adam, examining the concept of learning outcomes both from a theoretical point of view and in relation to current practice.

Considerable activity was found to be taking place across Europe, but relatively few countries or higher education institutions had implemented learning outcomes in a systematic way. One conclusion in the report was that learning outcomes may enhance all the Bologna action lines. They were seen as part of a shift in emphasis from the teacher to the learner, and in this connection students pointed out that for learning to be genuinely student-centred, the students must also be included in the process of formulating the learning outcomes.

There was general agreement on the usefulness of moving towards an outcomes-based approach in the description of modules/units, study programmes and qualifications. Such an approach lies at the centre of the development of an overarching framework of qualifications for the EHEA, and the seminar provided important input to this work. Descriptions in terms of learning outcomes also facilitate comparison of knowledge, understanding and skills acquired in informal or non-formal learning with formal qualifications, and hence contribute to flexible learning paths in a lifelong learning perspective. In the same way they may facilitate mobility between vocational education and training and higher education.

The seminar discussed the role of learning outcomes in relation to issues such as transparency, mobility, recognition and quality assurance, underlining that they are not the solution to all problems, but a useful tool at both the conceptual and practical levels. Unresolved issues e.g. in relation to credits were pointed out. Also, the concept is used in different ways in different contexts, sometimes in a very technical way, and a common understanding therefore needs to be developed, taking into account the importance of diversity and flexibility.

The seminar recommended that the BFUG should take a leading role in ensuring coherence across the different strands of development of the Bologna Process affected by learning outcomes, and more broadly between the Bologna and Copenhagen processes.

The seminar further recommended that the following themes should be considered for inclusion in the Bergen Communiqué:

- The importance of learning outcomes for the future development of Diploma Supplements, ECTS and qualifications frameworks, as a tool to promote transparency and mobility, while supporting flexibility and diversity across the European Higher Education Area.
- The need to accept that the pace and nature of change will not be uniform across all countries or all disciplines. Such flexibility will protect the diversity inherent in the European Higher Education Area and lead to greater ownership of the final outcome.
- The need for continuing dialogue to achieve a common language and a shared understanding of that language.

4.4 “Assessment and accreditation in the European framework”, Santander, 28-30 July 2004

The seminar organised by the Spanish Ministry of Education, Culture and Sports and the National Agency for Quality Assessment and Accreditation was attended by approximately 125 policy makers, representatives of the academic world and specialists both in international relations and in assessment and accreditation.

The main objective was to move forward in the development of common methodological tools for quality evaluation and accreditation of higher education within the European framework of the Bologna Declaration, with a view to identifying tools that are generally accepted as suitable and effective. Additional objectives were to compare processes and to analyse the networking of evaluation agencies and bodies with a view to the mutual recognition of their decisions. General Rapporteur was director Leonardo M. González.

It was confirmed that the networks of agencies will have an important role to play in the establishment of common accreditation criteria and methodologies that may lead to the mutual recognition of their decisions, in particular by means of their efforts to push for more and better knowledge of good practices and exchange of information and experience.

At the same time it was made clear that in defining these common criteria and methodologies it is necessary to take into account the diversity of the various systems and traditions that will go into the construction of a comparable framework.

There is a clear need to establish a glossary of terms that will make it possible to interpret the main features of each institution in the light of common but flexible principles and points of reference agreed at the European level.

For the implantation of an effective culture of quality, it is essential that governments, higher education institutions, quality agencies, teachers and students all participate, in view of the expectation that this process will benefit not only the involved agents but also society at large.

It will only be possible to establish common criteria and methodologies if mutual trust among institutions and agencies is achieved on a basis of greater transparency in accreditation processes. To that end it is essential to promote a peer review process among agencies.

Accreditation is viewed as an essential tool for the promotion of quality assurance in higher education systems. The accreditation process should be linked to the implementation of specific recommendations for the improvement of the evaluated qualifications and institutions. It was recommended that a concrete accreditation scheme be set up within the Bologna Process.

4.5 “Public Responsibility for Higher Education and Research”, Strasbourg, 21-22 September 2004

Approximately 80 participants from 36 countries and a number of organisations participated in this seminar organised by the Council of Europe. General Rapporteur was IAU Secretary General Eva Egron Polak. Recommendations were addressed to public authorities in States Party to the European Cultural Convention and some directly to Ministers in Bergen:

Public responsibility for higher education and research should be understood as a multidimensional concept that includes the establishment and maintenance of the required legal

infrastructure, elaboration of policy, provision of funds and the further development of the social dimension, to meet current and future needs of the Knowledge Society.

Public responsibilities should be exercised throughout the European Higher Education Area with due regard for the need of higher education and research institutions and systems to act freely and efficiently in the pursuit of their mission.

For universities to meet society's requirements for research and respond to public interests, public authorities must provide adequate funds and, together with the research community, design policies to regulate conditions under which private resources can best be used.

To respond to increased pressure for cost-sharing in higher education, public authorities should stimulate further research and debate on the impact of different instruments such as tuition fees, student grants, bursaries and loans etc. on aspects such as equality of opportunity, system efficiency, social cohesion and public funding as a basis for future action.

Public authorities should ensure that appropriate bridges exist between higher education and the world of work. Such bridging includes a coherent qualifications framework at national and European levels, transparent mechanisms for recognition of qualifications and quality assurance, and two-way information flows between the labour market and higher education.

Public authorities should establish cost-effective quality assessment mechanisms that are built on trust, give due regard to internal quality development processes, have the right to independent decision-making and abide by agreed-upon principles.

Recommendations to the Bergen Ministerial Conference:

- Ministers were asked to affirm their commitment to making equal opportunity in higher education a fundamental building block of the European Higher Education Area. They were asked to undertake actions that will allow the development of systemic and institutional responses to enable all individuals to realise their full potential.
- Ministers were also asked to acknowledge that funding, motivating and stimulating the development of higher education and research is as important a part of public responsibility. Ministers were asked to stimulate a comprehensive analysis of various approaches that would lead to increased funds for higher education and research, meeting equity, effectiveness and efficiency objectives as well as those of quality and autonomy.

Building a Knowledge Society that is democratic, inclusive, equitable and competitive is a shared responsibility in which an examination of the responsibilities of public authorities must be completed by an analysis of the public responsibility of all other stakeholders. Participants urged that such corresponding analyses be undertaken as well.

4.6 “Designing policies for mobile students”, Noordwijk, 10-12 October 2004

Approximately 130 participants from 30 countries and a number of organisations participated in this seminar organised by the Dutch Ministry of Education, Culture and Science. General Rapporteur was professor Pavel Zgaga.

The participants in the seminar concluded that structural cross-border cooperation between institutions and high-quality mobility of students and staff make an indispensable contribution to creating a well-educated and internationally oriented work-force and strengthen the intellectual, cultural, social, scientific and technological dimensions of the European knowledge-based society. When designing policies to facilitate and further mobility, this is to be taken into account. A

sustained and continued attention to the implementation of already agreed policies and principles in the field of student mobility is required.

Regarding external quality assurance and requirements by national governments the seminar appealed to national authorities to standardise criteria or mutually recognise each other's accreditation decisions and organise trust.

To increase the transparency of Europe's more than 3000 institutions of higher education, a pilot for *a European typology of institutions* had been started with the purpose of trying out a draft typology. The seminar asked that the pilot should take into consideration related work carried out by the UNESCO-OECD activity on Guidelines on Quality Provision in Cross-Border Higher Education. The results of this pilot study could be reported to the Bologna Process.

The *portability of students' loans and grants* is an important instrument in the promotion of mobility. The various systems of student support are basically designed for the students that study in their country of origin. Portability of student grants ought to be studied more closely within an EU context. This should be done in relation to, among other things, fees and maintenance costs.

The participants in the seminar concluded that a European fund for student support could reduce some obstacles to mobility, and that a network of student support experts from the countries participating in the Bologna Process should be founded.

Participants affirmed that issues relating to the portability of student support are a complex area, where education policy as well as income politics and social welfare are intertwined, and with national and supra-national interests at stake. In the light of the wish to increase mobility, student support is an important subject to be taken up in the context of the European Union, because of the tension between national policies and EU jurisprudence. These legal issues are linked with political, social and administrative issues. The participants called on all parties involved to take the necessary steps to reach a satisfactory solution for the problems identified.

4.7 “The employability and its links to the objectives of the Bologna Process”, Bled, 22-23 October 2004

Approximately 115 participants from 24 countries and a number of organisations attended the seminar. General Rapporteur was Martina Vukasović.

This was the first Bologna Seminar to discuss employability. One major step forward was that the participants agreed on a definition on the term “employability”:

A set of achievements – skills, understandings and personal attributes – that make graduates more likely to gain employment and be successful in their chosen occupations, which benefits themselves, the workforce, the community and the economy.

The participants concluded that there are problems in many countries getting acceptance for the first degree in the labour market. This implies that there are challenges in fulfilling the Bologna action line *Adoption of a system essentially based on two main cycles, undergraduate and graduate*. It is a goal in the Bologna Process that the degree awarded on completion of the first cycle shall be relevant to the European labour market as an appropriate level of qualification.

To achieve the goal of strengthening employability, several measures must be taken. Employers, trade unions and professional associations must be involved in the development and creation of

new types of qualifications and new curricula. The BFUG must strengthen the participation of these stakeholders.

The seminar participants also recommended that the notion of employability is included as a reference point in further Bologna Seminars and other activities, in particular those dealing with learning outcomes and an overarching framework of qualifications for the EHEA.

4.8 “New Generations of Policy Documents and Laws for Higher Education: Their Thrust in the Context of the Bologna Process”, Warsaw, 4-6 November 2004

The conference was attended by 40 international participants from 22 different countries and from partner organisations, 20 participants from Poland, and two observers from the USA. The main objective was to analyse how laws on higher education are reflecting progress towards the objectives of the Bologna Process. Professor Hans de Wit served as General Rapporteur.

Presentations were made on the theme of the conference from 11 different national perspectives, followed by a session featuring comparative perspectives on policy and legislative initiatives for higher education. A comparative analysis was also presented. The presentations and analysis provided relevant information on legal reforms in Europe in the context of the Bologna Process.

Notwithstanding the fact that different countries are at different stages of implementation, there was agreement that most countries have adopted, or are in the process of adopting, legislation enabling achievement of the Bologna goals in the agreed timeframe. At the same time it was recognised that national agendas play a key role in the implementation of the Bologna objectives and in the elaboration of new higher education legislation. Current reforms in national higher education legislation cannot be attributed solely to the Bologna Process. Some were already initiated prior to 1999; in other cases the Bologna Declaration is used as a ‘lever’ for national policy and to solve national problems.

Following the presentations and discussions, one could observe on the one hand a *growing convergence* in line with the Bologna goals (regarding degree systems, credits and accreditation), and on the other hand a *continuation of diversity* that will remain. The latter might even be reinforced, in that higher education is still a national responsibility and is defined foremost by national contexts, constraints and priorities.

Participants agreed that the approach to higher education legislation reform by general framework laws is most appropriate. Regulating in detail not only results in inflexibility, it is also in contradiction with the trend to deregulate and provide more autonomy. While legislation is an important aspect of implementation, it cannot take the place of commitment, interaction and trust among the different stakeholders.

It was recommended to the participating countries in the Bologna Process that they implement general framework legislation for higher education instead of detailed regulatory legislation. It was also recommended that they translate their national policy documents and higher education legislation into English or another major language of the EHEA.

It was recommended to the Bologna Follow-Up Group that it supplements the present stock-taking exercise with one on higher education legislation. This will help to better understand the legal implications of the Bologna Process in different countries, to get a better picture of convergence and diversity in European higher education, to exchange experiences and expertise, and to assist those countries still in the preparatory stage of legislative reforms.

4.9 “Bachelor’s Degree: What Is It?” St. Petersburg, 25-26 November 2004

The seminar was jointly organised by the Ministry of Education of the Russian Federation, the Committee for Education and Science of the State Duma, St. Petersburg State University and the Council of Europe. It was attended by around 150 participants from Russia and 30 participants from 13 other countries. The working languages were English and Russian. General Rapporteur was Sverre Rustad from the BFUG Secretariat.

The seminar had a double focus, in that part of the discussion was concerned with general characteristics of the bachelor’s degree and the benefits and possible disadvantages of a two- (three-) cycle structure, whereas another part was concerned more particularly with the situation in Russia. In the general part, employability and the relation to the labour market was a special theme. There was consensus that bachelor programmes should have a balance between generic and specialist skills, with an emphasis on learning to learn, and that the relations between higher education institutions and employers need to be strengthened. Not least is this the case in Russia, where the bachelor’s degree is not well known or accepted and where employers tend to favour traditional integrated programmes. In general more emphasis should be placed on stimulating the creative development of the student, and all bachelor programmes should therefore be research-based.

With regard to the situation in Russia, focus was on the extent and pace of change. It was argued that moving too quickly would risk throwing over board valuable elements of the existing system and thus reducing standards. At present the two-cycle degree structure is voluntary for the institutions, and there were different views on whether it should be made obligatory. On the other hand there seemed to be a general consensus that the bachelor’s degree in Russia should have a duration of 4 years due to the low entry level (11 years of school) compared with many other countries.

The following conclusions and recommendations were submitted to the BFUG:

- Taking into account the significant role played by the humanities and social sciences in curricula in terms of ensuring generic competences, and at the same time widely divergent views and practices concerning the number of credits allocated to the humanities in different study programmes, the seminar recommended to set up a special working group for the study of the role to be played by the humanities in higher education.
- Proceeding from the general agreement that bachelor-level programmes are meant to ensure sufficiently broad competences, programme designers are recommended to pay special attention to interdisciplinary and field-specific modules. Based on existing descriptors the structure of competences would then be as follows: generic competences, interdisciplinary competences, field-specific competences and subject-specific competences.
- In designing bachelor-level study programmes for higher education, the designers should pay more attention to labour-market requirements and challenges.
- It was recommended to amend the position taken by the Bologna Declaration to make it clear that access to doctoral studies shall require a completed master’s degree.

4.10 “Improving the recognition system of degrees and study credit points in the European Higher Education Area”, Riga, 3-4 December 2004

This seminar, organised by the Latvian authorities in co-operation with the Council of Europe, was attended by approximately 160 participants from 30 different countries and from partner organisations. Professor Stephen Adam served as General Rapporteur.

Many Bologna action lines have direct links to recognition. Without effective processes for recognition, important Bologna objectives will not be achieved. However, the Riga seminar indicated what can be achieved and generated a strong agreement about the way forward.

Ministers in Bergen were urged to:

- Amend national legislation to incorporate the principles of the Lisbon Recognition Convention and adopt effective measures to ensure their practical implementation at all appropriate levels;
- Recognise that reaching the goals of the Bologna Process requires defining ‘recognition’ as positioning a holder of a foreign qualification in the host country’s education or employment system, and therefore to:
 - o emphasise the benefits of national qualifications frameworks and endorse the creation of the overarching framework of qualifications for the EHEA on the grounds of their contribution to recognition, mobility and transparency;
 - o promote an intensive national and international dialogue, informed by ENICs and NARICS, to exchange good practice.
- As a matter of urgency, launch a campaign to convey accurate and pertinent information on the Bologna Process to other parts of the world.

At the level of ENIC and NARIC networks it was recommended that:

- The existing cooperation between recognition and quality assurance networks should be further strengthened. It needs to be acknowledged that recognition and quality assurance are intimately related;
- It is explored how the emerging qualifications frameworks and usage of learning outcomes can be applied for improving recognition practices, including the recognition of lifelong learning and other non-traditional qualifications, and how they relate to the legal framework of the Lisbon Recognition Convention;
- The networks take an active part in informing on the Bologna Process in the wider world, using their long-standing contacts and information exchange channels.

At national level it was recommended that:

- Effective measures are taken in respect of non-traditional providers to offer them access to state recognition procedures and ongoing quality assurance monitoring.
- The contribution of learning outcomes to recognition in higher education and lifelong learning is acknowledged and a strategy for their implementation developed.
- Steps are taken to monitor the implementation of the Lisbon Recognition Convention, with a view to encouraging fair and equal treatment of applicants within countries.

In *higher education institutions* steps should be taken to develop institutional recognition policies and practices and to disseminate information on the legal framework for recognition and best practice at the level of faculties and study programmes.

4.11 “The Framework of Qualifications of the EHEA”, Copenhagen, 13-14 January 2005

Approximately 120 representatives from 28 countries participated in this seminar, organised by the Danish authorities. General Rapporteur was Sjur Bergan, Council of Europe. The purpose of the seminar was to discuss the report of a Working Group appointed by the BFUG to develop an overarching qualifications framework for the EHEA as a central element in the follow-up of the Berlin Ministerial Conference, see Ch. 6 of this report. The participants recommended:

That Ministers, meeting in Bergen in May 2005

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

That public authorities responsible for national education systems

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

That higher education institutions as well as students and their organisations continue to contribute as active stakeholders to the development and maintenance of national frameworks of qualifications as well as the overarching framework for qualifications of the EHEA.

That ENIC and NARIC Networks and individual recognition centres provide clear and adequate information on the overarching framework for qualifications of the EHEA as well as on national frameworks to recognition networks and centres and higher education institutions in other parts of the world.

That appropriate international bodies review current transparency instruments, such as ECTS and the Diploma Supplement, in the light of the development of qualifications frameworks.

4.12 “The social dimension of the European Higher Education Area and world-wide competition”, Paris 27-28 January 2005

The seminar was organised by the French Ministry of National Education, Higher Education and Research in co-operation with ESIB – The National Unions of Students in Europe. General Rapporteur was Vera Stastna, Chair of the Council of Europe’s Steering Committee for Higher Education and Research. There were more than 180 participants from 33 European countries and 2 countries outside Europe (Australia and Argentina).

The General Rapporteur observed that the social dimension will be one of the values which would make the EHEA truly European. The social dimension includes all provisions needed for having equal access, progress and completion of higher education. Enlarging the existing gap between different parts of Europe should be avoided, and at the national level the gap between those who benefit from higher education and come back later in life and those who never make use of this possibility should be closed.

Participants agreed that:

- strengthening the social dimension of higher education is one of the conditions for making real a knowledge society, which implies increasing the number of graduates from higher education through lifelong learning;
- social and economic background should not be a barrier to access to higher education, successful completion of studies and meaningful employment after graduation;
- taking into account the social dimension of the EHEA both at the national level and the European level contributes to the creation of a coherent, balanced and competitive European Higher Education Area.

Participants recommended that:

- the process of building the European Higher Education Area prove its social dimension and set it as a priority;
- in that perspective, a specific analytical survey, built on existing initiatives and under the authority of the Bologna Follow-up Group (BFUG), focused on the social and economic situation of students, including obstacles to access and mobility and taking into account the lifelong learning objectives, should be carried out by 2007 in all the participating countries in the Bologna Process;
- decisions on financing in the European Higher Education Area take into account social cohesion objectives regarding access to higher education, living and studying conditions, financial and material support, services for students such as information, guidance and advice, and also mobility support at the European level and the national level alike;
- quality assurance mechanisms which are developing both internally and externally integrate as a must the social dimension in all aspects dealing with living and studying conditions and relate it to the multiple purposes of higher education and long-term results;
- beyond Bergen, in order to make the social dimension of the EHEA a reality, it is vital to secure the full involvement and the working together of national authorities, higher education institutions and students, which is the only guarantee for effectiveness.

4.13 “Doctoral Programmes for the European Knowledge Society” Salzburg, 3-5 February 2005

270 participants from 35 countries and from partner organisations participated in this seminar, organised by the Austrian Federal Ministry of Education, Science and Culture, the German Federal Ministry of Education and Research, and the European University Association. From the discussions in Salzburg a consensus emerged on a set of ten basic principles:

- 1 The core component of doctoral training is the advancement of knowledge through original research. At the same time it is recognised that doctoral training must increasingly meet the needs of an employment market that is wider than academia.
- 2 Embedding in institutional strategies and policies: universities as institutions need to assume responsibility for ensuring that the doctoral programmes and research training they offer are designed to meet new challenges and include appropriate professional career development opportunities.

- 3 The importance of diversity: the rich diversity of doctoral programmes in Europe, including joint doctorates, is a strength which has to be underpinned by quality and sound practice.
- 4 Doctoral candidates as early stage researchers: should be recognised as professionals – with commensurate rights - who make a key contribution to the creation of new knowledge.
- 5 The crucial role of supervision and assessment: in respect of individual doctoral candidates, arrangements for supervision and assessment should be based on a transparent contractual framework of shared responsibilities between doctoral candidates, supervisors and the institution (and where appropriate including other partners).
- 6 Achieving critical mass: doctoral programmes should seek to achieve critical mass and should draw on different types of innovative practice being introduced in universities across Europe, bearing in mind that different solutions may be appropriate to different contexts.
- 7 Duration: doctoral programmes should operate within an appropriate duration in time (three to four years full-time as a rule).
- 8 The promotion of innovative structures: to meet the challenge of interdisciplinary training and the development of transferable skills.
- 9 Increasing mobility: doctoral programmes should seek to offer geographical as well as interdisciplinary and intersectoral mobility and international collaboration within an integrated framework of cooperation between universities and other partners.
- 10 Ensuring appropriate funding: the development of quality doctoral programmes and the successful completion by doctoral candidates require appropriate and sustainable funding.

Participants recommended to the BFUG that the ten principles outlined above should provide the basis for the further work of the BFUG and thus feed into the drafting of the Bergen Communiqué, and that the Ministers in Bergen should then call on the EUA through its members to prepare a report to be presented to Ministers in 2007, under the responsibility of the BFUG, on the further development of these principles.

4.14 “Cooperation between accreditation committees/agencies”, Warsaw, 14-16 February 2005

58 participants from 23 countries participated in this seminar, organised by the Polish State Accreditation Committee in collaboration with the Polish Ministry of National Education and Sports. The majority of the participants were representatives from quality assurance/ accreditation agencies. Ministries, partner organisations and higher education institutions were also represented.

General Rapporteur was professor Włodzimierz Siwiński and Mieczysław W. Socha from the Polish State Accreditation Committee.

The Seminar focused on experiences in quality assurance in Bulgaria, the Czech Republic, France, Germany, Ireland, the Netherlands, Norway, Poland, and Spain.

The discussions showed that there has been a major development in quality assurance and accreditation since the beginning of the Bologna Process. They also showed that the speed and direction of the development were somewhat different from country to country. There are major challenges in mutual recognition of degrees and study programs.

Participation of major stakeholders was also discussed. The discussions showed, for instance, that there were major differences concerning what would be seen as adequate student involvement. The seminar did not manage to bring the discussion on this item to any conclusion.

Although not unanimously, the seminar participants recommended that:

- 1 Mutual recognition of education and diplomas can be supported by mutual acquaintance of quality assurance systems. Mutual recognition of accreditation decisions should be encouraged.
- 2 As a necessary condition of building an agreement between participating countries of the Bologna Process, it should ensure and provide for:
 - o regular, mutual sharing of information about education and accreditation systems,
 - o mutual visits, joint training of experts,
 - o promotion of mutual mechanisms of recognition,
 - o promotion of similarities in higher education systems.
- 3 The national system of accreditation should apply for all higher education institutions established within each country. Preference should be given to accreditation committees or agencies established or recognised under the laws of the state. A higher education institution might apply for accreditation from an accreditation body from outside the country. This external quality assurance can be accepted and recognised if the external accreditation body is recognised by national authorities.

The EU Commission had reservations concerning the third recommendation, advocating that higher education institutions should have the freedom of choice of accreditation agency as long as the agency chosen is listed in the European Register of Quality Assurance and Accreditation Agencies.

5 NATIONAL REPORTS 2004-2005

Leading up to the Berlin Conference in September 2003, the participating countries were asked to present country reports. It was suggested that the reports should be organised along the six action lines of the Process from the Bologna Declaration and the three from the Prague Communiqué. The reports are available at <http://www.bologna-bergen2005.no>. They are different in length and contents, ranging from 1 to 33 pages. The level of detail varies, with some pitched at the level of individual institutions, while others focus on the national picture.

5.1 A common outline

The BFUG decided that National Reports should also be produced before Bergen. The National Reports offer the opportunity for the participating countries to present information which complements other data sources. The respondents were asked to give information on planned reforms as well as on what had already been accomplished. The reports should have a special focus on the challenges of the Process.

To ensure that the National Reports would have the same basic structure, it was recommended that they should be organised under a standard set of headlines. As Ministers in Berlin stressed items of special concern, transversal to the action lines, and given the need to coordinate with other tasks assigned by them, especially the stocktaking exercise, the proposed headlines for the 2005 National Reports derived mostly from the Berlin Communiqué. In order to avoid duplicated efforts, the Working Group on Stocktaking included a number of questions in the template for the National Reports.

5.2 National Reports from all participating countries

All participating countries have produced National Reports based on the prescribed common structure. As requested they contain information on planned reforms as well as on what has already been accomplished. Information relating directly to the stocktaking has been fed into the stocktaking process. The Stocktaking Report (see chapter 9) gives an overview of results in the participating countries for the three priority action lines. The National Reports give more information and can be read as complementary to the Stocktaking Report.

All National Reports are available at <http://www.bologna-bergen2005.no>.

6 AN OVERARCHING FRAMEWORK OF QUALIFICATIONS FOR THE EHEA

In Berlin, Ministers encouraged participating countries to elaborate a framework of comparable and compatible qualifications for their higher education systems, describing qualifications in terms of workload, level, learning outcomes, competences and profile. They also undertook to elaborate an overarching framework of qualifications for the EHEA.

Meeting in March 2004, the BFUG approved the establishment of a Working Group to coordinate the work on the development of an overarching framework of qualifications for the EHEA. The Working Group was joined by a number of experts.

The report from the Working Group was presented in December 2004 for discussion at the Bologna Follow-up Seminar in Copenhagen in January 2005, cf. chapter 4, section 4.11. The Working Group has since revised the report and presented it to the BFUG in March 2005 for advice to the Ministerial Conference in Bergen.

The Working Group has drawn upon work done by others, especially that of the Joint Quality Initiative who formulated and further developed the “Dublin Descriptors”. It has drawn on experiences from countries that have already established qualifications frameworks for their national higher education systems, and conducted a comparative study of existing national frameworks. It has also consulted other organisations and taken into account other policy areas, including those within the Copenhagen Process and the wider Lisbon Agenda.

6.1 Conclusions

The report builds on the assumption that qualifications are primarily a matter of national concern and articulated in national qualifications frameworks, and that such national frameworks can be inter-connected through linkage to the overarching framework of the EHEA. The Working Group and its experts provide a series of recommendations and proposals regarding the framework for qualifications of the EHEA, and advice on good practice in developing national (or equivalent) frameworks.

It is recommended that:

- the framework for qualifications in the EHEA should be an overarching framework with a high level of generality, consisting of three main cycles, with additional provision for a short cycle within the first cycle.
- the framework should include cycle descriptors in the form of generic qualification descriptors that can be used as reference points. *It is proposed that:*
 - the Dublin Descriptors are adopted as the cycle descriptors for the framework for qualifications of the European Higher Education Area. They offer generic statements of typical expectations of achievements and abilities associated with awards that represent the end of each Bologna cycle.
- responsibility for the maintenance and development of the framework rests with the Bologna Follow-up Group and any successor executive structures established by the Ministers for the furtherance of the EHEA.
- all signatories will complete the self-certification process by 2010.

It is proposed that:

- *guidelines* for the range of ECTS typically associated with the completion of each cycle include:
 - o Short cycle (within the first cycle) qualifications may typically include / be represented by approximately 120 ECTS credits;
 - o First cycle qualifications may typically include / be represented by 180-240 ECTS credits;
 - o Second cycle qualifications may typically include / be represented by 90-120 ECTS credits, with a minimum of 60 credits at the level of the 2nd cycle;
 - o Third cycle qualifications do not necessarily have credits associated with them.
- *criteria* for the verification that national frameworks are compatible with the EHEA framework include:
 - o The national framework for higher education qualifications and the body or bodies responsible for its development are designated by the national ministry with responsibility for higher education
 - o There is a clear and demonstrable link between the qualifications in the national framework and the cycle qualification descriptors of the European framework
 - o The national framework and its qualifications are demonstrably based on learning outcomes and the qualifications are linked to ECTS credits
 - o The procedures for inclusion of qualifications in the national framework are transparent
 - o The national QA system refers to the national framework of qualifications and is consistent with the Berlin Communiqué and any subsequent communiqués agreed by Ministers in the Bologna Process
 - o The national framework, and any alignment with the European framework, is referenced in all Diploma Supplements
 - o The responsibilities of the domestic parties to the national framework are clearly determined and published
- each country should certify the compatibility of its own framework with the overarching framework, and that details of this self-certification be published, with the following *procedures* used for self-certification of compatibility:
 - o The competent national body/bodies shall self-certify the compatibility of the national framework with the European framework
 - o The self-certification process shall include the stated agreement of the QA bodies in the country in question recognised through the Bologna Process
 - o The self-certification shall involve international experts
 - o The self-certification and the evidence supporting it shall be published and shall address separately each of the criteria set out
 - o The ENIC/NARIC network shall maintain a public listing of States that have completed the self-certification process
 - o The completion of the self-certification process shall be noted on Diploma Supplements issued subsequently
- National frameworks shall include awards that integrate recognition of non-formal and informal learning experiences.

Advice on good practice to facilitate the creation of successful new national frameworks of qualifications includes:

- the development and review process for producing good national frameworks are most effective when they involve all relevant stakeholders both within and outside higher education. Higher education frameworks naturally link to vocational education and training and secondary education and as such are best viewed and treated as a national initiative. This

also makes possible the inclusion of, or links to, other areas of education and training outside higher education.

- a framework for higher education qualifications should identify a clear and nationally agreed set of purposes. Frameworks for higher education qualifications benefit from the inclusion of cycles and /or levels, and articulation with outcome-focused indicators and/or descriptors of qualifications. Higher education frameworks of qualifications can also benefit from being directly linked to credit accumulation and transfer systems.
- frameworks for higher education qualifications should explicitly link academic standards, national and institutional quality assurance systems, and public understanding of the place and level of nationally recognised qualifications. Public confidence in academic standards requires public understanding of the achievements represented by different higher education qualifications and titles.

The report stresses the importance of national authority in the development of national frameworks, and the importance of considering the EHEA framework, the Dublin descriptors, and the guideline ranges on ECTS credits as '*reference points*'.

6.2 The framework of qualifications for the European Higher Education Area

	Outcomes	ECTS Credits
Short cycle (within the first cycle) qualification	Qualifications that signify completion of the higher education short cycle (within the first cycle) are awarded to students who: • have demonstrated knowledge and understanding in a field of study that builds upon general secondary education and is typically at a level supported by advanced textbooks; such knowledge provides an underpinning for a field of work or vocation, personal development, and further studies to complete the first cycle; • can apply their knowledge and understanding in occupational contexts; • have the ability to identify and use data to formulate responses to well-defined concrete and abstract problems; • can communicate about their understanding, skills and activities, with peers, supervisors and clients; • have the learning skills to undertake further studies with some autonomy.	Approximately 120 ECTS credits
First cycle qualification	Qualifications that signify completion of the first cycle are awarded to students who: • have demonstrated knowledge and understanding in a field of study that builds upon their general secondary education, and is typically at a level that, whilst supported by advanced textbooks, includes some aspects that will be informed by knowledge of the forefront of their field of study; • can apply their knowledge and understanding in a manner that indicates a professional approach to their work or vocation, and have competences typically demonstrated through devising and sustaining arguments and solving problems within their field of study; • have the ability to gather and interpret relevant data (usually within their field of study) to inform judgments that include reflection on relevant social, scientific or ethical issues; • can communicate information, ideas, problems and solutions to both specialist and non-specialist audiences; • have developed those learning skills that are necessary for them to continue to undertake further study with a high degree of autonomy.	Typically include 180-240 ECTS credits

Second cycle qualification	Qualifications that signify completion of the second cycle are awarded to students who: • have demonstrated knowledge and understanding that is founded upon and extends and/or enhances that typically associated with the first cycle, and that provides a basis or opportunity for originality in developing and/or applying ideas, often within a research context; • can apply their knowledge and understanding, and problem solving abilities in new or unfamiliar environments within broader (or multidisciplinary) contexts related to their field of study; • have the ability to integrate knowledge and handle complexity, and formulate judgments with incomplete or limited information, but that include reflecting on social and ethical responsibilities linked to the application of their knowledge and judgments; • can communicate their conclusions, and the knowledge and rationale underpinning these, to specialist and non-specialist audiences clearly and unambiguously; • have the learning skills to allow them to continue to study in a manner that may be largely self-directed or autonomous.	Typically include 90-120 ECTS credits, with a minimum of 60 credits at the level of the 2 nd cycle
Third cycle qualification	Qualifications that signify completion of the third cycle are awarded to students who: • have demonstrated a systematic understanding of a field of study and mastery of the skills and methods of research associated with that field; • have demonstrated the ability to conceive, design, implement and adapt a substantial process of research with scholarly integrity; • have made a contribution through original research that extends the frontier of knowledge by developing a substantial body of work, some of which merits national or international refereed publication; • are capable of critical analysis, evaluation and synthesis of new and complex ideas; • can communicate with their peers, the larger scholarly community and with society in general about their areas of expertise; • can be expected to be able to promote, within academic and professional contexts, technological, social or cultural advancement in a knowledge based society.	Not specified

6.3 Considerations by the Bologna Follow-up Group

The Bologna Follow-up Group discussed the revised report from the Working Group in its meeting in March 2005 and after further discussions in April decided to advise Ministers that they may adopt the overarching framework for qualifications in the EHEA, comprising three cycles (including the possibility of shorter higher education linked to the first cycle), generic descriptors for each cycle based on learning outcomes and competences, and credit ranges in the first and second cycles.

The BFUG also advised Ministers to commit themselves to elaborating national frameworks for qualifications compatible with the overarching framework for qualifications in the EHEA by 2010, and to have started work on this by 2007.

Furthermore, the BFUG advised Ministers to underline the importance of complementarity between the overarching framework for the EHEA and the broader European framework of qualifications for lifelong learning encompassing general education as well as vocational education and training as it is now being developed within the European Union. Ministers may ask the European Commission to consult all parties to the Bologna Process as work progresses.

7 EUROPEAN COOPERATION IN QUALITY ASSURANCE

In the Berlin Communiqué, Ministers committed themselves to supporting further development of quality assurance at institutional, national and European level. They stressed the need to develop mutually shared criteria and methodologies for quality assurance. They also stressed that the primary responsibility for quality assurance in higher education lies with each institution itself and that this provides the basis for real accountability of the academic system within the national quality framework.

Ministers agreed that by 2005 national quality assurance systems should include:

- A definition of the responsibilities of the bodies and institutions involved.
- Evaluation of programmes or institutions, including internal assessment, external review, participation of students and the publication of results.
- A system of accreditation, certification or comparable procedures.
- International participation, co-operation and networking.

At the European level, Ministers called upon ENQA through its members, in cooperation with the EUA, EURASHE and ESIB, to develop an agreed set of standards, procedures and guidelines on quality assurance, to explore ways of ensuring an adequate peer review system for quality assurance and/or accreditation agencies or bodies, and to report back through the Follow-up Group to Ministers in 2005. Due account should be taken of the expertise of other quality assurance associations and networks.

7.1 The ENQA Report

The report from ENQA - the European Association for Quality Assurance in Higher Education - was sent to the BFUG on 21 February 2005. *The main results and recommendations of the report are:*

- There will be European standards for internal and external quality assurance, and for external quality assurance agencies.
- European quality assurance agencies will be expected to submit themselves to a cyclical review within five years.
- There will be an emphasis on subsidiarity, with reviews being undertaken nationally where possible.
- A European register of quality assurance agencies will be established.
- A European Register Committee will act as a gatekeeper for the inclusion of agencies in the register.
- A European Consultative Forum for Quality Assurance in Higher Education will also be established.

When the recommendations are implemented:

- The consistency of quality assurance across the European Higher Education Area (EHEA) will be improved by the use of agreed standards and guidelines.
- Higher education institutions and quality assurance agencies across the EHEA will be able to use common reference points for quality assurance.
- The register will make it easier to identify professional and credible agencies.
- Procedures for the recognition of qualifications will be strengthened.
- The credibility of the work of quality assurance agencies will be enhanced.
- The exchange of viewpoints and experiences among agencies and other key stakeholders (including higher education institutions, students and labour market representatives) will be enhanced through the work of the European Consultative Forum for Quality Assurance in Higher Education.
- The mutual trust among institutions and agencies will grow.
- The move toward mutual recognition will be assisted.

7.2 European standards for internal quality assurance within higher education institutions

1 Policy and procedures for quality assurance:

Institutions should have a policy and associated procedures for the assurance of the quality and standards of their programmes and awards. They should also commit themselves explicitly to the development of a culture which recognises the importance of quality, and quality assurance, in their work. To achieve this, institutions should develop and implement a strategy for the continuous enhancement of quality. The strategy, policy and procedures should have a formal status and be publicly available. They should also include a role for students and other stakeholders.

2 Approval, monitoring and periodic review of programmes and awards:

Institutions should have formal mechanisms for the approval, periodic review and monitoring of their programmes and awards.

3 Assessment of students:

Students should be assessed using published criteria, regulations and procedures which are applied consistently.

4 Quality assurance of teaching staff:

Institutions should have ways of satisfying themselves that staff involved in the teaching of students are qualified and competent with regard to teaching. The methods and procedures for ensuring that this is the case should be available to those undertaking external reviews, and commented upon in reports.

5 Learning resources and student support:

Institutions should ensure that the resources available for the support of student learning are adequate and appropriate for each programme offered.

6 Information systems:

Institutions should ensure that they collect, analyse and use relevant information for the effective management of their programmes of study and other activities.

7 Public information:

Institutions should regularly publish up-to-date, impartial and objective information, both quantitative and qualitative, about the programmes and awards they are offering.

7.3 European standards for the external quality assurance of higher education

1 Use of internal quality assurance procedures:

External quality assurance procedures should take into account the effectiveness of the internal quality assurance processes described in point 7.2 above.

2 Development of external quality assurance processes:

The aims and objectives of quality assurance processes should be determined before the processes themselves are developed, by all those responsible (including higher education institutions) and should be published with a description of the procedures to be used.

3 Criteria for decisions:

Any formal decisions made as a result of an external quality assurance activity should be based on explicit published criteria that are applied consistently.

4 Processes fit for purpose:

All external quality assurance processes should be designed specifically to ensure their fitness to achieve the aims and objectives set for them.

5 Reporting:

Reports should be published and should be written in a style which is clear and readily accessible to their intended readership. Any decisions, commendations or recommendations contained in reports should be easy for a reader to find.

- 6 *Follow-up procedures:*
Quality assurance processes which contain recommendations for action or which require a subsequent action plan, should have a predetermined follow-up procedure which is implemented consistently.
- 7 *Periodic reviews:*
External quality assurance of institutions and/or programmes should be undertaken on a cyclical basis. The length of the cycle and the review procedures to be used should be clearly defined and published in advance.
- 8 *System-wide analyses:*
Quality assurance agencies should produce from time to time summary reports describing and analysing the general findings of their reviews, evaluations, assessments etc.

7.4 European standards for external quality assurance agencies

- 1 *Use of external quality assurance procedures for higher education:*
The external quality assurance of agencies should take into account the presence and effectiveness of the external quality assurance processes described in point 7.3 above.
- 2 *Official status:*
Agencies should be formally recognised by competent public authorities in the European Higher Education Area as agencies with responsibilities for external quality assurance and should have an established legal basis. They should comply with any requirements of the legislative jurisdictions within which they operate.
- 3 *Activities:*
Agencies should undertake external quality assurance activities (at institutional or programme level) on a regular basis.
- 4 *Resources:*
Agencies should have adequate and proportional resources, both human and financial, to enable them to organise and run their external quality assurance process(es) in an effective and efficient manner, with appropriate provision for the development of their processes and procedures.
- 5 *Mission statement:*
Agencies should have clear and explicit goals and objectives for their work, contained in a publicly available statement.
- 6 *Independence:*
Agencies should be independent to the extent both that they have autonomous responsibility for their operations and that the conclusions and recommendations made in their reports cannot be influenced by third parties such as higher education institutions, ministries or other stakeholders.
- 7 *External quality assurance criteria and processes used by the agencies:*
The processes, criteria and procedures used by agencies should be pre-defined and publicly available. These processes will normally be expected to include:
 - o a self-assessment or equivalent procedure by the subject of the quality assurance process;
 - o an external assessment by a group of experts, including, as appropriate, (a) student member(s), and site visits as decided by the agency;
 - o publication of a report, including any decisions, recommendations or other formal outcomes;
 - o a follow-up procedure to review actions taken by the subject of the quality assurance process in the light of any recommendations contained in the report.
- 8 *Accountability procedures:*
Agencies should have in place procedures for their own accountability.

7.5 A European Register and a European Register Committee

The report proposes that a European register of quality assurance agencies should be established and that a European Register Committee should act as a gatekeeper for the inclusion of agencies in the register. The register will make it easier to identify professional and credible agencies, thus providing useful information to national quality assurance agencies and to institutions.

The report assumes that the European Register Committee will decide on admissions to the European Register. The proposal is to establish a light, non-bureaucratic construction with nine members nominated by ENQA, EUA, EURASHE, ESIB and other organisations representing employers, unions and professional organisations plus government representatives. The members are assumed to act in an individual capacity and not as mandated representatives of the nominating organisations. It is proposed that ENQA will perform secretarial duties for the committee. The European Register Committee should as one of its first implementation tasks formalise the ownership of the register. It is further suggested that the Committee will establish an independent appeals system. Legal advice should be sought by the organisations proposing to establish the European Register Committee *before* the Committee is established.

7.6 Considerations by the Bologna Follow-up Group

In its March 2005 meeting the BFUG decided to advise Ministers that the proposed standards and guidelines for quality assurance in the EHEA and the proposed model for peer review of quality assurance agencies may be introduced and tried out on a national basis in the participating countries.

The BFUG also welcomed the establishment of a European Register of quality assurance agencies based on national review and asked ENQA to develop rules and regulations for such a register. The BFUG advised Ministers that the practicalities of implementation of the Register and the Register Committee may be further developed by ENQA in cooperation with EUA, EURASHE and ESIB. Ministers may underline the importance of cooperation between nationally recognised agencies with a view to enhancing the mutual recognition of accreditation or quality assurance decisions.

8 RECOGNITION OF DEGREES AND STUDY PERIODS

8.1 The Lisbon Recognition Convention

In the Berlin Communiqué, Ministers underlined the importance of the Lisbon Recognition Convention, which should be ratified by all countries participating in the Bologna Process, and called on the ENIC and NARIC networks along with the competent national authorities to further the implementation of the Convention. They also made recognition an element of the stocktaking exercise, see chapter 9 of this report.

Main points of the Lisbon Convention are:

- Holders of qualifications issued in one country shall have adequate access to assessment of these qualifications in another country.
- No discrimination shall be made on any ground such as the applicant's gender, race, colour, disability, language, religion, political opinion or national, ethnic or social origin.
- Each country shall recognise qualifications from other countries as similar to the corresponding qualifications in its own system unless there are substantial differences.
- All countries shall provide information on the institutions and programmes belonging to their higher education systems.
- All countries shall appoint a national information centre, one important task of which is to offer advice on the recognition of foreign qualifications.
- All countries shall encourage their higher education institutions to issue the Diploma Supplement to their students to facilitate recognition.

The national information centres co-operate through the ENIC Network (for the relation between ENIC and NARIC, see section 12.2.1).

In most participating countries, it is the responsibility of the higher education institutions to consider the inclusion of study periods from foreign institutions as elements in their own study programmes. It follows from the Lisbon Recognition Convention that the higher education institutions should recognise courses at Bologna partner institutions on equal terms with their own. Recognition decisions should be fair, fast and transparent, as a direct result of the comparability and transparency introduced by Bologna-related reforms.

The Riga seminar on recognition in December 2004 (see chapter 4, section 4.10) recommended that at the Bergen Conference the Ministers should be urged to amend national legislation to incorporate the principles of the Lisbon Recognition Convention and adopt effective measures to ensure their practical implementation at all appropriate levels.

By April 2005, 31 of the 40 participating countries in the Bologna Process and all five applicant countries had ratified the Lisbon Recognition Convention.

Ratification of the Lisbon Recognition Convention also implies acceptance of the subsidiary texts to the Convention, such as the *Recommendation on Criteria and Procedures for the Assessment of Foreign Qualifications* and the *Code of Good Practice in the Provision of Transnational Education*.

8.2 Recognition of joint degrees

In Berlin, Ministers agreed to engage at the national level to remove legal obstacles to the establishment and recognition of joint degrees and to actively support the development and adequate quality assurance of integrated curricula leading to such degrees.

The Stockholm seminar on joint degrees in May 2004 (see chapter 4, section 4.1) was a follow-up of two previous seminars related to joint degrees. It was reported in Stockholm that many higher education institutions cooperate in developing and delivering joint study programmes and joint degrees, but that few joint diplomas were awarded, as most countries had not yet made explicit legal provision for the awarding of joint degrees and joint diplomas.

In June 2004, the Committee of the Convention on the Recognition of Qualifications concerning Higher Education in the European Region adopted a *Recommendation on the Recognition of Joint Degrees* as a subsidiary text to the Lisbon Recognition Convention.

The recommendation states that governments should review their legislation with a view to removing any legal obstacles to the recognition of joint degrees and introduce legal provisions that would facilitate such recognition. A joint degree is understood as referring to a higher education qualification issued jointly by at least two or more higher education institutions on the basis of a study programme developed and/or provided jointly by the institutions. A joint degree may be issued as

- A joint diploma in addition to one or more national diplomas;
- A joint diploma issued by the institutions offering the study programme in question without being accompanied by any national diploma;
- One or more national diplomas issued officially as the only attestation of the joint qualification in question.

Competent recognition authorities should recognise foreign joint degrees unless they can demonstrate that there is a substantial difference between the joint degree for which recognition is sought and the comparable qualification within their own national higher education system. They should recognise these degrees with the greatest flexibility possible.

They may make recognition conditional on all parts of the study programme and/or the institutions providing the programme being subject to transparent quality assessment or being considered as belonging to the education system of one or more participating country.

In order to facilitate recognition, candidates earning joint degrees should be provided with a Diploma Supplement, and study programmes leading to joint degrees should make use of the ECTS system. The Diploma Supplement issued with a joint degree should clearly describe all parts of the degree, and it should clearly indicate the institutions and/or study programmes at which the different parts of the degree have been earned.

8.3 Considerations by the Bologna Follow-up Group

The BFUG has advised Ministers to urge participating countries that have not already done so to ratify the Lisbon Recognition Convention without delay. Ministers may commit themselves to ensuring the full implementation of its principles, and to incorporating them in national legislation as appropriate. Ministers may call on all participating countries to address recognition problems identified by the ENIC/NARIC networks. Ministers may express support for the subsidiary texts to the Lisbon Recognition Convention and call upon all national authorities and other stakeholders to recognise joint degrees awarded in two or more countries in the EHEA.

Higher education institutions and others should improve recognition of prior learning including non-formal and informal learning for access to and as elements in higher education programmes. The development of national and European frameworks for qualifications may be an opportunity to further embed lifelong learning in higher education.

9 THE STOCKTAKING PROJECT

9.1 Introduction

At the Berlin meeting in September 2003, Ministers with responsibility for Higher Education agreed to the conduct of a stocktaking exercise, in order to establish the level of progress being made in the implementation of certain reforms within the European Higher Education Area. Specifically, the Berlin Communiqué stated:

With a view to the goals set for 2010, it is expected that measures will be introduced to take stock of progress achieved in the Bologna Process. A mid-term stocktaking exercise would provide reliable information on how the Process is actually advancing and would offer the possibility to take corrective measures, if appropriate.

Ministers charge the Follow-up Group with organising a stocktaking process in time for their summit in 2005 and undertaking to prepare detailed reports on the progress and implementation of the intermediate priorities set for the next two years:

- *quality assurance*
- *two-cycle system*
- *recognition of degrees and periods of studies*

In March 2004, the Follow-Up Group agreed to the establishment of a Working Group which would undertake this task. At the outset, the Working Group was anxious to build on many existing data resources; it consulted with partners such as the EUA, ESIB and EURYDICE in order to ensure that

- 1 the benchmarks did not repeat questions they intended to raise as part of their own surveys;
- 2 they (the partners) were willing to raise the questions with their constituents as part of their surveys;
- 3 in the event of similar questions being raised, it was agreed to share the results in order to build a complete picture of the benchmark.

As part of the preparations for the Berlin ministerial meeting in 2003, EURYDICE prepared a report called “*Focus on the Structure of Higher Education in Europe*”. Building on the success of the 2003 report, EURYDICE had planned a similar report for the 2005 Bergen meeting. The Working Group requested EURYDICE to extend their review beyond the 31 countries normally covered by the EURYDICE network in order to provide a uniform analysis of the European Higher Education Area. All 40 participating countries in the Bologna Process completed EURYDICE questionnaires in the required format.

Along with the material prepared by EURYDICE, the National Reports (cf. Chapter 5) represented the main source of information for the stocktaking exercise. The National Reports offered the opportunity for members to give more discursive or qualitative commentary on progress on the priority action lines. A series of benchmarks were developed which sought to measure progress on each of the three priority action lines. Based on an interpretation of the National Reports and EURYDICE questionnaires, scores were assigned to each country.

ESIB also pursued a number of issues on behalf of the Working Group. However, the scope to use the results of their survey was limited on the basis that it only covered some 32 countries. The Council of Europe provided the source for material on the Lisbon Recognition Convention. While the EUA did not directly contribute to the stocktaking, there are many issues in the *Trends IV* report which also surface in the stocktaking report.

It is important to note that with the diverse range of material presented to the Ministers at the Bergen meeting, it is quite possible that differences in outcomes may arise. Where this arises, it should be noted that the stocktaking exercise drew on a variety of data sources, representative of a broad stakeholder community.

9.2 Considerations by the Stocktaking Working Group

The analysis indicates that overall, participating countries have made good progress in the three priority action lines, and as such, real progress is being made in the work to establish the European Higher Education Area.

9.2.1 Good progress on Quality Assurance

In Berlin, Ministers acknowledged the importance of quality assurance in the establishment of the EHEA. More than half of the participating countries have quality assurance structures in place. Critically, almost half have systems built on the criteria of the Berlin Communiqué. International participation and networking feature in many of the systems. This evidence, combined with the consensus which underpinned the work of ENQA, augurs well for continued progress in this area.

However, this progress should not mask a deficit on quality assurance, and in particular the absence of student participation in quality assurance procedures. Four levels of participation were identified – governance structures, external review teams, consultation/ involvement during external reviews and involvement in internal evaluations – and less than 14% of participating countries have involvement at all four levels. This is also borne out by the EURYDICE analysis. In material provided by ESIB to the Working Group, ESIB noted that the majority of good practices on student participation are based on the individual and voluntary effort of higher education institutions.

The *EUA Trends IV* report identified as a challenge for the future the risk that excessive emphasis on the process could actually displace the end objectives of quality assurance, being the enhancement of quality. It is important, therefore, to view progress in this area as evidence of establishment of a system – it is not evidence that the culture of quality assurance has filtered through all strands of the higher education life. The ultimate success of this objective relies on the willingness of institutions, their staff and their students to embrace systematic quality assurance as central to their respective roles in the delivery of higher education.

9.2.2 Good progress on the Two-Cycle Degree System

The adoption of the two-cycle degree system is seen as critical to the future of the EHEA, and its implementation throughout the area is well underway. Already by 2005, at least 54% of the participating countries have the system in place on a wide scale, with a further 19% having it in place in a more limited capacity. More importantly, the percentage of students covered by the two-cycle degree system is also increasing. It is safe to predict that the objectives of this action line will be achieved by 2010. Access between cycles is available for all students in 42% of the participating countries; while some minor ‘structural’ or procedural problems exist in a further 28%.

It is on the issue of access, perhaps, that some controversy exists. In line with the terminology used in the Berlin Communiqué, access was defined in terms of the ‘right to apply for admission’ – the so-called Lisbon Recognition Convention meaning. However, ESIB in their submission to the Working Group looked at access in the meaning of “admission”. Transitional difficulties, and consequently, options for students looking to escalate between cycles, were subject to factors such as the need to undertake ‘bridging courses’ when moving between the university and the ‘non-university’ sector, as well as restrictions being placed on opportunities to progress to the next

cycle, including limits on numbers, enrolment exams and selection procedures. ESIB also cite restrictions on movement between different fields of study in different cycles and finally, tuition fees. Clearly, such analysis extends the definition of access into areas which could potentially create difficulty for stakeholders in many participating countries. It also extends the impacts of the Bologna Process into other public policy domains, many of which lie outside the remit of Ministers with responsibility for higher education. Equally, it is clear that any extension of the definition of access must be done with a clear vision of the issue to be addressed. Moreover, it should be done in a manner which can be agreed within the BFUG.

The *Trends IV* report (see chapter 12, section 12.5) highlights a key objective of the emerging two-cycle degree system. On completion of the first cycle, it is acknowledged that this should have different orientations, in order to accommodate a diversity of needs including academic, individual and labour market needs. It is a matter of concern that qualifications issued by authorities that have carried out a qualifications reform in accordance with the Bologna principles have failed to secure support and suffer from a '*lack of credibility among students and employers*'.

A process of engagement must be opened with social partners, and specifically employer representative organisations, to explain the developments within the EHEA and to make them receptive to the employability of bachelor graduates. This may also serve to illustrate the need for representatives other than from academia to participate within the governance and decision-making structures of the higher education system.

9.2.3 Good progress on Recognition of Degrees and Periods of Study

The ratification of the Lisbon Recognition Convention by 31 of the participating countries signals a genuine will to recognise foreign qualifications unless there is a substantial difference. Many of the graduates of 2005 will have the Diploma Supplement issued automatically and free of charge, and to the extent that it assists mobility, this is a welcome development. The continued development of ECTS as the 'common currency' will also facilitate mobility. This progress will undoubtedly assist the implementation of other complementary policy initiatives such as EUROPASS.

However, the analysis of the Working Group did not review certain issues such as the quality of the Diploma Supplement. Again, in its contribution, ESIB noted that not all countries followed the format as recommended by the UNESCO/ Council of Europe guidelines, and thus, this detracted from the usefulness of the document issued by the higher education institutions. Similarly, *Trends IV* illustrates a number of difficulties associated with the Diploma Supplement, including demands on students' records systems, costs of translation and the substantial effort to put the technology in place.

While many of the above may be classified as 'implementation difficulties', *Trends IV* also highlights some difficulties associated with recognition, which is the purpose of tools such as the Diploma Supplement and ECTS. For example, it highlights difficulties associated with foreign degrees, including the existence of a variety of validation procedures. It was also interesting to note that despite the existence of inter-institutional learning agreements, individual professors continued to question the acceptability of qualifications. While the level of awareness is increasing, ENIC/ NARICs remain underutilised in terms of co-operation with higher education institutions. All of these issues serve to illustrate that notwithstanding progress with regard to the structural dimension of recognition, a substantial body of work remains to be undertaken to convince all stakeholders to take the principles of the Lisbon Recognition Convention into the higher education institutions – it would seem that a disconnection exists between the aspirations

of Ministries to promote mobility and associated recognition and the exercise of academic autonomy by individual staff members.

Some of the issues identified by the Working Group, along with ESIB and the EUA, emphasise the need for progress on the emerging framework for European qualifications. The report of the Working Group for the European Qualification Framework highlights the contribution that it will play in assisting and facilitating recognition.

9.2.4 Some general considerations

Given the benchmarks developed, Ministers in Bergen can take satisfaction on three particular action lines. It is also important to note that it was not possible for this analysis to measure the scale or rate of progress, which has been dramatic, particularly in the case of late entrants to the Bologna Process. But the strength of the Bologna Process has been its voluntary and collaborative nature. Since the original declaration, an additional 11 countries have joined the Process, and it is likely that this will increase further. However, while increased membership brings richness in diversity to the Process, it emphasises the need to ensure consistency of progress – a chain is as strong as its weakest link. It would do a disservice to the vision of the Bologna Process to develop on the basis of a two- or three-tier speed model, and therefore, participating countries should be prepared to take responsibility to assist each other as we all move towards 2010. Some examples already exist, and the Council of Europe has played a strong role in assisting applicant countries. However, once in the Process, participating countries must be prepared to continue with this support through study visits, receipt of delegations etc. It is also important that a repository of information is built which would promote sharing of experiences and networking. Membership of the Bologna Process must mean more than the opportunity to visit other countries or institutions – it must serve as a catalyst of change, not only for the higher education institutions or the student, but for society in its widest context.

In the mandate given to the BFUG, Ministers requested the identification of possible corrective action where deficiencies were identified. The picture is a positive one, and while the Working Group identifies a series of recommendations, there is nothing new in them. For many countries, they formalise the acknowledged concerns which exist with any major reform process. Based on the report from the Working Group, the BFUG has recommended that action should be taken on a number of issues (see below).

9.3 Considerations by the Bologna Follow-up Group

The BFUG discussed the preliminary report of the Stocktaking Working Group in its April 2005 meeting. The BFUG noted that substantial progress has been made in the three priority areas. It is important to ensure that progress is consistent across all participating countries, and the BFUG will advise Ministers that there is a need for greater sharing of expertise to build capacity at both institutional and government level.

The BFUG noted that the two-cycle degree system is being implemented on a large scale, with more than half of the students being enrolled in it in most countries. However, there are still some obstacles to access between cycles. Ministers may see the need for greater dialogue, involving governments, institutions and social partners, to increase the employability of graduates with bachelor qualifications, including posts within the public service.

The BFUG noted that almost all countries have made provision for a quality assurance system based on the criteria set out in the Berlin Communiqué and with a high degree of cooperation and networking. However, there is still progress to be made, in particular as regards student involvement and international cooperation. Higher education institutions may enhance the quality

of their activities through the systematic introduction of internal quality assurance mechanisms and a direct correlation of these to external quality assurance.

With reference also to the recommendations regarding the follow-up of the Lisbon Recognition Convention (see chapter 8, section 8.3), Ministers are recommended to draw up national action plans to improve the quality of the process associated with the recognition of foreign qualifications.

Some doubts were raised at the BFUG meeting concerning elements in national scorecards, and the stocktaking Working Group was asked to look into these matters. The final decisions relating to the stocktaking report were delegated to the BFUG Board. The Board underlined that the methodology of the stocktaking project can be further developed and that national scorecards should be seen as progress charts and not as absolute measures. Comparison between participating countries would have limited value. The Board also made some further recommendations based on the report from the Working Group:

- Having regard to national competences, a process of formal engagement should be initiated with employer organisations at the national level. The objective of such engagement should be to communicate the process of reform, combined with ensuring the employability of bachelor graduates. This process of engagement should also take place at the European level;
- A Working Group may be established to prepare a report on the issues associated with equitable access, and its conclusion should, if possible, recommend a series of benchmarks to measure action in this area;
- The BFUG should encourage bilateral and multilateral support mechanisms to assist participating countries in the implementation of the various action lines of the Bologna Process;
- The stocktaking process should continue to report on progress for each Ministerial Conference. The process should be resourced appropriately, and mandated to address the actions lines as approved by the BFUG.

10 FIVE NEW PARTICIPATING COUNTRIES

The criteria for admission of new participating countries (members) to the Bologna Process were set by the Berlin Communiqué:

Countries party to the European Cultural Convention shall be eligible for membership of the European Higher Education Area provided that they at the same time declare their willingness to pursue and implement the objectives of the Bologna Process in their own systems of higher education. Their applications should contain information on how they will implement the principles and objectives of the declaration.

10.1 Procedures and requirements

As applicant countries sought guidance on the procedures and requirements for joining the Bologna Process, a document explaining the requirements and procedures was developed by the BFUG Secretariat and approved by the BFUG Board in June 2004. The document was made available to interested parties at the Bologna-Bergen web site.

The purpose of this document was to meet the objective of providing guidance in a fair and transparent manner. It also consolidated the principles and action lines of the Bologna Process into a single document. The document made it clear that although the ten action lines are the main focus of participating countries, it is equally important to observe the underlying principles of the Bologna Process. The establishment of the European Higher Education Area can only be achieved by incorporating these principles in the higher education system of each country:

- International mobility of students and staff;
- Autonomous universities;
- Student participation in the governance of higher education;
- Public responsibility for higher education;
- The social dimension of the Bologna Process (also described as a transversal action line).

Applicant states were requested to confirm their respect for these principles in their applications. Regarding the ten action lines, interested parties were referred to the BFUG Work Programme 2004-2005. The deadline for applications was set to 31 December 2004.

As all participating countries were asked to produce a national report before the Bergen Ministerial Conference, applicant countries were asked to produce a report in a similar format, with a special focus on the three intermediate priorities. Regarding procedures for application, it was made known that the decision to accept new participating countries to the Bologna Process would be taken by the next Ministerial Conference. The role of the BFUG would be to make a recommendation, having satisfied itself of the credentials and commitment of the applicants.

Interested countries were asked to send an application to the Minister responsible for higher education in the host country of the next Ministerial Conference, with a copy to the BFUG Chair. The application, signed by the (national) Minister responsible for higher education, should declare the country's commitment to pursue and implement the principles and objectives of the Bologna Process in its own system of higher education.

10.2 Applications

By the 31 December 2004 deadline, the following states had applied for participation (membership) in the Bologna Process: Armenia, Azerbaijan, Georgia, Kazakhstan, Moldova and

Ukraine. All applications were in accordance with the prescribed procedure. After the deadline, Kosovo also applied.

10.2.1 Applicants party to the European Cultural Convention

Armenia, Azerbaijan, Georgia, Moldova and Ukraine are all party to the European Cultural Convention. All five countries have ratified the Lisbon Recognition Convention.

Ukraine started its preparations for joining the Bologna Process before Berlin. Considerable changes have since been made in legislation to adapt to the Bologna goals, and a number of seminars relating to the Process have been organised in cooperation with international partners, notably the Council of Europe, UNESCO-CEPES and the EUA. An international seminar in May 2004 gave strong support to the Ukrainian efforts.

Armenia, Azerbaijan and Georgia made known their intentions to join the Bologna Process at a Council of Europe Ministerial Conference for the countries of the South Caucasus in May 2004. Since then they have been working actively to adjust their legislation to the Bologna goals, and further seminars have been/will be organised in each country in cooperation with the Council of Europe.

Moldova announced its intention to join the Bologna Process in June 2004 and has since worked actively to prepare for participation, adjusting legislation in active dialogue with the national rectors' conference and organising seminars in cooperation with the Council of Europe.

For all five countries, Bologna has served as a model for reforms in their higher education systems. For all of them the Bologna Process also means a bridge to Europe. All the countries have sent reports giving the information asked for in a satisfactory manner. The necessary national framework for Bologna participation is in place.

Weak points can be found in all the applicant countries, notably old-fashioned teaching methods and possibly uneven standards due to weak national economies. Weak economies also have implications for the social dimension. Quality and quality assurance must be further developed. However, this does not differ from the situation before Berlin, where countries facing similar challenges were welcomed to the Bologna Process.

10.2.2 Applicants not party to the European Cultural Convention

Kazakhstan is not within the group of states that have ratified the European Cultural Convention. According to the criteria laid down in the Berlin Communiqué, the country is therefore not eligible for membership of the EHEA. However, as Kazakhstan is reforming its higher education system along the general lines of the Bologna Process, its interest in the Process is understandable. Organisers of Bologna Seminars may decide at their own discretion to invite representatives from Kazakhstani authorities and institutions.

International negotiations on the future status of *Kosovo* may start in 2005. In the present situation, Kosovo is not eligible for direct membership of the Bologna Process as it is not a state that has ratified the European Cultural Convention. With assistance from the Council of Europe, the EUA and other organisations, the higher education system in Kosovo has been reformed along the lines of the Bologna Process. For higher education in Kosovo, cooperation with European partners is very much needed for further development.

10.3 Considerations by the Bologna Follow-up Group

Based on the applications and reports received, the BFUG decided to advise Ministers in Bergen to welcome Armenia, Azerbaijan, Georgia, Moldova and Ukraine as participating countries (members) in the Bologna Process.

11 2010 AND BEYOND

Under the Luxembourg Chair, the Follow-up Group has had preliminary discussions concerning 2010 and beyond, as the vision of the European Higher Education Area is gradually becoming a reality. It can now be seen that the EHEA will be built on the following structural elements:

- Within the overarching framework for the EHEA, all participating countries will have a national framework of qualifications based on three cycles in higher education, where the levels have a double function: to prepare the student for the labour market and for further competence building. Each level builds on the preceding level, and the qualification obtained will give access to higher levels.
- All participating countries will have national quality assurance arrangements implementing an agreed set of standards and guidelines for the EHEA.
- All higher education institutions in participating countries will recognise degrees and periods of studies according to the Lisbon Recognition Convention.

As first laid down in the Bologna Declaration, the rationale behind the Bologna Process has been to promote lasting employability for European citizens and the international competitiveness of the European higher education system. The Prague Summit has added a further dimension by supporting the idea that higher education should be considered a public good and that it will remain a public responsibility.

The social dimension of the Bologna Process is a constituent part of the EHEA and a necessary condition for its attractiveness and competitiveness. Higher education should be equally accessible to all, and students should be able to complete their studies without obstacles related to their social and economic background.

Built on these fundamental objectives the European Higher Education Area will encompass the following principles:

- Public responsibility for higher education;
- Institutional autonomy;
- Participation of students in higher education governance;
- Cooperation and trust between the participating countries and organisations.

From an EU perspective, the Bologna Process fits into the broader Lisbon agenda, including the goal that the European education and training systems should become a “world quality reference” as stated by the Barcelona summit. In areas like quality assurance, recognition of degrees and study periods and the establishment of a European Qualifications Framework the European Commission plays both a supportive and a complementary role. In other policy areas the two directives on the mobility of students and researchers promote mobility across European higher education.

However, the Bologna Process has its own identity, as can be seen from the perception of the Process outside Europe. This also means that it should be able and willing to share its discoveries and experiences with those countries in its geographical proximity that are willing to engage in quality assurance, qualifications frameworks and descriptors, or curricula for a changed degree structure. In line with the organising principle of the Bologna Process, providing this type of assistance and, in a more general way, giving information is a communal effort made by all participants. In order to make European higher education attractive in other regions of the world, it is furthermore important to support universities that encourage quality in Europe and the perception of that quality outside Europe.

11.1 The governance of the Bologna Process

The Bologna Process started off as a process of inter-governmental cooperation, the Bologna Declaration having been signed by 29 ministers of education. However, from its inception the Process has relied heavily on the participation of the academic community and student representatives. It is thus based on cooperation and trust between the partners.

Moreover, the European Commission, the Council of Europe and UNESCO have taken part in the shaping and implementation of the Process. The European Commission has increasingly contributed to organising and supporting various activities and seminars through its programmes.

The Bologna Process is thus based on voluntary cooperation between different national systems overseen by the Bologna Follow-up Group, and involving a number of partners. There is no legally binding provision except for the Lisbon Recognition Convention, the arrangement being based on mutual trust. Participating countries have adapted their legislation to the principles and objectives of the Process, and higher education institutions are committed to implementing them. The European Higher Education Area consists of 40/45 individual systems.

However, developments in higher education will not stop in 2010. As the EHEA should be seen as a common framework for the time after 2010, Ministers may ask the Follow-up Group to explore appropriate arrangements needed to support the continuing development of the European Higher Education Area.

12 PARTICIPATING INTERNATIONAL INSTITUTIONS AND ORGANISATIONS

12.1 The European Commission

The Bologna process coincides with Commission policy in higher education supported through European programmes and notably Socrates-Erasmus. From an EU perspective, the Bologna process fits into the broader *Lisbon Strategy*, launched in March 2000. In March 2002 the European Council concluded that the European education and training systems should become a “*world quality reference*”. In March 2005, the Council confirmed that knowledge is at the heart of the Lisbon Strategy. A new Commission Communication “Mobilising the brainpower of Europe: enabling universities to make their full contribution to the Lisbon Strategy” of April 2005¹ will stimulate debate on how to enable universities to make their full contribution to the Lisbon Strategy.

From an EU perspective, there is an obvious link between the Bologna Process and the *Copenhagen process* on enhanced European co-operation in Vocational Education and Training, launched in December 2002. The Commission has taken several initiatives to establish synergies between the two processes in important fields such as transparency of qualifications (EUROPASS), credit transfer, quality assurance and the European Qualifications Framework.

12.1.1 Quality Assurance

The Commission has actively supported the realisation of the ENQA Mandate (cf Chapter 7) and the networking activities of ENQA.

The Commission adopted in October 2004 a proposal for a Parliament and Council *Recommendation* on further European cooperation in quality assurance in higher education². In this proposal, the Commission suggests giving universities the freedom to choose registered agencies according to their profile and calls upon Governments to accept assessments made by such agencies as a basis for funding and licensing decisions.

The Commission supports higher education institutions building up their own internal quality assurance capacity through pilot schemes, organised by the EUA. The Commission helps setting up *quality labels* in special highly internationalised fields, such as Engineering and Chemistry. The Commission also supports pilot projects on the evaluation of *Joint Masters*, both internally (EUA) and externally (ENQA). The pilot helps institutions to introduce internal quality assurance mechanisms, improve their quality levels and being better prepared for external evaluations. It has also demonstrated the need for strong university leadership and university autonomy in developing a quality culture.

12.1.2 Towards a European Qualifications Framework

The Commission supports initiatives enhancing the comparability and compatibility of qualifications and notably the university project “Tuning Educational Structures in Europe” in which professors from 135 universities seek to describe the content of qualifications in up to 25 different subject areas in terms of workload, level, learning outcomes, competences and profile. Templates with short descriptions of bachelor and master level competences in a first series of disciplines will be made public in springtime 2005 and will be made subject to an external validation process.

¹ COM (2005) 152 final, 20.04.2005

² COM(2004) 642 final Brussels, 12.10.2004

The Commission has supported the design of the overarching framework of qualifications for the European Higher Education Area against which national frameworks would articulate cf. chapter 6.

As part of its Lisbon mandate, the Commission has started work on the design of a European Qualifications Framework (EQF) for Lifelong Learning, taking into account of the work done in the Bologna and Copenhagen context. A Commission Consultation Document on EQF will be published in June 2005.

12.1.3 Recognition of Degrees and Periods of Study

The Commissions has taken several initiatives to promote ECTS, including an ECTS Label for institutions which use ECTS in all first and cycle degree programmes.

In parallel, the institutions may apply for a Diploma Supplement label. EUROPASS integrates different transparency instruments developed for vocational training and brings them together into a single European Framework for Transparency of Qualifications and Competences, which includes the Diploma Supplement, used in higher education.

The Commission continues to support the NARIC Recognition Information network of credential evaluators, cooperating closely with the parallel network of ENIC centres coordinated by the Council of Europe and UNESCO-CEPES. The two networks have adopted an *ENIC/NARIC Charter*, outlining the Terms of Reference of a fully operational Recognition Information Centre. They have also established a list of *persistent recognition problems* to be addressed by the competent authorities.

12.1.4 Promotion of Mobility

The Commission will seek to increase mobility figures even further, based on the use of both public and private funding. The Commission supports activities aiming at mapping student and teacher mobility, eliminating obstacles to mobility and enabling the portability of national loans and grants. The proposal for a new Integrated Program for Lifelong Learning 2007-2013 (succeeding Socrates and Leonardo) aims at tripling the European mobility figures.

12.1.5 European Higher Education Area and European Research

In July 2003, the Commission adopted a Communication "Researchers in the European Research Area, One Profession, Multiple Careers"³, which recommends that doctoral programmes take into account broader needs of the labour market and integrate structured mentoring as an integral part. In March 2005, the Commission adopted the European Charter for Researchers⁴ which defines roles and responsibilities of researchers, including of doctoral candidates.

As a concrete step, the Commission has supported in 2004-2005 a pilot project examining the status of doctoral candidates, the functioning of doctoral programmes in Europe, ways to improve them and to promote pooling of resources in cross-border activities and programmes.

12.1.6 Promotion of the European Dimension in Higher Education

The Commission helps universities develop integrated study programmes through Socrates-Erasmus Curriculum Development Projects. The implementation of integrated programmes is supported through Socrates-Erasmus student and staff mobility and Intensive Programmes (like summer courses). Special support for the implementation of Joint Masters is provided as from 2004 through the programme Erasmus Mundus, with 36 joint master courses, involving 140 universities and more to come.

³ COM(2003) 436 final of 18.07.2003

⁴ COM (2005)576 final of 11.03.2005

12.1.7 Promoting the Attractiveness of the European Higher Education Area

The Commission will award up to 8000 scholarships to students and scholars from other continents and from Europe in the framework of the Erasmus Mundus programme. Through this programme, the Commission will also support a marketing strategy for European higher education, bringing European quality and distinctiveness higher up the attention scale of the best partners, students and scholars world-wide.

12.1.8 Stocktaking

The Commission, through the Eurydice Network, has helped undertake the stocktaking exercise (cf. chapter 9) in close cooperation with the Bologna Board and the Bologna Secretariat. The Commission also supported the EUA survey (Trends IV) and the student survey by ESIB.

12.1.9 Bologna Promotion, Seminars and Conferences

The Commission supports National Teams of Bologna Promoters, the production of Bologna information and a series of Bologna events, seminars and conferences, including the Glasgow Higher Education Convention of EUA and the Bergen Ministerial Conference.

12.2 The Council of Europe

12.2.1 Contributions to the overall process

The Council of Europe has organised or co-organised Bologna seminars on the Public Responsibility for Higher Education and Research (Strasbourg, September 2004), on New Generations of Policy Documents and Laws for Higher Education (Warsaw, November 2004) and Improving Recognition Systems of Degrees and Periods of Studies (Riga, December 2004). Members of the Council's Steering Committee for Higher Education and Research (CDES), of the Lisbon Recognition Convention Committee and the ENIC Network, and of the Council of Europe Secretariat have contributed to the Working Group on Qualifications Frameworks as well as to a number of Bologna Seminars as rapporteurs and speakers.

The CDES has considered issues of relevance to the Bologna Process and constitutes a unique pan-European forum of both academic and government representatives.

The Lisbon Recognition Convention Committee and the ENIC and NARIC Networks⁵ are the most important forums for the development of recognition policies within the European Higher Education Area. In 2004, the Convention Committee adopted the Recommendation on the Recognition of Joint Degrees as a subsidiary text to the Council of Europe/UNESCO Convention as well as the ENIC/NARIC Charter, while the ENIC and NARIC Networks adopted a new information strategy aimed at making it easier for learners, employers and others to obtain relevant information on recognition. The ENIC and NARIC Networks adopted the Strasbourg Statement on their contributions to the Bologna Process.

12.2.2 Building bridges to new and future members

The Council of Europe has taken on a special responsibility for building bridges between the Bologna Process and countries that have joined the Process recently or that have yet to do so. This has been done through conferences, seminars and policy advice. The events have in general included representatives of Ministries, higher education institutions (mostly through the EUA) and ESIB among international experts as well as from the host country.

⁵ The European Network of National Information Centres on academic recognition and mobility is served jointly by the Council of Europe and UNESCO; the Network of National Academic Recognition Information Centres by the European Commission. The ENIC and NARIC Networks hold joint annual meetings. See <http://www.enic-naric.net>.

Such events include:

- A regional conference for the four South East European countries that acceded to the Bologna Process in 2003 (Albania, Bosnia and Herzegovina, Serbia and Montenegro and “the former Yugoslav Republic of Macedonia”), held at Council of Europe Headquarters in Strasbourg in December 2003;
- An informal conference of the Ministers of Education of Armenia, Azerbaijan and Georgia, held at Council of Europe Headquarters in Strasbourg in December 2003;
- A regional conference on student participation for 7 countries, held at the Russian University of Peoples’ Friendship in July 2004 with participants from Armenia, Azerbaijan, Belarus, Georgia, Moldova, Russia and Ukraine.
- Extensive advice on legislation and higher education policy in Bosnia and Herzegovina through the Education Unit of the Council of Europe Office in Sarajevo and international experts;
- Advice on higher education legislation in Armenia;
- National conferences and seminars in countries party to the Bologna Process: Albania, Bosnia and Herzegovina, Russia, Serbia and Montenegro and “the former Yugoslav Republic of Macedonia”;
- Projects on the reform of law faculties in Albania and Bosnia and Herzegovina;
- National conferences and seminars in countries applying for accession to the Bologna Process in 2005: Azerbaijan, Georgia, Moldova and Ukraine.

12.2.3 Publications

The Council of Europe Higher Education Series was launched in 2004.

The first two volumes:

1 *The University as Res Publica* (November 2004),

2 *The Public Responsibility for Higher Education and Research* (April 2005),

both address key issues in the Bologna Process. Future topics will include recognition and higher education governance as well as a compilation of the Council of Europe/ UNESCO Convention and its subsidiary texts.

12.3 UNESCO-European Centre for Higher Education (UNESCO-CEPES)

12.3.1 Addressing issues relevant to the Bologna Process

UNESCO-CEPES has promoted co-operation in European higher education which contributed to the implementation of the objectives and principles of the Bologna Process, while also paying attention to the external dimension of the process. In this respect, UNESCO-CEPES has organised or co-organised seminars on *Doctoral Degrees and Qualification in the Context of the European Higher Education Area and the European Research Area* (Bucharest, September 2003), on *Ethical and Moral Dimensions for Higher Education and Science in Europe* (Bucharest, September 2004), and on *New Generations of Policy Documents and Laws for Higher Education: Their Thrust in the Context of the Bologna Process* (Warsaw, 4-6 November 2004). These events were based on thorough surveys, case studies and debates, and have been concluded with statements or declarations that included mobilising recommendations for new policy initiatives, as well as with informative publications that were widely distributed to those concerned. At the same time, UNESCO-CEPES has co-operated closely with various partners in the monitoring of developments specific to transnational or cross-border provision of higher education in the UNESCO Europe Region.

UNESCO-CEPES and the Council of Europe serve as Co-Secretariats of the ENIC Network, which co-operates with the NARIC Network of the European Union in addressing academic recognition matters at the European level. In this context, and also in view of the implementation of the Council of Europe/UNESCO Lisbon Recognition Convention, appropriate recognition

policies within the European Higher Education Area have been developed. The ENIC and NARIC Networks adopted the ENIC/NARIC Charter and the Strasbourg Statement. The networks have also developed their co-operation with ENQA, and are further exploring appropriate ways for building up a stronger partnership on matters of common interest related to the implementation of the Bologna Process.

12.3.2 Support to the Countries Applying for Accession to the Bologna Process

UNESCO-CEPES promoted and assisted, together with the Council of Europe and the European University Association (EUA), the organisation of the international seminar on *Higher Education in Ukraine and the Bologna Process* (13-14 May 2004, Kiev, Ukraine). UNESCO-CEPES contributed to the elaboration of the report on the state of the Ukrainian system of higher education from the perspective of the objectives of the Bologna Process and to the elaboration of a set of recommendations with a view to the further reform of Ukrainian higher education. A monograph on Ukrainian higher education has also been published in order to provide updated information to credential evaluators and to all those interested. UNESCO-CEPES, through its representatives, has also participated in conferences or seminars and provided policy advice to other countries that have joined recently or plan to join the Bologna Process.

12.3.4 Publications and Information

UNESCO-CEPES has acted as a clearinghouse for information on issues related to higher education in general and the Bologna Process in particular, and has published monographs on certain national higher education systems, research papers, documents and studies. In this context mention should be made of:

- Monographs on *Higher Education in the Republic of Moldova* (2003), *Ukraine* (2005), *Turkey* (2005);
- Papers on Higher Education: *Quality Assessment and Accreditation: A Glossary of Basic Terms and Definitions* (2004);
- Studies on Higher Education: *Doctoral Studies and Qualifications in Europe and the United States: Status and Prospects* (2004), and *Indicators for Institutional and Programme Accreditation in Higher/Tertiary Education* (2004);
- Quarterly review *Higher Education in Europe* with the following topics: *The External Dimension of the Bologna Process: Higher Education in South East Europe and the European Higher Education Area in a Global World* (Vol. 28, No. 3, 2003); *Public Relations: An Instrument for the Transformation and Development of Higher Education* (Vol. 28, No. 4, 2003); *Thematic Reflections on Higher Education* (Vol. 29, No. 1, 2004); *Entrepreneurial Studies in Higher Education* (Vol. 29, No. 2, 2004); *Brain Drain and the Academic and Intellectual Labour Market in South-East Europe* (Vol. 29, No. 3, 2004).

12.4 ESIB – The National Unions of Students in Europe

12.4.1 Spreading information / raising awareness

Since Berlin, ESIB's Bologna Process Committee has organised training for member unions on several occasions. For the Socrates countries, financial support has been made available by the EU Commission. Two training events have taken place and a third is planned for July 2005. Members were divided into groups according to the state of implementation of the Bologna reforms in their respective countries. The training focused on the various action lines of the Process (degree structure, recognition, quality assurance, etc.) but also on ongoing or future developments (qualifications frameworks, learning outcomes, etc). Training has also been organised in connection with events of regional networks of members (Nordic, South-Eastern Europe, Benelux, etc.) and for student representatives in countries where no national union of students exists.

A seminar will be organised in May 2005 to prepare for the Bergen Ministerial Conference and to discuss the future of the Bologna Process amongst student representatives. All members of ESIB are invited and 130 participants are expected.

Members of the Bologna Process Committee have been invited to a number of meetings organised by the member unions of ESIB. Advice has been sought, especially when member unions were involved in the process of developing higher education legislation, but also when they wanted to contribute to a better implementation of Bologna-related reforms.

In order to spread information and to keep the members and the partners up to date with ESIB activities relating to the Process, electronic newsletters have been produced. For the members, an internal newsletter is regularly produced. ESIB's partners have been informed of the activities by external newsletters, the "European Student Voice" and the "Link". The ESIB web site has continuously been updated with a number of relevant documents

12.4.2 Promoting the views of the students in Europe

As a consultative member, ESIB has taken an active part in the work of the BFUG and its Board. Policies adopted by the members of ESIB were promoted during meetings. ESIB has also contributed to the activities of various BFUG Working Groups.

ESIB produced, with the contribution of its members, the "Luxembourg Student Declaration", which outlines the students' position towards the Bergen summit.

12.4.3 ESIB participation in Bologna Follow-up Seminars

Representatives of ESIB participated and made contributions in almost all the Bologna Follow-up Seminars and co-organised two (with Slovenia on employability in October 2004 and with France on the social dimension in January 2005). In this way ESIB contributed to the deepening of the work of the BFUG and the areas related to the Bologna Process. ESIB representatives have also participated in other Bologna-related seminars.

12.4.4 Surveys

Surveys covering all action lines carried out by ESIB among its members will give a student perspective of the Bologna reforms all over Europe. The results will show the impact on the life of students around Europe but also the problems that still remain. Such surveys have also given input to the BFUG stocktaking process.

12.5 The European University Association (EUA)

12.5.1 From Graz to Glasgow: Strong Universities for Europe

Assisting members with the implementation of the Bologna Process has been a key issue for EUA during the period that has spanned the Berlin to Bergen ministerial conferences. Based upon the 2003 Graz Declaration, the EUA Action Plan 2004/2005 set the framework for EUA to explore emerging issues and develop policy on behalf of its 753 members in key areas, and to provide support to its members in the implementation of the Bologna reforms.

This work has been carried out through pilot projects and programmes, member services, studies for publication, conferences, seminars, and workshops on key Bologna Action Lines. EUA has also made a particular effort to support the integration of institutions in new Bologna participating countries.

Bologna Engagement

Since 2003, awareness of and engagement with the Bologna reforms has been raised considerably across Europe's universities through the dissemination of the report *Trends 2003: Progress towards the European Higher Education Area*. Building on the opportunity that this interest offered, EUA has worked to support universities to enhance European cooperation, and promote exchange of knowledge through its activities. EUA has also represented the academic community in the various Bologna seminars held during this period, acting as co-organisers and speakers on numerous occasions, and widely disseminated the results.

Quality

EUA's involvement with the European higher education quality theme continues on two levels. Firstly, EUA maintains active engagement with the policy debates on the development of the European dimension to quality assurance, and has contributed through the work of the E4 in preparing the ENQA report. Secondly, EUA continues striving to assist members to improve their own institutional quality enhancement processes and to develop beneficial relationships with national quality assurance agencies building on the recognition by ministers in the Berlin Communiqué of the primordial role of universities in this process. Expertise along thematic lines of internal quality processes has been developed and shared through three rounds of Quality Culture projects (involving in total over 141 higher education institutions in 38 countries) as well as in EUA's own Institutional Evaluation Programme that celebrated its 10th anniversary in 2004. In addition, a new project was launched to develop an evaluation methodology for internal quality assurance procedures of Joint Master programmes.

Research

The need to promote closer links between the EHEA and the ERA, acknowledged by Ministers of Education in Berlin, has correspondingly led to a period of heightened activity by EUA in relation to European research policy debate and to ensuring that the link between teaching and research be maintained and its implications better understood. EUA has concentrated much of its efforts in exploring the special position of universities for conducting research and training the new generation of researchers. Issues such as the structure and organisation, financing and innovative practice in doctoral programmes in European universities have been explored in EUA's Doctoral Programme Project. The results of this project were fed into the Salzburg seminar (chapter 4, section 4.13). One of EUA's three conferences in 2004, "Research Training as a Key to a Europe of Knowledge", hosted by the University of Maastricht, further considered the changing nature of researcher careers and the unique role of universities in training researchers. EUA also included analysis of these issues in the *Trends IV* report (see below) in addition to the three stocktaking priorities to which reference is made in the Berlin Communiqué.

Other projects

EUA has acted as a conduit for its members' concerns in the Bologna discussions on the development of a European Qualifications Framework, and continues to encourage good use of ECTS and coherent curriculum development in line with the Bologna structural changes and shift towards student-centred learning. Work on these issues and broader issues of institutional governance has been undertaken particularly in South-East Europe, where EUA makes a conscious effort to disseminate knowledge and experience in institutions facing specific challenges of post-Communist transition and post-conflict regeneration. South-East Europe continues to be a geographic region of specific priority in EUA's Action Plan.

Preparation of the Glasgow Convention and the Glasgow Declaration

EUA organised three conferences in the course of 2004 as preparation for the Glasgow Convention. In addition to the Maastricht conference mentioned above, these were the conference "University and Society: Engaging Stakeholders" (June 2004) at the University of Turin, focusing

on the implications for academic values of massification, globalisation and competition, and the conference “University and Society: Engaging Stakeholders” (April 2004), hosted by the Université de la Méditerranée (Aix-Marseille II), which explored the need to increase stakeholder engagement in universities. Discussions in Glasgow were based upon these conference discussions, as well as the results of EUA’s pilot projects and the findings of *Trends IV*. The participation of more than 600 universities and partners demonstrated the commitment of the academic community to making the Bologna reforms a success while at the same time allowing Europe’s university leaders to discuss the Bologna reforms in the wider debate on the role of the university in society, and to draw conclusions and make recommendations both to governments and higher education institutions for the coming period.

12.5.2 *Trends IV*: Assessing Implementation in Universities

The *Trends IV* report provided important input to EUA’s Glasgow Convention discussions and represents EUA’s contribution to the stocktaking process. The production of the *Trends IV* report has required a collective effort of Europe’s higher education institutions to gain information on the ways in which institutions are responding to the Bologna reforms. The findings are based on 62 institutional site visits in 29 countries and analyse progress made hitherto with the implementation of the Bologna reforms inside institutions, as well as presenting the impact of reforms on other institutional development processes. While the research findings contained in the report are qualitative in nature, and therefore do not provide statistical certainty, *Trends IV* provides an in-depth and the most up-to-date snapshot of the state of implementation of Bologna reforms in Europe’s universities.

Embracing Reform

The findings regarding attitudes to reform in universities contrast sharply with the views expressed by institutional leaders only two years ago through the *Trends III* questionnaires. General acceptance of the need for reforms seems to be widespread in universities. Indeed, many institutions have made great efforts to “internalise” the reform process, incorporating Bologna issues into their own institutional strategies and activities. In many cases, reforms are recognised as an opportunity to address problems which have long been known to exist. The overwhelming perception from the site visits is that actors in institutions are now facing and tackling the challenges of implementation with commitment and energy.

Coping with Reform

Criticism of the reforms from within universities tends not to focus on the purpose of reform – there is considerable consensus that change is needed - but rather upon the extent to which reforms are, or are not, being supported. Often implementation is being hindered by lack of the necessary institutional autonomy to make key decisions or the additional financial resources for universities to cope with such a major restructuring exercise and the new tasks which have emerged as part of the reforms. At the same time, the role of leadership within universities is also critical: wherever the leadership is providing strong and positive support to the process, allowing enough space for internal deliberation, progress is smoother.

The introduction of three cycles

Considerable progress has been made in introducing three-cycle structures across Europe, although there are still some legislative obstacles to structural reform in a few countries five years after the signing of the Bologna Declaration. Many institutions, however, have now reached the heart of the transition process. Structural change must be matched with proper redevelopment of the curricula, and often this has not been completed. Confusion sometimes exists regarding the objectives of the first cycle degree (which many mistakenly regard as a compressed version of former long-cycle programmes), and in many cases there has not been adequate time for

institutions and academics to address reforms in a comprehensive way and to benefit from the opportunities offered through restructuring of the curricula.

The impact of structural reforms

All too often, Bologna is still conceived as essentially a process of harmonising degree structures. *Trends IV* illustrates that, although much progress is being made, the process of moving towards a comprehensible three-cycle system throughout Europe is a highly complex cultural and social transformation that has set off a chain of developments with their own dynamics in different contexts. While changes to the length of studies can be described easily, measuring their significance and their impact requires much greater and more sophisticated analysis: for example, the acceptance of new first-cycle qualifications in society, the extent to which these new qualifications meet the needs of the labour market, and the implications of a pedagogical shift to student-centred learning.

Employability of first cycle graduates

In the majority of universities visited concerns were expressed about the employability of first cycle graduates. Indeed, in countries moving away from a long first cycle, many academics are not ready yet to trust fully the new first cycle qualifications, and are frequently advising their students to remain in higher education until the end of the second cycle. On the other hand, institutions in countries where the structural reforms began earlier report far fewer problems of labour market acceptance of first cycle graduates – indicating that countries experiencing difficulties are perhaps simply at an earlier stage of a normal transition. However, significant differences do exist between the disciplines. The findings also show that more public debate on the reforms is needed and suggest that public authorities are lagging behind in adapting their own career structures to accommodate new first cycle qualifications. Professional bodies – especially in regulated professions – also play an important role. The report includes both examples of areas in which professional bodies encourage new programmes, and others where there are major obstacles. Meanwhile, many institutions themselves are also still not addressing seriously the needs of local, regional, national and international employers when constructing their new study programmes.

Enhancing quality

The study's findings show that universities are increasingly aware of the importance of improving the quality of their activities, and this is expressed in a wide range of processes that go far beyond formal and obligatory responses to the requirements of external quality assurance. While the need for improved cooperation between institutions and quality assurance bodies is undisputed, *Trends IV* points to a range of other factors, including student participation, which have a very direct impact on quality improvement. Notably there is clear evidence that success in improving quality within institutions is directly correlated with the degree of institutional autonomy. Institutions which display the greatest ownership of internal quality processes are also those with the most functional autonomy.

Recognition of qualifications

Improved quality is regarded as one of the keys to more automatic recognition of qualifications across Europe. The site visits show that considerable progress in recognition is being made, but again there is a need to do more to ensure a systematic use of the commonly agreed Bologna transparency tools, in particular ECTS and the Diploma Supplement. The Diploma Supplement is certainly being introduced in all the countries visited, in line with the commitment of the Berlin Communiqué, but in addition to technical problems, the challenge of providing clear information about learning outcomes remains. Meanwhile ECTS is being widely used for “student transfer”, and generally seems to work well. However, it is still often perceived as a tool to translate national systems into a European language, rather than as a central feature of curriculum design.

Thus, strengthening efforts to mainstream these European tools in institutions across Europe continues to be a priority.

The link between higher education and research

In relation to their teaching and research missions institutions and individual academics often experience a pull in different directions by the conflicting demands placed upon them. According to many academics, the necessary focus upon re-structuring curricula and the challenges of designing new study programmes and putting in place additional counselling and support for more flexible learner-centred teaching have meant that they have less time than before to devote to their research activities. This is a particular cause for concern in view of the growing awareness at European level of the need to enhance the attractiveness of research careers, and underlines the importance of linking the higher education and research agendas. There is so far little evidence that such discourse has been translated into concrete action and prioritised in universities.

Conclusions

Trends IV shows that continuous reform and innovation is already a reality - and the only serious option - at many universities, and that many factors are combining to affect the nature and success of these complex processes. If reforms are to be successful, there needs to be a much greater awareness throughout society that this current period represents a major cultural shift which is transforming long-accepted notions of higher education and that implementing the reforms in a sustainable way needs time and support. Governments must be sensitive to the fact that the goals will not be achieved simply by changing legislation. Institutions need more functional autonomy as a fundamental condition for successful reform, and accept that this implies strengthening governance structures, institutional leadership and internal management. The question of the funding of reform has to be addressed and with it the broader issues of investment in higher education as a means of meeting the demands of Europe's developing knowledge societies. After all, Europe's strength derives from the conception of higher education as a public responsibility responding to societal needs, and this requires the commitment to a long-term and sustainable public funding base.

13 THE ACTIVITIES OF THE BOLOGNA FOLLOW-UP GROUP (BFUG)

13.1 Meetings of the BFUG

The Follow-up Group has met once under each of the successive chairmanships of Italy, Ireland and the Netherlands, and three times during the chairmanship of Luxembourg (the last meeting being held on 18 May 2005 in Bergen). Norway has been Vice-Chair in the whole period from Berlin to Bergen.

13.1.1 Meeting of the Bologna Follow-up Group in Rome, 14 November 2003

- Short debriefing after the Berlin Conference
- The ENQA work plan in view of the work to be accomplished in accordance with objectives defined in the Berlin Communiqué
- The EU Commission Communication “From Berlin to Bergen, the EU contribution”
- Discussion and approval of a draft document tabled by the Chair:
 - responsibilities and composition of the Board
 - tasks of the Secretariat
 - priority issues for the work programme 2003-2005
 - deadline for submission of proposals for Bologna events
- Deadline for candidatures for General Rapporteur to the Bergen Conference
- Deadline for candidatures for hosting the next Ministerial Conference in 2007
- Communication of the Norwegian delegation on the Bergen Ministerial Conference

13.1.2 Meeting of the Bologna Follow-up Group in Dublin, 9 March 2004

- BFUG Work Programme 2003-2005
- Bologna Follow-up Seminars 2003-2005
- An Overarching Qualifications Framework for the EHEA
- Organisation of the Bologna Process Stocktaking 2005
- Reporting to the 2005 Ministerial Conference
- Supporting new Member Countries
- Progress report from ENQA
- Contributions from the EU Commission
 - EUROPASS
 - Report on European co-operation in quality assurance
 - Financing activities of the BFUG Work Programme
 - Promoting Bologna
- Information from partners in the Bologna Process

13.1.3 Meeting of the Bologna Follow-up Group in Noordwijk, 12-13 October 2004

- ENQA project on quality assurance (status report)
- Working Group on Stocktaking (status report)
- Working Group on Overarching Qualifications Framework (status report)
- BFUG follow-up of seminars in the BFUG Work Programme
- Further Accessions to the Bologna Process: Procedures for evaluation of applications and reports from potential new members
- Invitations to the Bergen Ministerial Conference
- Programme outline for the Bergen Ministerial Conference
- A first discussion on issues for the Bergen Communiqué
- Deadline for candidatures for the following Ministerial Conference
- Contributions from BFUG members and consultative members (for information)

13.1.4 Meeting of the Bologna Follow-up Group in Mondorf, 1-2 March 2005

- ENQA project on quality assurance
- Project on an Overarching Qualifications Framework for the EHEA
- The Stocktaking Project
- National Reports 2004-2005
- General report “From Berlin to Bergen”
 - Outline of the report
 - Bologna Follow-up Seminars
- Challenges regarding mobility
- Applications for participation in the Bologna Process
- Possible Bologna Partnership with other regions
- Criteria for new consultative members and BFUG Partners
- The Bergen Ministerial Conference
- Drafting the Bergen Communiqué
- Draft discussion document for the Bergen Conference (The EHEA beyond 2010)
- Contributions from BFUG members and consultative members (for information)

13.1.5 Meeting of the Bologna Follow-up Group in Mondorf, 12-13 April 2005

- A European Quality Assurance Register Committee
- General report “From Berlin to Bergen”
- Applications for participation in the Bologna Process
- New consultative members and BFUG Partners
- The Bergen Ministerial Conference
- Draft discussion document for the Bergen Conference (The EHEA beyond 2010)
- The Stocktaking Project
- Drafting the Bergen Communiqué
- Preliminary discussion on possible Ministerial Conferences 2007/9/10
- Procedure for election of new Board members

13.2 The Board of the Bologna Follow-up Group

The Berlin Ministerial Conference decided that a Board chaired by the EU Presidency shall oversee the work between the meetings of the Follow-up Group. The Board is composed of the Chair, the next host country as Vice-Chair, the preceding and the following EU Presidencies, three participating countries elected by the Follow-up Group for one year, the European Commission and, as consultative members, the Council of Europe, the EUA, EURASHE and ESIB. For the first period after Berlin, Austria, Belgium and Finland were elected Board members, and for the second period, Latvia, Malta and Slovenia.

The BFUG Board was given a more detailed mandate by the BFUG meeting in Rome on 14 November 2003. The Board shall support the BFUG in its activities and provide efficiency to the management of the Bologna Process, at the same time assuring its continuity. As such, the responsibilities of the Board consist in coordinating and monitoring the effective implementation of the Work Programme. The BFUG may also delegate to the Board to carry out tasks which it deems to be appropriate and necessary to achieve the objectives of the Bologna Process. In line with these responsibilities, the Board shall prepare matters for discussion in the BFUG. If urgent decisions have to be taken on specific issues, the Board will consult the BFUG members by e-mail before taking any decision.

The BFUG Board met on 15 November 2003 in Rome, 29 January 2004 in Oslo, 14 June 2004 in Dublin, 13 September 2004 in The Hague, 9 December 2004 in Oslo (Ask), 25 January 2005 in Brussels, 11 April 2005 in Mondorf, 26 April 2005 in Luxembourg and 18 May 2005 in Bergen.

13.3 The BFUG Secretariat

In their work between Berlin and Bergen, the Follow-up Group and the BFUG Board have been assisted by a Secretariat set up by Norway as host country of the Bergen Ministerial Conference. The Secretariat has assisted the Chair in the preparation of documents for the successive Board and BFUG meetings, and has assisted the host country in the preparations for the Bergen Conference.

All documents and reports referred to in this general report are available on the web page operated by the Secretariat at <http://www.bologna-bergen2005.no>.

Working documents for the BFUG and the Board in the period from 2003 to 2005 have been available “Behind the Curtain” at <http://www.bologna-bergen2005.no/b/hind.htm>. When the Norwegian Bologna Secretariat ceases to exist on 30 June 2005, the web page will be “frozen” and will constitute the archives for the Bologna Process for the 2003-2005 period, available for all interested parties.



EUROPEAN COMMISSION
Directorate-General for Education and Culture

Life Long Learning: Education and Training policies
School Education and Higher education

Brussels, 7 May 2007

FROM BERGEN TO LONDON

The contribution of the European Commission to the Bologna Process

1. The modernisation agenda for higher education

The European Commission aims to support Member States in their efforts to modernise higher education systems, in all their areas of activity making them more coherent, more flexible, and more responsive to the needs of society. Modernisation is needed in order to face the challenges of globalisation and to develop the skills and capacity of the European workforce to be innovative. Reforms should enable universities to play their role in the Europe of Knowledge and make a strong contribution to the Lisbon Strategy for Growth and Jobs. The Commission has pointed to three broad areas of possible reform in higher education:

- Curricular reform: The three cycle system (bachelor-masters-doctorate), competence based learning, flexible learning paths, recognition, mobility.
- Governance reform: University autonomy, strategic partnerships, including enterprises, quality assurance.
- Funding reform: Diversified sources of university income better linked to performance, promoting equity, access and efficiency, including the possible role of tuition fees, grants and loans.

In May 2006, the Commission published a Communication pointing to nine areas, where action would help deliver the modernisation agenda for universities in education, research and innovation¹. The first measure listed calls for a break down of the barriers around the universities of Europe. A major effort should be made to achieve the core Bologna reforms by 2010: comparable qualifications (short cycle, bachelor, master, doctorate); flexible, modernised curricula at all levels which correspond to the needs of the labour market; and trustworthy quality assurance systems. This requires targeted incentives from the national authorities responsible in order to ensure proper take-up of the reforms rather than mere superficial compliance with the standards. Curricula in specific disciplines or professions should be renovated, drawing on comparisons and best practice at European level. The Communication was written at the request of the European Council in Hampton Court (UK) and fully endorsed at its June 2006 meeting in Brussels.

¹ "Delivering on the Modernisation Agenda for Universities: Education, Research and Innovation"
COM(2006)208 final, of 10.5.2006 - http://ec.europa.eu/education/policies/2010/doc/comuniv2006_en.pdf

The Commission works with Member States and the higher education sector to help implement the modernisation agenda as part of the Community Lisbon Programme, through what is called the Open Method of Coordination (involving dialogue among clusters of policy makers and experts, peer-learning activities, indicators, benchmarks, reports and analyses), by taking special initiatives (Quality Assurance, ECTS, EQF, EIT etc.) and by supporting the initiatives of others (pilot projects, associations, networks etc.). The Commission participates as a full member in the Bologna Follow-up Group and the Bologna Board.

Grant support is provided through European programmes, notably Erasmus, Tempus and Erasmus Mundus. The new Action Programme in the Field of Lifelong Learning² (2007-2013) continues the Erasmus Action and includes multilateral projects supporting the modernisation agenda for universities. Erasmus Mundus has launched important new initiatives in promoting the worldwide attractiveness of European institutions, alongside the support provided for joint Masters Courses which are themselves a major contribution to the European Higher Education Area.

Support for the modernisation agenda is also provided through the implementation of the 7th EU Framework Programme for Research and the Competitiveness and Innovation Programme, as well as the Structural Funds and EIB loans.

The Bologna Process, aiming at establishing a European Higher Education Area by 2010, should be seen in the context of broader initiatives to support the creation of a Europe of knowledge. Thus the Copenhagen Process promotes enhanced European co-operation in Vocational Education and Training. To establish synergies between Copenhagen and Bologna, the Commission has brought forward its proposal for the European Qualifications Framework for lifelong learning (EQF). This is linked to and supported by other initiatives in the fields of transparency of qualifications (EUROPASS), credit transfer (ECTS-ECVET) and quality assurance (ENQA-ENQAVET). Of similar importance is the link between the European Higher Education Area and the European Research Area (EHEA and ERA), which is embedded in the current round of the Bologna Process, inter alia through the attention given to doctoral level activities.

The current paper sets out the EU contribution to the Bologna process, provided by the European Commission, in partnership with the higher education sector and supported through Erasmus, Tempus and Erasmus Mundus. An overview of Commission supported initiatives is attached to this paper.

The paper starts with the three reform priorities in the Bologna Process and explains the Commission contribution to the realisation of these priorities: quality assurance, the degree system and recognition of degrees and study periods. In addition, the paper describes Commission initiatives in higher education and research, the social dimension, mobility and raising the attractiveness of European higher education. The paper also addresses horizontal issues, such as the stocktaking exercise, information on higher education reform and support for seminars and conferences. For each item, relevant sections of the Bergen Communiqué are quoted in italics and the Commission contribution is added in brief.

² http://eur-lex.europa.eu/LexUriServ/site/en/oj/2006/l_327/l_32720061124en00450068.pdf

2. Priorities in the Bologna Process

The Bologna Declaration of June 1999 has put in motion a series of reforms needed to make European higher education more compatible and comparable, more competitive and more attractive for our own citizens and for citizens and scholars from other continents. The European Higher Education Area is to provide citizens with a wide and transparent range of high quality courses and smooth recognition procedures.

In May 2005, the Ministers of Higher Education of the Bologna Signatory States gathered in Bergen, Norway, and adopted a Communiqué taking note of progress made so far and confirming the three priorities defined at the Berlin meeting in September 2003: the degree system, quality assurance and recognition of qualifications and periods of studies.

As further challenges and priorities, Ministers identified: higher education and research, the social dimension, mobility and the attractiveness of the EHEA and cooperation with other parts of the world. A new stocktaking exercise was announced to take place before the next Ministerial meeting in London in May 2007.

The Commission fully supports the priorities set above. In addition, the Commission would like to emphasise the need to concentrate on the genuine implementation of reforms. The Bologna process is more than half-way, the reforms are in the laws, now reforms have to become a reality for students and teachers in everyday university life.

3. The degree system - towards a European Qualifications Framework

Ministers in Bergen adopted the overarching framework for qualifications in the EHEA, comprising three cycles, generic descriptors for each cycle based on learning outcomes and competences, and credit ranges in the first and second cycles. They committed themselves to elaborate national frameworks for qualifications compatible with the overarching framework for qualifications in the EHEA by 2010, and to having started work on this by 2007. They also underlined the importance of ensuring complementarity between the overarching framework for the EHEA and the proposed broader framework for qualifications for lifelong learning developed within the European Union.

After a consultation process, started in July 2005, the Commission has adopted, on 5 September 2006, a proposal for a Recommendation of the European Parliament and of the Council on the establishment of a European Qualifications Framework for Lifelong Learning³. The eight levels of the EQF for LLL cover the entire span of qualifications from those achieved at the end of compulsory education to those awarded at the highest level of academic and professional or vocational education and training.

The learning outcomes of the three top levels of the EQF for LLL correspond to the three cycles of the EQF for EHEA adopted in Bergen (Dublin Descriptors), but the

³ COM(2006)479 final, of 5.9.2006 - http://ec.europa.eu/education/policies/educ/eqf/index_en.html

words chosen by the Commission to describe these levels six to eight differ slightly from those adopted by Ministers in Bergen. There are two reasons for this difference in wording. First, the need for consistency in terminology between levels one to eight and second, the wish to cover a broader range of qualifications at levels six to eight, including those not delivered by higher education institutions (example: “air pilot”). The difference in wording is not expected to lead to differences in implementation. It should not stop countries and universities from implementing the Dublin Descriptors and many have already started to do so.

Both the EQF for LLL and the EQF for the EHEA are formulated in generic terms (knowledge, skills and competences to be achieved at a given level of qualification). In order to become operational, EQFs will need to be translated in both National Qualifications Frameworks (NQF) for Member States and Regions and Sectoral Qualifications Frameworks (SQF) for specific disciplines or areas of professional activity. The Commission supports networking of national frameworks and the development of sectoral frameworks at European level.

At higher education level, the preparation of sectoral EQFs has started by groups of academics working together in a Commission supported project called Tuning Educational Structures in Europe. The Tuning project develops common reference points for curricula on the basis of competences, laid down in cycle level descriptors for a series of subject areas. Tuning has expanded its scope from 9 initial fields to 18 more subjects areas, totalling 27 fields of study and work. In 2007, The Tuning project is organising Validation Conferences in order to test its outcomes with high level stakeholder panels. European and National Information Points will be set up in close consultation with national and academic authorities. The project has expanded to the Western Balkans, Turkey, Ukraine, Russia and Latin-America. See in the attached list under 1.

The Commission is also supporting an initiative to test a classification system (typology) for European higher education institutions based on the variety of missions of institutions in education and research. See in the attached list under 1.

4. Quality assurance - European register - quality labels - ranking

European Register

Ministers in Bergen adopted the standards and guidelines for quality assurance in the European Higher Education Area as proposed by ENQA. They committed themselves to introducing the proposed model for peer review of quality assurance agencies on a national basis. They welcomed the principle of a European register of quality assurance agencies based on national review. They asked that the practicalities of implementation be further developed by ENQA in cooperation with EUA, EURASHE and ESIB with a report back to them through the Follow-up Group.

In parallel, the European Parliament and the EU Council of Ministers have adopted a Recommendation on further European cooperation in quality assurance in higher

education⁴, which refers to the Standards and Guidelines adopted in Bergen and equally calls for a "European Register of Quality Assurance Agencies".

The common aim is to have one Register which would contribute to the acceptance of evaluation and accreditation systems and assessments and would facilitate indirectly the recognition of qualifications and mobility within Europe and beyond. The Commission is supporting ENQA and partners in the preparation of the European Register in view of an endorsement by EU and Bologna Ministers in May 2007.

Quality labels

Most evaluation and accreditation is carried out on a national or regional basis. It is expected that these local exercises will become more comparable and more European through the use of European Standards and Guidelines and the involvement of foreign experts. In a limited number of cases, there is scope for transnational evaluation and accreditation. For instance in highly internationalised fields of study like engineering or business studies or in cases where universities or sponsors (public or private) seek to obtain an international label for reasons of branding or consumer protection. Integrated study programmes, like joint masters, obviously require a collaborative effort of the respective quality assurance agencies.

The Commission supports consortia setting up and testing transnational quality evaluation. Two European quality labels were launched in March 2006 (engineering and chemistry). Seven new labels will be tested in 2006/2007 and launched in 2007/2008 (engineering, chemistry, business studies, music, e-learning, life sciences and rural environment and informatics). See in the attached list under 2B.

Quality labels will have to prove their added value for universities, students, employers and public authorities. They are expected to apply for the European Register in order to be assessed against the same rigorous criteria as any other applying quality assurance agency, be it national or international, public or private.

Ranking

More and more data on university performance is becoming available, through quality evaluations and other information gathering exercises. These data enable the creation of all kinds of rankings. The Commission currently supports an initiative for an alternative European ranking system which would take account of diversity in terms of languages, subject areas, profiles, student services, research and teaching quality. The system is being set up by a consortia lead by the German CHE. See in the attached list under 2.

⁴ 2006/143/3C OJ L 64/60 of 4.3.2006 –
http://eur-lex.europa.eu/LexUriServ/site/en/oj/2006/l_064/l_06420060304en00600062.pdf

5. Recognition of qualifications and periods of studies

Ministers called for the ratification of the Lisbon Recognition Convention. They urged all participating countries to address recognition problems identified by the ENIC/NARIC networks. They committed themselves to draw up national action plans to improve the quality of the process associated with the recognition of foreign qualifications. They called upon all national authorities and other stakeholders to recognise joint degrees awarded in two or more countries in the EHEA. Ministers committed themselves to work with higher education institutions and others to improve recognition of prior learning including, where possible, non-formal and informal learning for access to, and as elements in, higher education programmes.

Recognition decisions are taken by competent authorities (universities, ministries, employers). These competent authorities are informed by transparency tools like ECTS and Diploma Supplement. They may call in the help of ENIC-NARIC Centres. In future, ECTS and DS documents (course catalogues, transcripts, learning agreements) may refer to EQF levels. More and more quality evaluation reports will become available on the internet. These transparency tools and quality assurance reports do not solve recognition problems, but they may help to correct misgivings about level or quality of studies carried out elsewhere.

EQF and quality assurance may also help to inform the establishment of national, regional or sectoral credit frameworks and recognition agreements, which would help to enhance recognition predictability for the individual learner. Universities, enterprises and public authorities are encouraged to engage in partnerships, creating such frameworks and agreements in the interest of lifelong learning. The EUCEN European Universities Continuing Education Network is currently carrying out a project, benchmarking university LLL policy and practice in 150 institutions and identifying 50 cases of best practice. See in the attached list under 8.

The Commission continues to support the NARIC network of recognition advisors, cooperating closely with the wider network of ENIC centres coordinated by the Council of Europe/UNESCO-CEPES. The two networks have adopted an ENIC/NARIC Charter, outlining the Terms of Reference of a fully operational Recognition Information Centre. They maintain a list of recognition problems to be addressed by the competent authorities. The Commission has formulated as a target that no applicant should have to wait longer than four months for a decision about academic recognition⁵.

The ECTS credit system originates in the Erasmus mobility scheme and is now enshrined in most Bologna countries' law books. ECTS is based on both content, expressed in learning outcomes and average student workload, expressed in credit points. Millions of students collect ECTS credits on a daily basis, most of them through local accumulation and a number of them, notably Erasmus students, through cross-border transfer.

⁵ "Delivering on the Modernisation Agenda for Universities: Education, Research and Innovation", COM(2006)208 final, of 10.5.2006 - http://ec.europa.eu/education/policies/2010/doc/comuniv2006_en.pdf

The Commission continues to promote the correct implementation of ECTS tools and has launched a public consultation on a European Credit System for Vocational Education and Training (ECVET)⁶. In 2007, the Commission will consult the Member States on the future development of ECTS and its links with ECVET and EQF in view of, ultimately, establishing, an integrated credit system for lifelong learning.

A short brochure "ECTS Key Features" is available on the web and has been distributed in hard copy in five languages. The ECTS Users Guide on the web is being restyled and completed with examples from the ECTS practice. ECTS/DS Counsellors are active in more than 30 countries as part of National Teams of Bologna Promoters. They advise universities on how to introduce ECTS correctly. An ECTS label has been awarded to 21 universities. The award of new ECTS labels has been suspended till after the consultation in 2007.

The development of joint European masters degrees in the framework of Erasmus Mundus, is also having an important positive influence on recognition. In a number of countries, national legislation has been modified to permit the award of joint and double degrees, in several instances as a direct response to the programme. Some 80 joint/double masters degrees have been supported so far, 19 of which have the additional dimension of international partnerships supported via Action 3. In the context of cooperation with the USA, the new "Atlantis" programme provides for the development of joint transatlantic degrees between European and American institutions as well as for Erasmus-like partnerships. The EC-Canada framework for co-operation in the field of higher education, training and youth supports joint consortia projects where full recognition of credit for the periods of study or training carried out during the project is a crucial component. The same principle also applies to pilot projects carried out with Australia and New Zealand within the framework of Regulation (EC) No 382/2001. The new Regulation (EC) No 1934/2006 on cooperation with industrialised and other high-income countries and territories will extend this possibility to a wider range of countries

In parallel, the Diploma Supplement is being promoted as part of the single European Framework for Transparency of Qualifications and Competences, called EUROPASS, which includes Europass, European Portfolio and the European CV. Some 60 DS labels have been awarded. The award of new DS labels has also been suspended till after the ECTS consultation in 2007.

6. Higher education and research

Ministers confirmed that doctoral level qualifications need to be fully aligned with the EHEA overarching framework for qualifications using the outcomes-based approach. They acknowledged the need for structured doctoral programmes and the need for transparent supervision and assessment. They noted that the normal workload of the third cycle in most countries would correspond to 3-4 years full time. They urged universities to ensure that their doctoral programmes promote interdisciplinary training and the development of transferable skills, thus meeting the needs of the wider employment market. They consider participants in third cycle programmes both

⁶ SEC(2006)1431 of 31.10.2006 - http://ec.europa.eu/education/ecvt/index_en.html

as students and as early stage researchers. Ministers also charged the Bologna Follow-up Group with inviting the European University Association to prepare a report on the further development of the basic principles, to be presented to them in 2007.

The Commission welcomes the extension of the Bologna reforms (transparency, competences, credits, quality assurance, joint degrees etc.) to the doctoral level. The Commission adopted the European Charter for Researchers which defines roles and responsibilities of researchers, including of doctoral candidates⁷. The time is right to take a fresh look at the doctoral phase and the recognition of doctoral degrees in Europe for the purpose of careers in R&D. Bologna Signatory States are called upon to adjust the legislative framework so that joint doctorates can be implemented more easily and obstacles to recognition removed.

A Commission supported project called DOC-CAREERS - From Innovative Doctoral Training to Enhanced Career Opportunities, coordinated by EUA, will explore the relations between doctoral training programmes and the career development and employability prospects for doctoral candidate in view of the London Ministerial Conference in May 2007. During the consultations prior to the design of the next phase of the Erasmus Mundus programme, the Commission has been strongly encouraged by the stakeholders consulted to foresee an extension of EM into doctorate studies in coming period.

7. Social dimension

Ministers renewed their commitment to making quality higher education equally accessible to all, and stressed the need for appropriate conditions for students so that they can complete their studies without obstacles related to their social and economic background. The social dimension includes measures taken by governments to help students, especially from socially disadvantaged groups, in financial and economic aspects and to provide them with guidance and counselling services with a view to widening access.

The Commission is supporting comprehensive surveys on the socio-economic background of students (Eurydice and Eurostudent). The recent Communication on Efficiency and equity in European education and training systems⁸ calls upon Member States to create appropriate conditions and incentives to generate higher investment from public and private sources, including, where appropriate, through tuition fees combined with accompanying financial measures for the disadvantaged.

In this context, attention is also drawn to the important work of Socrates-Grundtvig in experimenting with innovative outreach initiatives enabling adult learners to access higher education by alternative pathways.

8. Mobility

⁷ C (2005) 576 final of 11.03.2005

⁸ COM(2006)481 final of 8.9.2006 - http://ec.europa.eu/education/policies/2010/doc/comm481_en.pdf

Ministers recognised that mobility of students and staff among all participating countries remains one of the key objectives of the Bologna Process. Aware of the many remaining challenges to be overcome, they reconfirmed their commitment to facilitate the portability of grants and loans where appropriate through joint action, with a view to making mobility within the EHEA a reality. They agreed to intensify their efforts to lift obstacles to mobility by facilitating the delivery of visa and work permits and by encouraging participation in mobility programmes. They urged institutions and students to make full use of mobility programmes, advocating full recognition of study periods abroad within such programmes.

The new Lifelong Learning Programme 2007-2013⁹ (succeeding Socrates and Leonardo da Vinci) aims to reach the overall total of three million individual participants in student mobility by 2012. The Commission also supports activities aiming at mapping student and teacher mobility, eliminating obstacles to mobility and encouraging the portability of national loans and grants.

Mobility at masters level is also fostered by the Erasmus Mundus programme, which requires participants to carry out fully validated study periods in at least two European countries. This is also true of the EU's cooperation programmes with the USA, Canada, Australia, New Zealand and Japan, where minimum 3-month study periods in a second European country are a requirement. In the framework of the Tempus programme the Commission funds individual mobility of faculty and students in the framework of cooperation projects for periods going from 1 week to three months, to test the methods and approaches developed by Tempus projects.

9. Attractiveness and cooperation with other parts of the world

Ministers see the European Higher Education Area as a partner of higher education systems in other regions of the world, stimulating balanced student and staff exchange and cooperation between higher education institutions. They underlined the importance of intercultural understanding and respect. They look forward to enhancing the understanding of the Bologna Process in other continents by sharing experiences of reform processes with neighbouring regions. They stress the need for dialogue on issues of mutual interest and they asked to elaborate an external dimension strategy.

The role and visibility of higher education in EU external relations is increasing, towards neighbouring countries (European Neighbourhood Policy), in relation with industrialised countries (OECD/G8) and with developing countries (for example the Union's new Africa Strategy). Policy dialogue between the EU and third countries often includes higher education, not least due to the emergence of a European Higher Education Area, the recent summit with Latin America being a case in point.

The Commission is supporting a broad range of capacity building measures to modernise the content and practices of higher education in 26 neighbouring countries and to bring systems in line with the Bologna requirements through the external

⁹ http://ec.europa.eu/education/programmes/newprog/index_en.html

assistance instruments for pre-accession countries, neighbourhood countries and developing countries (IPA, ENPI and DCI) and more particularly through the Tempus programme, which has an annual budget of about €55 million. In the past 17 years, Tempus has funded 6500 university cooperation projects, involving 2000 universities from the EU and its partner countries.

A “Western Balkans Window”, which will provide additional grants to enable students from these countries to participate in Erasmus Mundus Masters Courses, is likely to be operational by 2007.

In the broader global context, new programmes such as EduLink and Nyerere are emerging, to provide more systematic support for the sustainable capacity-building process in the world’s most disadvantaged regions and in particular sub-Saharan Africa. An “ACP Window”, probably to be introduced in the academic year 2007-8, will further improve the opportunities for students from ACP countries to participate in Erasmus Mundus Masters Courses.

Programmes such as Alfa/Alban and AsiaLink have greatly strengthened Europe’s cooperative links with countries in Latin America and Asia respectively. The Union’s higher education cooperation agreements with the USA and Canada have just been placed on a new and more stable basis through their renewal for a further 8-year period, and a new multilateral framework for supporting cooperation with industrialised countries worldwide has been proposed by the Commission.

Of special importance in this context is the EU’s flagship programme for worldwide academic cooperation, Erasmus Mundus. The core elements of the programme – jointly developed European Masters Courses and the related grant schemes to enable students and faculty from all parts of the world to study and teach in the Courses – are making a powerful contribution to improving the attractiveness of “destination Europe”. By the end of the programme’s first phase in 2008, 100 Courses and 8,000 scholarship-holders will have received support. The Erasmus Mundus Partnerships between the European Masters Courses and higher education institutions in other world regions, which also provide grants to facilitate outgoing mobility of students and faculty engaged in the Masters Courses, are beginning to emerge as an instrument with high potential for establishing sustainable future worldwide links.

The impact of Erasmus Mundus in this context is particularly important, in that it has given rise to a number of good practice initiatives to improve and accelerate procedures for the award of visas for third-country students wishing to enter Europe or cross Europe’s internal borders for study purposes. EU directives (2004/114/EC and 2005/71/EC) on visa requirements call on Member States to harmonise the admission of third country students and researchers.

Furthermore, Erasmus Mundus has a specific mandate to help promote the attractiveness of European higher education worldwide. This mission is pursued through the increasingly numerous projects supported in response to proposals from the higher education community in Europe. So far, 23 such projects have been launched under the “Attractiveness” action of Erasmus Mundus.

The more strategic projects include the funding of the largest survey ever conducted of worldwide perceptions of European higher education, published in 2006¹⁰, and the Erasmus Mundus Global Promotion Project. This major initiative, currently being launched, provides for a wide range of promotional activities including strengthening the worldwide “image” of European higher education, creating a user-friendly website for international students, experimenting with innovative services such as European education advisers in certain parts of the world, developing higher education marketing competence at institutional and national level through competence-building workshops, organising European fairs and campaigns, developing promotional tools and preparing feasibility studies on various longer-term promotion methods. The Commission will be assisted in this work by appropriately qualified and experienced service-providers.

In all these ways, the Commission’s European programmes are making a powerful contribution to bringing European quality and distinctiveness higher up the attention scale of the best partners, students and scholars world-wide.

Finally, the Commission plays a significant policy-related role in encouraging Member States to adopt more proactive strategies for enhancing the worldwide attractiveness of their higher education systems. Particular attention should be drawn in this context to the Commission’s higher education Communication of May 2006 (see section 1) in which attractiveness was identified as one of the key priorities for modernising European higher education and a multifaceted agenda for strategic reforms in this regard was proposed. The Commission has also been an active partner in the Bologna Working Group which has developed an external dimension strategy for the EHEA to be adopted by Ministers in London.

10. Stocktaking

Ministers called for stocktaking to continue in the fields of the degree system, quality assurance and recognition of degrees and study periods, reforms they expect will have been largely completed in 2007. In particular, Ministers shall look for progress in:

- *introduction of proposed models for peer review of quality assurance agencies; implementation of the national frameworks for qualifications;*
- *the awarding and recognition of joint degrees, including at the doctorate level;*
- *creating opportunities for flexible learning paths in higher education, including procedures for the recognition of prior learning.*

Ministers also asked for comparable data on the mobility of staff and students as well as on the social and economic situation of students as a basis for future stocktaking.

The Commission, through the Eurydice Network, helps to undertake the stocktaking exercise in close cooperation with the Bologna Board and the Bologna Secretariat. The Commission also supports the survey of the European University Association

¹⁰ *Perceptions of European Higher Education in Third Countries*. Final Report on Erasmus Mundus project 2004 – 3924, carried out by the Academic Cooperation Association (ACA): <http://ec.europa.eu/education/programmes/mundus/acareport.pdf>

(Trends V) and the student survey by ESIB. The Commission equally helps in the area of mobility data (Eurostat) and socio-economic background data (Eurostudent).

11. Information on higher education reform

The Trends Reports and the Eurydice Surveys have demonstrated that Bologna is gaining ground, but, being a top-down process, reforms have not yet reached the work floor of all higher education institutions.

The Commission therefore has taken the initiative to help provide interested parties with up-to-date information, handbooks, case studies, a web community and training seminars on Bologna reforms, providing a European dimension and a comparative perspective. The European University Association, together with partners from the higher education sector, is running the Information Project on Higher Education Reform on behalf of the Commission.

The Commission also supports National Teams of Bologna Experts. Senior Academics, (Vice-)Rectors, Deans, Directors of Study, International Relations Officers and Student Representatives, who are successful in introducing the Bologna reforms in their institutions are invited to advise colleagues in their country and occasionally abroad. Some of the Bologna Experts also function as ECTS/DS Counsellors. The National Teams are organised and supported in a decentralised way through the National Agencies of the Lifelong Learning Programme, in close consultation with public authorities, the national delegate in the Bologna Follow-up Group and the higher education sector of the country concerned. Teams of Bologna Experts have also been established in a number of neighbouring countries, through the Tempus programme, which is a major source of information on Bologna developments in the partner countries.

12. Seminars and conferences

The Commission supports several Bologna seminars and conferences, such as the EUA Convention of European Higher Education Institutions, Lisbon, 29-31 March 2007 and the London Ministerial Conference, 17-18 May 2007.

Annexes

- Bologna action lines
- Web sites
- Commission supported initiatives on higher education reform

BOLOGNA ACTION LINES

Bologna Declaration (1999)

1. Adoption of a system of easily readable and comparable degrees
2. Adoption of a system essentially based on two cycles
3. Establishment of a system of credits
4. Promotion of mobility
5. Promotion of European cooperation in quality assurance
6. Promotion of the European dimension in higher education

Prague Communiqué (2001)

7. Lifelong learning
8. Higher education institutions and students
9. Promoting the attractiveness of the European Higher Education Area

Berlin Communiqué (2003)

10. European Higher Education Area and European Research Area – two pillars of the knowledge based society.

WEB SITES

DG Education and Culture

http://ec.europa.eu/dgs/education_culture/index_en.html

Lisbon Strategy - Education and Training 2010

http://ec.europa.eu/education/policies/2010/et_2010_en.html

Bologna Process - Higher Education

http://ec.europa.eu/education/policies/2010/et_2010_en.html

<http://www.dfes.gov.uk/bologna>

Copenhagen Process – Vocational Education and Training

http://ec.europa.eu/education/policies/2010/vocational_en.html

http://ec.europa.eu/education/copenhagen/resolution_en.pdf

Higher Education in Lisbon Strategy

http://ec.europa.eu/education/policies/2010/lisbon_en.html

http://ec.europa.eu/research/conferences/2004/univ/followup_en.html

Towards a European Qualifications Framework for Lifelong Learning

http://ec.europa.eu/education/policies/2010/consultations_en.html

ECTS and Diploma Supplement

http://ec.europa.eu/education/programmes/socrates/ects/index_en.html

ECVET

http://ec.europa.eu/education/ecvt/index_en.html

EUROPASS

http://ec.europa.eu/education/programmes/europass/index_en.html

Erasmus Mundus

http://ec.europa.eu/education/programmes/mundus/index_en.html

The European Charter for Researchers

<http://ec.europa.eu/eracareers/europeancharter>

e-learning

http://ec.europa.eu/education/programmes/elearning/programme_en.html

ENIC and NARIC networks

<http://www.enic-naric.net>

PLOTEUS

<http://ec.europa.eu/ploteus/portal>

Tuning educational structures in Europe

<http://tuning.unideusto.org/tuningeu>

ENQA

<http://www.enqa.eu>

EUA

<http://www.eua.be>

EURASHE

<http://www.eurashe.eu>

ESIB

<http://www.esib.org>

Council of Europe

<http://www.coe.int>

UNESCO-CEPES

<http://www.cepes.ro>

EUROPEAN COMMISSION SUPPORTED INITIATIVES ON HIGHER EDUCATION REFORM

Below is a selection of current reform projects supported by the Commission under the Socrates and Tempus programmes. For a complete listing we refer to the following programme web pages:

Socrates	http://ec.europa.eu/education/programmes/socrates/socrates_en.html
Tempus	http://ec.europa.eu/education/programmes/tempus/index_en.html
Erasmus Mundus	http://ec.europa.eu/education/programmes/mundus/index_en.html

Support for the modernisation agenda is also provided through the implementation of the 7th EU Framework Programme for Research and the Competitiveness and Innovation Programme, as well as the Structural Funds and EIB loans.

1. The Degree System – Towards a European Qualifications Framework

Socrates

TUNING IV: Curricular Reform Taking Shape. Learning Outcomes and Competences in Higher Education

The Tuning project develops reference points for common curricula on the basis of agreed competences and cycle level descriptors for a series of subject areas. Tuning IV is a multifaceted project (several strands, 160 universities, 40 networks), comprising: four international validation conferences (medical sector, natural sciences, social sciences, humanities) to test the Tuning results; establishment of two European Tuning Information and Counselling Centres (ETICC) and National Tuning Information Points (TIPS) to support the implementation of the Tuning approach in practice (universities move to learning outcomes); extension by twenty more subject areas to develop Tuning cycle descriptors (reaching a total of 45); inclusion of Turkish institutions; and further development of intermediate level indicators, assessment criteria (including grading), learning outcomes in QA, learning outcomes in recognition of informal, non-formal and formal learning.

Rijksuniversiteit Groningen (NL)
<http://tuning.unideusto.org/tuningeu>

CoRe – Competences in Education and Cross-border Recognition

Development of methodologies and procedures to assess competences, working with NARIC/ENIC. Testing outcomes of Tuning I/II from the perspective of the European credential evaluators and admissions officers. Conclusions and recommendations useful for development and implementation of qualification frameworks.

NUFFIC – Netherlands Organisation for International Cooperation in Higher Education (NL)
<http://www.nuffic.net>

BALAMA – The Bachelor for the Labour Market

Issue of employability in the first cycle. Inventory of how in each country professionally oriented HE programmes in the 1st cycle are described in terms of competences. Study relations between education and applied research. Develop European profile of professionally-oriented higher education. (Eight national associations are involved.)

HBO-raad (NL)
<http://www.hbo-raad.nl>

Joint Degree Programmes – A Hallmark of the European Higher Education Area

Analyse legal obstacles, issues related to recognition, quality assurance, administration and financing of joint degree programmes, building on existing surveys. Bonn international conference on joint degrees. A study of joint degrees in signatory countries. National Erasmus Mundus Structures to present national reports on joint master programmes. Sharing best practices.

DAAD – German Academic Exchange Service (DE)
<http://www.daad.de>

MOCCA – Model for Core Curricula with Integrated Mobility Abroad

Development of guidelines for the definition of core curricula with competences acquired through integrated mobility abroad. Tested in a public health master. Wide dissemination.

DAAD – German Academic Exchange Service (DE)
<http://www.daad.de>

Tempus CARDS

Structural Preparation of B&H Universities for Academic European Integration through Modular Structures

To analyse the effects of the initiated reform and to improve partner universities' policy and development requirements in the following areas: development of flexible modular structures; introduction of new teaching methods; strengthening of international co-operation through cooperation programs; promotion of the European dimension in higher education.

University of Tuzla (BA)
<http://www.untz.ba>

Tempus Tacis

Extending Centres on the Bologna Process and Supporting Tuning Teams in the Kyrgyz Republic

To extend, update and consolidate the support for the decision of the Kyrgyz Republic to align its programme of higher education reform according to Bologna criteria.

Università degli Studi di Pisa (IT)
<http://www.unipi.it>

Bologne et la réforme de l'éducation supérieure en Ouzbékistan

De créer et appliquer à l'intérieur de la Faculté de traduction de l'ULM un modèle de structuration des études, selon les principes de la réforme de Bologne et de diffuser ce résultat. S'appuyer sur l'expérience de la réforme dans trois universités de l'union européenne: les universités de Strasbourg, de Leipzig et de Bratislava, établissements à même vocation et avec composantes similaires que l'ULM (formations à la traduction).

L'Université Marc Bloch (FR)
<http://www-umb.u-strasbg.fr>

Tempus MEDA

Echange des meilleurs pratiques dans l'implémentation du système Licence-Maitrise-Doctorat (Tunisia)

D'accompagner les universités tunisiennes à mettre en oeuvre le système Licence-Maitrise-Doctorat de manière à ce qu'elles soient en mesure d'offrir leurs formations universitaires selon la nouvelle architecture dès septembre 2006. Ce projet d'information et de diffusion leur permettra d'acquérir les connaissances théoriques et pratiques nécessaires à une bonne maîtrise des principes de la réforme et des différents volets qui l'accompagnent.

Ministère de l'Enseignement Supérieur, de la Recherche Scientifique et de la Technologie (TN)

<http://www.ministeres.tn>

Erasmus Mundus

Network ACTIVE: AIESAD-EADTU Credit transfer in virtual mobility

The objective is to develop the tools for the adaptation and dissemination of the ECTS in Latin America and to improve information about the European academic offer in distant education of special interest for third countries. The expected result is to increase the number of virtually mobile students from third countries towards European distance and blended masters.

Universidad Nacional de Educación a Distancia (ES)

<http://www.uned.es>

BALANCE: Bologna – A long term approach to new certification in Europe

Strengthening the knowledge of European Higher Education and the Bologna process in North America and reinforcing links between international offices in both regions in order to increase mobility of North American students and academics towards Europe. Production of an information package and dedicated web pages on European education reforms at North American Universities, training seminars for international office administrators and evaluation conferences.

Coimbra Group asbl

<http://www.coimbra-group.be>

2. Quality Assurance

Socrates

A. General Quality Assurance Activities

European Register of Quality Assurance Agencies

Development of the European Register of Quality Assurance agencies (follows from Bergen Communiqué and the EU Recommendation on further European cooperation in quality assurance in higher education).

ENQA – European Association for Quality Assurance in Higher Education

<http://www.enqa.eu>

EFQA – European Forum for Quality Assurance

Forum consisting of EUA, EURASHE, ESIB and ENQA (E4), formalising their cooperation in the implementation of quality reform. Organisation of an annual conference. Main theme in 2005: Internal quality assurance. 2nd QA Forum Conference, November 2007, focuses on the

implementation of the European Standards and Guidelines. Broad participation of stakeholders.

EUA – European University Association

<http://www.eua.be>

ENQA Projects 2007-2008

Networking and training activities for quality assurance agencies. Implementation of the European Standards and Guidelines for QA (Bergen 2005): 1.ENQA Membership Reviews; 2. Four regional seminars; 3. Reporting and Language of QA; 4. Convergence in European QA; 5. Contribution to the Bologna Process.

ENQA – European Association for Quality Assurance in Higher Education

<http://www.enqa.eu>

Transparent European Accreditation Decisions and Mutual Recognition Agreements (TEAM)

Development of an information tool on qualifications from accredited programmes/institutions, introduction of an Accreditation Supplement in English, a database-driven website, comparative analysis of publication policies. Analysis of the relation between accreditation and recognition; dissemination conference.

NVAO (ECA, NL)

<http://www.nvaio.net>

The CHE Ranking of European Universities

On the basis of an already existing prototype, further develop a European ranking system which would take account of diversity in terms of languages, subject areas, profiles, student services, research and teaching quality. To extend existing common ranking of German and Austrian HEIs further to Dutch and Flemish HEIs, for three subject areas. Start of a European answer to the Shanghai ranking.

CHE – Centrum für Hochschulentwicklung (DE)

<http://www.che.de>

CEIHE II: Classifying European Institutions of Higher Education, Phase II

Project will test the draft classification (typology) of European HE institutions developed in Phase I (2004-2005). Project aims at enhancing the legitimacy of a European classification system (through stakeholder meetings and conferences) and at preparing its operational introduction. Project is carried by the Dutch and German Rectors' Conferences, the Universities of Strathclyde and Aveiro.

Universiteit Twente (NL)

<http://www.utwente.nl>

Tempus Tacis

State Accreditation and Licensing Agencies and Procedures in Azerbaijan

To provide the leading Azerbaijani professionals in accreditation and licensing with knowledge of European standards and best practices, through an in-depth training session on the present European best practices in accreditation and licensing systems. The intensive training on best practices in quality assurance and accreditation will be realized with the participation of West European experts from countries beyond Belgium and the Netherlands, in order to add a comparative aspect.

Universiteit Antwerpen (BE)
<http://www.ua.ac.be>

State Accreditation and Licensing Agencies and Procedures in the Russian Federation

To provide the leading Russian professionals in accreditation and licensing with knowledge of European standards and best practices, through an in-depth training session on the present European best practices in accreditation and licensing systems.

Universiteit Antwerpen (BE)
<http://www.ua.ac.be>

Promoting the External Dimension of the Bologna Process: Quality Assurance in a National and Transnational Context (Kazakhstan, Kyrgyzstan and Tajikistan)

To raise standards in the Higher Education Institutes' in Kazakhstan and other partner countries in the Eurasian region, implementing the standards of quality assurance that were developed in Europe in the framework of the Bologna Process. To produce a quality assurance manual, based on the guidelines for European Higher Education, adjusted to the specific background and conditions in the three Central Asian countries of Kazakhstan, Kyrgyzstan and Tajikistan. To ensure sustainability of the quality assurance development in the three West Central Asian countries. To produce a report with recommendations for further actions in the field of quality assurance.

EURASHE (BE)
<http://www.eurashe.eu>

Erasmus Mundus

AQUARIUS: Assuring Quality in Internationalisation of Study Courses and Course Guidance

Developing guidelines and benchmarks for the process of internationalisation and for international course guidance. Analysis of the main difficulties and restraints in student mobility, definition of main requirements and improvements needed and support of the first steps to implement best practices and newly defined quality standards. The guidelines are intended to help universities to assess their current standards, define ways for improvement and attract more international students.

Universität Paderborn (DE)
<http://uni-paderborn.de>

European Masters New Evaluation Methodology (EMNEM)

Development and publication of an evaluation methodology for internal quality assurance procedures of Joint Master Programmes with specific emphasis on: strengthening institutional anchoring, developing internal quality culture, strengthening programme sustainability and accountability, containing evaluation costs and unnecessary bureaucracy.

EUA – European University Association
<http://www.eua.be>

B. European Quality Labels

CHEMISTRY

Quality Labels in Chemistry - Eurobachelor and Euromaster

Developing a European quality label (Eurobachelor and Euromaster) for first and second cycle qualifications in chemistry. Development of criteria and procedures in view of an integrated system of accreditation in the field of chemistry.

ECTNA - European Chemistry Thematic Network Association
<http://www.cpe.fr/ectn-assoc/eurobachelor>

ELEARNING

UNIQUE - European University Quality in eLearning

Development of a European quality label that certifies quality of eLearning-related processes and costs and facilitates improvement of ICT adoption and integration strategy of European universities. UNIQUE label will build on the "Program accreditation for technology-enhanced learning" (CEL) and the European Quality Mark for eLearning (EQM) developed by EFMD. Preparation of specifications, test on 12 universities. Conference.

MENON Network EEIG
<http://www.menon.org>

ENGINEERING

EUR-ACE Implementation: Implementation of a European System for Accreditation of Engineering Education

Follow-up phase to the 2005/6 project. Training of international accreditation experts, promotion of new national agencies where such do not exist, award of first EUR-ACE labels.

Universita degli studi di Firenze (IT)
http://www.feani.org/ENAAEE/EUR-ACE%20IP_Homepage.htm

QUESTE – Quality System of European Scientific and Technical Education – Labellization and Scoring

Developing a European quality label for programmes and institutions in "higher education and industry", aimed at training technical managers and scientists. Creation of an agency and foundation for this purpose.

EFMD – European Foundation for Management Development
<http://www.efmd.org>

INFORMATICS

Euro-Inf – European Accreditation of Informatics Programs

Development of a European quality label for informatics programmes. Common European standards. International advisory board. Accreditation visits. Label award.

ASIIN e.V. (DE)
<http://www.asiin.de>

LIFE SCIENCES

QUALITY: Quality Assurance and Accreditation of International Master Degree Programmes in Life Sciences and the Rural Environment

Development of a European quality label for master's programmes in Life Sciences and the Rural Environment. Definition of QA benchmarks (criteria) and indicators. Setting up an international accreditation agency.

Interuniversity Consortium for Agriculture and Related Sciences in Europe (ICA)
<http://www.ica-europe.info>

MUSIC

Accreditation in European Professional Music Training

Development of a European quality label in music study. Formulation of common European standards and procedures.

AEC – Association Européenne des Conservatoires, Académies de Musique et Musikhochschulen (NL)
<http://www.aecinfo.org>

MANAGEMENT AND BUSINESS ADMINISTRATION STUDIES

EPAS - EFMD Programme Accreditation System

Developing a European Quality label in business or management: EFMD Programme Accreditation System (EPAS). Establishment of Programme Accreditation Committee and Board.

EFMD – European Foundation for Management Development
<http://www.efmd.org>

Q3E: Quality of Entrepreneurship Education in Europe: Model, Referentials and Assessment

Establishment of a model for higher entrepreneurship education and the setting up of referentials to be tested among companies and pilot institutions. Using a quality system within EFMD and ENQHEEI, this framework will give way to a management/business and engineering label.

EFMD – European Foundation for Management Development
<http://www.efmd.org>

Tempus Tacis

Promotion and Implementation of EUR-ACE Standards (Russia)

To promote, implement and disseminate the EUR-ACE standards for the accreditation of engineering programmes, to the broad engineering community of Russian HEIs.

Russian Association for Engineering Education (RU)
<http://aeer.cctpu.edu.ru/eindex.phtml>

C. Internal Quality Assurance

Socrates

QUACE - SaarLorLuxWal Quality Management in Cross-Border Education

Quality management of double-degree programmes and international PhD programmes in European border regions. Survey, cooperation with stakeholders, further development of quality evaluation procedures.

Universität des Saarlandes (DE)
<http://www.uni-saarland.de>

Tempus CARDS

Quality Assurance in University Teaching (Croatia)

To stimulate participation in active learning, self-learning, adoption of pedagogies to a wider set of teaching, assessment and learning styles and to promote critical thinking about one's teaching. To produce a code of good practice in teaching and assessment. To develop a national strategy for the evaluation of teaching effectiveness. To develop the action research programme for enhancing the quality of teaching in higher education (a staff development scheme), to complement and become a fully recognised part of the national strategy for the quality assurance in Croatian higher education.

University of Rijeka (HR)
<http://www.uniri.hr>

Quality Management at Universities in Macedonia

To strengthen the management of the university rectorates through development and implementation of quality management systems in all fields and processes.

University "Sts. Cyril and Methodius" (MK)
<http://www.ukim.edu.mk>

Tempus Tacis

Aligning Quality Assurance in Engineering with Bologna Requirements (Armenia)

To facilitate the introduction of a quality assurance system, procedures, mechanisms and approaches which are compliant with European ones, using engineering education as a pilot case. Report on quality assurance in engineering in Europe and proposals on updating QA in Armenia. Guidelines for conducting self-assessment of engineering programs and self-assessment report for a selected study program at SEUA are to be produced. Final dissemination seminar to be organised in Yerevan.

KTH - Kungliga Tekniska högskolan (SE)
<http://www.kth.se>

Designing Quality Assurance Systems in Azerbaijani Universities

To establish Quality Assurance Centres (QACs) at Baku State University and Azerbaijan State University of Languages. To update the Quality Assurance Centre at Khazar University, a private university, which already serves as a developed model for other higher education institutions in Azerbaijan, as well as in the larger region. To create a nation-wide University Network for Quality Assurance, to promote quality assurance in higher education by disseminating good practice. To foster capacity building of the Ministry of Education staff involved in quality assurance.

Khazar University (AZ)
<http://www.khazar.org>

Establishing Quality Assurance Services in the Georgian Higher Education Institutions

To elaborate a framework model for internal quality assurance within Georgian higher education institutions. To elaborate recommendations on how to establish quality assurance systems at Georgian higher education institutions. To elaborate the design of programmes of Mechatronics at GTU and Tourism Management at LCSU. To disseminate the results through seminars, conferences and publications.

Ministry of Education (GE)

<http://www.mes.gov.ge>

Quality Care and Self-evaluation in Kazakhstan Higher Education Institutions

To introduce principles and procedures of quality care and self-evaluation at the faculty level. To develop quality care guidelines for Kazakh higher education institutions.

University of Pavlodar (KZ)

Quality Assurance in Implementing Bologna Objectives (Moldova)

To analyze and to synthesize the European experiences in implementing the Bologna process (policy, methodology, criteria, etc.) with a special focus on quality assurance. To develop a model of quality assurance in implementing Bologna reforms on the basis of information exchanges between consortium universities to be recommended and used at partner universities. To increase the awareness of the need to develop an internal quality culture in partner universities. To disseminate gained innovations among other HE institutions at the national level.

Moldovan Pedagogical State University "Ion Creanga" (MD)

Quality Assurance for e-Learning in Tajikistan

To establish a framework for developing and introducing quality assurance and evaluation systems for distance learning programs at higher education institutions of Tajikistan, compliant with standards and guidelines for quality assurance in the European Higher Education Area.

Karolinska Institute (SE)

<http://ki.se>

Quality Assurance and Standardization of Engineering Education in Tajikistan

To facilitate the introduction of modern quality assurance tools, approaches and standards for engineering education in Tajikistan, which are compliant with the European ones and aiming to increase the attractiveness of engineering education in the country and in Central Asia.

KTH - Kungliga Tekniska högskolan (SE)

<http://www.kth.se>

Quality Assurance in Ukraine

To establish a national quality assurance procedure for higher education in Ukraine, which conforms to the Bologna principles and fits to the Ukrainian structure of education.

University of Sunderland (UK)

<http://welcome.sunderland.ac.uk>

Accreditation and licensing in the Ukraine

To provide the leading Ukrainian professionals in accreditation and licensing with knowledge of European standards and best practices, through an in-depth training session on the present European best practices in accreditation and licensing systems. To ensure

approximation of licensing and accreditation procedures between the Ukraine and the European Union, through capacity building in the relevant procedures and their legal follow-up, and recommendations for further strengthening of National Accreditation Bodies.

Universiteit Antwerpen (BE)
<http://www.ua.ac.be>

Tempus MEDA

Enhancement of Quality Assurance Systems in Moroccan Universities

Dissemination of good practices in the areas of methodologies and instruments for evaluation and accreditation in higher education, by taking into account the relevant European experience. Understanding the importance of the enhancement of the culture of quality, draft a Quality Management Guide for self-assessment in Moroccan higher education institutions and disseminate it among universities in Morocco.

Universidad de Alicante Fundación General (ES)
<http://www.cde.ua.es>

Exchange of Experience Focusing on Bologna Process at Alexandria University in Egypt

To exchange information, experiences, experiments and standards of the Bologna process between EU partner universities in Sweden/Germany and Alexandria University in Egypt. Specifically, to support quality assurance in Alexandria University, to develop a new list of subjects of selected disciplines (Engineering, Computer Science and Informatics, Nursing and Strategic Management and Marketing) based on the ECTS mechanism, to promote the exchange of information and experience in the involvement of students as members of governing bodies of higher education institutions, and other activities.

Växjö University (SE)
<http://www.vxu.se>

Exchanging the Bologna Process Experience with Selected Egyptian Universities

To equip Egyptian universities participating in the project with the knowledge and skills to raise awareness of the Bologna Process in Europe and its current status; to understand the importance of the enhancement of a quality culture; to promote self-assessment as the first step for a quality management system; to draft a " Self-assessment Guide for Egyptian higher education institutions in quality and accreditation issues".

Fundación General de la Universidad de Alicante (ES)
<http://www.uafig.ua.es>

Stimulating Quality Assurance and Accreditation in Jordan Universities

To disseminate good practices in the areas of methodologies and instruments for the accreditation and quality assurance in Higher Education, by taking into account the European experiences. To draft a "Quality management guide for self-assessment in Jordanian higher education institutions" and disseminate it among other universities in Jordan.

Fundación General de la Universidad de Alicante (ES)
<http://www.uafig.ua.es>

Quality Assurance for Higher Education in Lebanon

To make the Lebanese Higher Education Institutions aware of the European Quality assurance processes and to help them reform their higher education system by achieving greater compatibility and comparability with the European systems of Higher Education.

Middle East Canadian Academy of Technology (LB)

Enhancement of Quality Assurance Systems in Moroccan Universities

To disseminate good practices in evaluation and accreditation methodologies and instruments for higher education, by taking into account the relevant European experience.

Fundación General de la Universidad de Alicante (ES)

<http://www.uafg.ua.es>

3a. Recognition of Degrees and Study Periods

Socrates

ECTS Label

Institutions which use ECTS in all first and second cycle degree programs may apply for the ECTS label. In total 21 labels have been awarded. No label is to be awarded in 2007.

European Commission

http://ec.europa.eu/education/programmes/socrates/ects/label_en.html

Diploma Supplement Label

Institutions which award Diploma Supplements to all graduates free of charge in a widely used language, may apply for the DS label. In 2006 38 labels were awarded. No label is to be awarded in 2007.

European Commission

http://ec.europa.eu/education/programmes/socrates/ects/label_en.html

http://ec.europa.eu/education/policies/rec_qual/recognition/diploma_en.html

Tempus CARDS

Introducing European credit transfer system at Medical faculties in BH

To introduce the European Credit Transfer System (ECTS) by training administration representatives, teaching staff and students at participating Medical faculties about main procedures and techniques for the introduction of the ECTS system.

University of East Sarajevo (BA)

<http://www.unssa.rs.ba>

Tempus Tacis

Mise en place de Bologne dans les universités techniques du Nord Caucase

D'informer les partenaires sur les différents aspects du Processus de Bologne et la mise en place de l'ECTS, plus spécifiquement: D'informer sur le système de crédits ECTS, D'adapter le programme pédagogique pour la mise en place de l'ECTS, D'étudier et mettre en place ce système de crédits dans les universités partenaires, De développer la mobilité étudiante, aussi bien entre les partenaires russes qu'à l'international.

North Caucasus State Technical University (RU)

<http://www.ncstu.ru>

Development of Quality Assurance in Russian Higher Education

To improve the quality of higher education at Russian Universities by implementing and evaluating a Quality Assurance System at Orenburg State University, establishing an example of a Quality Assurance Centre for education, followed by the dissemination of results and know how to Russian universities.

Vitus Bering Centre for Higher Education (DK)

<http://www.vitusbering.dk>

3b. Recognition – NARIC Network

Socrates

Thematic Group visit at the ENIC-NARIC France Centre

ENIC/NARIC France organises a thematic group visit for 8 NARICs, which joined the Union recently, in order to present to them the French education system and to facilitate in future the recognition of French diplomas in these countries.

ENIC/NARIC France (FR)

<http://www.ciep.fr/enic-naricfr>

National Conference “Transnational education, joint degrees and academic recognition” / Upgrading of the website / Training seminar “Recognition of non-traditional qualifications for academic purpose”

ENIC/NARIC Poland organises a national conference as well as training seminars in order to cover the new trends in higher education and recognition of joint degrees in Poland and elsewhere. It also upgrades its website regularly with the latest on the Polish education system.

Department for Academic Recognition (PL)

<http://www.buwiwm.edu.pl/index.htm>

National Conference “The Bologna reform in the Hungarian and European higher education” / Publication “Hungarian Higher Education in Transition” (NARIC/ENIC/2006/04)

ENIC/NARIC Hungary organises a national conference in order to share information with the participants representing all the Hungarian higher education institutions about the reforms in the Hungarian and European higher education system. Moreover, the publication of a book (CD-ROM included) is foreseen in English about the Hungarian higher education system and about the legal background of the Hungarian education system.

Hungarian Equivalence and Information Centre (HU)

<http://www.okm.gov.hu/naric>

On-line course for credential evaluators

ENIC/NARIC Netherlands offers to organise for the fourth time an on-line course for credential evaluators. The five modules provide an introduction to many of the basic building blocks of credential evaluation as well as background information on developments in academic and professional recognition.

NUFFIC (Dutch ENIC/NARIC, NL)

<http://www.nuffic.nl>

International Bologna process conference “New challenges in recognition: recognition of prior learning and recognition of European degrees outside” / Publication “Recognition of professional qualifications in Baltic countries”

ENIC/NARIC Latvia organises an international conference on the Bologna process, which covers several relevant Bologna process objectives in the recognition field. Moreover, a publication is prepared to clarify and to better understand the practical issues of academic and professional recognition in Baltic countries for citizens and institutions.

Academic Information Centre (LV)

<http://www.aic.lv/portal/en>

Information Seminar: Recognition – the important tool for creation of EHEA

The Czech ENIC/NARIC organises an information seminar on recognition in order to disseminate international experience and knowledge at national level, to introduce the methodology for evaluation of diplomas and to inform participants about new findings and developments within the Bologna process.

Centre for Equivalence of Documents on Education (CZ)

<http://www.naric.cz>

Publication “EQF and Recognition” / Database “European HEI Data Record”

ENIC/NARIC UK will analyse via a working group the role the EQF could play in future recognition processes and will publish a working group paper consequently. Moreover, it will extend the existing database, which provides comprehensive historical information on changes that have taken place in the status and to the identity of individual higher education institutions in the 25 member states, to the remaining countries within the geographical area of Europe.

UK NARIC (UK)

<http://www.naric.org.uk>

ENIC-NARIC Annual meeting in Bucharest, 17 to 20 June 2007

ENIC/NARIC Romania organises the yearly meeting of the ENIC/NARIC networks, the 14th meeting, which focuses on sharing experience on academic recognition in connection with professional recognition.

Ministry of Education and Research (RO)

<http://www.edu.ro>

4. Governance

Socrates

Enhancing Creativity and Innovation: Benchmarking Governance in HE

Identifying and benchmarking good practices in governance and foster creativity through an interdisciplinary approach.

EUA – European University Association

<http://www.eua.be>

University Leadership and Management in an International Context

A project on the professionalisation of higher education staff. Proposal aims to motivate the target groups, creating pilot learning modules. Long term goal: “Virtual European Centre for Excellence in HE Leadership and Management”.

EUA – European University Association

<http://www.eua.be>

EBI - European Benchmarking Initiative: Improving university governance

Project will produce multidimensional benchmarking standards based on good practice for university governance. Desk research, handbook, case studies, two workshops, symposium, interactive website.

ESMU – European Centre for Strategic Management of Universities

<http://www.esmu.be>

Tempus CARDS

Establishing Central University Services (Bosnia and Herzegovina, Serbia)

To establish Central University Services (CUS) through upgrading strategic and reform capacities of administrative staff working at the university central administration, and at the universities' organizational units (constituent faculties), in order to prepare the staff for functional integration of administration and services.

University of Arts (CS)

Implementation of Students' Parliament in Serbia

To enhance the capacity for institutional development enabling students' participation and influence in higher education governance through the Student Parliament, in accordance with the Bologna process.

University of Maribor (SI)

<http://www.uni-mb.si>

Tempus MEDA

Benchmarking International Relations Offices for Development (Lebanon)

To disseminate good practices in benchmarking analyses, applied to university international relations, in order to identify areas for change, and assist in setting targets for improvement.

Fundación General de la Universidad de Alicante (ES)

<http://www.uafig.ua.es>

5. Funding

Socrates

Transparent Costing in European Higher Education Institutions – TCE

Project aims to develop a methodology for transparent costing and formulate recommendations on how to cost and price activities, linking financial responsibility and institutional autonomy, incentives and competitive funding. Conference and self-help guide with case-study examples.

EUA – European University Association

<http://www.eua.be>

6. University-Industry Partnerships

Socrates

University-Enterprise Cooperation: Building on New Challenges from Past Experience

Identifying critical success factors of European university-enterprise cooperation activities. Survey and analysis of Socrates and Leonardo projects where universities have been actively cooperating with enterprises. European dissemination conference, recommendations and examples of good practice in transnational university-enterprise cooperation.

DAAD – German Academic Exchange Service (DE)

<http://www.daad.de>

Tempus CARDS

Quality Management Procedure for Promoting University-Enterprise Cooperation (Bosnia and Herzegovina)

To develop a quality management procedure in order to achieve the involvement of society in particular industry, economy and graduated students in the decision making process of the educational programme board of the technological faculty of the four participating Bosnia and Herzegovina universities. This will coincide with a staff retraining in general quality management issues, in the installation of a newly composed educational programme board, in organising client satisfaction surveys towards industry and graduated students. All this will lead not only to a stronger quality management structure in all four participating Bosnia and Herzegovina universities but also to a stronger employability of graduates.

University of Banja Luka (BA)

<http://www.urc.bl.ac.yu>

Tempus Tacis

Developing Alliances between Universities and Business in Uzbekistan

To assist the Ministry of Higher and Secondary Specialised Education (MHSSE) in the establishment and strengthening of the relationship between universities, business, government, and students in Uzbekistan, through the development of the principles of cooperative education.

Westminster International University in Tashkent (UZ)

<http://www.wiut.uz>

Tempus MEDA

Developing University-Industry Cooperation in Morocco

To develop a system for carrying out university-industry relations in Mohamed Ben Abdullah University in Fès and to share this experience among other universities in Morocco.

KTH - Kungliga Tekniska högskolan (SE)

<http://www.kth.se>

Formation universitaire/adéquation emplois/rerelations entreprises (Syria)

S'informer sur les méthodes et moyens développés dans l'union européenne pour connaître les besoins du marché du travail et qualifier leurs diplômés en conséquence (secteur agronomique et agroalimentaire). Identifier la situation en Syrie: avis professionnels sur la qualification requise des diplômés (enquête); identification des lacunes formations universitaires (analyse programme d'études par comparaison avec UE). Elaboration des activités pédagogiques nouvelles, susceptibles corriger défauts constatés; expérimentation et bilan. Analyse critique de méthodologie; moyens mis en œuvre et résultats: possibilités d'une généralisation à d'autres domaines (projet pilote). Mesures correctives éventuelles.

Aleppo University (SY)
http://www.alepuniv.shern.net/index_en.php

7. Higher Education and Research

FP6 – Marie Curie Action

DOC-CAREERS – From Innovative Doctoral Training to Enhanced Career Opportunities

This project explores the relations between doctoral training programmes and the career development and employability prospects for doctoral candidates. It underlines the need to incorporate demands from a highly diversified labour market directly in the planning of doctoral programme structures; introduces case studies among employers to highlight such demands; and focuses on mobility as an inter-sectoral as well as a cross-border activity.

EUA – European University Association
<http://www.eua.be>

Socrates

European Doctoral Programmes in Transition (Add-on to EUA Bologna Seminar)

EURODOC is co-organizing EUA Bologna Seminar: European Doctoral Programmes in Transition in Nice, December 2006. The project would help cover the cost of co-organisation, dissemination and participation of doctoral candidates in the seminar and in the London Ministerial conference (May 2007).

EURODOC – European Council of doctoral candidates and young researchers
<http://www.eurodoc.net>

Tempus Tacis

Formation en doctorat de recherche; école doctorale (Moldova)

S'informer mutuellement sur les modalités de formation en doctorat de recherche dans l'Union Européenne et en Moldovie; examiner le rôle de l'école doctorale. Discuter et élaborer des scénarios possibles pour l'adaptation de la formation doctorale en Moldovie.

Technical University of Moldova (MD)
<http://www.utm.md>

8. Lifelong Learning

BEFLEX – Benchmarking Flexibility in the Bologna Reforms

This project aims to monitor the development of university lifelong learning in the reformed structure of higher education qualifications (the Bologna process), benchmark university lifelong learning policy and practice in 150 institutions, identify 50 cases of best practice, hold consultation workshops and a conference, produce articles, and report to next meeting of the Bologna ministers in London in 2007.

EUCEN - European Universities Continuing Education Network
<http://www.eucen.org>

Tempus CARDS

Lifelong Learning in University Context (Croatia)

To develop the infrastructure capable of the enhancement of lifelong learning programs within the academic community by sharing experiences of best practice.

University of Zagreb (HR)
<http://www.unizg.hr>

9. Social Dimension

Socrates

EUROSTUDENT – Indicators on the social situation in the European Higher Education Area

The EUROSTUDENT survey focuses on acquiring and presenting the latest comparative statistics and educational indicators on the social and economic dimension of tertiary student life in a series of countries of the European Higher Education Area.

HIS - Hochschul-Informations-System GmbH (DE)
http://www.his.de/abt2/abt21/Eurostudent/index_html

10. Attractiveness and External Cooperation

Socrates

Foreign Language Taught Programmes in European Higher Education

Project will produce a trend report and a searchable on-line database of foreign-language programmes in 29 countries. Knowledge on the availability of programmes in English, Spanish, French, German and Chinese (Mandarin, Cantonese) would enhance the attractiveness of European higher education.

ACA – Academic Cooperation Association
<http://www.aca-secretariat.be>

Erasmus Mundus

Erasmus Mundus supports, among others, projects aimed at enhancing the attractiveness of and the interest in European higher education. It supports activities that improve the profile, the visibility and the accessibility of European higher education as well as issues crucial to the internationalisation of higher education, such as the mutual recognition of qualifications with third countries.

European Higher Education in the World – Studies and promotion

The project aims at carrying out studies and surveys on the attractiveness and perception of the European Higher Education (1), disseminating research outcomes accompanied by recommendations for practice (formulated on the two stages of research) (2), promoting activities focused on improving the European higher education image and accessibility world-widely(3). The research will show how the possibility of studying in Europe is currently perceived in the third countries and how implementation of Erasmus Mundus is assessed by the students in scientific, educational and organisational context and will cause practical response.

Uniwersytet im. Adama Mickiewicza (PL)

<http://www.amu.edu.pl>

EXAMPLE: Promotion of Selected Examples of Attractive European Masters Programmes to the Wider World

To promote selected examples of attractive European Master's programmes to the wider world, to increase the attractiveness by offering summer schools as preparatory and added European experience, to increase the attractiveness by offering European exchanges within the Utrecht Network mobility scheme, to increase the number of European alumni and ambassadors for Europe in the wider world and to integrate joint European promotion activities in the regular activities of the Utrecht Network after the funding period.

Universiteit Utrecht (NL)

<http://www.uu.nl>

Perceptions of European Higher Education in Third Countries

The Academic Cooperation Association (ACA) carried out a major study the purpose of which was to investigate the perception of European higher education in other parts of the world, and on this basis to identify some key messages for a “European brand” in the field of higher education and to reflect on possible instruments and mechanisms for its delivery. To this end, the study sought to acquire an in-depth understanding of how European higher education is viewed by students and other stakeholders in “third countries”, its perceived strengths and weaknesses, and its standing relative to that of other major destinations. This also entailed an assessment of the degree of information available to potential international students and the sources they typically use.

ACA – Academic Cooperation Association

<http://www.aca-secretariat.be>

Erasmus Mundus Global Promotion Project

This is a major call for services to assist the European Commission in improving the promotion and marketing of European higher education, to be carried out during the period 2007-2009 and to include five activity blocks: Development of a European brand and website and preparation of an inventory of European HE strengths; studies, analyses and pilot projects related to innovative services for international study (call centre for international

students, network of European HE advisers, feasibility of European HE offices abroad, trends in transnational and offshore higher education); competence-building workshops for HE institutions and national HE promotion organisations; European HE fairs; and media campaign and information materials

Mostra S.A. (BE)

<http://www.mostra.com>

ACA – Academic Cooperation Association

<http://www.aca-secretariat.be>

11. Stocktaking

Socrates

Eurydice Survey “Focus on the Structure of Higher Education in Europe 2007”

Report on the implementation of the main Bologna Reforms (three cycles, quality, recognition (ECTS, Diploma Supplement) in the Bologna signatory states. Country chapters and a comparative overview.

Eurydice

<http://www.eurydice.org>

Bologna Process Stocktaking

General stocktaking of the Bologna process by a working group appointed by the follow-up group. Results to be presented in London.

Secretariat of the Bologna Follow-up Group (UK)

<http://www.dfes.gov.uk/bologna>

TRENDS V – Implementing Bologna Reforms in European Higher Education

Survey of institutional attitudes to Bologna reforms addressed to HE institutions in all 45 countries. Institutional site visits to examine teaching and research links; stocktaking priorities including the social dimension. Regional debates with focus group discussions used to gather key information.

EUA – European University Association

<http://www.eua.be>

12. Information on Higher Education Reform

Socrates

National Teams (31) in the Countries participating in the Socrates Program

Senior Academics, (Vice-) Rectors, Deans, Directors of Study, International Relations Officers and Student Representatives, who are successful in introducing the Bologna reforms in their institutions advise colleagues in their country and occasionally abroad. ECTS/DS Counsellors are integrated in the teams of Bologna Promoters.

The Socrates-Erasmus National Agencies

http://ec.europa.eu/education/programmes/socrates/nat-est_en.html

Raising Employers' Awareness about the Bologna Process

Project relates directly to a real need concerning the employers' perception and knowledge of the Bologna Process. Information package is to be developed for employers.

Coimbra Group

<http://www.coimbra-group.be>

Tempus CARDS

Furtherance of Bologna Promotion in Croatia

To promote the Bologna goals, especially the three-cycle system, connection of higher education to research and development, diploma recognition, qualification framework, employability and quality assurance and to raise the awareness of social, cultural and economic aspects of Bologna reform.

University of Zagreb (HR)

<http://www.unizg.hr>

Promoting the Bologna Process in Kosovo

The specific objective of this project is to support the efforts for integration of Kosovo in the EHEA by assisting relevant stakeholders to develop appropriate higher education policies and to disseminate information on the Bologna Process.

University of Ljubljana (SI)

<http://www.uni-lj.si>

Tempus Tacis

Support to the creation and activities of National Teams of Bologna Promoters (Moldova)

To create a team of Bologna Promoters. To prepare recommendations in order to bring the legislation and normative acts into conformity with the practical introduction of the Bologna process elements in educational work.

The Continuing Education Institute (MD)

<http://www.usm.md>

13. Seminars and Conferences

Socrates

L&S - Lisbon and Students: Strengthening the Debate on "Education and Training 2010"

Student convention on the Lisbon Strategy. Three regional training seminars, four meetings with social partners, production of training materials and a handbook: Lisbon with Student Eyes.

ESIB - The National Unions of Students in Europe

<http://www.esib.org>

4th EUA Convention of European Higher Education Institutions – Lisbon, Portugal, 29-31 March 2007

Higher education convention to prepare the position of higher education sector in view of the May 2007 Bologna Ministerial conference. Preparatory meetings, convention website, reader, etc.

EUA – European University Association

<http://www.eua.be>

5th Ministerial Summit of Bologna Progress – London, UK, 16-18 May 2007

Project will help to cover costs of organising the May 2007 London Ministerial conference.

DFES – Department of Education and Skills (UK)

<http://www.dfes.gov.uk/bologna>

14. Sectoral Initiatives

Socrates

SECEB – Sharing Experiences on Cultural Education Realising the Bologna Process

Analyse implementation of the two-tier degree structure in the field of cultural management education and policy education (higher and vocational sector). Two European workshops and final conference.

ENCATC – European Network of Cultural Administration Training Centres

<http://www.encatc.org>

Tempus CARDS

Standardization in Teaching of Medicine (Croatia)

To bring standardisation and quality assurance to teaching of medical subjects and to introduce new content of studies (economics and management in health care) important for the healthcare market, through the use of new information technology, and by developing learning facilities necessary for building virtual and real life network connection, thus significantly influencing higher education reform strategy and national reform capacities.

Josip Juraj Strossmayer University of Osijek (HR)

<http://www.unios.hr>

Tempus Tacis

Integrative Qualification in Electronic Government

Encouraging the Bologna process in the subject of Electronic Government. Validating and exporting existing didactical models & methods in case-based higher education in eGovernment, with concrete process improvements and with the potential for lifelong learning concepts.

Technische Universität Dresden (DE)

<http://tu-dresden.de>

Tempus MEDA

Insertion de diplômés, enseignement supérieur agricole

De concevoir et de mettre en place un dispositif opérationnel favorisant l'insertion professionnelle des diplômés des trois écoles supérieures d'agriculture de la région nord-ouest de la Tunisie.

ENFA - Ecole Nationale de Formation Agronomique (FR)

<http://enfa.mip.educagri.fr>

Erasmus Mundus

CHEMEPASS – Chemical Engineering Mobility Tools

Evaluation and recognition of competences: tools to improve the transparency of programmes and the evaluation of competences and texts of knowledge for training and evaluating the basics. Packages aiming at defining frameworks for the use of HEI's to express the specificities of their educational programmes in terms of Learning outcomes, conceiving tools and methods to help the evaluation of competences of an individual person especially competences other than knowledge, developing electronic tests on knowledge of core areas of Chemical Engineering for self-evaluation, diagnosis, and integration, and initiating a new thematic network, the ECEEN (European Chemical Engineering Education Network.)

Ecole Supérieure de Chimie Physique Electronique de Lyon

<http://www.cpe.fr>



Bologna Process Stocktaking London 2007



department for
education and skills



Socrates

Bologna Process Stocktaking Report 2007

**Report from a working group appointed by the Bologna
Follow-up Group to the Ministerial Conference in London,
May 2007**

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Bologna Follow-up Group

Stocktaking Working Group 2005-2007

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Darinka Vrecko (Slovenia)

Prof Aybar Ertepinar (Turkey)

David Crosier (European University Association)

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Ann McVie (Bologna Secretariat)

Expert appointed to assist working group

Cynthia Deane (Options Consulting)

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It was a real pleasure for the Working Group to have Cynthia Deane as an expert. Her analytical approach, knowledge and experience, not least in the previous stocktaking were highly appreciated by the Working Group and to a great extent eased the task of the Working Group chair.

Finally, I would like to thank the Bologna Follow-up Group representatives from each of the participating countries who provided the material in the National Reports, which in turn forms the basis of the Stocktaking Report.

I am confident that the Working Group has produced a report that integrates quantifiable indicators and qualitative analysis and therefore provides an objective statement of the level of progress in the aspects for which the Ministers requested taking stock in 2007. The report identifies both the areas where the progress has been the strongest and the aspects in which most effort has to be made as we move towards the overall Bologna Process goals. I also believe that the combination of qualitative and quantitative analysis should be continued and further developed in the next phase of stocktaking.

Andrejs Rauhvargers,

Chair, BFUG Working Group on Stocktaking

April 2007

Executive summary

Outline of the 2007 stocktaking report

This report on the Bologna Process stocktaking was prepared for the London Ministerial meeting in May 2007. The report has three parts.

Part 1 explains the background to the 2007 stocktaking exercise, linking it to the findings of the 2005 stocktaking report and to the Bergen Communiqué. It also describes the methodology that was used in the 2007 stocktaking.

Part 2 includes quantitative and qualitative analysis of the stocktaking results.

Part 3 draws conclusions about progress towards achieving the goals that were set by the Ministers in Bergen and makes recommendations for the future based on the analysis of the 2007 stocktaking results.

Summary of findings from the 2007 stocktaking

There are three main findings from the 2007 stocktaking:

1. There has been good progress in the Bologna Process since Bergen.
2. The outlook for achieving the goals of the Bologna Process by 2010 is good, but there are still some challenges to be faced.
3. Stocktaking works well as an integral part of the Bologna Process strategy.

Conclusion 1

There has been good progress in the Bologna Process since Bergen

The 2007 scorecard shows that the overall picture within the Bologna Process is much more “green” than it was in 2005. The stocktaking results show that there has been considerable progress towards achieving the goals set by the Ministers in Bergen.

Good progress on the three-cycle degree system

The three-cycle degree system is now at an advanced stage of implementation across the participating countries. The access from one cycle to the next has improved, and there is a trend towards providing structured doctoral programmes.

Work has started on implementing national frameworks for qualifications compatible with the overarching framework for qualifications in the European Higher Education Area (EHEA).

Some elements of flexible learning paths in higher education exist in all countries. In some countries they are at a more developed stage and include procedures for the recognition of prior learning.

Good progress on quality assurance

Implementation of the *Standards and Guidelines for Quality Assurance in the European Higher Education Area*, adopted in Bergen, has started on a widespread basis.

Student involvement in quality assurance has grown significantly since 2005, while there is more work to be done on extending the level of international participation.

Good progress on recognition of degrees and study periods

There is good progress towards incorporating the principles of the Lisbon Recognition Convention in national legislation and institutional practice. However, not all countries have yet ratified the Convention.

Countries have developed national action plans to improve the quality of their recognition processes.

There is potential for a significant increase in the number of joint degrees awarded in two or more countries. Legal barriers to the recognition of joint degrees have been largely removed.

Higher education institutions have begun to recognise prior learning (including non-formal and informal learning) for access to higher education programmes and qualifications. However there is more work to be done in this area.

Linking higher education and research

Many countries are strengthening the links between the higher education and research sectors.

Some countries have concrete plans to increase the numbers of doctoral graduates taking up research careers.

Conclusion 2

The outlook for achieving the goals of the Bologna Process by 2010 is good, but there are still some challenges to be faced

There has been good progress up to now, however it is not uniform across all countries and all action lines. There is a need to look ahead and focus on reaching all the goals of the Bologna Process in each participating country by 2010.

The Bologna Process is an effective catalyst for reform at national level

The Bologna Process has driven the process of higher education reform at national level. Higher education institutions, their staff and students, business and social partners, and international organisations are more actively engaged as partners in implementing the Bologna Process than was previously the case.

The sharing of expertise has contributed to building capacity at both institutional and national levels so that there has been measurable progress across all participating countries.

There is a need to link all the action lines

While the 2007 stocktaking found that there has been good progress on specific action lines and indicators, it is not enough to look at these in isolation because all aspects of the Bologna Process are interdependent. There are two themes that link all action lines: a focus on *learners*, and a focus on *learning outcomes*.

If the Bologna Process is to be successful in meeting the needs and expectations of learners, all countries need to use learning outcomes as a basis for their national qualifications frameworks, systems for credit transfer and accumulation, the diploma supplement, recognition of prior learning and quality assurance. This is a precondition for achieving many of the goals of the Bologna Process by 2010.

Conclusion 3

Stocktaking works well as an integral part of the Bologna Process strategy

Stocktaking within the Bologna Process involves collaborative peer-reported self-evaluation, which has been effective in encouraging countries to take action at national level. All countries have made progress, and stocktaking has made the progress visible.

From the experience of both the 2005 and 2007 stocktaking exercises, it is clear that stocktaking within the Bologna Process works best when it is an integral part of a goal-driven development strategy that includes five “steps to success”:

1. Agree the policy goals, linking them to a vision for the future that is shared by all participating countries
2. Set targets to be achieved within a certain time frame (make sure they are specific, measurable, achievable, relevant and timed: SMART)

3. Take action at national level and collectively (provide relevant support, share good practice, encourage peer collaboration)
4. Review progress individually: self-evaluation using agreed criteria (scorecard) complemented by qualitative reporting
5. Evaluate achievement collectively (stocktaking).

Recommendations from the 2007 stocktaking

Recommendation to Ministers

Set clear policy goals and specific targets for the next period of the Bologna Process, especially in the areas of the third cycle, employability, recognition, lifelong learning, flexible learning paths and the social dimension.

Recommendations for countries

1. Work towards fully implementing a national qualifications framework based on learning outcomes by 2010.
2. Link the development of the qualifications framework to other Bologna action lines, including quality assurance, credit transfer and accumulation systems, lifelong learning, flexible learning paths and the social dimension.
3. Ensure that progress is promoted across all action lines, including the more challenging aspects that are not easily and immediately attainable.
4. Make formal links between the Bologna Process and the ENIC/NARIC (European Network of Information Centres/ National Academic Recognition Information Centre) network to undertake further work on developing and implementing national action plans for recognition.

Recommendations for future stocktaking

Repeat the stocktaking in 2009, with the close collaboration of other partner organisations, including Eurydice European Unit, European University Association (EUA) and ESIB (National Unions of Students in Europe), in setting out the timetable and the arrangements for data collection and analysis.

2007 stocktaking: background and methodology

This part of the report explains the background to the 2007 stocktaking exercise, linking it to the findings of the 2005 Stocktaking Report and to the Bergen Communiqué. It also describes the methodology that was used in the 2007 stocktaking.

Background to the 2007 stocktaking exercise

The first stocktaking of progress in the Bologna Process was carried out in 2005, following a decision taken by the Ministers at their 2003 meeting in Berlin. When the Stocktaking Working Group presented its report to the ministerial meeting in Bergen in 2005, the Ministers accepted the recommendation that the stocktaking exercise should continue and they asked that a further report should be prepared for their meeting in London in May 2007.

This report presents the results of the 2007 stocktaking, which was designed to check the progress that participating countries have made on the aspects of the Bologna Process that are included in the Bergen Communiqué. The report gives an overview of progress since 2005 and also of progress towards achieving the 2010 goals of the Bologna Process.

Building on the findings of the 2005 stocktaking

The 2005 stocktaking report concluded that very good progress had been made on achieving the targets in the three priority action lines set by Ministers in the Berlin Communiqué: quality assurance, degree system and recognition. However, the report also identified a number of important gaps in those areas.

For the *quality assurance* action line, the two main issues were the low level of student and international participation and the need to go beyond establishing quality assurance *systems* to promote a quality assurance *culture* in all aspects of higher education.

In the *degree system* action line, the issue of providing access to the next cycle gave rise to some controversy based on differing interpretations of the term “access”. Another issue was the need to engage social partners, especially employers, in the governance and decision-making of higher education systems to ensure the continuing relevance of degrees to employment.

In the *recognition* action line, the 2005 Stocktaking Report showed that there were some problems in implementing tools such as the diploma supplement and it also emphasised the need for progress to be made on developing the emerging framework for qualifications of the EHEA.

The report recommended that the stocktaking exercise would continue and this was endorsed by the Ministers in the Bergen Communiqué.

The Bergen Communiqué: issues for stocktaking in 2007

In the Bergen Communiqué, Ministers charged the Bologna Follow-up Group (BFUG) with continuing and widening the stocktaking process, and stated that they expected implementation of the three intermediate priorities (degree system, quality assurance, recognition of degrees and study periods) to be largely completed by 2007. Ministers asked the BFUG to include a number of specific issues in the 2007 stocktaking and underlined important aspects in which they expected results.

We expect stocktaking ... to continue in the fields of the degree system, quality assurance and recognition of degrees and study periods....

In particular, we shall look for progress in

- implementation of the standards and guidelines for quality assurance as proposed in the ENQA report;
- implementation of the national frameworks for qualifications;
- the awarding and recognition of joint degrees, including at the doctorate level;
- creating opportunities for flexible learning paths in higher education, including procedures for the recognition of prior learning.

(*Bergen Communiqué*¹, p.5)

Questions for the 2007 stocktaking

The priority action areas and the other main themes identified by the Ministers in the Bergen Communiqué gave rise to a set of questions as a starting point for the 2007 stocktaking.

Questions about the degree system

How advanced is the implementation of the three cycle degree system?

Has work started on implementing a national framework for qualifications compatible with the overarching framework for qualifications of the EHEA?

Questions about quality assurance

Has each country started to implement the *Standards and Guidelines for Quality Assurance in the European Higher Education Area* adopted in Bergen?

1 The full text of the *Bergen Communiqué* is at http://www.bologna-bergen2005.no/Docs/00-Main_doc/050520_Bergen_Communique.pdf

What progress has been made as regards student involvement and international cooperation in quality assurance?

Questions about recognition of degrees and study periods

Have all countries ratified the Lisbon Recognition Convention as urged in the Bergen Communiqué?

Has each country implemented the principles of the Lisbon Recognition Convention and incorporated them in national legislation as appropriate?

Has each country developed a national action plan to improve the quality of the process associated with the recognition of foreign qualifications?

Have all countries removed the obstacles for awarding and recognition of joint degrees (i.e. degrees awarded jointly by higher education institutions in two or more countries)?

Questions about flexible learning paths in higher education and recognition of prior learning

What progress has been made on creating opportunities for flexible learning paths in higher education, including procedures for the recognition of prior learning?

Are there procedures and arrangements in all countries for recognition of prior learning (including non-formal and informal learning) for access to higher education programmes and for allocating credits?

Questions about other themes from the Bergen Communiqué

In addition to the three interim priority action lines, the Bergen Communiqué gave rise to questions about the role of higher education in research; about the employability of graduates, and about the role of the Bologna Process in promoting partnership at institutional and national levels. These questions were also included in the template for national reports.

Higher education and research

How well is the higher education sector linked with other research sectors in the participating countries?

What plans are in place to increase the numbers of doctoral candidates taking up research careers?

Employability of graduates

What measures are being taken to increase the employability of graduates with bachelor qualifications?

Partnership

How well are higher education institutions, their staff and students engaged as partners in the implementation of the Bologna Process?

To what extent are organisations representing business and the social partners cooperating in reaching the goals of the Bologna Process?

2007 stocktaking methodology

The Bologna Follow-up Group appointed a working group chaired by Prof. Andrejs Rauhvargers (Latvia) to carry out the stocktaking. The members of the working group were: Marie-Anne Persoons (Belgium - Flemish Community); Heli Aru (Estonia); Uta Grund (Germany); Foteini Asderaki (Greece); Sverre Rustad (Norway); Camelia Sturza (Romania, replaced Prof. Vasile Isan); Darinka Vrecko (Slovenia); Prof. Aybar Ertepinar (Turkey); David Crosier (European University Association); Stéphanie Oberheidt (Eurydice European Unit); Ann McVie (Bologna Secretariat); Cynthia Deane (Expert).

Terms of reference of the 2007 Stocktaking Working Group

The Bologna Follow-up Group asked the Stocktaking Working Group to include two aspects in the 2007 stocktaking: firstly the issues that were explicitly mentioned in the Bergen Communiqué as being part of the next stocktaking exercise, and secondly the related issues mentioned in the communiqué where Ministers wanted to see that progress had been made by 2007.

The Working Group was asked to:

1. Identify the key issues to be addressed through the stocktaking exercise as well as the methodology to be used in this exercise
2. Collaborate with partner and other organisations in order to maximise the use of data sources
3. Define, where appropriate, the structure of a separate questionnaire to be used in the stocktaking should this be required
4. Prepare a structure for the national contributions to the stocktaking to be submitted by participating countries
5. Prepare a report for approval by the BFUG in advance of the London Conference in 2007.

Steps in the stocktaking process

In the period from December 2005 to April 2007 the Working Group, supported by the expert and the secretariat, completed the following steps in the stocktaking process:

- defined the stocktaking framework, which integrated data from various sources
- developed the stocktaking indicators and criteria for the 2007 scorecard
- formulated questions and devised a template for national reports
- gathered data by asking countries to submit national reports
- analysed data from national reports and other sources
- prepared the Stocktaking Report.²

² The Working Group met five times: 9 December 2005; 27 February and 11 October 2006; 12-13 February and 26-27 March 2007.

The framework for stocktaking in 2007

The 2007 stocktaking built on the methodology that was developed in 2005, and combined a quantitative and a qualitative approach to assessing progress within the Bologna Process. The first step for the Working Group was to decide how to include the “related issues” in the stocktaking exercise. The BFUG advised that the experience of the previous stocktaking exercise, where clearly measurable information was included in the scorecard and other issues were covered in the text, was relevant in this context. The Stocktaking Working Group adopted this framework as a way of combining quantitative and qualitative analysis of progress. It was also a way of keeping the stocktaking exercise manageable within the available resources.

It was decided that the data for the stocktaking would be drawn mainly from national reports submitted by all countries, backed up and validated by data from a number of other sources. As in 2005, the other data sources in 2007 were:

- Eurydice report: *Focus on the Structure of Higher Education in Europe*
- EUA (European University Association) report: *Trends V*
- ESIB (National Unions of Students in Europe) survey: *Bologna With Student Eyes*.

The Working Group included a member from Eurydice and one from the EUA, which made it possible to share data.

The 2007 scorecard: stocktaking indicators and criteria

The Working Group used the 2005 scorecard indicators as a starting point, and made changes to take account of the progress that was expected to have happened within the two years since the previous stocktaking.³ This meant that some of the 2005 indicators were amalgamated, some of the criteria for the colour categories were changed and some new indicators were added.

The Working Group decided that there would not be scorecard indicators for third cycle doctoral studies and flexible learning paths in higher education, but that these aspects would be included in national reports. They would then be treated within the qualitative part of the stocktaking report. The indicators for the 2007 stocktaking were approved by the Bologna Follow-up Group in April 2006.

National reports

The 2007 stocktaking differed from the 2005 exercise in that the scorecard criteria were agreed at an earlier stage in the process. The template for national reports was then designed to elicit the appropriate data and it was sent to all participating countries in May 2006 together with the scorecard.⁴ This meant that all countries knew in advance the criteria against which progress on the indicators would be assessed in the stocktaking exercise.

3 The 2005 scorecard is included in the Stocktaking Report which is available at http://www.bologna-bergen2005.no/Bergen/050509_Stocktaking.pdf

4 The 2007 scorecard criteria and the template for national reports are at <http://www.dfes.gov.uk/bologna/index.cfm?fuseaction=docs.list&DocCategoryID=2>

The deadline for submitting national reports was 15 December 2006, and by that date reports had been received from only eight countries. Most reports were submitted within a month of the closing date. There were a few countries that delayed the stocktaking process by submitting their reports very late. The last national report was received three months after the deadline. The total number of reports was 48: there are 46 countries in the Bologna Process, with two reports for each of Belgium and the United Kingdom.⁵

Analysing data from national reports and other sources

In their national reports, countries provided data about their progress on the Bologna action lines. They also described the processes initiated at national level to support implementation of the Bologna reforms. All national reports conformed to the template that was supplied, but not all responses directly answered the questions that were asked. This made it difficult to assign scores for the indicators, and on several occasions countries were asked to supply more information.

The secretariat sent the first draft of country scorecards to the countries for checking at the end of January 2007. If countries saw grounds to have a score revised, they were asked to supply relevant evidence to justify the change. In almost three-quarters of the requests, the score was changed on the basis of the new information that the country submitted. In some other cases, it was decided that the score would not change but an explanatory note would be added to the text accompanying the country scorecard in the report.

It is significant to note that in 2007 six countries asked that a score be revised compared to just one country in 2005. This may suggest that countries are now more willing to present a true picture of their stage of progress and are less concerned with “looking good”. It is also important to recognise that the situation is dynamic and ever-changing. While this Stocktaking Report presents an overview of the situation at the end of 2006, some countries have made more progress since scores were assigned on the basis of the information they gave in their national reports. This is mentioned in the note that accompanies each country scorecard, where appropriate.

When the analysis of stocktaking results from the national reports was complete, the Working Group had an opportunity to validate the findings against the Eurydice, EUA and ESIB data.

Preparing the Stocktaking Report

In preparing the 2007 Stocktaking Report, the Working Group wanted to produce a document that would give Ministers, policy makers and higher education practitioners a clear and comprehensive analysis of progress. While the scorecard is an important part of the report, the results need to be read in conjunction with the commentary to get a full picture of how the Bologna Process has advanced since 2005, and how it is positioned to achieve all its goals by 2010.

⁵ All 2007 national reports are available at <http://www.dfes.gov.uk/bologna/index.cfm?fuseaction=docs.list>

Analysis of 2007 stocktaking results

This part of the report analyses the results of the stocktaking, showing where there has been any notable progress or lack of progress. It includes results, comments and analysis for each indicator in the scorecard and also for the other aspects of the stocktaking that were not included in the scorecard. The level of progress is assessed by comparing the 2007 data with the 2005 stocktaking results, where the indicators are directly comparable. An “at a glance” summary scorecard and the individual scorecards for all countries are included in the Annex.

Stocktaking results for indicators included in the scorecard

Stocktaking on the Degree System

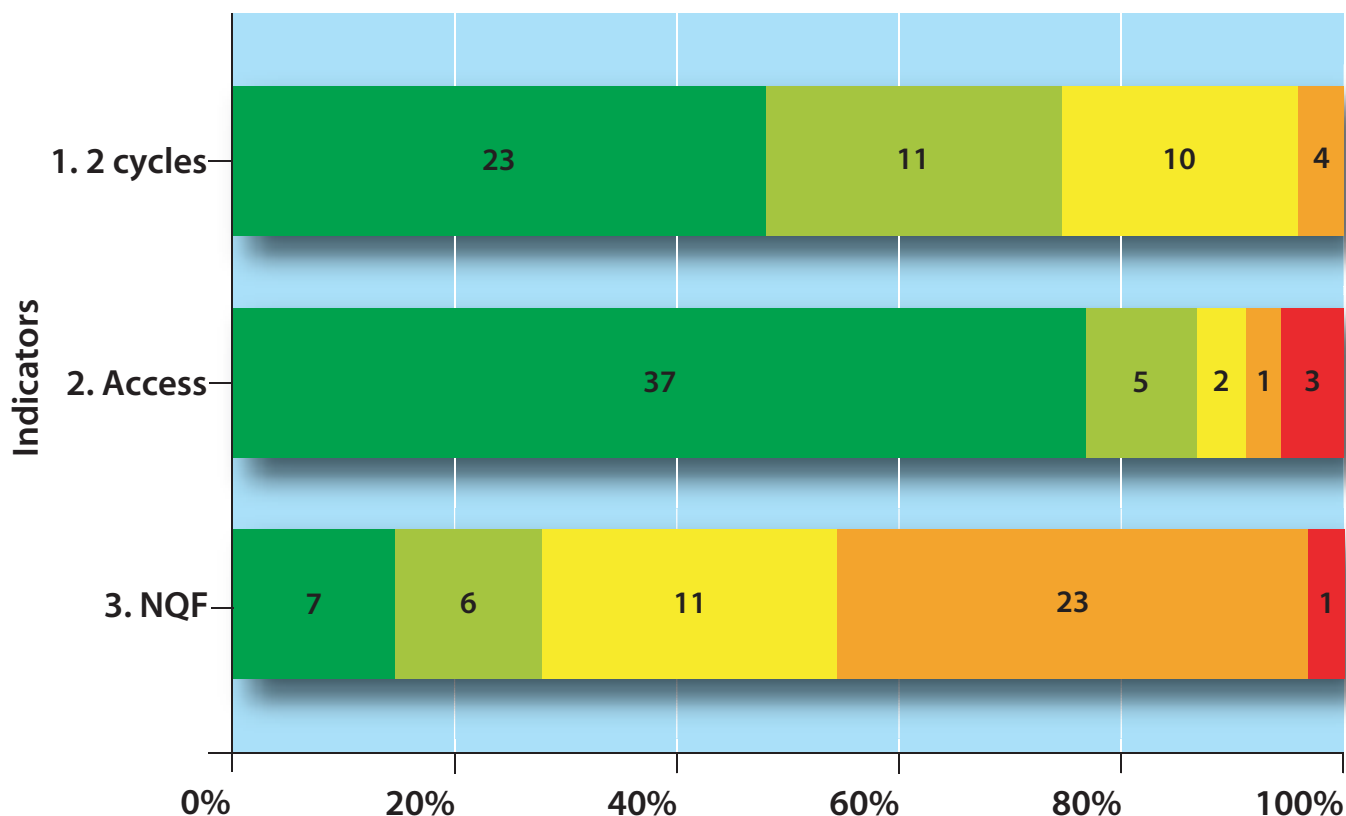
Table 1

Number of countries in each colour category for indicators 1-3

Degree System	Green	Light green	Yellow	Orange	Red
1. Stage of implementation of the first and second cycle	23	11	10	4	0
2. Access to the next cycle ⁶	37	5	2	1	3
3. Implementation of national qualifications framework	7	6	11	23	1

⁶ “Access” is defined according to the Lisbon Recognition Convention: “Access : the right of qualified candidates to apply and to be considered for admission”.

Figure 1a Degree System: number and percentage of countries in each colour category for indicators 1-3



Indicator 1: Stage of implementation of the first and second cycle

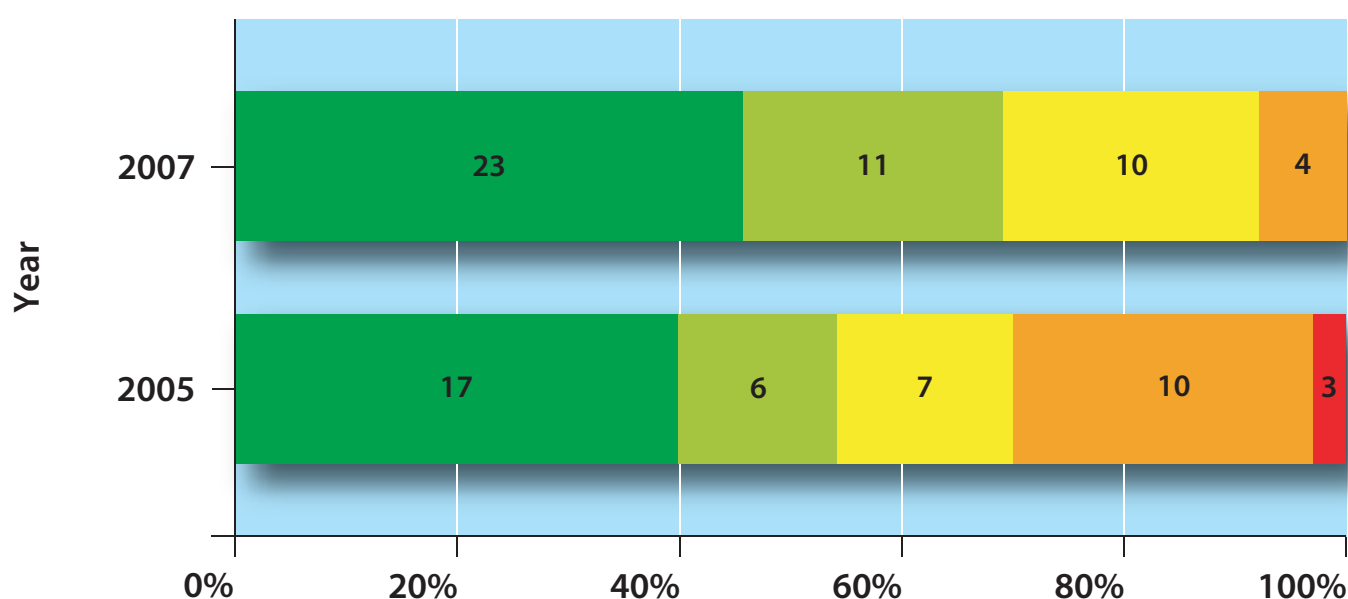
Number of countries in each score category for Indicator 1	23	11	10	4	0

DEGREE SYSTEM	1. Stage of implementation of the first and second cycle
Green (5)	In 2006/07 at least 90% of all students are enrolled in a two-cycle degree system that is in accordance with the Bologna principles
Light green (4)	In 2006/07 60-89% of all students are enrolled in a two-cycle degree system that is in accordance with the Bologna principles
Yellow (3)	In 2006/07 30-59% of all students are enrolled in a two-cycle degree system that is in accordance with the Bologna principles
Orange (2)	In 2006/07 less than 30% of all students are enrolled in a two-cycle degree system that is in accordance with the Bologna principles OR Legislation for a degree system in accordance with the Bologna principles has been adopted and is awaiting implementation
Red (1)	No students are enrolled in a two-cycle degree system that is in accordance with the Bologna principles AND there is no legislation in force to make the degree system compatible with the Bologna principles

This was quite a demanding indicator because it replaced two of the 2005 indicators. Countries were asked to report on the percentage of students below doctoral level enrolled in the two-cycle degree system. It was a concrete measure, but several national reports gave no exact percentages.

Almost half of the countries have the vast majority of students already studying in the two-cycle degree system and another eleven countries have at least 60 per cent of students enrolled in the two-cycle degree system.

Figure 1b **Indicator 1: Stage of implementation of the first and second cycle**
Comparison 2005-2007



Number and percentage of countries indicated in each colour category

(In 2005, there were 43 countries; in 2007, there are 48)

Progress since 2005

The 2007 indicator 1 and 2005 indicator 6 both measured the level of student enrolment in the two-cycle system. Fig. 1b shows that there has been good progress on implementing the first and second cycle since 2005: even though the indicator was more demanding in 2007, the results are substantially better.

Most countries are introducing the first and second cycle of the degree system gradually and progress is steady: there are only four countries that have completed legislation but have not yet implemented it. From the evidence of the 2007 stocktaking, this action line will be fully implemented by 2010 and this particular goal of the Bologna Process will be achieved.

Indicator 2: Access to the next cycle

Number of countries in each score category for Indicator 2	37	5	2	1	3

DEGREE SYSTEM	2. Access to the next cycle
Green (5)	All first cycle qualifications give access to several second cycle programmes and all second cycle qualifications give access to at least one third cycle programme without major transitional problems
Light green (4)	All first cycle qualifications give access to at least one second cycle programme and all second cycle qualifications give access to at least one third cycle programme without major transitional problems
Yellow (3)	There are some (less than 25%) first cycle qualifications that do not give access to the second cycle and/or some second cycle qualifications that do not give access to the third cycle
Orange (2)	A significant number (25-50%) of first and/or second cycle qualifications do not give access to the next cycle
Red (1)	Most (more than 50%) first and/or second cycle qualifications do not give access to the next cycle OR there are no arrangements for access to the next cycle

This indicator was meant to check whether national higher education structures ensure that students completing a Bologna cycle have access to the next cycle. The countries were asked to report whether first cycle graduates have access to several second cycle programmes (with a view to having more choice after the introduction of the two-cycle system) and whether second cycle graduates have access to at least one third cycle programme. As in the 2005 stocktaking, access was defined according to the Lisbon Recognition Convention as “the right of qualified candidates to apply and to be considered for admission”. Thus, the indicator measured whether students had the right to apply and be considered for admission, rather than the actual student numbers progressing to the next cycle.

More than four-fifths of the countries report that there is access to the next cycle without barriers.

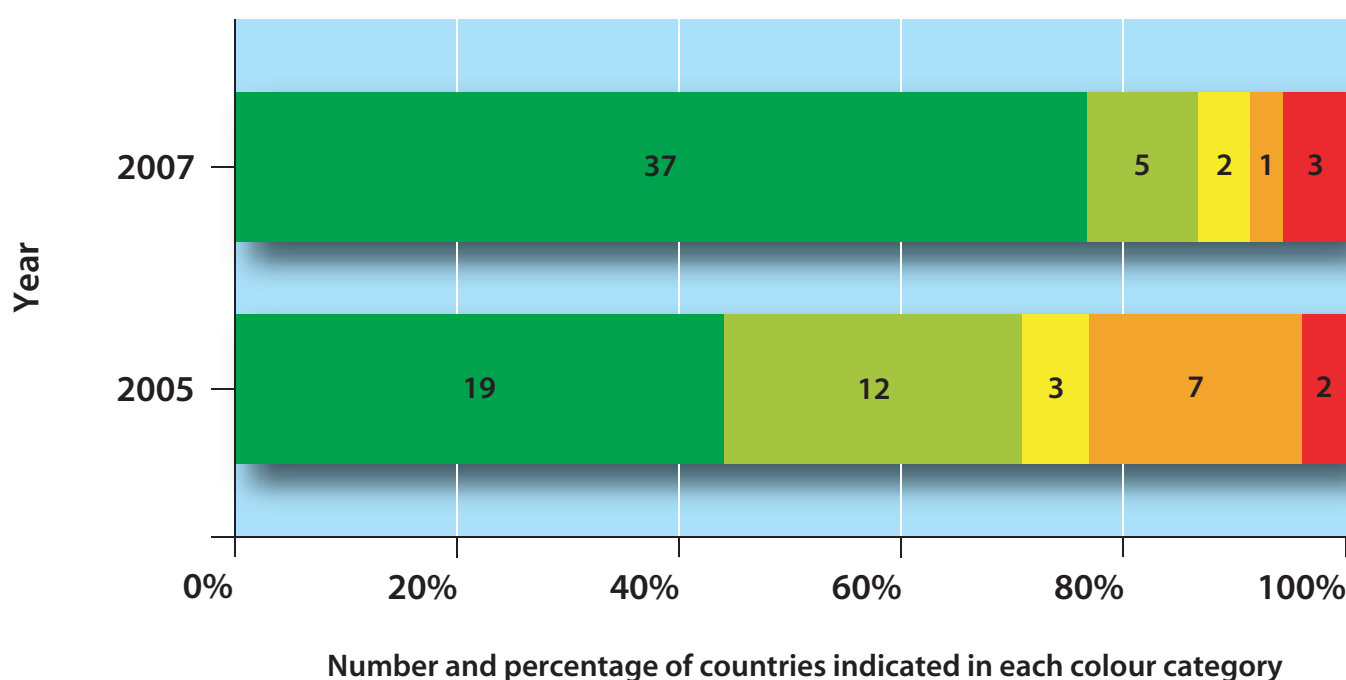
The principle behind this indicator is that there are clear pathways of progression for graduates from one cycle to the next cycle. While countries have reported that there are no “major transitional problems” between cycles, students and graduates may have different perceptions. With regard to progression between cycles, countries have taken a range of approaches.

- Bridging courses or other measures may be required in some countries when the students either seek admission to a different study field or they switch between academic and professional streams.

- In some countries there are two levels of bachelors, each of which matches the Dublin descriptors. However some of these qualifications do not usually give direct access to the second cycle and bridging courses or a period of relevant experience may be required. Such measures are seen by those countries as ways of widening access to the next cycle.
- In most countries, a second cycle qualification qualifies candidates for admission to the third cycle. The exceptions in some countries may be those second cycle qualifications that are in a different subject area than the first cycle, but even then bridging may be possible. Some countries admit first cycle graduates directly to third cycle studies under certain conditions.

For the future, national frameworks of qualifications will enable countries to ensure that there are more transparent transition arrangements between cycles. The Ministers agreed in Bergen that they would have in place by 2010 national frameworks that are compatible with the overarching three-cycle framework of qualifications for the EHEA. The Bergen Communiqué also mentions the possibility that “intermediate qualifications” can be included “within national contexts” to take account of short programmes in the first and second cycle.

Figure 1c **Indicator 2: Access to the next cycle**
Comparison 2005-2007



Progress since 2005

The current indicator 2 was also more demanding than in 2005: it considered access to both second and third cycle compared to just first-to-second cycle transition in 2005. In addition, in 2007 the criterion for the highest score required that a first cycle graduate had access to several second cycle programmes rather than “at least one” in 2005.

Fig 1c shows that there has been good progress on access to the next cycle since 2005: even though the indicator was more demanding, the results are better in 2007.

Indicator 3: Implementation of national qualifications framework

Number of countries in each score category for Indicator 3	7	6	11	23	1

DEGREE SYSTEM	3. Implementation of national qualifications framework (QF)
Green (5)	A national QF in line with the overarching QF for EHEA is in place
Light green (4)	A proposal for a national QF in line with the overarching QF for EHEA has been discussed with all relevant stakeholders at the national level and a timetable for implementation has been agreed
Yellow (3)	A proposal for a national QF in line with the overarching QF for EHEA has been prepared
Orange (2)	The development process leading to definition of national QF in line with the overarching QF for EHEA has started, and it includes all the relevant national stakeholders
Red (1)	Work at establishing national QF in line with the overarching QF for EHEA has not started

This is a new indicator for 2007, and countries are at varying stages of progress towards implementing a national qualifications framework in line with the framework for the EHEA that was adopted by the Ministers in Bergen.

The Ministers in Bergen asked that countries should have started work on their national qualifications frameworks by 2007, and all but one have done so. A small number of countries have already developed and implemented their national frameworks; some others have prepared legislation and are ready to start implementation. Almost all countries have at least started the development process and have engaged all relevant stakeholders, usually by putting in place working groups or special commissions.

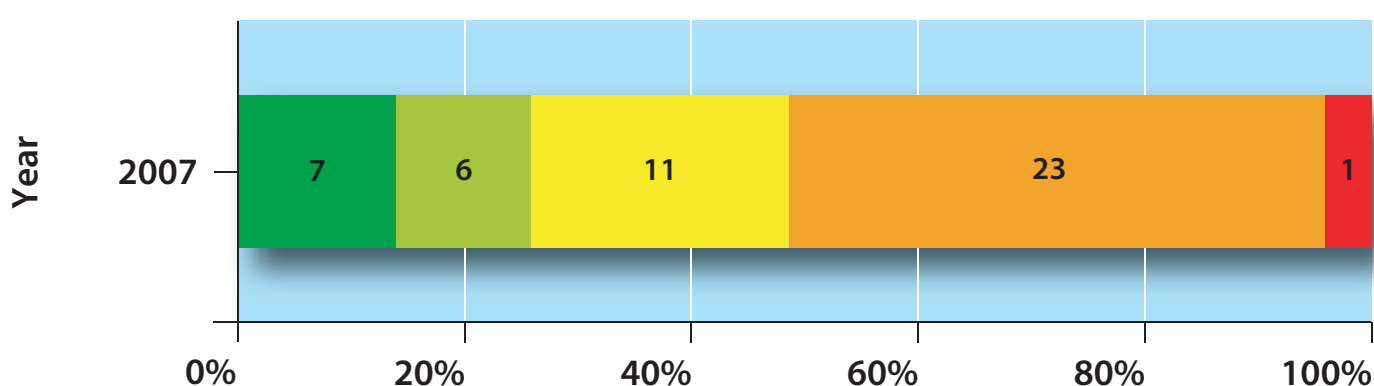
Most of the countries that are in the green category had started developing their national framework before 2005: some have taken ten to fifteen years to complete the development process and implement their framework fully. In view of this, there is a concern among some of the other countries that the goal of having national frameworks in place by 2010 might rush the national process. They recognise that while the principles of the framework can be introduced in legislation relatively quickly, it is likely to take some years before the framework is fully implemented.

While national qualification frameworks that are compatible with the overarching EHEA framework will also be compatible with the European Qualifications Framework for Lifelong Learning (EQF) proposed by the European Commission, it was noted by some countries that there is confusion at national and institutional level between the framework for the EHEA adopted in Bergen and the EQF.

It is clear that this is an indicator where a great effort needs to be made before 2010. There is still a lot of work to be done in many countries, and there is a need to consider what kinds of collegial support can be provided through the Bologna Process to help these countries to develop their national frameworks. This might include continuation of the regional workshops started in the 2005-2007 period, having an appropriate international organisation or network to facilitate meetings and the creation of an expert pool, as suggested by the Qualifications Frameworks Working Group.

Developing national frameworks of qualifications will bring together a number of strands of the Bologna Process, all of which are based on a learning outcomes approach: quality assurance; credit transfer and accumulation systems; recognition of prior learning; lifelong learning; flexible learning paths and the social dimension.

Figure 1d **Indicator 3: Implementation of national qualifications framework**
Progress up to 2007



Number and percentage of countries indicated in each colour category

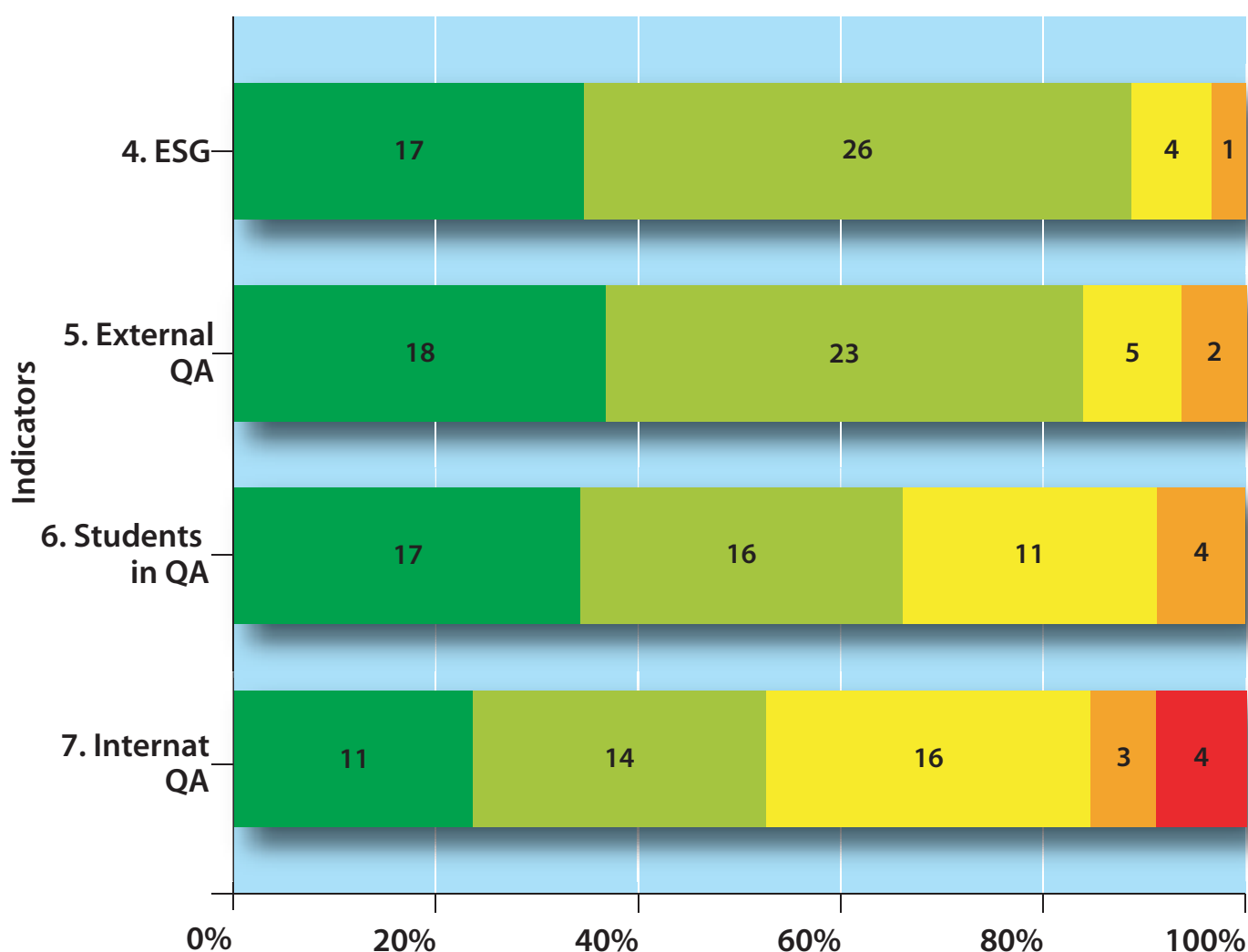
Stocktaking on Quality Assurance

Table 2

Number of countries in each colour category for indicators 4-7

Degree System	Green	Light green	Yellow	Orange	Red
4. National implementation of <i>Standards and Guidelines for QA in the EHEA</i> (ESG)	17	26	4	1	0
5. Stage of development of external quality assurance system	18	23	5	2	0
6. Level of student participation	17	16	11	4	0
7. Level of international participation	11	14	16	3	4

Figure 2 Quality assurance: number and percentage of countries in each colour category for indicators 4-7



Indicator 4: National implementation of *Standards and Guidelines for Quality Assurance (QA) in the EHEA*

Number of countries in each score category for Indicator 4	17	26	4	1	0

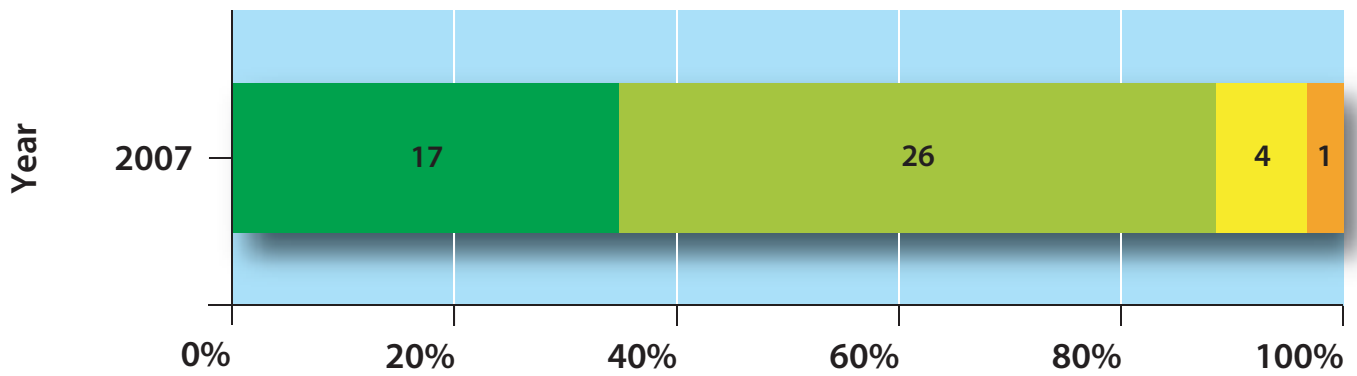
QUALITY ASSURANCE	4. National implementation of <i>Standards and Guidelines for Quality Assurance (QA) in the EHEA</i>
Green (5)	A national QA system in line with the <i>Standards and Guidelines for QA in the EHEA</i> is fully operational
Light green (4)	The process of implementing a national QA system in line with the <i>Standards and Guidelines for QA in the EHEA</i> has started
Yellow (3)	There are plans and established deadlines for amending the national QA system in line with the <i>Standards and Guidelines for QA in the EHEA</i>
Orange (2)	National quality assurance system is under review in line with the <i>Standards and Guidelines for QA in the EHEA</i>
Red (1)	No arrangements to implement the <i>Standards and Guidelines for QA in the EHEA</i>

This is a new indicator and its purpose was to check whether countries have started to implement the *Standards and Guidelines for Quality Assurance in the EHEA* (often referred to as ESG). The criterion for green was that a national QA system in line with the *Standards and Guidelines for Quality Assurance in the EHEA* is fully operational. However, countries could achieve a score of light green without necessarily having completed the steps indicated in *yellow* and *orange*.

In effect, the indicator shows that in close to one-third of countries a national quality assurance system in line with the *Standards and Guidelines for Quality Assurance in the EHEA* is already fully operational (*green*), while all others (*light green*, *yellow* and *orange*) have started work on aligning their quality assurance system with the Standards and Guidelines.

However, there is widespread recognition that in many countries there is still a lot to be done and there are many gaps to be filled. While the formal structures for quality assurance are in place, a finding that is supported by the *EUA Trends V* study, there is a need to provide more support for internal quality assurance/ quality improvement processes that will “embed” a genuine quality culture in higher education institutions. For 2009, the stocktaking process may need to ask for more detailed information about the operation of internal quality assurance processes.

Figure 2a **Indicator 4: National implementation of
Standards and Guidelines for Quality Assurance in the EHEA
Progress up to 2007**



Number and percentage of countries indicated in each colour category

Indicator 5: Stage of development of external quality assurance system

Number of countries in each score category for Indicator 5	18	23	5	2	0

QUALITY ASSURANCE	5. Stage of development of external quality assurance system
Green (5)	A fully functioning quality assurance system is in operation at national level and applies to all HE Evaluation of programmes or institutions includes three elements: ● internal assessment, ● external review, ● publication of results. In addition, procedures have been established for peer review of national QA agency(ies) according to the <i>Standards and Guidelines for QA in the EHEA</i>
Light green (4)	A Quality Assurance system is in operation at national level and applies to all HE The quality assurance system covers three elements: ● internal assessment ● external review ● publication of results But no procedures are in place for peer review of national QA agency(ies) according to the <i>Standards and Guidelines for QA in the EHEA</i>
Yellow (3)	A Quality Assurance system is in operation at national level, but it does not apply to all HE. The quality assurance system covers at least one of the three elements: ● internal assessment ● external review ● publication of results

Orange (2)	Legislation or regulations on quality assurance of programmes or institutions, including at least the first three elements, have been prepared but are not implemented yet OR implementation of legislation or regulations has begun on a very limited scale
Red (1)	No legislation or regulations on evaluation of programmes or institutions with at least the first three elements OR legislation in the process of preparation

The criteria for green were that

- a fully functioning quality assurance system is in operation and applies to all higher education
- evaluation of programmes or institutions includes three elements: internal assessment, external review and publication of results
- procedures have been established for peer review of quality assurance agency.

Even though this indicator was more demanding than in 2005, very good progress is reported. The biggest problem for many countries is that they have yet to establish procedures for external review of the quality assurance agency.

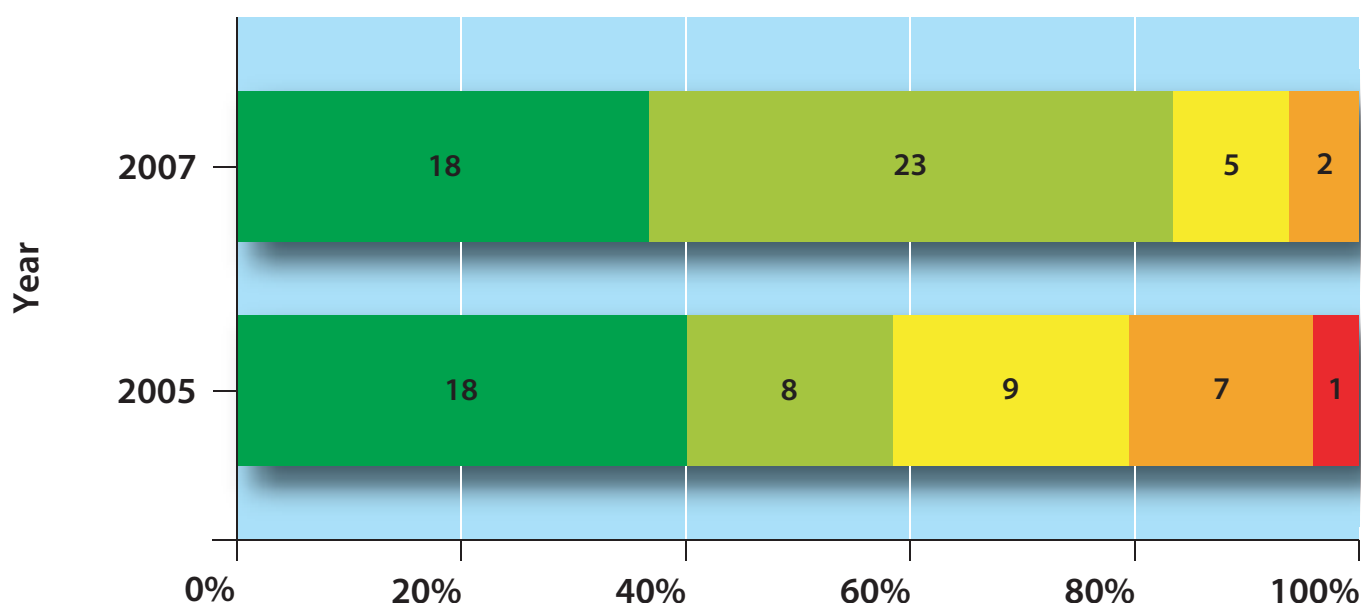
Some groups of countries have begun to cooperate with each other to support implementation of their external quality assurance systems, for example by having joint accreditation processes. It might be useful for the European Association for Quality Assurance (ENQA) in Higher Education to provide information that would help countries to collaborate further, and for them to explain how countries have organised their external reviews.

Progress since 2005

This indicator has changed since 2005, when the criteria for green did not include peer review of quality assurance agencies. In spite of this, however, as fig 2b shows there has been significant progress in establishing systems for external evaluation, with many more countries now in the combined green/light green categories than in 2005.

However, although many countries mention plans to undertake peer review of quality assurance agencies in the next few years, not all countries have established procedures for peer review, so there is no increase in the number of countries in the *green* category in 2007.

Figure 2b **Indicator 5: Stage of development of external quality assurance systems**
Comparison 2005-2007



Number and percentage of countries indicated in each colour category

Indicator 6: Level of student participation in quality assurance

Number of countries in each score category for Indicator 6	17	16	11	4	0

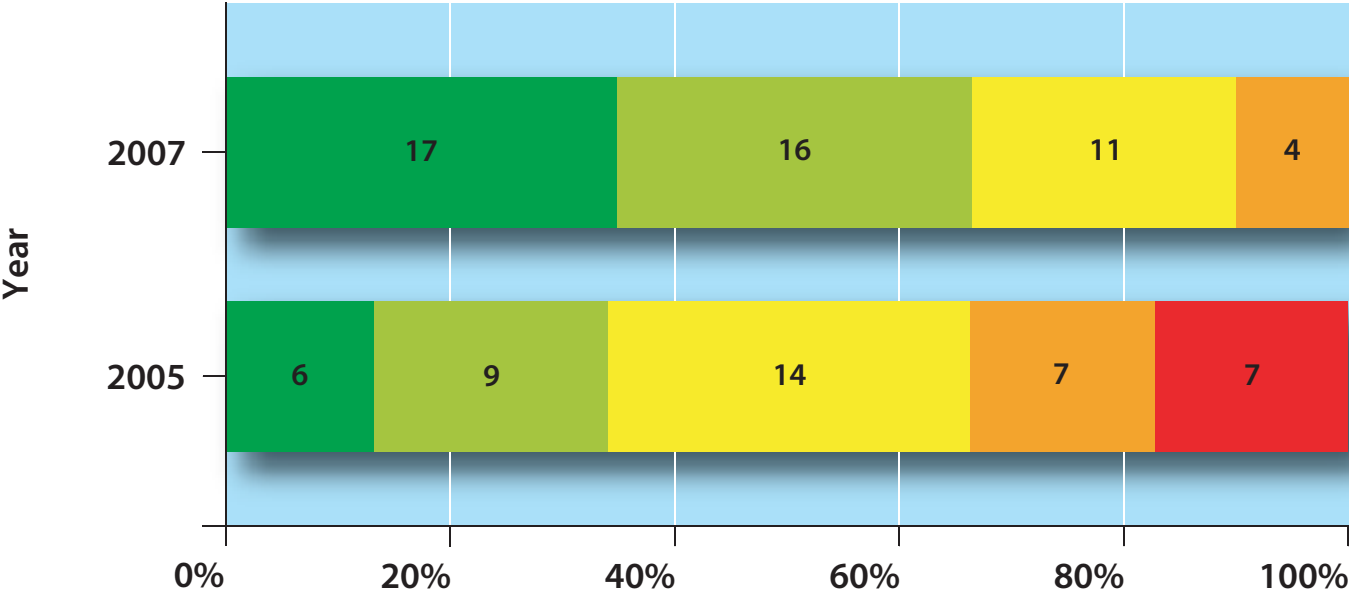
QUALITY ASSURANCE	6. Level of student participation in quality assurance
Green (5)	Students participate at four levels: ● in the governance of national bodies for QA ● in external review of Higher education institutions and/or programmes: either in expert teams, as observers in expert teams or at the decision making stage, ● in consultation during external reviews ● in internal evaluations
Light green (4)	Students participate at three of the four above levels
Yellow (3)	Students participate at two of the four above levels
Orange (2)	Students participate at one of the four above levels
Red (1)	There is no student involvement OR No clarity about structures and arrangements for student participation

Every country has achieved some level of student participation in quality assurance, and in more than two-thirds of countries students participate in at least three of the four levels. This represents a significant increase since 2005, a finding which is backed up by data from *EUA Trends V* and from the ESIB survey.

Progress since 2005

This indicator is directly comparable with 2005 as the criteria have remained the same. It is also the indicator where the greatest amount of progress has been made, as shown in fig 2c.

Figure 2c **Indicator 6: Level of student participation in quality assurance**
Comparison 2005-2007



Number and percentage of countries indicated in each colour category

Indicator 7: Level of international participation in quality assurance

Number of countries in each score category for Indicator 7	11	14	16	3	4

QUALITY ASSURANCE	7. Level of international participation in quality assurance
Green (5)	International participation takes place at four levels: ● in the governance of national bodies for quality assurance ● in the external evaluation of national QA agencies ● as members or observers within teams for external review of Higher education institutions and/or programmes ● membership of ENQA or other international networks
Light green (4)	International participation takes place at three of the four above levels
Yellow (3)	International participation takes place at two of the four above levels
Orange (2)	International participation takes place at one of the four above levels
Red (1)	There is no international involvement OR No clarity about structures and arrangements for international participation

The stocktaking results show that there is still some way to go on international participation in quality assurance, with less than a quarter of countries in the *green* category. This reflects the fact that external review of quality assurance agencies is still at an early stage of development in most countries, so there cannot be international participation in this area yet.

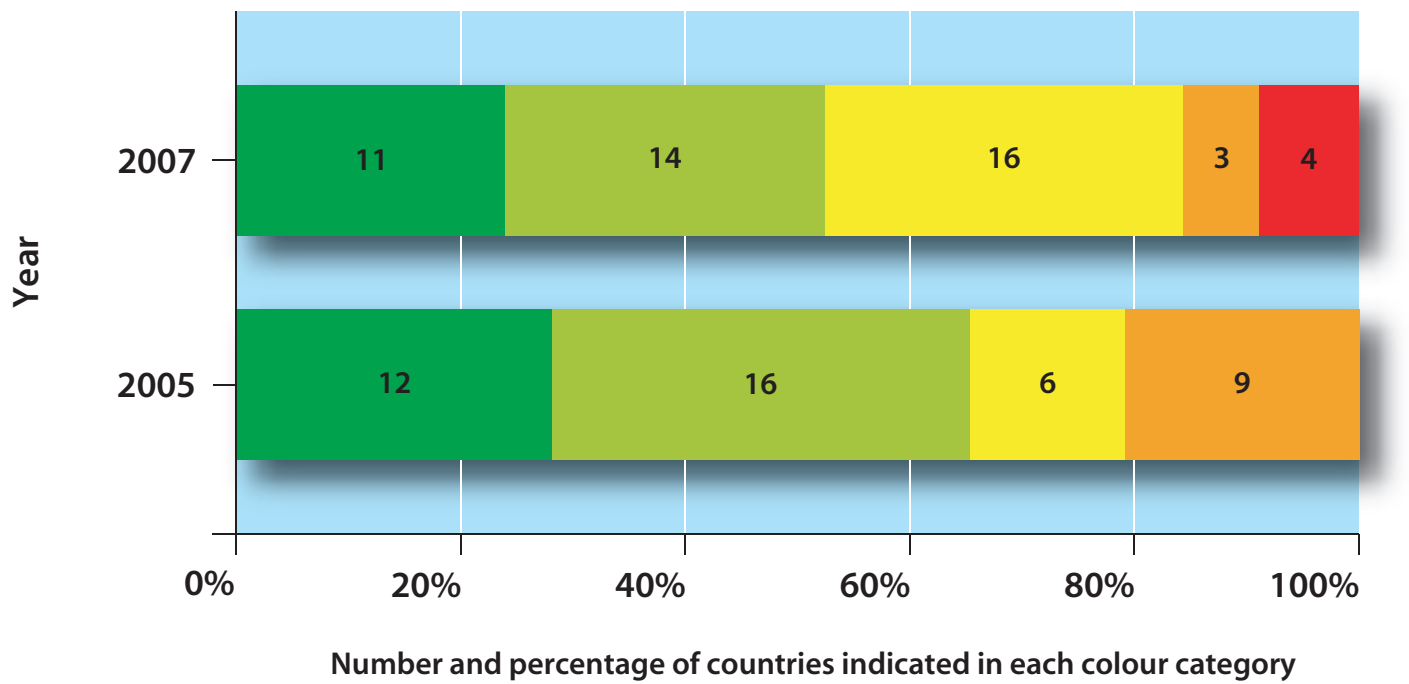
There are some barriers to including foreign experts as members of external review teams. Language was mentioned by a number of countries as an obstacle; this is particularly difficult for smaller countries with less widely-spoken languages. Some countries have solved the problem by using English or another common language throughout the external evaluation process, which greatly adds to the cost and inconvenience for the institutions concerned. International participation in the governance of quality assurance agencies is also mentioned as a problem for some countries because of legislative restrictions.

The challenge for the future is to increase international participation as a way of guaranteeing the international acceptance, openness and transparency of quality assurance processes in all countries. This might be achieved by focussing on developing an international dimension to the external review of quality assurance agencies, and by building on the initiatives of ENQA, EUA and the Council of Europe to promote international cooperation.

Progress since 2005

This indicator was more challenging in 2007 than in 2005 with the addition of *evaluation of quality assurance agencies* to the criteria for *green*. As a consequence, there are fewer countries in the *green/light green* categories and more countries in the *red* category in 2007 than there were in 2005, as shown in fig 2d.

Figure 2d Indicator 7: Level of international participation in quality assurance
Comparison 2005-2007



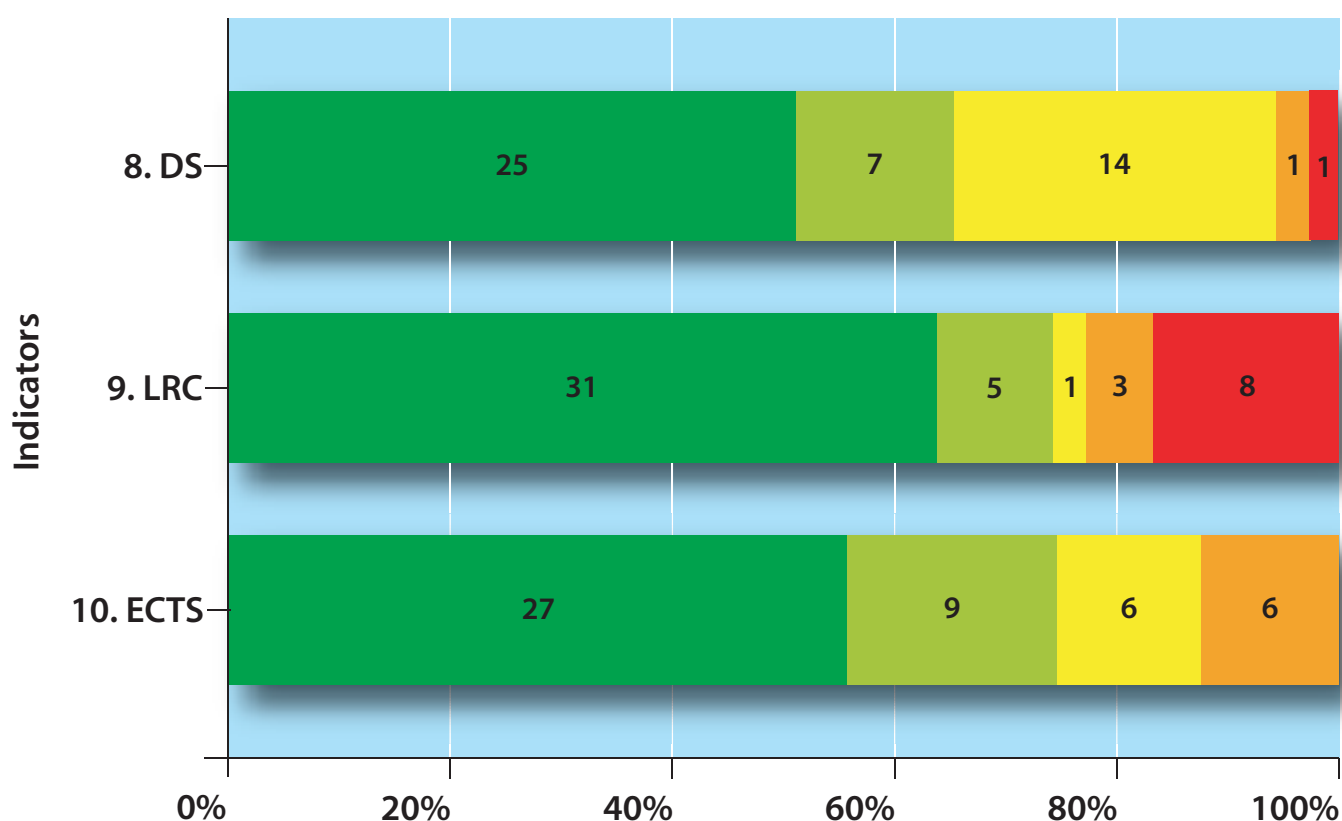
Stocktaking on Recognition of Degrees and Study Periods

Table 3

Number of countries in each colour category for indicators 8-10

Recognition of degrees and study periods	Green	Light green	Yellow	Orange	Red
8. Stage of implementation of diploma supplement	25	7	14	1	1
9. National implementation of the principles of the Lisbon Recognition Convention	31	5	1	3	8
10. Stage of implementation of ECTS	27	9	6	6	0

Figure 3 Recognition of degrees and study periods: number and percentage of countries in each colour category for indicators 8-10



Indicator 8: Stage of implementation of diploma supplement

Number of countries in each score category for Indicator 8	25	7	14	1	1

RECOGNITION	8. Stage of implementation of diploma supplement
Green (5)	Every student graduating in 2007 will receive a diploma supplement (DS) in the EU/CoE/UNESCO diploma supplement format and in a widely spoken European language ● automatically ● free of charge
Light green (4)	Every student graduating in 2007 will receive the diploma supplement in the EU/CoE/UNESCO diploma supplement format and in a widely spoken European language ● on request ● free of charge
Yellow (3)	A DS in the EU/CoE/UNESCO diploma supplement format and in a widely spoken European language will be issued to some students OR in some programmes in 2007 ● on request ● free of charge
Orange (2)	A DS in the EU/CoE/UNESCO diploma supplement format and in a widely spoken European language will be issued to some students OR in some programmes in 2007 ● on request ● not free of charge
Red (1)	Systematic issuing of DS in the EU/CoE/UNESCO diploma supplement format and in a widely spoken European language has not started

The use of the diploma supplement is increasing steadily, with more than half the countries having fully completed implementation. In a number of countries where it is not yet issued automatically, the diploma supplement is available to all students and is issued on request. However, in one-third of countries the diploma supplement is not yet available to all students in all programmes.

A number of different approaches to issuing the diploma supplement can be identified from national reports.

- Some countries automatically issue the diploma supplement in one language, and will issue a translation on request.

- Some countries issue the diploma supplement to doctoral graduates, others do not.
- Some seem to issue the diploma supplement to bachelors on request only.
- Some issue the diploma supplement to all graduates in the two-cycle system (but they may have a large number of study programmes not yet transformed to two cycles).

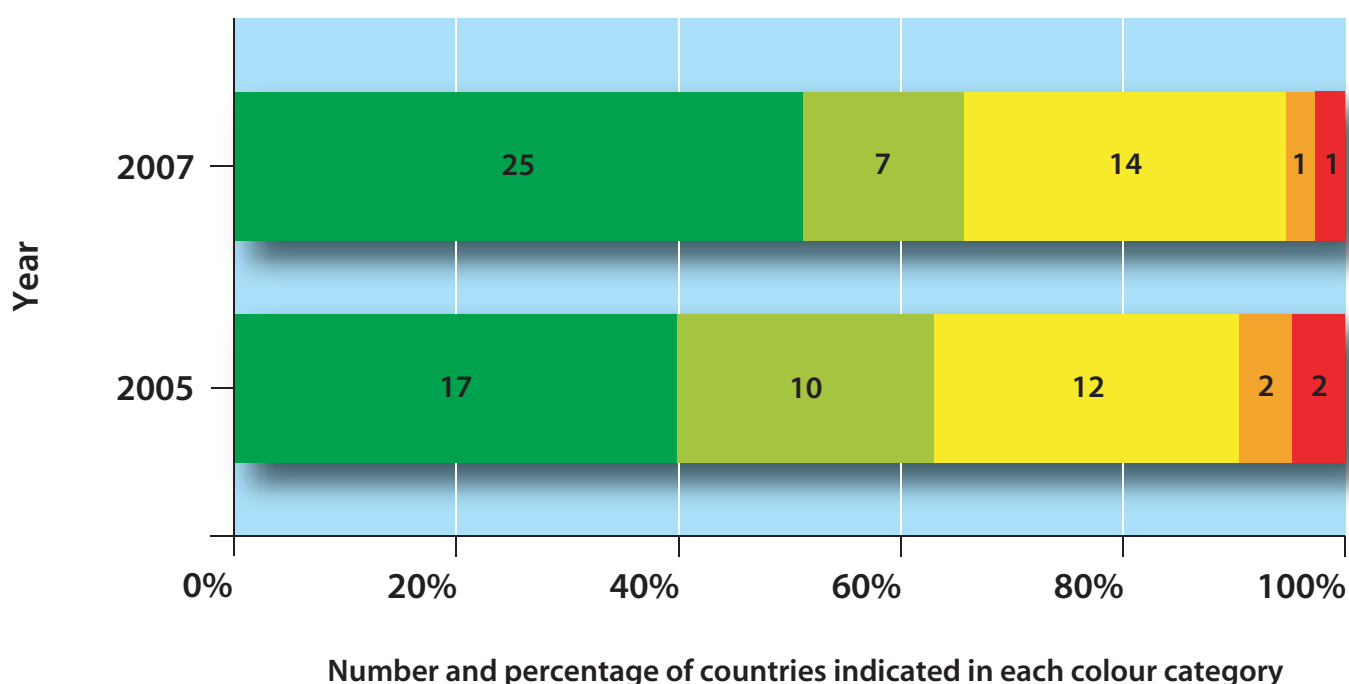
The 2007 stocktaking has raised some important issues about the diploma supplement, which might be addressed in the next two years. Firstly, there is a need to clarify that the diploma supplement applies to all three cycles of the degree system. Secondly, there is a need to look at how well the actual diploma supplements in different countries correspond to the Unesco/Council of Europe/EU joint diploma supplement format adopted in 2001. It was noted that while the format of the diploma supplement is available on the official websites of a number of international organisations, the instructions for filling the diploma supplements that were elaborated together with the format itself are not so easily accessible. The ENIC/NARIC network might be involved in gathering and analysing examples of diploma supplements issued in all countries.

Progress since 2005

The criteria for green and light green were the same in 2007 as they were in 2005, while the criteria for yellow and orange were more demanding in 2007. In 2005 it was sufficient to have plans to introduce the diploma supplement or to be carrying out pilot testing; however this is not the case in 2007.

Even though the 2007 criteria were more demanding, fig 3a shows that there has been good progress in implementing the diploma supplement since 2005.

Figure 3a **Indicator 8: Stage of implementation of diploma supplement**
Comparison 2005-2007



Indicator 9: National implementation of the principles of the Lisbon Recognition Convention

Number of countries in each score category for Indicator 9	31	5	1	3	8
RECOGNITION	9. National Implementation of the principles of the Lisbon Recognition Convention⁸				
Green (5)	The Convention has been ratified; appropriate legislation complies with the legal framework of the Lisbon Convention; the later Supplementary Documents have been adopted in appropriate legislation and applied in practice, so that the five main principles are fulfilled: ● applicants have a right to fair assessment, ● there is recognition if no substantial differences can be proven, ● in cases of negative decisions the competent recognition authority demonstrates the existence of (a) substantial difference(s) ● the country ensures that information on its institutions and their programmes is provided ● an ENIC has been established.				
Light green (4)	The Convention has been ratified; appropriate legislation complies with the legal framework of the Lisbon Convention; the later Supplementary Documents have been adopted in appropriate legislation, but some amendments are needed to apply in practice the principles of the Supplementary Documents.				
Yellow (3)	The Convention has been ratified and appropriate legislation complies with three or four of the five above-mentioned principles of the Lisbon Recognition Convention.				
Orange (2)	The Convention has been ratified and appropriate legislation complies with one or two of the five above-mentioned principles of the Lisbon Recognition Convention.				
Red (1)	The Convention has been ratified but appropriate legislation has NOT been reviewed against the legal framework of the Lisbon Convention or the Supplementary Documents. OR Convention has not been ratified				

⁸ More recognition issues are discussed in the section on national action plans for improving recognition below

The Lisbon Recognition Convention (LRC) is the only legally binding instrument that applies to the Bologna Process. In the Bergen Communiqué, Ministers stressed that those countries that had not yet ratified the Convention in 2005 should do so without delay. The criterion was therefore more demanding in 2007 than in 2005, with an even greater emphasis on ratification of the Convention and also on applying its five main principles in practice. The ratification process has taken longer than expected in a number of countries, with the result that only one country has ratified the Convention in the last two years.

Many countries have recently amended their legislation and do not have legal obstacles that prevent them from applying the principles of the Convention in practice. Some countries also extend the application of Convention principles to applicants from countries that are not parties to the Convention. Several countries have established databases of recognition decisions with a view to simplifying procedures in future. Countries have produced national action plans for improving recognition, which are examined later in this report.

However, some of the reality is hidden within the apparently very good results. The terminology used for national recognition procedures is often confused and this may conceal huge differences between countries. Several countries say that their higher education institutions need more information on Convention principles and training on how to apply them in practice. While it appears from national reports and action plans on recognition that legislation is largely compliant with the *letter* of the Convention, there are various approaches to recognition at institutional level that may not fully embody the *spirit* of the Convention principles. It should also be noted that some countries are in the red category because they have not ratified the Convention, but they have already started to implement the Convention principles in legislation and practice.

In the period before 2010, it would be worthwhile to examine more closely the conduct of recognition procedures at national level and in institutions, and how recognition practices can be made truly coherent across the EHEA. It would also be useful to check how well countries have transposed Convention principles into national laws, while recognising the autonomy of higher education institutions. Another aspect that is worthy of examination is how recognition and quality assurance are linked to each other: if fair recognition of qualifications is seen as an indicator of quality, implementation of the Convention could be checked as part of the quality assurance process.

Progress since 2005

This indicator is not directly comparable with the 2005 criteria, because in 2005 it was possible for a country to score yellow without having ratified the Lisbon Recognition Convention. In 2007, a country that has not yet ratified the Convention can score only red, regardless of whether or not the principles have been applied in legislation. For this reason, the number of countries in the red category has actually increased in 2007.

Indicator 10: Stage of implementation of the European Credit Transfer System (ECTS)

Number of countries in each score category for Indicator 10	27	9	6	6	0

RECOGNITION	10. Stage of implementation of ECTS
Green (5)	In 2007 ECTS credits are allocated in all first and second cycle programmes, enabling credit transfer and accumulation.
Light green (4)	In 2007 credits are allocated in at least 75 per cent of the first and second cycle Higher Education programmes, using ECTS OR a fully compatible credit system enabling credit transfer and accumulation
Yellow (3)	In 2007 credits are allocated in 50-74 per cent of Higher Education programmes, using ECTS or a fully compatible national credit system enabling credit transfer and accumulation
Orange (2)	In 2007: ECTS credits are allocated in less than 50 per cent of Higher Education programmes OR A national credit system is used which is not fully compatible with ECTS OR ECTS is used in all programmes but only for credit transfer
Red (1)	No credit system is in place yet

In more than half of the countries ECTS is already used for credit transfer and accumulation, while another quarter of the countries use ECTS in at least 75 per cent of programmes, or use an ECTS compatible national credit system across the board.

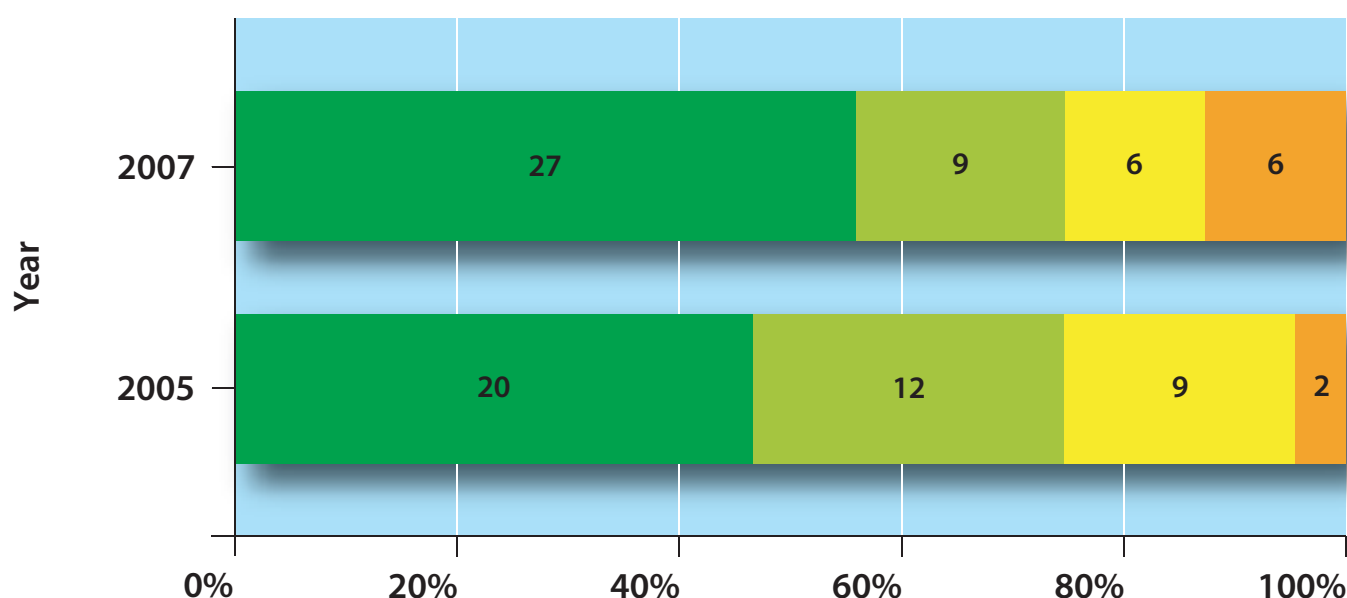
The results demonstrate that ECTS is developing as a system of credit transfer and accumulation. However, national reports also show that while many countries have begun to use credits both for transfer and for accumulation, a much smaller number link credits with learning outcomes.

For the future, there is a need for more emphasis on the links between learning outcomes, qualifications frameworks, and credit transfer and accumulation. This will be more fully in line with the key features indicated in the ECTS: “Credits in ECTS can only be obtained after successful completion of the work required and appropriate assessment of the learning outcomes achieved. Learning outcomes are sets of competences, expressing what the student will know, understand or be able to do after completion of a process of learning, long or short.”⁹

Progress since 2005

The criteria for this indicator were more specific and demanding in 2007 than in 2005. The 2005 criterion for green was that ECTS credits were allocated in most programmes enabling transfer and accumulation, while light green could be achieved if ECTS was used in a *limited number* of programmes. As a consequence of this change in the criteria, the increase in the number of countries gaining high scores has been relatively small, as shown in fig 3b.

Figure 3b **Indicator 10: Stage of implementation of ECTS**
Comparison 2005-2007



Number and percentage of countries indicated in each colour category

⁹ European Credit Transfer and Accumulation System (ECTS). Key Features, see http://ec.europa.eu/education/programmes/socrates/ects/doc/ectskey_en.pdf

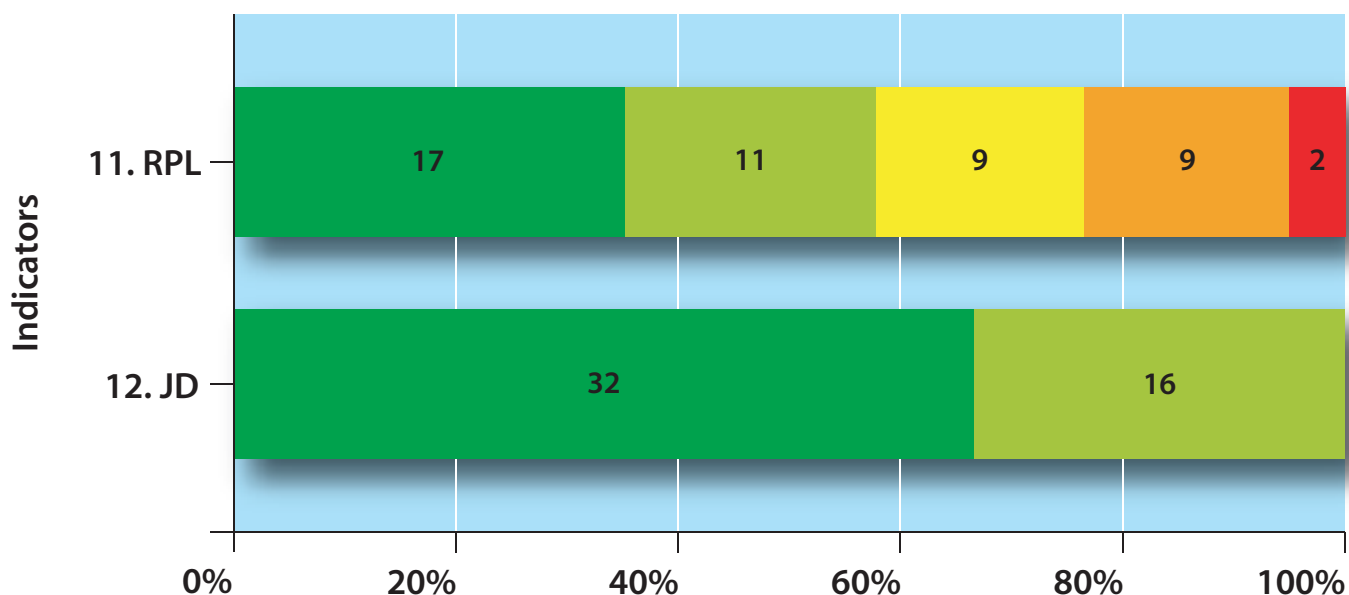
Stocktaking on Recognition of Prior Learning and Joint Degrees

Table 4

Number of countries in each colour category for indicators 11-12

Recognition of prior learning and joint degree	Green	Light green	Yellow	Orange	Red
11. Recognition of prior learning (RPL)	17	11	9	9	2
12. Establishment and recognition of joint degree	32	16	0	0	0

Figure 4 Recognition of prior learning and joint degrees: number and percentage of countries in each colour category for indicators 11-12



Indicator 11: Recognition of prior learning

Number of countries in each score category for Indicator 11	17	11	9	9	2

LIFELONG LEARNING	11. Recognition of prior learning
Green (5)	There are procedures/national guidelines or policy for assessment of prior learning as a basis for 1) access to higher education programmes, and 2) allocation of credits towards a qualification and/or exemption from some programme requirements
Light green (4)	There are procedures/national guidelines or policy for assessment of prior learning but they are used for only one of the abovementioned purposes
Yellow (3)	Procedures/national guidelines or policy for establishing assessment of prior learning have been agreed or adopted and are awaiting implementation OR There are no specific procedures/national guidelines or policy for assessment of prior learning, but procedures for recognition of prior learning are demonstrably in operation at some higher education institutions or study programmes
Orange (2)	Implementation of recognition of prior learning is in a pilot phase at some higher education institutions OR Work at drawing up procedures/national guidelines or policy for recognition of prior learning has started
Red (1)	No procedures for recognition of prior learning are in place EITHER at the national OR at the institutional/programme level.

This was an entirely new indicator in 2007. Just over one-third of countries have achieved the highest score, which suggests that procedures for the recognition of prior learning are at an early stage of development in the majority of countries.

There was no common understanding of *recognition of prior learning*; in some cases it was taken to mean only recognising qualifications achieved in other institutions. There were very few concrete examples of practice in national reports.

This is an area where there is a need to raise awareness of the issues and provide support for future development. It is also important to link recognition of prior learning with the development of national frameworks of qualifications, and with systems of credit transfer and accumulation. At this stage of progress, it might be too early to apply the indicator approach to stocktaking in this area. There is further discussion of this point in the concluding part of the report.

Indicator 12: Establishment and recognition of joint degrees

Number of countries in each score category for Indicator 12	32	16	0	0	0

JOINT DEGREES	12. Establishment and recognition of joint degrees
Green (5)	Legislation allows and encourages establishing joint programmes and joint degrees. A number of higher education institutions have already established joint programmes and are awarding nationally recognised degrees jointly with higher education institutions of other countries at all levels.
Light green (4)	There are no legal or other obstacles to establishing joint programmes and the awarding and recognition of joint degrees or at least double or multiple degrees, but legislation does not specifically refer to joint degrees. OR Legislation for establishing joint programmes, awarding and recognition of joint degrees has been prepared and agreed, but not yet implemented.
Yellow (3)	There are no legal or other obstacles to establishing joint programmes with Higher education institutions of other countries, but a degree is awarded in only one country after completion of the joint programme.
Orange (2)	There are obstacles to establishing joint programmes, awarding or recognizing joint degrees, but legislation or regulations are being drafted.
Red (1)	There are no possibilities to establish joint programmes, award and recognize joint degrees under current legislation and there are no plans to change this situation

This was a new indicator for 2007. Almost all countries state that legislation either explicitly encourages or at least does not prevent higher education institutions awarding joint degrees with higher education institutions from other countries.

Quite a number of countries have reviewed and changed their legislation recently in order to allow establishment and recognition of joint degrees. This may be regarded as a good example of how the Bologna Process can have an effect on national policy and practice.

In the stocktaking, countries were put in the green category when they had begun to award joint degrees, even if there was no explicit reference to legislation: in some countries legislation is not needed so the existence of joint degrees was regarded as adequate evidence of having achieved this criterion in accordance with the Bergen Communiqué. It should be noted that the Eurydice study used a different approach, namely checking whether awarding and recognition were explicitly mentioned in national legislation, and therefore the results are somewhat different.

Stocktaking on areas not included in the scorecard

This section of the report comments on the stocktaking themes that were identified in the Bergen Communiqué but not included in the scorecard: the progress on implementing the third cycle; measures to increase the employability of graduates; flexible learning paths in higher education; the links between higher education and research; the benefits of international cooperation and partnership in the Bologna Process. It also outlines the main issues arising from the national action plans on recognition. Finally, it explores some of the main challenges for the future, as identified in the national reports.

Progress on implementing the third cycle

Growth of structured doctoral programmes in the third cycle

The national reports and the comparison of data from *Trends III* and *Trends IV* indicate that there is growth in the number of structured doctoral programmes in the third cycle, with new legislation adopted in several countries. Several countries say that while they have focused up to now on implementing the first and second cycles, implementing doctoral studies has become a central issue recently.

Normal length of full-time doctoral studies

Most countries have indicated 3 to 4 years full-time study, but the average time for completion of doctoral studies is often longer than the norm, sometimes because study is combined with other duties in the institution. In a large number of countries, structured doctoral programmes include taught courses, which vary in duration from half a year (30 ECTS credits) to 1.5 years.

Supervisory and assessment procedures

Most countries have supervisory activities for doctoral students, which in many cases are determined by the higher education institutions themselves. The most common assessment procedure is periodic attestation or reporting, which may take place once a year, twice a year or once every two years. Some countries indicate that doctoral candidates have to sit exams.

Qualifications framework

Many countries have already included, or propose to include, doctoral studies in their qualifications framework.

Interdisciplinary training and the development of transferable skills

Some countries include interdisciplinary training and development of transferable skills in doctoral studies, mainly where doctoral schools have been established, while others plan to do so in the future.

Use of credit transfer and accumulation in doctoral programmes

There is a range of approaches to the use of credit transfer and accumulation in doctoral programmes. Some countries use credit points across all doctoral studies, some use them for taught courses only, and others do not use them in any doctoral studies programmes.

Increasing the employability of graduates with bachelor qualifications

Question 11 of the national report template asked “What measures are being taken to increase the employability of graduates with bachelor qualifications?” The quality of responses to this question was very varied. The answers demonstrated that employability of graduates is seen by higher education institutions as one of the most important focal points for higher education. Since bachelors and masters are new degrees in many countries, it is not yet clear what the level of employability of graduates will be, so the responses were to some extent speculative.

Some countries estimated the current level of graduate employment based on general national employment data only. A number of countries indicated good employment prospects for graduates. However it is important to note that, as some countries suggested, variations in employment opportunities for graduates might sometimes be influenced by changes in the labour market and the national economy and might therefore not reflect institutions’ efforts to increase employability. None of the countries expects sharp changes in graduate employment in the near future.

The national reports show that the percentages of first cycle graduates progressing to the second cycle and those entering the labour market vary considerably from country to country, and also between different types of higher education. In some countries, the highest rates of first cycle graduates entering the labour market are those who hold professionally-oriented bachelor degrees. It also seems that considerable numbers of bachelor degree holders find employment in countries that have a long tradition of a two-cycle system while in some other countries that have established tradition of ‘long’ higher education programmes the holders of the newly-introduced bachelor degrees may experience employment problems. This finding is confirmed by the *Trends V* study, which raises the issue of the acceptability of bachelor degrees to employers.

The proportion of first cycle graduates following studies in the second cycle ranges across the whole spectrum: from 80-100 per cent for university graduates in some countries to as little as 5-10 per cent for professional bachelors in others. This may be linked to the employability of bachelor graduates in the country concerned.

Countries are developing different measures to increase the labour-market relevance of qualifications. Some are reforming their existing bachelor programmes with a view to enhancing the employability of graduates, while others who are currently introducing the two-cycle system are concentrating their efforts on the employability of first cycle graduates. Some countries have adopted accreditation criteria that include meeting professional requirements or skills and competencies, while others link higher education funding to graduate employment. Some of the practical measures include involving employers in formulating professional standards; introducing practical training in university first cycle programmes; introducing career consultancy at higher education institutions, or creating support systems for job-seekers.

In summary, the picture that emerges from the 2007 stocktaking about the employability of first cycle graduates is not very clear. There may be merit in sharing good practice in this area. The graduate employability issue is one of the key issues of the Bologna Process. Therefore, if it is to be the focus of more detailed stocktaking, there is a need for all countries to gather systematic data on graduate employment.

Creating opportunities for flexible learning paths in higher education

Countries were asked to describe legislative and other measures that they have taken to create opportunities for flexible learning paths in higher education. It is clear from the national reports that countries have different ways of interpreting “recognition of prior learning” (see analysis of indicator 11 above) and “flexible learning paths”. In their responses, countries mentioned flexible entry requirements, delivery methods and structures of programmes.

Some countries admit people to higher education without the typical entry qualifications, if the higher education institutions consider them qualified. There may be special conditions that apply: for example a certain minimum age limit, belonging to a socially disadvantaged group, or passing a special entrance examination. Some countries admit holders of secondary vocational qualifications who would not formally qualify for admission; in other countries a combination of preparatory and higher education studies has been introduced.

Many countries have a long tradition of organising alternative ways of learning for students who, for various reasons, cannot study in the typical full-time study programmes. The arrangements mainly concern the timing of study programmes: for example providing opportunities to study in the evenings, at weekends, or by correspondence. These arrangements seem to exist, in one way or another, nearly everywhere, either in parallel with full-time programmes within the same institutions or in higher education institutions specialising in providing these alternative learning paths.

A number of countries are focussing on introducing e-learning opportunities, either alone or in combination with traditional studies. Some “Net universities” seem to be emerging, while one country has organised a virtual open university and an open polytechnic that are fully accessible to learners with different educational backgrounds.

In some countries, new initiatives are emerging to introduce truly flexible learning paths combining different kinds of learning. These developments are often made possible by the implementation of a national framework of qualifications, based on awarding credit for learning outcomes achieved in a range of formal, informal and non-formal learning contexts.

Developments in this area are still at an early stage, and results may not be easily quantifiable for some time, but the development process should start with setting clear policy goals. There is a need to raise awareness of the role higher education can play in advancing social and economic cohesion, especially by providing increased access for people who have traditionally been under-represented at this level.

Higher education and research

In their national reports, countries were asked to describe the relationship between higher education and research, and to indicate the proportion of research carried out in higher education institutions. In addition, they were asked to say whether they are taking any steps to improve the synergy between higher education and other research sectors.

The responses of most countries were quite vague: they generally stated that they had policies for strengthening the relationship between higher education and research, without specifying the measures they were taking. Where specified, these were usually measures to strengthen research in itself, by allocating extra funding or promoting new research programmes.

In many countries higher education is seen as an important component of the national approach to research and development (R&D) and innovation. This depends on investment to develop institutional research capacity; to generate new knowledge, and to implement leading edge research technologies. It also requires concerted effort to spread knowledge about the results from scholarly work and scientific research so that it is seen as a benefit to the economy.

In the minority of countries that supplied relevant data, the percentage of research carried out at higher education institutions ranged from 12 per cent to 80 per cent. Many countries said that most research is carried out or led by universities. Some countries are encouraging higher education institutions to set up their own research institutes, while research institutions outnumber universities in a small number of countries.

Among the steps that countries mentioned they were taking to improve the synergy between higher education and other research sectors were:

- adopting national strategy and policy measures to strengthen research cooperation between higher education institutions and research institutes, as well as with business and industry
- encouraging mobility between the academic and industrial worlds
- providing incentives to attract the best researchers
- promoting cooperation between different sectors of HE in research
- strengthening technology transfer
- creating a technology park

- merging research institutes into universities
- establishing spin-off firms, forming venture capital funds, establishment and promotion of regional HE and research centres
- changing higher education institutional structures to integrate research institutes
- establishing joint centres of research, higher education and business
- increasing focus on commercialisation and communication of research results
- subsidising public-private research consortia.

From the wide variation in responses in the 2007 national reports, it is difficult to establish a clear picture of the relationship between higher education and research and whether that is changing as a result of the Bologna Process. If there is to be further development in this area there is a need to formulate clear policy goals and to measure progress against these goals.

Doctoral candidates and graduates taking up research careers

Question 24 of the national report template asked “What percentage of doctoral candidates take up research careers; are any measures being taken to increase the number of doctoral candidates taking up research careers?”

A number of countries did not state the percentage of doctoral graduates that continue in research careers. The available data or estimates indicate that the percentage of doctoral graduates taking up research careers varies greatly: from more than 90 per cent in some countries to “very few” in a small number of cases.

The main measures to attract doctoral graduates to research careers include:

- creating or supporting post-doctoral positions
- providing specific grants to post-doctoral researchers
- raising salaries
- increasing funding for research in general
- providing information on career opportunities in research
- measures related to taxation
- promoting mobility of doctoral students and internationalisation of doctoral studies
- finding research posts for young researchers in the private sector.

In some countries, the main concern is that there are still small numbers of students enrolled in doctoral studies programmes, so the first step is to increase these numbers.

Benefits of international cooperation and partnership within the Bologna Process

It is clear from the 2007 stocktaking that international cooperation within the Bologna Process has contributed to building capacity at both institutional and governmental levels and this has led to significant progress across all participating countries. While the initiative for the Bologna Process came from governments, it is becoming increasingly evident that the process is successful because it is built on effective partnerships between government, higher education institutions, (including staff and students), business and social partners.

In the national reports for the 2007 stocktaking, countries were asked to describe arrangements for involving students and staff trade union/representative bodies in the governance of higher education institutions. The responses suggest that there is an increasingly high level engagement of higher education institutions' staff and students as partners in the implementation of the Bologna Process. At institutional level, most countries have formal arrangements for involving students and staff representative bodies in the governance of higher education institutions. The usual approach is to set a compulsory ratio or a certain number of student and staff representatives. Representation of different staff groups is the norm. Staff trade unions however are more likely to be involved in specific commissions dealing with issues such as equal rights or labour legislation rather than as representatives in higher education governing bodies.

Countries were also asked to describe how they ensured the cooperation of business and social partners with higher education. Countries reported that they involve business and social partners in higher education in a number of ways, including:

- coordinating the implementation of the Bologna Process
- drafting legislation or policy papers
- elaborating qualifications frameworks
- membership of governance bodies for higher education institutions or at national level
- membership of committees for drafting higher education legislation, improving research and development, employability of graduates, setting graduation requirements/standards
- supporting practical placements for students and graduates.

Some countries are in the process of drafting new laws that will widen business and employer involvement.

It appears from the 2007 stocktaking that the Bologna Process is promoting increased involvement of students and staff in the governance of higher education institutions and better cooperation of business and social partners with higher education. Such developments should, in the long run, facilitate reaching the Bologna goals such as increasing employability of graduates, achieving more flexibility in higher education, establishing a quality enhancement culture, and outcomes-based curricula that lead to relevant qualifications.

Main issues arising from national action plans on recognition

The template for national action plans for recognition included a number of questions about recognition issues. There were questions about how the principles of the Lisbon Recognition Convention were embedded into national legislation and about how recognition practices are applied at state and institutional level. This included ratification of the Convention and the practical implementation of its principles at national level (see the analysis of results for scorecard indicator 9 earlier in this report). The plans also addressed the mechanisms used at national level to ensure implementation of the Convention principles at institutional level.

The need to achieve a balance between respecting institutional autonomy and implementing an international agreement gave rise to a wide spectrum of issues and solutions. Some countries said that they had difficulties ensuring implementation of the Convention principles by higher education institutions because of institutional autonomy. At the other end of the spectrum, in some countries recognition decisions are made at the national level and higher education institutions do not have any role in recognition.

A solution used by some countries was to transpose Lisbon Recognition Convention principles into national legislation: autonomous higher education institutions still have to observe the laws. Another solution was to include implementation of the Convention in the areas examined as part of the quality assessment of higher education institutions.

National action plans clearly demonstrate that not only are the procedures for assessment of foreign qualifications very different in different countries, but even the terminology used in different countries is diverse and often confusing. It might be helpful if national action plans on recognition were further analysed by the ENIC/NARIC networks with a view to achieving coherence in the treatment of foreign degrees and study periods across the EHEA.

The national action plans for recognition also contain a number of examples of good practice that might be further studied and disseminated including:

- finding nationally acceptable solutions for ensuring that higher education institutions follow the principles of the Lisbon Recognition Convention in their recognition practices
- ensuring that recognition of foreign qualifications or study periods is based on identifying and comparing learning outcomes rather than programme details
- making the assessment of prior and experiential learning an integral part of the assessment of qualifications
- ensuring that a qualification is assessed even in those cases where it is difficult to provide full documentary support
- working towards using national qualifications frameworks and the overarching EHEA framework as a basis for comparing qualifications
- granting partial recognition rather than denying recognition even where substantial differences are indicated.

Future challenges

In their national reports, countries were asked to indicate the main challenges that they saw ahead at national level. As table 5 shows, quality assurance and accreditation-related issues were the most frequently mentioned challenges, followed by mobility-related ones, with student mobility being mentioned more often than staff mobility. Many countries said they were concerned about employability of graduates and involvement of stakeholders in higher education. A significant number of countries have also identified challenges related to research and/or doctoral studies; establishing national qualifications frameworks and outcomes-based qualifications, and funding - from securing sufficient funding to better administration of funds.

The European dimension of programmes, combined with the establishment of joint degrees, seems to be an important challenge for some countries, while others are concerned about the introduction of the three-cycle degree system; lifelong learning and its recognition; widening participation; governance, strategy and legislation. It is significant that few countries see recognition of degrees and study periods as major issues for the future, and this suggests that there may be a level of complacency because most countries have complied with the *letter* of the Lisbon Recognition Convention, as mentioned earlier in this report.

In the concluding section of the report, there is further comment on the challenges for the future that have been identified objectively through the 2007 stocktaking.

Table 5

National level challenges identified by countries

Future challenges mentioned in national reports	Number of countries (%: n=48)
Quality assurance, accreditation	27 (56%)
Student and staff mobility (more related to students)	23 (48%)
Employability and stakeholder involvement	20 (42%)
Research (including doctoral studies)	18 (38%)
National qualifications framework, outcomes-based qualifications	17 (35%)
Funding (including better allocation of resources; management)	17 (35%)
European dimension in programmes, joint degrees	14 (29%)
Issues at institutional level (including autonomy)	13 (27%)
National level governance, strategy and legislation for higher education	9 (19%)
Degree system	8 (17%)
Lifelong learning	8 (17%)
Widening participation	8 (17%)
Recognition	5 (10%)

Conclusions and recommendations

This part of the report draws conclusions about the progress within the Bologna Process since 2005. It also makes recommendations for the future based on the analysis in the preceding chapters.

Conclusions of the 2007 stocktaking

There are three main conclusions that can be drawn from the 2007 stocktaking.

1. There has been good progress in the Bologna Process since Bergen.
2. The outlook for achieving the goals of the Bologna Process by 2010 is good, but there are still some challenges to be faced.
3. Stocktaking works well as an integral part of the Bologna Process strategy.

Conclusion 1

There has been good progress in the Bologna Process since Bergen.

The stocktaking shows that there has been good progress on all the priority action lines that the Ministers set in the Bergen communiqué. The indicators were more demanding in 2007 than in 2005, to reflect the progress that is needed if the implementation of all action lines is to be completed by 2010.

Table 6 below shows the rank order of mean scores on all twelve indicators in the 2007 stocktaking.

Table 6

Rank order of indicators for 2007 stocktaking

Rank	Indicator (number in scorecard)	Mean score 2007
1	Establishment and recognition of joint degrees (12)	4.6
2	Access to the next cycle (2)	4.5
3	Implementation of external quality assurance (5)	4.2
4	Stage of implementation of ECTS (10)	4.2
5	Implementation of ESG in quality assurance (4)	4.2
6	Implementation of 1st and 2nd cycle (1)	4.1
7	Implementation of diploma supplement (8)	4.1
8	Student participation in quality assurance (6)	4.0
9	Implementation of LRC principles (9)	4.0
10	Recognition of prior learning (11)	3.7
11	International participation in quality assurance (7)	3.5
12	Implementation of national qualifications framework (3)	2.9

The indicators with the greatest growth in mean scores since the 2005 stocktaking are shown in table 7.

Table 7

Indicators with greatest growth in mean scores since 2005

Indicator	Mean scores	
	2007	2005
Student participation in quality assurance	4.0	3.0
Access to the next cycle	4.5	3.9
Implementation of two-cycle degree system	4.1	3.6
Implementation of external quality assurance system	4.2	3.8

Areas where there has been most progress in 2007

Degree system

Countries have made good progress on implementing the two-cycle degree system and on providing access to the next cycle, as shown by indicators 1 and 2. It is likely that there will be further progress on these indicators in the near future, because there are a number of countries where new laws have already been adopted, or where implementation of the two-cycle system has started. There is also a trend towards the introduction of structured doctoral programmes in the third cycle.

Quality assurance

The results on indicator 5 show that there has been good progress on the development of external quality assurance systems at national level. Indicator 6, student participation in quality assurance, while leaving room for further development, is the indicator that shows the greatest improvement since 2005. Indicator 4 demonstrates that there is potential for further progress in implementing the *Standards and Guidelines for Quality Assurance in the EHEA* adopted by the Ministers in Bergen.

However, while there has been progress across the board in the area of quality assurance, the establishment of a genuine quality enhancement culture in higher education institutions is the future guarantee of sustainable quality. Some elements of internal quality already exist in all higher education institutions and some others are new. Bringing all these elements together to achieve a “quality culture” will be the task for the coming years.

Recognition

The very strong result on indicator 12 demonstrates that arrangements are largely in place for the awarding and recognition of joint degrees, but it does not show the level of real implementation. There has been good overall progress on implementing the diploma supplement and ECTS, which is being used for both credit transfer and accumulation. However, credits are not always awarded on the basis of learning outcomes, a finding which is confirmed by the ESIB survey.

Conclusion 2

The outlook for achieving the goals of the Bologna Process by 2010 is good, but there are still some challenges to be faced.

The evidence from the 2007 stocktaking shows that the Bologna Process is moving towards achieving its goals by 2010, but there is still some way to go before the process of reform is complete across all action lines and all countries.

Areas where there is still work to be done

National frameworks of qualifications

The Ministers said in Bergen that they expected countries to have started work on implementing their national frameworks of qualifications by 2007. From the results on indicator 3, it is clear that while work has indeed started, it is not very advanced in most countries. As this is a relatively new element of the Bologna Process, there may be confusion and even resistance to the notion of a national qualifications framework. The benefits of a framework for learners, higher education institutions and the economy may not yet be fully recognised in some countries.

The stocktaking found that there is some confusion between the proposed European Framework of Qualifications for Lifelong Learning and the *Framework for Qualifications of the European Higher Education Area*, which may also have delayed development in some cases.

International participation in quality assurance

Another area where there has been little progress is international participation in quality assurance (indicator 7), which appears to pose difficulties for many countries. There has nevertheless been progress on cooperation through ENQA, with an increasing number of quality assurance agencies applying for membership. The results for this indicator will improve when more countries introduce external evaluation of their quality assurance agencies, which has not yet happened widely.

Linking the different action lines

While the 2007 stocktaking found that there has been progress on specific action lines and indicators, it is not enough to look at these in isolation because all aspects of the Bologna Process need to be seen as interdependent. There are two themes that link all action lines: a focus on *learners*, and a focus on *learning outcomes*.

Focus on learners

It is important to consider how the Bologna Process is meeting the needs and expectations of learners. Based on the goals that Ministers have declared in the series of communiqués since 1999, learners can reasonably expect that by 2010 the Bologna Process will ensure that:

- the different cycles of higher education in all participating countries are easily understood
- the quality of higher education in these countries is assured
- higher education qualifications that are awarded in all participating countries are recognised in all other countries for access to employment, education and research opportunities
- higher education provides flexible learning paths that are part of the lifelong learning continuum
- higher education is accessible to everyone without social or economic obstacles.

The 2007 stocktaking shows that there has been good progress on the first two points related to the transparency and quality of higher education, but there are still some problems with recognition. In addition, there are still questions about the employability of bachelor degree holders and about the opportunities that exist for doctoral graduates to take up research careers. It also seems that it will be some time before flexible learning paths become a reality in all countries.

Focus on learning outcomes

The three Bologna cycles are based on generic descriptors of learning outcomes, so it is clear that describing higher education programmes in terms of learning outcomes is a precondition for achieving many of the goals of the Bologna Process by 2010. Learning outcomes are critically important in the development of national qualifications frameworks, systems for credit transfer and accumulation, the diploma supplement, recognition of prior learning and quality assurance.

However, the 2007 stocktaking shows that the movement towards adopting a learning outcomes approach in higher education takes time. This is particularly evident in the slow progress on establishing national qualifications frameworks and arrangements for the recognition of prior learning. Very few countries have put in place national qualifications frameworks that provide seamless progression for learners through all cycles of higher education, thus affirming the national commitment to lifelong learning.

Conclusion 3

Stocktaking works well as an integral part of the Bologna Process strategy.

It is evident from the 2005 and 2007 stocktaking that the process of collaborative peer-reported self-evaluation has been effective in encouraging countries to take action at national level.

The 2007 scorecard summary shows that the overall picture within the Bologna Process is much more “green” than it was in 2005. The results in the preceding section of this report indicate that there has been considerable movement towards achieving many of the main goals set by the Ministers in Bergen. The stocktaking used a combination of quantitative and qualitative analysis to assess not only the progress against a set of objective indicators and criteria, but also to examine the stage of development in a number of other related areas.

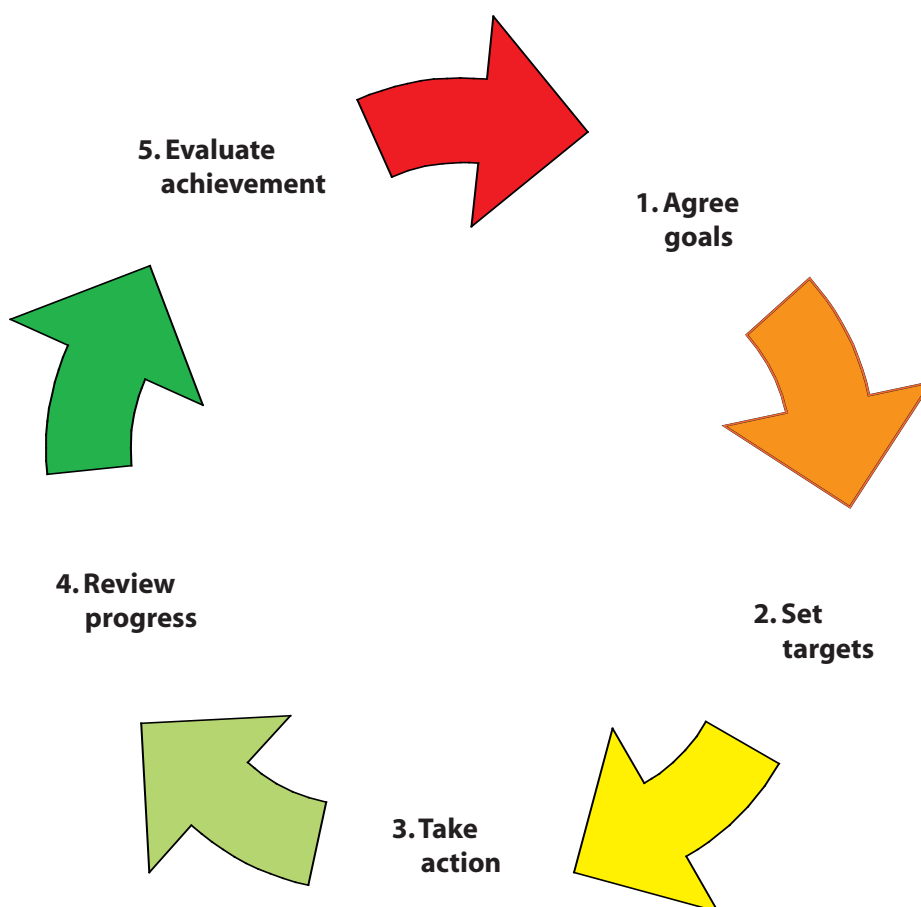
From the experience of both the 2005 and 2007 stocktaking exercises, it is clear that the quantitative aspect of stocktaking works well when there are clear policy goals and specific targets that can be translated into a scorecard that enables countries to measure their progress against these goals and targets. In 2005 the Bologna scorecard was used for the first time, and it was used again in 2007. Although the indicators and criteria were modified to take account of the changes that were expected to have happened in the intervening period, the scorecard nevertheless provides a valid measurement of progress over the two years.

The 2007 stocktaking also included qualitative analysis of a number of themes from the Bergen Communiqué that were covered in national reports but not included in the scorecard. This enabled countries to report on their progress using a process of self-review. The stocktaking then evaluated progress at collective level, and complemented the scorecard analysis with qualitative reporting on these themes.

This combination of analytical approaches reflects the fact that the various aspects of the Bologna Process are at different stages of development and some may not yet be ready for quantitative measurement. Fig 4 below shows a model of a goal-driven development cycle that includes five “steps to success”.

1. Agree the policy goals, linking them to a vision for the future that is shared by all participating countries.
2. Set targets to be achieved within a certain time frame (make sure they are specific, measurable, achievable, relevant and timed: SMART).
3. Take action at national level and collectively (provide relevant support, share good practice, encourage peer collaboration).
4. Review progress individually: self-evaluation by countries using agreed criteria (scorecard) complemented by qualitative reporting.
5. Evaluate achievement collectively (stocktaking).

Figure 4a A goal-driven development system



Recommendations from the 2007 stocktaking

Recommendation to Ministers

Set clear policy goals and specific targets for the next period of the Bologna Process, especially in the areas of the third cycle, employability, recognition, lifelong learning, flexible learning paths and the social dimension.

Recommendations for countries

1. Work towards fully implementing a national qualifications framework based on learning outcomes by 2010.
2. Link the development of the qualifications framework to other Bologna action lines, including quality assurance, credit transfer and accumulation systems, lifelong learning, flexible learning paths and the social dimension.
3. Ensure that progress is promoted across all action lines, including the more challenging aspects that are not easily and immediately attainable.
4. Make formal links between the Bologna Process and the ENIC/NARIC network to undertake further work on developing and implementing national action plans for recognition.

Recommendations for future stocktaking

Repeat the stocktaking in 2009, with the close collaboration of other partner organisations, including Eurydice European Unit, EUA and ESIB, in setting out the timetable and the arrangements for data collection and analysis.

2007 Stocktaking Scorecards

ALBANIA

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle
2. Access to the next cycle
3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*
5. Stage of development of external quality assurance system
6. Level of student participation
7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement
9. National implementation of the principles of the Lisbon Recognition Convention
10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

Albania joined the Bologna Process in 2003. Key developments since 2005 include: holding a series of seminars with European experts on curricula development, national qualifications frameworks and developing a "State Matura" higher education entrance qualification; drafting the Master Plan of Higher Education in Albania; and making legislative amendments to implement Bologna reforms. Some 50% of the student population are now following first cycle degrees. Second and third cycle qualifications will be introduced from 2008- 09. A working group has been set up to implement more fully the Lisbon Recognition Convention. Future challenges include: completing and securing approval of the master plan; ratifying the new law of higher education; and pursuing all of the Bologna action lines.

ANDORRA

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle
2. Access to the next cycle
3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*
5. Stage of development of external quality assurance system
6. Level of student participation
7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement
9. National implementation of the principles of the Lisbon Recognition Convention
10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

Andorra joined the Bologna Process in 2003. Key developments since 2005 include: establishing an external quality assurance system; preparing legislation on higher education, scholarships and recognition of diplomas; and moving towards ratifying the Lisbon Recognition Convention. The implementation of the first cycle is well under way. Second cycle qualifications will be introduced in three years. The newly established quality assurance agency is expected to cooperate with other international quality assurance agencies.

ARMENIA

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle
2. Access to the next cycle
3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*
5. Stage of development of external quality assurance system
6. Level of student participation
7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement
9. National implementation of the principles of the Lisbon Recognition Convention
10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

Armenia joined the Bologna Process in 2005. Key developments since then include: introducing a two-cycle degree system, a credit transfer and accumulation system and diploma supplements; developing greater links between higher education and research through doctoral programmes; and creating recognition and quality assurance agencies. The newly established quality assurance agency is expected to cooperate with other quality assurance agencies. A new Armenian diploma supplement, corresponding to the EU/CoE/UNESCO format, is currently under discussion. Following a pilot, national guidelines have been issued to implement ECTS as a national credit transfer and accumulation system. Once ECTS is implemented, flexible learning paths will be developed further. Some elements of lifelong learning are already in place. Future challenges include: fully implementing a three-cycle system; implementing the *Standards and Guidelines for Quality Assurance in the EHEA*; and developing a national qualifications framework.

AUSTRIA

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle
2. Access to the next cycle
3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*
5. Stage of development of external quality assurance system
6. Level of student participation
7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement
9. National implementation of the principles of the Lisbon Recognition Convention
10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

Austria was a signatory of the Bologna Declaration. Key developments since 2005 include: setting up a process to establish a national qualifications framework; amending higher education legislation; reforming doctoral programmes; and converting teacher training programmes to bachelors. As of autumn 2006, 42% of university study programmes and 77% of other higher education study programmes were aligned with the two-cycle system. Future challenges include: fully implementing the *Standards and Guidelines for Quality Assurance in the EHEA*; implementing a national qualifications framework; increasing staff mobility; fully embedding ECTS; and implementing the new teacher training bachelor programmes.

AZERBAIJAN

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle
2. Access to the next cycle
3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*
5. Stage of development of external quality assurance system
6. Level of student participation
7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement
9. National implementation of the principles of the Lisbon Recognition Convention
10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

Azerbaijan joined the Bologna Process in 2005. Key developments since then include: adopting a national action plan to implement Bologna reforms by 2010 and adopting legislation on the accreditation of higher education institutions. Full implementation of the new credit system is planned for 2010. Work has not yet started on developing a national qualifications framework, although bachelor and masters degree awarding bodies are in place. Up to 20% of bachelor graduates can be admitted to the second cycle. International experts and organisations are not involved directly in the quality assurance process, but take part in joint projects on quality issues through TEMPUS TACIS and UNESCO. Future challenges include: modernising and strengthening the higher education system; directing financial support to improve learning and teaching and update curricula; developing democratic principles in institutional management, modernising the quality assurance system; expanding the introduction of the new credit system; improving the recognition of degrees outside Azerbaijan; and increasing staff and student mobility.

BELGIUM FLEMISH

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle
2. Access to the next cycle
3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*
5. Stage of development of external quality assurance system
6. Level of student participation
7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement
9. National implementation of the principles of the Lisbon Recognition Convention
10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

Belgium was a signatory of the Bologna Declaration. Key developments in the Flemish Community since 2005 include: moving towards full implementation of the new first and second cycle programmes; introducing new legislation to support the recognition of prior learning, increase institutional autonomy, adjust student grants and amend teacher training provision; and preparing legislation on adult education, piloting short-cycle qualifications and a new funding model for higher education. Work is continuing towards the ratification of the Lisbon Recognition Convention by all four Parliaments in Belgium. This was completed by the Flemish Community Parliament in November 2006 and it is hoped that the process will be complete throughout Belgium before May 2007. The principles of the Convention are applied in practice and a fully operational ENIC is in place. The two-cycle system is in place and is systematically replacing the old system. This process will be complete by the academic year 2008-9. Future challenges include: improving international recognition of degrees and qualifications; reforming the higher education funding system; enhancing synergies between education, research and innovation; enhancing accreditation procedures and institutional autonomy; making research careers more attractive; internationalising both the student and staff populations; and widening access to higher education.

BELGIUM FRENCH

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle
2. Access to the next cycle
3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*
5. Stage of development of external quality assurance system
6. Level of student participation
7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement
9. National implementation of the principles of the Lisbon Recognition Convention
10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

Belgium was a signatory of the Bologna Declaration. Key developments in the French Community since 2005 include: modifying legislation to take forward Bologna reforms; expanding the use of ECTS and diploma supplements; awarding the first bachelor degrees; enabling higher education institutions to develop joint programmes; and establishing a student mobility fund and an Upper Council for Student Mobility. A "think tank" has been set up to develop a national qualifications framework. It presented its initial report in November 2006. Some higher education institutions are already starting to express their curricula in terms of learning outcomes. Work is continuing towards the ratification of the Lisbon Recognition Convention by all four Parliaments in Belgium. This was completed by the French Community Parliament in March 2005. It is hoped that the process will be complete throughout Belgium before May 2007. All of the principles of the Convention are already in place in existing legislation. Future challenges include: continuing to harmonise legislation applying to different aspects of higher education; increasing the number of science students and researchers; creating stronger synergies between education, research and innovation; managing student mobility more effectively; and developing a national qualifications framework.

BOSNIA AND HERZEGOVINA

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle
2. Access to the next cycle
3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*
5. Stage of development of external quality assurance system
6. Level of student participation
7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement
9. National implementation of the principles of the Lisbon Recognition Convention
10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

Bosnia and Herzegovina joined the Bologna Process in 2003. Key developments since 2005 include: implementing first cycle qualifications, based on new curricula and supported by diploma supplements; introducing ECTS for all new study programmes; setting up international projects on quality assurance, recognition of qualifications and study periods and a national qualifications framework; and higher education institutions taking forward Bologna reforms, despite delays in the adoption of new legislation on higher education at State level. The Working Group for Quality Assurance is currently developing procedures for internal and external quality assurance, based on the *Standards and Guidelines for Quality Assurance in the EHEA*. The Lisbon Recognition Convention was ratified in 2003 and some progress has been made to implement the principles of the Convention. Future challenges include: adopting at national level the new law on higher education; establishing a national agency for the development of higher education and quality assurance and an ENIC centre; financing and revising the structure of higher education institutions; promoting academic research and adapting learning and teaching to new societal demands.

BULGARIA

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle
2. Access to the next cycle
3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*
5. Stage of development of external quality assurance system
6. Level of student participation
7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement
9. National implementation of the principles of the Lisbon Recognition Convention
10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

Bulgaria was a signatory of the Bologna Declaration. Key developments since 2005 include: opening up Bulgarian higher education to foreign students; improving recognition of foreign qualifications; encouraging staff and student mobility; aligning the National Evaluation and Accreditation Agency (NEAA) to the *Standards and Guidelines for Quality Assurance in the EHEA*, and becoming a candidate member of ENQA; and preparing a new strategy for the development of higher education. NEAA has well-established procedures for involving foreign experts in working groups. Financial constraints prevent foreign experts being involved in all of NEAA's activities. Students are not involved in the governance of quality assurance, although they do contribute to self evaluation reports and report to external review teams. Future challenges include: securing EU structural funds for educational reform; enhancing the quality of higher education; ensuring the employability of Bulgarian graduates across the EHEA; and modernising and developing the higher education system.

CROATIA

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle
2. Access to the next cycle
3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*
5. Stage of development of external quality assurance system
6. Level of student participation
7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement
9. National implementation of the principles of the Lisbon Recognition Convention
10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

Croatia joined the Bologna Process in 2001. Key developments since 2005 include: completing the restructuring of all study programmes into the first and second cycle, following an evaluation programme carried out by teams including foreign experts; introducing a more efficient recognition process for foreign qualifications; and creating the Agency for Science and Higher Education, which is developing the framework for a quality assurance system. A working group was formed in 2006 to prepare a proposal for a Croatian qualifications framework. The two-cycle system is being phased in from 2005/06, and 50% of students are now enrolled in the two-cycle system. Diploma supplements in the EU/CoE/UNESCO format will be provided automatically, free of charge, in Croatian and English from 2007. Future challenges include: revising the structure of universities and strengthening the binary system; developing quality assurance; increasing alignment between higher education and the needs of the labour market; and developing more efficient funding mechanisms.

CYPRUS

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle
2. Access to the next cycle
3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*
5. Stage of development of external quality assurance system
6. Level of student participation
7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement
9. National implementation of the principles of the Lisbon Recognition Convention
10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

Cyprus joined the Bologna Process in 2001. Key developments since 2005 include: preparing the Open University of Cyprus and Cyprus University of Technology to receive their first student intakes in October 2006 and September 2007 respectively; expanding provision at the University of Cyprus to include masters and doctoral students from 2007; fully implementing ECTS and introducing diploma supplements; and developing proposals to establish a quality assurance and accreditation board for Cyprus in 2007, which will apply to all higher education and include student and international participation in external reviews. A working group, including all relevant stakeholders, has been set up to develop proposals for a national qualifications framework. Plans are under way to use ECTS across all programmes, both public and private. Future challenges include: continuing the educational reform programme to increase higher education provision substantially, enhancing the quality of private providers, and establishing a quality assurance and accreditation agency; developing and implementing a comprehensive lifelong learning strategy; and introducing a national qualifications framework.

CZECH REPUBLIC

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle
2. Access to the next cycle
3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*
5. Stage of development of external quality assurance system
6. Level of student participation
7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement
9. National implementation of the principles of the Lisbon Recognition Convention
10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

The Czech Republic was a signatory of the Bologna Declaration. Key developments since 2005 include: introducing the new long term plan of the Ministry for 2006-2010, which includes programmes of development to align higher education institution funding to their long term plans; amending the Act on higher education institutions; increasing institutional autonomy, particularly in financial matters; and taking part in the OECD project, Thematic Review of Tertiary Education. Work has started on improving recognition of non-formal and informal learning, in the context of the development of the national qualifications framework, planned for the tertiary sector in 2007-2010. ECTS is not stipulated in legislation, although all public higher education institutions have introduced ECTS for bachelors and masters degree programmes, incentivised by the introduction of a development programme under which higher education institutions can submit projects for ECTS 'labelling'. Discussions have started about how to increase student involvement in external evaluation and accreditation processes. Future challenges include: taking forward the outcomes from the OECD Thematic Review of Tertiary Education, particularly the higher education system, governance and leadership at national as well as at institutional level, and funding mechanisms.

DENMARK

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle
2. Access to the next cycle
3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*
5. Stage of development of external quality assurance system
6. Level of student participation
7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement
9. National implementation of the principles of the Lisbon Recognition Convention
10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

Denmark was a signatory of the Bologna Declaration. Key developments since 2005 include: launching in April 2006 a new "Strategy for Denmark in the Global Economy". Future objectives for the higher education sector include: at least 50% of all young people should complete a higher education programme; all university programmes should be evaluated according to international standards; more systematic dialogue with employers; and doubling the number of doctoral scholarships.

ESTONIA

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle
2. Access to the next cycle
3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*
5. Stage of development of external quality assurance system
6. Level of student participation
7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement
9. National implementation of the principles of the Lisbon Recognition Convention
10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

Estonia was a signatory of the Bologna Declaration. Key developments since 2005 include: adoption by Parliament of a new higher education strategy for 2006-2016; preparing an internationalisation strategy for higher education 2006-2015; improving recognition procedures; undertaking an extensive survey on student social and economic conditions; preparing legislation on joint degrees and learning outcomes-based programme development; and taking part in an EU project focusing on quality improvement and the development of student support systems. A representative working group has been set up to develop a national qualifications framework by autumn 2007. Measures are in place to support the full implementation of ECTS, based on learning outcomes, by the 2009-2010 academic year. Although there is no international involvement in the governance of the Higher Education Quality Assessment Council, international participation is important in peer reviews for programme and institutional accreditation. Future challenges include: preparing for a decrease in the student population due to the downward demographic trend; strengthening the international dimension of higher education institutions; and ensuring appropriate funding for sustainable and competitive higher education.

FINLAND

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle
2. Access to the next cycle
3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*
5. Stage of development of external quality assurance system
6. Level of student participation
7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement
9. National implementation of the principles of the Lisbon Recognition Convention
10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

Finland was a signatory of the Bologna Declaration. Key developments since 2005 include: implementing legislation to introduce a Bologna-compatible two-tier degree structure, including official degree titles in Finnish, Swedish and English; confirming second cycle degrees in polytechnics; enhancing the quality assurance system and starting a quality audit programme, to be completed by 2011. A working group in 2004-2005 led a series of discussions, seminars and written consultations to prepare a proposal for a national qualifications framework. A decision has yet to be taken about the approval and implementation process for the proposal. The Finnish Higher Education Evaluation Council (FINHEEC) is a member of ENQA and the Nordic Quality Assurance Network (NOQA), and uses international experts in its evaluation projects. Future challenges include: further internationalisation and modernisation of Finnish higher education; ensuring the international competitiveness of Finnish higher education institutions; ensuring adequate financing; and encouraging greater cooperation between higher education institutions.

FRANCE

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle
2. Access to the next cycle
3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*
5. Stage of development of external quality assurance system
6. Level of student participation
7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement
9. National implementation of the principles of the Lisbon Recognition Convention
10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

France was a signatory of the Bologna Declaration. Key developments since 2005 include: adopting legislation on joint degrees; expanding implementation of *Licence, Master, Doctorat* (LMD) reforms in universities and other higher education institutions, including preparing for the integration of short cycle qualifications into the three cycle system; re-organising doctoral schools and programmes; and creating a new evaluation agency for research and higher education (AERES). AERES was set up in 2007 and is run by a board composed of French and international members. Students are being increasingly involved in internal evaluation processes. Work is under way to provide diploma supplements for all graduates. The national qualifications framework in place since 2002 is being revised to bring it into line with the overarching qualifications framework for the EHEA. Future challenges include: enhancing the international competitiveness of French higher education institutions; making university governance more efficient; strengthening university autonomy; and improving the transparency of university funding decisions.

GEORGIA

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle
2. Access to the next cycle
3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*
5. Stage of development of external quality assurance system
6. Level of student participation
7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement
9. National implementation of the principles of the Lisbon Recognition Convention
10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

Georgia joined the Bologna Process in 2005. Key developments since then include: adopting legislation to facilitate the implementation of Bologna reforms on degree systems, diploma supplements, student finance, accreditation procedures and institutional governance; and preparing legislation on the integration of the Centre for Academic Recognition and Mobility with the National Centre of Education Accreditation (NCEA), the introduction of new professional qualifications, and the development of higher education institutions as centres of research as well as preparation for the labour market. Two stakeholder events have been held on the development of a national qualifications framework over the last two years. Work to take this forward is a priority within the Action Plan of the European Neighbourhood Policy for the first quarter of 2007. NCEA operates at the national level and is developing further its accreditation procedures. It is envisaged that students and international experts will take part in future accreditation and quality assurance procedures. By law, all higher education institutions will have to be accredited by NCEA by 2008. A draft law on professional education provides for recognition of qualifications gained through informal education. Future challenges include: developing a national qualifications framework; completing the accreditation of all higher education institutions; establishing a quality culture within higher education institutions; increasing staff and student mobility; strengthening cooperation between all stakeholders, including employers; and ensuring citizens can study and work abroad free from discrimination.

GERMANY

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle
2. Access to the next cycle
3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*
5. Stage of development of external quality assurance system
6. Level of student participation
7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement
9. National implementation of the principles of the Lisbon Recognition Convention
10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

Germany was a signatory of the Bologna Declaration. Key developments since 2005 include: progressing towards the implementation of a two-cycle degree structure; adopting the "Qualifications Framework for German Higher Education Degrees"; developing accreditation and quality assurance procedures; and preparing for the enactment of the Lisbon Recognition Convention after ratification. The number of students enrolled in the two-cycle degree system is increasing. ECTS and the diploma supplement are being implemented in the majority of first cycle and second cycle programmes. The German Rectors' Conference (HRK) provides examples of subject specific diploma supplements and other tools on its website. Future challenges include: further developing the two-cycle system and the acceptance of bachelors and masters qualifications; implementing ECTS and diploma supplements; developing the higher education qualifications framework to include interfaces with other areas of education; further developing internal quality management at higher education institutions; enhancing structured doctoral programmes while at the same time retaining different paths for doctoral studies; and progressing the social dimension of higher education.

GREECE

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle
2. Access to the next cycle
3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*
5. Stage of development of external quality assurance system
6. Level of student participation
7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement
9. National implementation of the principles of the Lisbon Recognition Convention
10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

Greece was a signatory of the Bologna Declaration. Key developments since 2005 include: introducing a number of laws to implement Bologna reforms on recognition, quality assurance, ECTS, diploma supplements, lifelong learning, joint programmes and consortia, enhancing student support, increasing institutional accountability, increasing provision in languages other than Greek; increasing student involvement in institutional governance and access to higher education. A working group, chaired by the Secretary for Higher Education, has been set up to develop a national qualifications framework. Greece has not signed or ratified the Lisbon Recognition Convention although some of its principles already apply, such as the establishment of a fully operational ENIC, the Agency for Degree Recognition. Measures to recognise non-formal and informal learning are currently being considered, following pilot projects. Future challenges include: reorganising and modernising the higher education system in response to contemporary societal and economic demands; ensuring quality, openness and transparency; increasing institutional autonomy and flexibility; revising research policy and developing new post graduate study programmes; and internationalising the Greek higher education system.

HOLY SEE

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle
2. Access to the next cycle
3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*
5. Stage of development of external quality assurance system
6. Level of student participation
7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement
9. National implementation of the principles of the Lisbon Recognition Convention
10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

The Holy See joined the Bologna Process in 2003. Key developments since 2005 include: holding an official Bologna seminar on "The Cultural Heritage and Academic Values of the European University and the Attractiveness of the European Higher Education Area" in March 2006; and setting up numerous international and bilateral contracts to increase cooperation with other national higher education systems. Most of the necessary legislation to introduce Bologna reforms is already in place. Consultation has started to examine what steps will be necessary to adopt a national qualifications framework for the Holy See. This is also expected to address lifelong learning through the recognition of non-formal and informal learning. The adoption of ECTS for credit transfer became obligatory in 2005 for all higher education institutions. The use of ECTS for credit accumulation is still under debate. All Holy See higher education institutions were asked to issue diploma supplements from 2005 onwards. The level of implementation has not yet been assessed. The level of student collaboration in quality assurance varies from region to region. Work is progressing to implement the principles of the Lisbon Recognition Convention, and developing the Holy See ENIC will be a priority for 2007-2009. Future challenges include: reorganising ENIC, further developing quality assurance procedures; and drafting a national qualifications framework. The Holy See faces particular challenges which arise from the necessary collaboration between two 'national' higher education systems (the host country and the Holy See).

HUNGARY

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle
2. Access to the next cycle
3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*
5. Stage of development of external quality assurance system
6. Level of student participation
7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement
9. National implementation of the principles of the Lisbon Recognition Convention
10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

Hungary was a signatory of the Bologna Declaration. Key developments since 2005 include: adopting the new Higher Education Act in March 2006 and the Hungarian Universities Programme for 2006-2010. These have led to changes in a number of areas, including: course structure; institutional governance and autonomy; student and teacher mobility; financial contributions from students; admissions policy; and equality issues. The number of first and second cycle programmes is gradually increasing, with the new Higher Education Act launching the multi-cycle course structure from September 2006. Future challenges are set out in the new Hungary Development Plan 2007-2013 and include: improving the quality of higher education; broadening participation; fostering lifelong learning, based on the recognition of prior learning, including non-formal and informal learning; harmonising degrees with the needs of the economy and the labour market; and enhancing the role of higher education in the establishment of a knowledge based economy.

ICELAND

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle
2. Access to the next cycle
3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*
5. Stage of development of external quality assurance system
6. Level of student participation
7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement
9. National implementation of the principles of the Lisbon Recognition Convention
10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

Iceland was a signatory of the Bologna Declaration. Key developments since 2005 include: adopting a new law in July 2006 to strengthen the legal basis for implementing Bologna reforms, covering areas such as: automatically issuing diploma supplements in English; consolidating the three-cycle structure; adopting ECTS and a national qualifications framework. Iceland is an associate member of ENQA, and a full member of the Nordic Quality Assurance Network. The Icelandic higher education system will undergo an accreditation process by July 2008. This will be carried out by committees consisting of foreign experts. Future challenges include: ensuring appropriate funding for the higher education system, and completing the accreditation process for all higher education institutions by mid 2008.

IRELAND

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle
2. Access to the next cycle
3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*
5. Stage of development of external quality assurance system
6. Level of student participation
7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement
9. National implementation of the principles of the Lisbon Recognition Convention
10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

Ireland was a signatory of the Bologna Declaration. Key developments since 2005 include: adopting the Institute of Technology Act 2006 which brings these institutions under the responsibility of the Higher Education Authority; continuing to implement the national framework of qualifications; establishing a legal basis for the Irish Universities Quality Board; and completing peer reviews of Irish Universities and the Higher Education and Training Awards Council. Future challenges include: encouraging and deepening change at the institutional level.

ITALY

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle
2. Access to the next cycle
3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*
5. Stage of development of external quality assurance system
6. Level of student participation
7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement
9. National implementation of the principles of the Lisbon Recognition Convention
10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

Italy was a signatory of the Bologna Declaration. Key developments since 2005 include: simplifying the transition from the first to the second cycle; and adopting legislation to increase the internationalisation of higher education institutions, enhance links between higher education institutions and industry, and set up new research doctorate schools. Following a national consultation exercise and a pilot, a committee has been appointed to implement a national qualifications framework, based on learning outcomes. Italy has made all the necessary amendments to legislation for ratification of the Lisbon Recognition Convention, which is expected to be completed soon. The legal framework underpinning the Convention and its supplementary documents are already in place. Future challenges include: further reducing the drop-out rate; increasing the number of students who obtain their degrees within the prescribed time; improving the employability of first cycle graduates; and enhancing the internationalisation of the higher education system.

LATVIA

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle
2. Access to the next cycle
3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*
5. Stage of development of external quality assurance system
6. Level of student participation
7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement
9. National implementation of the principles of the Lisbon Recognition Convention
10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

Latvia was a signatory of the Bologna Declaration. Key developments since 2005 include: adopting new accreditation regulations which promote internal and external quality assurance and outcomes-based curricula; increasing research funding and staff salaries; introducing financial incentives for students to study science and engineering; drafting a new higher education law to address recent Bologna developments, including a national qualifications framework, flexible learning paths, recognition of prior learning and joint degrees; switching fully from a national credit accumulation system to ECTS. The draft law is being discussed in the Government before adoption by Parliament. Future challenges include: fully embedding the learning outcomes approach; developing a comprehensive internal quality system; fully integrating short cycle qualifications into the first cycle; increasing the number of doctoral graduates; increasing inward staff and student mobility; recognising prior learning; and providing greater financial support to students and staff.

LIECHTENSTEIN

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle
2. Access to the next cycle
3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*
5. Stage of development of external quality assurance system
6. Level of student participation
7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement
9. National implementation of the principles of the Lisbon Recognition Convention
10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

Liechtenstein has been part of the Bologna Process since the beginning. Key developments since 2005 include: carrying out quality assurance peer reviews by international experts in all three higher education institutions; commissioning a task force to improve the regulation of executive masters and other tertiary courses, and setting up legal provision to promote joint degrees. A working group has been established to develop a national qualifications framework. The draft is to be presented to the appropriate body for approval in 2008. Due to the country's small size, there is no national quality assurance agency. Higher education institutions are required to report annually on their quality assurance procedures, which have included student surveys in the past. By law, higher education institutions are required to undergo an external peer review involving international experts at least once every six years. It is envisaged that higher education institutions will increasingly have their courses accredited by international agencies. There is extensive cooperation with neighbouring countries. Future challenges include: revising the Higher Education Act; developing a national qualifications framework, including national outcomes-based descriptors of the main types of qualifications; and developing further measures on the recognition of prior learning.

LITHUANIA

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle
2. Access to the next cycle
3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*
5. Stage of development of external quality assurance system
6. Level of student participation
7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement
9. National implementation of the principles of the Lisbon Recognition Convention
10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

Lithuania was a signatory of the Bologna Declaration. Key developments since 2005 include: approving the Lithuanian Higher Education System Development Plan for 2006-2010 and measures for the first stage of its implementation for 2006-2007, to improve the governance and management of higher education institutions; enhance quality and ensure the effective use of financial and other resources; amending the Law on Higher Education to enable colleges to award professional bachelor qualifications; and creating a legal basis for joint degrees. The introduction of professional bachelor degrees in 2007 will facilitate access to the second cycle for graduates from the college sector. A working group has been established to develop a national qualifications framework, drawing on a pilot project undertaken in 2005. Proposals are expected by 2008. The Development Plan for 2006-2010 includes both the development of a national qualifications framework for higher education linked to a national qualifications framework for lifelong learning and the implementation of the *Standards and Guidelines for Quality Assurance in the EHEA*. The Centre for Quality Assessment in Higher Education is planning to apply for full ENQA membership in 2007-2008. Future challenges include: developing further the higher education system as a whole as well as individual higher education institutions; implementing successfully the Development Plan for 2006-2010 and the national programme for the Lisbon Strategy.

LUXEMBOURG

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle
2. Access to the next cycle
3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*
5. Stage of development of external quality assurance system
6. Level of student participation
7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement
9. National implementation of the principles of the Lisbon Recognition Convention
10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

Luxembourg was a signatory of the Bologna Declaration. Key developments since 2005 include: adopting legislation on the three-cycle system, including the modularisation of study programmes, the use of ECTS and the introduction of joint degrees; and inviting OECD to review the research sector. A working group was established to implement a national qualifications framework. Work has been suspended pending the outcome of the European Commission proposal on the European Qualifications Framework for Lifelong Learning. The issue of the diploma supplement is now compulsory and will commence in June 2008 for bachelor programmes and in June 2007 for master programmes. Future challenges include: ensuring sustainable growth for the higher education sector; increasing participation in higher education and the number of young people taking up research careers; and accelerating the implementation of three-cycle study programmes.

MALTA

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle
2. Access to the next cycle
3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*
5. Stage of development of external quality assurance system
6. Level of student participation
7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement
9. National implementation of the principles of the Lisbon Recognition Convention
10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

Malta was a signatory of the Bologna Declaration. Key developments since 2005 include introducing new legislation to establish a National Commission for Higher Education (NCHE) and the Malta College of Arts, Science and Technology (MCAST). NCHE is working to establish a national quality assurance system in line with the *Standards and Guidelines for Quality Assurance in the EHEA*. All higher education institutions in Malta have a high level of international participation within their quality assurance systems, and regular external monitoring of their study programmes. A pilot scheme for the issue of diploma supplements was carried out in 2006 and full implementation is expected by 2009. The Malta Qualifications Council has developed a national qualifications framework for lifelong learning in line with the overarching framework for qualifications of the EHEA. It is expected to be adopted by autumn 2007. The recognition of prior learning (including informal, non-formal and formal learning) will be considered during 2008. Future challenges include: establishing the infrastructure for NCHE and the Malta Qualifications Council; restructuring the higher education sector, including aspects of governance, funding and accountability; increasing mobility; and creating more flexible learning pathways in higher education, including procedures for the recognition of prior learning.

MOLDOVA

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle
2. Access to the next cycle
3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*
5. Stage of development of external quality assurance system
6. Level of student participation
7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement
9. National implementation of the principles of the Lisbon Recognition Convention
10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

Moldova joined the Bologna Process in 2005. Key developments since then include: implementing the new two-cycle system in all higher education institutions from 2005-2006; introducing ECTS; drafting a new higher education law based on the concept of modernisation; and approving a working plan for 2005-2010 to implement Bologna reforms. Approximately 48% of students entered the first cycle in 2005-2006. The first graduates will enter the second cycle in 2008. The implementation of ECTS for all higher education courses will enable access to the second cycle. ECTS currently applies to the first and second year of study in the first cycle and will apply to the second cycle from 2008. The Ministry of Education and Youth has organised a range of activities to support the development of a national qualifications framework, including a comparative analysis of frameworks in other countries. Higher education institutions are entitled to recognise non-formal and informal learning, by establishing special examination procedures. There is cooperation with international networks and foreign national agencies for quality assurance. Foreign experts are invited to take part in external evaluations for fields such as art, medicine and engineering. Students participate in internal procedures through the completion of questionnaires, and senior students can participate in external evaluations, as full members of specialised commissions. Future challenges include: continuing the modernisation of higher education; approving the higher education law; implementing an efficient quality management system; elaborating the national qualifications framework; enhancing institutional autonomy and stakeholder engagement, including students; and diversifying the financial resources available to higher education institutions.

MONTENEGRO

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle
2. Access to the next cycle
3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*
5. Stage of development of external quality assurance system
6. Level of student participation
7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement
9. National implementation of the principles of the Lisbon Recognition Convention
10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

Montenegro has participated in the Bologna Process since 2003 and expects to become a full member from May 2007. Key developments since 2005 include: developing further the three-cycle system; improving quality assurance; and implementing the Lisbon Recognition Convention. The quality assurance system is still relatively new. There is currently a lack of trained professionals. Procedures for accrediting study programmes and higher education institutions in line with *Standards and Guidelines for Quality Assurance in the EHEA* have been adopted. Students will participate at two levels: in internal evaluations and in consultations during external reviews. Diploma Supplements are now required for all degree programmes and will start to be issued from 2006-07. A national qualifications working group has been set up and a draft framework produced. The University of Montenegro assesses diplomas and foreign qualifications for recognition purposes. In February 2007, draft legislation on recognition, incorporating all the principles of the Lisbon Recognition Convention (ratified in March 2004), was issued for public discussion. The ENIC centre is fully operational. The draft legislation prescribes the recognition of prior learning, as well as other forms of education. Future challenges include: strengthening the European dimension of education; promoting cooperation and mobility; encouraging innovation; improving quality and developing a quality assurance system and improving the mutual recognition of qualifications.

NETHERLANDS

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle
2. Access to the next cycle
3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*
5. Stage of development of external quality assurance system
6. Level of student participation
7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement
9. National implementation of the principles of the Lisbon Recognition Convention
10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

The Netherlands was a signatory of the Bologna Declaration. Key developments since 2005 include drafting legislation to ratify the Lisbon Recognition Convention. The principles of the Convention are applied in practice and a fully operational ENIC is in place. The new legislation will establish a procedure for recognising prior learning. A national qualifications framework for higher education has been drafted and will be discussed widely in the Netherlands and with external peers. Future challenges include: meeting the target for 50% of the labour workforce aged 25-44 to have a higher education degree by 2020; improving links between higher education, research and regional needs; promoting excellence and internationalisation; developing joint degree programmes; implementing a national qualifications framework which is consistent with the both the EHEA framework and European Qualifications Framework for Lifelong Learning; and ratifying the Lisbon Recognition Convention.

NORWAY

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle
2. Access to the next cycle
3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*
5. Stage of development of external quality assurance system
6. Level of student participation
7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement
9. National implementation of the principles of the Lisbon Recognition Convention
10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

Norway was a signatory of the Bologna Declaration. Key developments since 2005 include: revising the Higher Education Act, which sets out a common framework that includes: authority to introduce and withdraw study programmes; quality assurance; students' rights and responsibilities; institutional autonomy; and internal leadership structure. This forms part of the Quality Reform that has been in place since 2003 and has recently been evaluated by two independent research centres. A draft national qualifications framework in line with the Framework for Qualifications of the EHEA has been prepared by a working group following consultation with stakeholders. The draft has been presented to the Government and will be subject to national consultation. Future challenges include: increasing mobility and participation in the Erasmus programme; increasing the volume of research; and increasing cooperation between higher education and business.

POLAND

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle
2. Access to the next cycle
3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*
5. Stage of development of external quality assurance system
6. Level of student participation
7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement
9. National implementation of the principles of the Lisbon Recognition Convention
10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

Poland was a signatory of the Bologna Declaration. Key developments since 2005 include: adopting legislation to implement a three-cycle system, diploma supplements, a credit transfer and accumulation system, joint degrees, interdisciplinary programmes, and consortia of higher education institutions; developing internal quality assurance systems; and developing distance learning. The adoption of the three-cycle system has been introduced on a voluntary basis and will become mandatory for all higher education institutions from October 2007. ECTS was also introduced on a voluntary basis, but has been mandatory since January 2007. A working group was set up in October 2006 to develop the higher education national qualifications framework. The group has prepared a timetable, a preliminary activity plan and a glossary of basic terms. This work will include discussion about the development of national guidelines to recognise prior learning. The diploma supplement is issued in Polish, which is regarded as a 'widely spoken European language' and is available on request in English. Future challenges include: developing a national qualifications framework; increasing staff and student mobility; increasing the number of graduates in mathematics, engineering and science; developing quality assurance procedures; adjusting education to the needs of the labour market; developing lifelong learning; and revising the higher education institutional funding system.

PORTUGAL

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle

2. Access to the next cycle

3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*

5. Stage of development of external quality assurance system

6. Level of student participation

7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement

9. National implementation of the principles of the Lisbon Recognition Convention

10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

Portugal was a signatory to the Bologna Declaration. Key developments since 2005 include: adopting legislation to implement Bologna reforms; introducing a three-cycle system based on learning outcomes and credit ranges, joint degrees, and recognition of prior learning, including non-formal and informal learning, and short first cycle vocational qualifications; inviting ENQA to review the existing quality assurance procedures and EUA to review some higher education institutions; taking part in the OECD Review of Tertiary Education; and taking steps to create a Portuguese accreditation and evaluation agency in 2007. The percentage of first and second cycle study programmes will increase to around 80% by 2007-2008. The remaining study programmes will be reorganised into first and second cycle in 2008-2009. The use of ECTS is mandatory for all study programmes created after June 2005 and for those being reorganised into the first and second cycle. Future challenges include: improving access to lifelong learning and widening participation; improving the quality and relevance of the training provided; enhancing autonomy and accountability; encouraging mobility and internationalisation; and clarifying the higher education institution funding system.

ROMANIA

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle

2. Access to the next cycle

3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*

5. Stage of development of external quality assurance system

6. Level of student participation

7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement

9. National implementation of the principles of the Lisbon Recognition Convention

10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

Romania was a signatory to the Bologna Declaration. Key developments since 2005 include implementing legislation to define structured third cycle study programmes; creating the necessary preconditions for developing a system of post-doctoral individual grants; extending the use of ECTS and diploma supplements; and developing a quality assurance framework by establishing the Romanian Agency for Quality Assurance in Higher Education, which applied for ENQA membership; and a new methodological framework for external evaluation of quality assurance. A national agency for qualifications in higher education has been set up, with the aim of developing and implementing a national qualifications framework. Future challenges include: developing an integrated national qualifications framework for lifelong learning based on learning outcomes; evaluating all higher education institutions and their study programmes; increasing funding for higher education, allocated on the basis of quality and increasing staff and student mobility by introducing portable grants.

RUSSIA

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle
2. Access to the next cycle
3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*
5. Stage of development of external quality assurance system
6. Level of student participation
7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement
9. National implementation of the principles of the Lisbon Recognition Convention
10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

Russia joined the Bologna Process in 2003. Key developments since 2005 include: approving the list of higher education institutions implementing Bologna reforms; working to introduce a system of student loans; increasing institutional autonomy; streamlining quality assurance procedures; and improving entrance procedures to higher education. Some 7% of the student population is following bachelor programmes, with 700,000 students studying in the two-cycle system. New educational standards for bachelors and masters are now being developed. A public campaign is under way to inform the higher education institution community and employers about the value of the new study programmes. The involvement of foreign experts in the external review of the quality of education in Russian higher education institutions is planned for the near future. The National Accreditation Agency is a candidate member of ENQA. Currently, only 2% of graduates in Russia receive a diploma supplement. Plans are in hand for all graduates to receive diploma supplements automatically and free of charge by 2008. The first stage of development of a national qualifications framework is complete. The Lisbon Recognition Convention was ratified in 2000, and amendments to laws are proposed to take forward the main provisions of the Convention. Future challenges include: stimulating demand from employers for bachelor graduates; increasing participation in mobility programmes; and increasing flexibility and adaptability in curricula.

SERBIA

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle
2. Access to the next cycle
3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*
5. Stage of development of external quality assurance system
6. Level of student participation
7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement
9. National implementation of the principles of the Lisbon Recognition Convention
10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

Serbia joined the Bologna Process in 2003. Key developments since 2005 include: adopting the new Law on Higher Education (LHE), which includes establishing the National Council for Higher Education and the Accreditation and Quality Assurance Commission; approving new standards for study programmes in October 2006; and setting up review teams to evaluate higher education institutions against the new standards. All study programmes allow access to the next level. In some cases, there is a requirement to take additional examinations. A commission involving all relevant stakeholders has been set up to develop a national qualifications framework. The framework is expected to be in place by mid 2007. The Accreditation and Quality Assurance Commission became a full member of INQAAHE in December 2006. Plans are in hand to seek ENQA membership. The Commission may seek the services of international organisations and associations in pursuing its work. Higher education institutions must define in their statutes how they recognise previously obtained qualifications. Future challenges include: developing a national qualifications framework and improving recognition.

SLOVAKIA

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle
2. Access to the next cycle
3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*
5. Stage of development of external quality assurance system
6. Level of student participation
7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement
9. National implementation of the principles of the Lisbon Recognition Convention
10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

The Slovak Republic was a signatory of the Bologna Declaration. Key developments since 2005 include amending legislation to elaborate the position of higher education institutions within the EHEA and the European Research Area, and to regulate the awarding of joint degrees after completing joint study programmes. A working group of the Ministry of Higher Education was set up in December 2006 to develop a national qualifications framework, which will be fully compatible with the European Qualifications Framework for Lifelong Learning. Lifelong learning is offered at workplaces, through civic organisations, education establishments and private education institutions. Recognition of education received by informal learning has not yet been included in legislation. Future challenges include: building up a knowledge-based society; quality enhancement and developing an international dimension of quality assurance; creating new financial resources for higher education institutions through the introduction of part-time courses; and developing research capabilities, through joint collaborations, developing centres of excellence or by other means.

SLOVENIA

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle
2. Access to the next cycle
3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*
5. Stage of development of external quality assurance system
6. Level of student participation
7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement
9. National implementation of the principles of the Lisbon Recognition Convention
10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

Slovenia was a signatory of the Bologna Declaration. Key developments since 2005 include: increasing the number of student enrolments in the new structure since 2005-2006; adopting new legislation on the relationship between old and new qualifications, quality assurance arrangements and the provision of financial resources to second cycle students; adopting a new Decree on the public financing of higher education in December 2006; extending the remit of the Council of Higher Education to include external quality assurance evaluations; organising a public consultation and setting up a working group to prepare a national qualifications framework. The introduction of the new three-cycle degree structure will be completed by 2009-2010. The phasing in of the new structure means that only 13% of students are enrolled in the new programmes so far. External reviews are not currently included in the quality assurance system, although several higher education institutions have undergone international accreditations on their own initiative. There is international cooperation in some aspects of quality assurance. Future challenges include: developing quality assurance in higher education; promoting national and international mobility; further decentralising higher education; creating mechanisms for business investment in and cooperation with higher education institutions; recognising informal learning; developing flexible and joint study programmes; promoting student-centred learning; developing knowledge transfer and linking financing and quality indicators; and fostering better cooperation amongst higher education stakeholders.

SPAIN

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle
2. Access to the next cycle
3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*
5. Stage of development of external quality assurance system
6. Level of student participation
7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement
9. National implementation of the principles of the Lisbon Recognition Convention
10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

Spain was a signatory of the Bologna Declaration. Key developments since 2005 include: approving the Organic Law of Universities (LOU); confirming the three-cycle structure; improving mobility and coordinating the implementation of the Bologna reforms on a nationwide basis; and setting aside funding to allow greater staff and student mobility, and to encourage participation in joint study programmes. An extensive reform programme is currently under way to implement a system of higher education based on three cycles. Work is also under way to develop a national qualifications framework. A Royal Decree will set up a working group comprising all relevant stakeholders. Higher education institutions are working to introduce diploma supplements and ECTS is expected to replace completely the national system of credits from 2008-2009 onwards. Internal processes necessary to ratify the Lisbon Recognition Convention have been completed, and a number of steps have already been taken to improve recognition practice. The quality assurance agency, ANECA, has developed plans for student involvement in quality assurance from 2007. Future challenges include: implementing reforms to support participation in the EHEA; consolidating the reform of the degree system; implementing the national qualifications framework; and increasing the mobility of students and staff.

SWEDEN

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle
2. Access to the next cycle
3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*
5. Stage of development of external quality assurance system
6. Level of student participation
7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement
9. National implementation of the principles of the Lisbon Recognition Convention
10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

Sweden was a signatory of the Bologna Declaration. Key developments since 2005 include: adopting a new law in February 2006 to reform the higher education system in line with the Bologna Process; developing degrees and courses in line with the three-cycle system; adopting new degree descriptions based on learning outcomes; introducing a new two-year masters degree in the second cycle; reforming the credit system in line with ECTS; and extending the implementation of diploma supplements to include the third cycle. All students in higher education will be enrolled in the three-cycle degree system from July 2007. Future challenges include: establishing joint degrees; further promoting staff and student mobility; maintaining a high quality of higher education and the link between higher education and research.

SWITZERLAND

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle
2. Access to the next cycle
3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*
5. Stage of development of external quality assurance system
6. Level of student participation
7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement
9. National implementation of the principles of the Lisbon Recognition Convention
10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

Switzerland was a signatory of the Bologna Declaration.

Key developments since 2005 include: securing the enrolment of all first year students (apart from medicine) in bachelor programmes; working to introduce bachelor programmes in medicine from autumn 2007; working to simplify the mechanism for cooperation between federal and cantonal authorities; and enhancing the transparency and efficiency of resource allocation. Traditional single-tier study courses are being discontinued. Current estimates suggest that by 2010-11 more than 95% of students will be enrolled in first and/or second cycle courses. A steering group was set up in September 2005 to develop a national qualifications framework. A first draft is under development and the final draft is expected to be presented to the relevant political bodies for approval in 2008. Higher education institutions have the right to admit students who do not satisfy usual admissions conditions. Work experience and informal learning are also taken into account for admission to many continuing education programmes. Future challenges include: increasing the coherence of Swiss higher education; ensuring adequate funding; completing the introduction of high quality masters programmes in all disciplinary fields; creating flexible pathways between different types of higher education institutions; increasing the number of structured doctoral programmes; and providing easily accessible and user friendly information on study opportunities at Swiss higher education institutions.

"the former Yugoslav Republic of Macedonia"

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle
2. Access to the next cycle
3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*
5. Stage of development of external quality assurance system
6. Level of student participation
7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement
9. National implementation of the principles of the Lisbon Recognition Convention
10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

"the former Yugoslav Republic of Macedonia" joined the Bologna Process in 2003. Key developments since 2005 include: increasing the autonomy of the higher education sector; developing learning outcomes-based curricula that meet employers' needs; working towards student-centred learning; widening access to higher education and expanding the type of provision offered; and restructuring higher education institutions, to facilitate greater internal mobility. Implementation of the three-cycle system is continuing. A working group has been set up to develop a national qualifications framework, based on learning outcomes. Consultations and seminars were held in 2006 to develop a draft framework, which is expected to be finalised by 2010. Students are involved in higher education institution self-evaluation procedures, which inform the external evaluation undertaken by the Evaluation Agency. Foreign experts generally take part in external review teams. An external review of the Evaluation Agency involving foreign experts is planned by 2010. The introduction of the diploma supplement and the recognition of prior learning are expected to be addressed in forthcoming legislation. ECTS has been implemented in some areas and work is under way to widen its application. Future challenges include: improving the quality and relevance of higher education; developing a comprehensive evaluation system; modernising teaching methods; offering more flexible learning opportunities; increasing the effectiveness of higher education through appropriate investment; improving governance, and safeguarding academic and research standards.

TURKEY

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle
2. Access to the next cycle
3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*
5. Stage of development of external quality assurance system
6. Level of student participation
7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement
9. National implementation of the principles of the Lisbon Recognition Convention
10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

Turkey joined the Bologna Process in 2001. Key developments since 2005 include: adopting a number of regulations to take forward Bologna reforms; completing the ratification process for the Lisbon Recognition Convention; establishing the independent Commission for Academic Assessment and Quality Improvement in Higher Education Institutions (YODEK), a national student council and a commission to develop a national qualifications framework; mandatory introduction of ECTS and diploma supplements; enabling joint degrees; widening access for disabled students; and preparing a Report on the Strategy for Higher Education to 2025. It is envisaged that YODEK will cooperate with foreign experts in external assessments. YODEK is planning to apply for ENQA membership. Future challenges include: balancing supply and demand for higher education; implementing an internationally accepted national quality assessment system; designing a more effective and efficient funding model; widening access to higher education; and maximising the opportunity presented by the increasing young population.

UKRAINE

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle
2. Access to the next cycle
3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*
5. Stage of development of external quality assurance system
6. Level of student participation
7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement
9. National implementation of the principles of the Lisbon Recognition Convention
10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

Ukraine joined the Bologna Process in 2005. Key developments since then include: preparing an Action Plan for implementation up to 2010; setting up a Bologna Follow-up Group within the Ministry of Education and Science, a Bologna Follow-up Inter-departmental Commission and a national team of Bologna Promoters; the council of students applying for ESIB membership; progressing the implementing of ECTS and diploma supplements; and increasing the higher education sector's engagement with the EHEA. Work has started to develop a national qualifications framework, following discussion with all interested parties at the national level. It is expected to be completed by 2010. Plans have been developed to improve and coordinate national quality assurance arrangements, with a seminar to be held in April 2007. Some international involvement in quality assurance takes place at the institutional level, and universities are in direct contact with international accreditation agencies. Plans are in place for graduates to receive diploma supplements from 2008-09. Future challenges include: developing a quality assurance system in line with the *Standards and Guidelines for Quality Assurance in the EHEA*; implementing the third cycle; increasing the employability of bachelor graduates; increasing staff and student mobility; and extending higher education institution and community links.

UNITED KINGDOM – ENGLAND, WALES AND NORTHERN IRELAND

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle
2. Access to the next cycle
3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*
5. Stage of development of external quality assurance system
6. Level of student participation
7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement
9. National implementation of the principles of the Lisbon Recognition Convention
10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

The United Kingdom was a signatory of the Bologna Declaration. Key developments in England, Wales and Northern Ireland since 2005 include: providing the Bologna Secretariat from 2005-2007; publishing a guide to the diploma supplement and a revised guide to the Bologna Process in 2006; setting up a steering group to develop a credit framework for higher education in England; improving the student support system; and further expanding Foundation Degrees provision (short cycle qualifications). A survey in 2005 showed that around one-third of higher education institutions in the UK were issuing diploma supplements and some 50% of respondents planned to do so in the following two years. A further survey planned for the summer of 2007 will measure progress. Implementation of ECTS is being undertaken alongside the credit framework being developed for England (Northern Ireland and Wales already have credit systems in operation). Many institutions use ECTS, primarily within European programmes, but it is not compulsory. Future challenges include: encouraging greater sectoral participation in the Bologna Process; developing a national credit system in England; stimulating outward mobility; increasing engagement with employers; encouraging interest in science and technology, and encouraging the comprehensive use of the diploma supplement.

UNITED KINGDOM – SCOTLAND

> DEGREE SYSTEM <

1. Stage of implementation of the first and second cycle
2. Access to the next cycle
3. Implementation of national qualifications framework

> QUALITY ASSURANCE <

4. National implementation of *Standards and Guidelines for QA in the EHEA*
5. Stage of development of external quality assurance system
6. Level of student participation
7. Level of international participation

> RECOGNITION OF DEGREES AND STUDY PERIODS <

8. Stage of implementation of diploma supplement
9. National implementation of the principles of the Lisbon Recognition Convention
10. Stage of implementation of ECTS

> LIFELONG LEARNING <

11. Recognition of prior learning

> JOINT DEGREES <

12. Establishment and recognition of joint degrees

The United Kingdom was a signatory of the Bologna Declaration. Key developments in Scotland since 2005 include: successfully self-certifying the Framework for Qualifications of Higher Education Institutions in Scotland against the Framework for Qualifications of the EHEA; reviewing the Quality Enhancement Framework against the *Standards and Guidelines for Quality Assurance in the EHEA*; undertaking sector-wide quality enhancement initiatives on enhancing the student experience and flexible delivery; implementing diploma supplements and ECTS, alongside the compatible national system; publishing guidelines for the recognition of prior learning; merging the Scottish Further and Higher Education Funding Councils, and extending academic freedom to cover all staff. International participation in the governance of the national quality assurance agency has been agreed, and international involvement in external review teams is under consideration. Scottish representatives have been active in European quality assurance discussions and each Quality Enhancement Theme explicitly looks for international good practice. Future challenges include: maintaining the competitiveness of higher education in Scotland; internationalising curricula; developing more joint degrees; improving retention within under represented groups; supporting peer learning; and increasing outward student mobility.

BOLOGNA SCORECARD

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Issue date: 02 March 2008

Bologna work programme 2007-2009

TOWARDS THE EUROPEAN HIGHER EDUCATION AREA - AN INTEGRATED WORK PROGRAMME FOR 2007-2009

Relevant paragraph in the London Communiqué

1.3 Developments over the last two years have brought us a significant step closer to the realisation of the European Higher Education Area (EHEA). Building on our rich and diverse European cultural heritage, we are developing an EHEA based on institutional autonomy, academic freedom, equal opportunities and democratic principles that will facilitate mobility, increase employability and strengthen Europe's attractiveness and competitiveness. [...] We agree to continue to work together in partnership, assisting one another in our efforts and promoting the exchange of good practice.

Introduction

To make the European Higher Education Area (EHEA) become a reality, it is of utmost importance to make progress on the implementation of the commitments that have already been agreed, concerning all action lines from all declarations and communiqués. Most of this activity needs to take place at national level but it can and will be supported by action at European level.

For this purpose, the Bologna Follow-up Group (BFUG) at its meeting in Lisbon on 2-3 October 2007 adopted a work programme for the period leading up to the 2009 ministerial conference in Leuven and Louvain-la-Neuve. The present document outlines this ambitious programme that covers all action lines referred to in the London Communiqué and contains all official Bologna events that will be organised at European level between October 2007 and April 2009.

The work programme resulted from an intense process of consultation to which almost 50 countries and organisations actively contributed. The high level of interest is also reflected in the large number of activities that have been proposed and that are included in this work programme.

To make this work programme a success, continued involvement of all countries and organisations participating in the Bologna Process is needed. The large number of activities included in this work programme offer countries and organisations a variety of different ways to get involved but also require continued coordination within and across action lines as well as close liaison with BFUG as a whole. This goes for the almost 20 Bologna seminars as well as for the various coordination and working groups, the expert network on student support, and the E4 group.

MOBILITY

Relevant paragraphs in the London Communiqué

2.2 Mobility of staff, students and graduates is one of the core elements of the Bologna Process, creating opportunities for personal growth, developing international cooperation between individuals and institutions, enhancing the quality of higher education and research, and giving substance to the European dimension.

2.3 Some progress has been made since 1999, but many challenges remain. Among the obstacles to mobility, issues relating to immigration, recognition, insufficient financial incentives and inflexible pension arrangements feature prominently. We recognise the responsibility of individual Governments to facilitate the delivery of visas, residence and work permits, as appropriate. Where these measures are outside our competence as Ministers for Higher Education, we undertake to work within our respective Governments for decisive progress in this area. At national level, we will work to implement fully the agreed recognition tools and procedures and consider ways of further incentivising mobility for both staff and students. This includes encouraging a significant increase in the number of joint programmes and the creation of flexible curricula, as well as urging our institutions to take greater responsibility for staff and student mobility, more equitably balanced between countries across the EHEA.

3.2 In our national reports for 2009, we will report on action taken at national level to promote the mobility of students and staff, including measures for future evaluation. We will focus on the main national challenges identified in paragraph 2.3 above. We also agree to set up a network of national experts to share information, and help to identify and overcome obstacles to the portability of grants and loans.

General remarks

Mobility of students and staff was one of the central elements of the Bologna Declaration signed in 1999 and has entailed structural reforms towards a degree system in three cycles. Nevertheless, reliable and comparable data to monitor progress on mobility are still lacking. Obstacles to mobility of students and staff are well-known. The London Communiqué mentions the prominent and maybe most pressing issues of immigration, recognition, insufficient financial incentives and inflexible pension arrangements. Other obstacles include: different academic calendars, difficulties related to temporarily leaving one's job, family duties, lack of encouragement, language barriers or simply lack of information. So a lot remains to be done and with the 2010 deadline approaching, a certain sense of urgency prevails. While most of the action needs to be taken at national or institutional level, it can be supported in various ways by action at European level, for instance through awareness-raising or sharing of good practice but also through work on other action lines, such as developing joint programmes or cooperating in the field of quality assurance. In fact, to effectively promote mobility, action is not only needed across action lines but also across policy areas, as many of the issues go beyond the scope of higher education and reach into the areas of social affairs, finances, immigration (including visas, residence and work permits) etc. So there clearly is a case for an integrated approach, integrating different policy areas as well as different types of activity. At the same time, this integrated approach needs to be flexible enough to meet the differing needs of the different countries involved in the Bologna Process. Specific questions related to EU legislation, which concern EU countries only, should however be dealt with in the EU context.

Action included in this Bologna work programme for the time until the 2009 ministerial conference should ideally involve all participating countries and organisations, and the area of mobility certainly is a case where a joint effort of all parties is needed. As indicated in the London Communiqué, mobility should be one of the priorities of the Bologna work programme 2007-2009 and BFUG therefore agreed to launch a mobility campaign, combining a variety of activities organised by a variety of Bologna countries and consultative members.

Coordination group		
<u>Purpose</u>: to coordinate the follow-up activities in the field of mobility, building upon activities of previous periods. <u>Liaison with other follow-up activities</u>: data collection, stocktaking (in line with 3.7 of the London Communiqué), global dimension, social dimension, network on student support	<u>Chair</u>: Gayane Harutyunyan (Armenia) <u>Participants</u>: Albania, Armenia, Austria, Belgium/French Community, Croatia, France, Germany, Hungary, Malta, Montenegro, Portugal, Russia, Spain, EI, ESU	<u>Timing and reporting</u>: First meeting: 23 November 2007 Regular updates to BFUG. Minutes on the website. Final report (draft version): 15 January 2009 Final report (final version): 1 March 2009
Mobility Campaign		
Campaign materials to raise awareness; spread information; encourage students and staff to get mobile (and HEI to let them go).	<u>Organisers</u> : EI, ESU, in consultation with the coordination group (see above)	<u>Timing</u> : November 2007 - October 2008
<u>Website</u> to allow students and staff to exchange information, experience, good and bad practice	<u>Organisers</u> : EI, ESU, in consultation with the coordination group	
<u>Mobility barometer</u> (using questionnaires) to measure progress on mobility	<u>Organisers</u> : EI and ESU, in consultation with the coordination group	
<u>Validation conference</u> to conclude the campaign	<u>Organisers</u> : EI and ESU, in consultation with the coordination group	<u>Date</u>: 6-8 October 2008 <u>Place</u>: Lille (France)
Bologna seminars		
“Fostering student mobility: next steps? Involving stakeholders for an improved mobility inside the EHEA”	<u>Organisers</u> : Belgium/French Community in cooperation with Austria, Croatia, ESU, the Netherlands and the expert network on student support; and in consultation with the coordination group	<u>Date</u>: 29-30 May 2008 <u>Place</u>: Brussels (Belgium)
“Staff Mobility and Pension Arrangements”	<u>Organisers</u> : Germany, in consultation with the coordination group	<u>Date</u>: 12-13 June 2008 <u>Place</u>: Berlin (Germany)
Conference on Mobility - Erasmus Mundus II	<u>Organiser</u> : France, in consultation with the coordination group and the European Commission	<u>Date</u>: 4-5 November 2008 <u>Place</u>: Nancy (France)

“Joint programmes and student mobility”	<u>Organisers</u> : Russia, in consultation with the coordination group	<u>Date</u> : 22-23 January 2009 (tbc) <u>Place</u> : Saint-Petersburg (Russia)
Expert Network on Student Support		
<u>Purpose</u>: Offering practical solutions for countries to implement portable student support, including the organisation to address obstacles. <u>Liaison with other follow-up activities</u>: Mobility coordination group, social dimension, data collection	<u>Chair</u>: Aldrik in 't Hout (Netherlands), Kathleen Robertson (Scotland), Linda Norman-Torvang (Sweden) <u>Participants</u>: open to all Bologna countries. So far the following countries and organisations have joined: Armenia, Austria, Belgium/French Community, Denmark, Finland, Georgia, Germany, Ireland, Lithuania, Montenegro, Netherlands, Norway, Portugal, Sweden, Switzerland, UK (England and Scotland), ESU, European Commission (Eurydice)	<u>Timing and reporting</u>: Meetings in January, April and May 2008. Regular updates to BFUG. Minutes on the website. Presentation of results at the conference “Fostering student mobility: next steps?” (see above) Final report (draft version): 15 January 2009 Final report (final version): 1 March 2009

DEGREE STRUCTURE

Relevant paragraph(s) in the London Communiqué

2.4 [...] We underline the importance of curricula reform leading to qualifications better suited both to the needs of the labour market and to further study. Efforts should concentrate in future on removing barriers to access and progression between cycles and on proper implementation of ECTS based on learning outcomes and student workload. We underline the importance of improving graduate employability, whilst noting that data gathering on this issue needs to be developed further.

General remarks

Proper implementation of ECTS based on student workload and learning outcomes still remains a priority. The European Commission started a process of consulting the network of national academic contact points in order to update the ECTS Key Features and subsequently also the ECTS Users' Guide. BFUG was asked to contribute to the debate. From the very beginning ECTS contained both, the elements of content and workload. In recent years it has become common practice to present the content in terms of learning outcomes.

The BFUG supported the idea that both aspects cannot be seen in isolation ("workload" should be interpreted as "workload to achieve certain learning outcomes"). The updated Key Features and supporting documents will contain more explicit reference to learning outcomes, lifelong learning and the qualifications framework.

The proposed seminars aim to improve the understanding of learning outcomes by all stakeholders, including the implications of using ECTS and learning outcomes for the implementation of new pedagogical methods of student-centred and flexible learning, as well as for quality assurance, recognition of qualifications, employability, mobility, etc.

Bologna Seminars

"ECTS based on learning outcomes and student workload"	<u>Organisers</u> : Russia in cooperation with Malta, ESU and EUA	<u>Date</u> : 17-18 April 2008 <u>Place</u> : Moscow (Russia)
"Development of a common understanding of Learning Outcomes and ECTS"	<u>Organisers</u> : Portugal, in cooperation with EURASHE and ESU	<u>Date</u> : 19-20 June 2008 <u>Place</u> : Porto (Portugal)

Liaison with other follow-up activities: take into account the ECTS discussion and liaise with groups working on qualifications framework, lifelong learning and employability.

Consultation on ECTS Key Features

<u>Purpose</u> : Updating ECTS Key Features <u>Liaison with other follow-up activities</u> : qualifications framework, lifelong learning, stocktaking	<u>Organisers</u> : European Commission, supported by the national academic contact points for ECTS, the Portuguese Presidency and the Bologna Secretariat <u>Participants</u> : All BFUG members	<u>Timing</u> : A draft of the ECTS Key Features was discussed at Lisbon BFUG 2-3 October 2007, followed by an electronic consultation. Once the ECTS Key Features have been finalised, the ECTS Users Guide will be updated accordingly in 2008.

EMPLOYABILITY

Relevant paragraph in the London Communiqué

3.5 Following up on the introduction of the three-cycle degree system, we ask BFUG to consider in more detail how to improve employability in relation to each of these cycles as well as in the context of lifelong learning. This will involve the responsibilities of all stakeholders. Governments and HEIs will need to communicate more with employers and other stakeholders on the rationale for their reforms. We will work, as appropriate, within our governments to ensure that employment and career structures within the public service are fully compatible with the new degree system. We urge institutions to further develop partnerships and cooperation with employers in the ongoing process of curriculum innovation based on learning outcomes.

General remarks

Employability is the ability to gain initial employment, to maintain employment and to be able to move around within the labour market. Higher education should aim at achieving employability of graduates in all three cycles.

Working group

Purpose: To provide a report to Ministers for the 2009 Bologna conference on how to improve employability in relation to each of the three cycles (but with a particular emphasis on the first cycle) as well as in the context of lifelong learning.

Areas to be covered in the report will include

- awareness-raising amongst employers of the value of a bachelors qualification and associated learning outcomes;
- involving employers in devising curricula;
- the provision of careers services;
- employment and career structures within the public service that are fully compatible with the new degree system;
- curriculum innovation based on learning outcomes;
- the recognition of degrees in the labour market across Europe;
- the role of higher education in lifelong

Chair: Rachel Green (UK)

Participants: Austria, Belgium/ French Community, Croatia, Czech Republic, Finland, France, Georgia, Germany, Hungary, Luxembourg, Malta, Montenegro, Poland, Spain, UK, BUSINESSEUROPE, EI, ESU, EUA, EURASHE, UNESCO-CEPES.

Timing and reporting:

First meeting on 31 October 2007.

Further meetings in:

February 2008, July 2008, September 2008 and January 2009.

Regular updates to BFUG.

Minutes on the website.

Final report (draft version): 15 January 2009

Final report (final version): 1 March 2009

learning and continuing professional development. <u>Liaison with other follow-up activities:</u> Work on learning outcomes in context of degree structure and qualifications frameworks, LLL, data collection, stocktaking		
Bologna Seminar		
“Employability – the Employers’ Perspective and its implications”	<u>Organisers:</u> Luxembourg, in cooperation with the working group	<u>Date:</u> 6-7 November 2008 <u>Place:</u> Luxembourg

RECOGNITION

Relevant paragraph in the London Communiqué

2.6 There has been progress in the implementation of the Lisbon Recognition Convention (LRC), ECTS and diploma supplements, but the range of national and institutional approaches to recognition needs to be more coherent. To improve recognition practices, we therefore ask the Bologna Follow-up Group (BFUG) to arrange for the ENIC/NARIC networks to analyse our national action plans and spread good practice.

General remarks

The ENIC/NARIC networks have received the mandate to analyse the national action plans. It is important that BFUG be informed of and have an opportunity to comment on the analysis. The implementation of the action plans and the dissemination of good practice should be the focus of attention of national information centres (ENICs/NARICs) as well as of other competent recognition authorities and policy makers (higher education institutions, public authorities, specialized recognition bodies). The ENIC and NARIC Networks are currently working to develop a better common understanding of the concept of “substantial differences”, which is one of the key concepts of the Lisbon Recognition Convention and a possible justification for non-recognition. The aim is to develop a broader view of substantial differences, so that only major differences entail non-recognition, and, as far as possible, to seek to assess substantial differences in terms of learning outcomes.

The follow-up activities on recognition of prior learning (2.11) will be dealt with in the section on “lifelong learning” (see below).

ENIC-NARIC working party

<u>Tasks:</u> To analyse national action plans on recognition and to spread good practice. To assist Bologna countries with implementing the national action plans and to identify possible weak points.	<u>Organisers:</u> ENIC and NARIC Networks <u>Participants:</u> Council of Europe, European Commission, UNESCO-CEPES, national information centres. Through the networks, national recognition information centres of all Bologna countries will discuss the report.	<u>Timing:</u> November 2007-December 2008 <u>Reporting:</u> Progress report at BFUG March 2008. A first draft of the final report will be considered by the ENIC and NARIC Networks at their joint meeting in Malta in June 2008. A final report will be submitted to the BFUG and the ENIC and NARIC Networks by the end of 2008.

QUALIFICATIONS FRAMEWORKS

Relevant paragraph in the London Communiqué

2.8 We note that some initial progress has been made towards the implementation of national qualifications frameworks, but that much more effort is required. We commit ourselves to fully implementing such national qualifications frameworks, certified against the overarching Framework for Qualifications of the EHEA, by 2010. Recognising that this is a challenging task, we ask the Council of Europe to support the sharing of experience in the elaboration of national qualifications frameworks. We emphasise that qualification frameworks should be designed so as to encourage greater mobility of students and teachers and improve employability.

General remarks

The main work of implementing national qualifications frameworks in line with the overarching Framework for Qualifications of the EHEA needs to be done at national level but it will be supported by the sharing of experience, facilitated by the Council of Europe and by other organisers of European or regional conferences. Particular attention should be given to integrating ECTS into this work. The European conferences and some of the regional conferences will be coordinated by the Council of Europe. Countries are, however, encouraged to organise additional conferences at regional or national level at their own initiative. Council of Europe and coordination group may assist with identifying international experts.

Coordination Group

Purpose: To advise the Council of Europe on fulfilling its mandate according to paragraph 2.8 of the London Communiqué (see above).
Tasks: the Coordination Group shall act as a forum for debate on qualifications frameworks and give advice on:

- activities designed to promote the sharing of experience in the development of national qualifications frameworks;
- specific issues relating to the development of NQFs, their purposes, relationship to credits, qualifications, learning outcomes and curriculum reform, as well as issues of content, methodology and procedure, as appropriate;
- experts that might assist countries in the development of their national frameworks, where such assistance is requested. The Coordination Group shall seek to ensure that experts represent a variety of backgrounds and experience;

Chair and Secretariat: Council of Europe
Participants:
 Czech Republic, Georgia, Germany, Ireland, Portugal, "the former Yugoslav Republic of Macedonia", Turkey, UK/Scotland, Council of Europe, European Commission, ESU, EUA, EURASHE, President of the ENIC Network, ECTS coordinator, Bologna Secretariat.

Timing:
 Late 2007 until first BFUG after the 2009 ministerial conference

 Meeting at least twice a year
 First meeting: 26/27 November 2007.

Reporting:
 Regular updates to BFUG.
 Minutes on Bologna website.

 Final report (draft version): 15 January 2009
 Final report (final version): 1 March 2009

• methodology and procedures for the self-certification of completed national frameworks, including (on request) identifying suitable foreign experts who might participate in self-certification exercises; • the publication of self-certification reports; • cooperation with the European Commission with a view to ensuring that national qualifications frameworks compatible with the overarching framework for the EHEA are also compatible with the European Qualifications Framework; • public information designed to promote the elaboration of national qualifications frameworks; • activities and material designed to ensure compatibility between the overarching EHEA framework and the EQF; <u>Liaison with other follow-up activities:</u> The Coordination Group shall give advice on the relationship between the development of qualifications frameworks and other key policy areas within the Bologna Process, in particular as concerns the recognition of qualifications and the use of the agreed transparency tools (ECTS, Diploma Supplement). The Coordination Group shall also assist the Bologna Secretariat and the Stocktaking Group in gaining an overview of the state of developments of national qualifications frameworks in time for the 2009 stocktaking exercise. Liaison with other action lines through Bologna Secretariat and BFUG Chair/Vice Chair. Of particular relevance are the groups on stocktaking, LLL and employability.		

European conferences		
<u>Forum on Qualifications Frameworks</u> to give countries an opportunity to draw on the experience of other countries outside of their immediate region that may face similar issues, and to give the BFUG at least an impressionistic overview of overall progress in the development of national frameworks compatible with the overarching EHEA framework.	<u>Organiser:</u> Council of Europe <u>Participants:</u> Those responsible for developing NQFs in all Bologna countries; European Commission and consultative members; possibly also a limited number from non-EHEA countries; national information centres on recognition (ENICs/NARICs)	<u>Date:</u> 11-12 October 2007 <u>Place:</u> Council of Europe Headquarters, Strasbourg (France)
<u>Follow-up conference:</u> Learning outcomes based higher education: the Scottish experience	<u>Organisers:</u> Scotland, in cooperation with Council of Europe and coordination group <u>Participants:</u> The aim is to have a large audience of a range of constituencies from each of the 46 Bologna Countries. For example, each country could be invited to send the following participants: 1-2 national quality centres 2-3 academics 1-2 national student body	<u>Date:</u> 21-22 February 2008 <u>Place:</u> Edinburgh (Scotland)
<u>Follow-up conference</u>	<u>Organiser:</u> Georgia, in cooperation with Council of Europe and coordination group	<u>Date:</u> 27-28 October 2008 <u>Place:</u> Georgia
Regional conferences		
<u>Purpose:</u> To exchange experience – either within a certain region or with countries that are at a similar stage in developing their national qualifications frameworks. <u>Please note:</u> Countries are encouraged to organise additional conferences at national or regional level at their own initiative.	<u>Organisers:</u> Host countries supported by Council of Europe <u>Expressed interest:</u> Armenia, Czech Republic <u>Participants:</u> Mainly those responsible for developing NQFs in the countries concerned	

LIFELONG LEARNING

Relevant paragraph in the London Communiqué

2.11 The stocktaking report shows that some elements of flexible learning exist in most countries, but a more systematic development of flexible learning paths to support lifelong learning is at an early stage. We therefore ask BFUG to increase the sharing of good practice and to work towards a common understanding of the role of higher education in lifelong learning. Only in a small number of EHEA countries could the recognition of prior learning for access and credits be said to be well developed. Working in cooperation with ENIC/NARIC, we invite BFUG to develop proposals for improving the recognition of prior learning.

General remarks

The follow-up activities in the field of lifelong learning need to cover two elements:

- (a) the role of higher education in lifelong learning and
- (b) the recognition of prior learning.

It is important not to regard lifelong learning as a separate action line but rather to consider all other action lines from a lifelong perspective.

Coordination group

Purpose: To ensure coordination across Bologna related events exploring aspects of lifelong learning, making recommendations as required to events organisers

To maintain an overview of Bologna related Lifelong Learning events taking place between 2007 and 2009

To consider the conclusions of all Bologna related Lifelong Learning events and identify points for possible inclusion in the Leuven and Louvain-la-Neuve Communiqué.

As far as possible, the group will try and ensure that the following aspects are covered:

- Recognition of prior learning (best practice, organisation of the process of validation of non-formal and informal learning, concerns on QA, possible guidelines, case-studies, etc.)
- Flexible learning paths and the development of national qualifications frameworks alongside with lifelong learning policies in higher education;

Chair: Ann McVie (UK/Scotland)

Participants: Bosnia and Herzegovina, Bulgaria, Cyprus, France, Georgia, Greece, Netherlands, Slovenia, "the former Yugoslav Republic of Macedonia", UK (Scotland), ESU, EUA, EURASHE.

Timing and reporting:

The Lifelong Learning Coordinating Group will operate primarily as an email network. The Chair will advise the Secretariat of e-mail consent to any decisions. Short updates will be produced periodically. The consent and updates will be circulated to BFUG for info and posted on the Bologna website.

Conclusions from individual events related to Lifelong Learning will be considered by BFUG in the usual way.

The Lifelong Learning Coordinating Group will consider the conclusions from all events relating to Lifelong Learning and make recommendations on themes or specific points for possible inclusion in the context of the Leuven and Louvain-la-Neuve Communiqué. This will be based on a short summary of the conclusions and recommendations from seminars about Lifelong Learning.

Deadline for summary of conclusions and

• Lifelong learning and the relationship with the social dimension goals of higher education. <u>Liaison with other follow-up activities:</u> Recognition, qualifications framework, employability, stocktaking		recommendations from seminars and recommendations from the coordinating group (draft version): 15 January 2009 Deadline for final version of summary and recommendations: 1 March 2009
Bologna seminars		
<u>EU Presidency Conference on the role of universities in LLL</u> (common understanding of what is LLL in HE), organisational aspects of LLL provision in universities and the link with qualifications frameworks	<u>Organiser:</u> Slovenia, in consultation with the coordination group <u>Participants:</u> all Bologna countries	<u>Date:</u> 10-11 March 2008 <u>Place:</u> Slovenia
“Assessment of Prior Learning (APL); quality assurance and implementation of procedures”	<u>Organisers:</u> Netherlands, in cooperation with EURASHE, ESU, ENIC/NARIC, and in consultation with the coordination group	<u>Date:</u> 11-12 December 2008 <u>Place:</u> Amsterdam

QUALITY ASSURANCE

Relevant paragraphs in the London Communiqué

2.13 [...] We encourage the four organisations to continue to organise European Quality Assurance Fora on an annual basis, to facilitate the sharing of good practice and ensure that quality in the EHEA continues to improve.

2.14 [...] We ask the E4 group to report progress to us regularly through BFUG, and to ensure that after two years of operation, the register is evaluated externally, taking account of the views of all stakeholders.

General remarks

As proposed in the E4's report to the London Summit, the European Quality Assurance Register in Higher Education (EQAR) would be set up as an international non-profit association ("Association Internationale Sans But Lucratif – AISBL") in Belgium, founded by the E4 organisations. In addition, EHEA governments and the other consultative members of the BFUG could become full members.

The Founding Assembly of the EQAR is planned for 4 March 2008. This will allow the EQAR to start its operation in June 2008 and to decide on the first round of applications by September 2008. This means that the external evaluation would not be due before the second half of 2010.

The Register Committee is to be set up in January 2008. At the BFUG meeting in Lisbon, 2-3 October 2007, the following countries were elected to act as observers on that Committee for the period 2008-2009: Austria, Denmark, Estonia, Ireland and Portugal.

European Quality Assurance Register in Higher Education

	<u>Organisers:</u> E4 group (ENQA, ESU, EUA, EURASHE)	<u>Timing:</u> to be set up by summer 2008 <u>Reporting:</u> Regular progress reports to BFUG and final report in 2009 to ministerial conference. Relevant documents on Bologna website. Final report (draft version): 15 January 2009 Final report (final version): 1 March 2009

European Quality Assurance Fora

<u>Purpose:</u> To facilitate the sharing of good practice <u>Specific objectives of the 2007 Forum:</u> - To gain an understanding of how to implement the European Standards and Guidelines and to explore some of the underlying principles. - To analyse success factors and obstacles - To grasp the implications of such an	<u>Organisers:</u> E4 group	<u>Second European Quality Assurance Forum</u> <u>Date:</u> 15-17 November 2007 <u>Place:</u> Rome <u>Third European Quality Assurance Forum</u> <u>Date:</u> 20-22 November 2008 <u>Place:</u> Budapest

implementation and examine the impact and the unintended consequences • To discuss specific tools (such as student evaluations, implementing learning outcomes, reviews of QA agencies)		
Bologna seminar		
<u>Conference</u> on Quality Assurance in Higher Education	<u>Organisers</u> : France	<u>Date</u> : 9-10 September 2008 <u>Place</u> : Strasbourg (France)

THIRD CYCLE / DOCTORAL CANDIDATES

Relevant paragraph in the London Communiqué

2.17 We invite EUA to continue to support the sharing of experience among HEIs on the range of innovative doctoral programmes that are emerging across Europe as well as on other crucial issues such as transparent access arrangements, supervision and assessment procedures, the development of transferable skills and ways of enhancing employability. We will look for appropriate opportunities to encourage greater exchange of information on funding and other issues between our Governments as well as with other research funding bodies.

Bologna seminar

Seminar on doctoral candidates to exchange information on funding and the development of career prospects

Liaison with other follow-up activities: Liaise with EUA and take into account results of previous seminars (Salzburg and Nice)

Organiser: Finland

Date: October 2008 (to be confirmed)

Place: Finland

SOCIAL DIMENSION

Relevant paragraphs in the London Communiqué

2.18 Higher education should play a strong role in fostering social cohesion, reducing inequalities and raising the level of knowledge, skills and competences in society. Policy should therefore aim to maximise the potential of individuals in terms of their personal development and their contribution to a sustainable and democratic knowledge-based society. We share the societal aspiration that the student body entering, participating in and completing higher education at all levels should reflect the diversity of our populations. We reaffirm the importance of students being able to complete their studies without obstacles related to their social and economic background. We therefore continue our efforts to provide adequate student services, create more flexible learning pathways into and within higher education, and to widen participation at all levels on the basis of equal opportunity.

3.3 Similarly, we will report on our national strategies and policies for the social dimension, including action plans and measures to evaluate their effectiveness. We will invite all stakeholders to participate in, and support this work, at the national level.

General remarks

The London Communiqué has highlighted the social dimension as one of the priorities for the period 2007-2009. While many actions have to be taken at national level, countries may find it useful to receive advice on developing national strategies, including national action plans, and to share experience with other countries. As a first step towards developing a European strategy for the social dimension in higher education, the work on data collection in the period 2007-2009 will mainly focus on the social dimension (see also section on data collection below). Last but not least it needs to be stressed that the social dimension is a cross-cutting issue that should be taken into account in all action lines.

Coordination group

<u>Purpose</u>: to design a template for national action plans, to assist countries in drawing up their national action plans, and to facilitate the sharing of experience To coordinate action concerning the social dimension <u>Liaison with other follow-up activities</u>: data collection, stocktaking (in line with paragraph 3.7 of the London Communiqué, see also section on stocktaking), and LLL	<u>Chair</u>: Cyprus <u>Participants</u>: Belgium/French Community, Czech Republic, Hungary, Liechtenstein, Lithuania, Malta, Montenegro, Portugal, Romania, Russia, UK, ESU, EUA, EURASHE, UNESCO-CEPES Liaison with stocktaking and data collection to be ensured by the Bologna Secretariat.	<u>Timing and reporting</u>: Template for national action plans to be submitted to BFUG by 1 March 2008 for approval at the BFUG meeting in March 2008. Regular progress reports to BFUG. Minutes on Bologna website. Final report (draft version): 15 January 2009 Final report (final version): 1 March 2009

Bologna seminars

“The Social Dimension of Access and Equal Opportunity in Higher Education Institutions”	<u>Organisers</u>: Malta in collaboration with ESU	<u>Date</u>: 25-26 September 2008 <u>Place</u>: Malta
“Equality in a knowledge-based society – how to widen opportunities? Best practices in National Action Plans.”	<u>Organiser</u>: Hungary	<u>Date</u>: 10-11 November 2008 <u>Place</u>: Budapest (Hungary)

GLOBAL DIMENSION

Relevant paragraphs in the London Communiqué

2.20 We adopt the strategy “The European Higher Education Area in a Global Setting” and will take forward work in the core policy areas: improving information on, and promoting the attractiveness and competitiveness of the EHEA; strengthening cooperation based on partnership; intensifying policy dialogue; and improving recognition. This work ought to be seen in relation to the OECD/UNESCO Guidelines for Quality Provision in Cross-border Higher Education.

3.6 We ask BFUG to report back to us on overall developments in this area at the European, national and institutional levels by 2009. All stakeholders have a role here within their spheres of responsibility. In reporting on the implementation of the strategy for the EHEA in a global context, BFUG should in particular give consideration to two priorities. First, to improve the information available about the EHEA, by developing the Bologna Secretariat website and building on EUA's Bologna Handbook; and second, to improve recognition. We call on HEIs, ENIC/NARIC centres and other competent recognition authorities within the EHEA to assess qualifications from other parts of the world with the same open mind with which they would expect European qualifications to be assessed elsewhere, and to base this recognition on the principles of the LRC.

General remarks

To implement the strategy “The European Higher Education Area in a Global Setting”, action needs to be taken at European, national and institutional level in all five policy areas mentioned in the Communiqué, also in relation to the UNESCO/OECD Guidelines for Quality Provision in Cross-border Higher Education. In the report to be prepared for 2009, a particular focus will be placed on the two areas of improving information on, and promoting the attractiveness and competitiveness of the EHEA and of improving recognition. Given that Ministers asked for a further development of the qualitative analysis in stocktaking in relation to the Bologna Process in a global context, it is important that the preparation of this report is coordinated with the work of the stocktaking working group.

Working group “European Higher Education in a Global Setting”

<u>Purpose / Tasks:</u> (a) to take forward work in the five core policy areas of the strategy with a special focus on “improving information on, and promoting the attractiveness and competitiveness of the EHEA” and on “improving recognition”; (b) to prepare a draft report on the overall development at the European, national and institutional levels. <u>Liaison with other follow-up activities:</u> • Stocktaking (in line with 3.7 of the London Communiqué), mobility and quality assurance • Cooperate with the Secretariat regarding the development of the Bologna Secretariat	<u>Chair:</u> Barbara Weitgruber (Austria) <u>Participants:</u> Armenia, Austria, Belgium/French Community, France, Germany, Greece, Holy See, Montenegro, Netherlands, Norway, Romania, Slovak Republic, Spain, “the former Yugoslav Republic of Macedonia”, UK. Council of Europe, European Commission, EI, ENQA, ESU, EUA, EURASHE, UNESCO/CEPES, and ACA.	<u>Timing:</u> First meeting on 22 November 2007 Further meetings: January 2008, June 2008, Autumn 2008 Depending on the progress of the work and the consultation process (via e-mail) in finalizing the report, a meeting will be scheduled at the end of 2008 or at the beginning of 2009. <u>Reporting:</u> Regular progress reports to BFUG. Minutes on Bologna website. Final report (draft version): 15 January 2009 Final report (final version): 1 March 2009

Website for a global audience and with EUA regarding the Bologna Handbook • Cooperate with the Council of Europe, the European Commission and UNESCO as well as the ENIC/NARIC networks to enhance fair assessment of qualifications of other parts of the world on the basis of the LRC, • Liaise with the European Commission on EU initiatives and programmes on global promotion and cooperation, including the network of Bologna Experts • Look for ways of integrating the “UNESCO /OECD Guidelines for Quality Provision in Cross-Border Education” into the activities of the working group, in particular by closely cooperating with ENQA on the seminar mentioned below. • All seminar organisers should consider inviting interested partners from other parts of the world.		
Bologna seminar		
“Transnational education and the UNESCO/OECD Guidelines for quality provision in cross-border higher education” <u>Purpose:</u> Convergence between the UNESCO/OECD guidelines and the BFUG global strategy; spreading of information; fostering cooperation with regional QA networks etc. <u>Liaison with other follow-up activities:</u> quality assurance	<u>Organiser:</u> ENQA in cooperation with UNESCO <u>Participants:</u> Representatives from regional quality assurance networks (Asia-Pacific, South America, Africa, etc.).	<u>Date:</u> 1-2 December 2008 <u>Place:</u> London or Oxford (to be confirmed)

DATA COLLECTION

Relevant paragraph in the London Communiqué

3.4 We recognise the need to improve the availability of data on both mobility and the social dimension across all the countries participating in the Bologna Process. We therefore ask the European Commission (Eurostat), in conjunction with Eurostudent, to develop comparable and reliable indicators and data to measure progress towards the overall objective for the social dimension and student and staff mobility in all Bologna countries. Data in this field should cover participative equity in higher education as well as employability for graduates. This task should be carried out in conjunction with BFUG and a report should be submitted to our 2009 Ministerial conference.

General remarks

Eurostat and Eurostudent will assume their mandate received in London working on data collection and indicator development in support of the monitoring/stocktaking of the implementation of the Bologna Process in the field of social dimension and mobility.

For the 2007-2009 period the focus will be on the social dimension, and in particular on participative equity and employability. In addition Eurydice will present updated information on transparency tools (ECTS, DS and qualifications framework) for all 46 countries and on mobility and portability of student support for 31 countries.

It is of utmost importance that the geographical scope of the exercise reaches as far as all 46 EHEA countries. Therefore Eurostat will stay in touch with the national statistical offices of the non-EU countries.

The work will be supported by a BFUG steering group that will provide political orientations and further contextual information.

Steering group

Purpose:

- to endorse the indicators proposed by Eurostat and Eurostudent;
- to advise which contextual information is needed, which other parameters need to be taken into account;
- to comment on the analysis and the report to be produced

Liaison with other follow-up activities:

stocktaking, mobility, social dimension, employability

Chair: Germain Dondelinger (Luxembourg)

Participants: Eurostat, Eurostudent, Eurydice, DG EAC, Bosnia-Herzegovina, Croatia, France, Germany, Hungary, Italy, Latvia, Russia, Switzerland, UK, Education International, ESU, EUA, ACA

Timing:

First meeting: 9 November 2007

By spring 2008: conception and definition of indicators

By autumn 2008: sourcing and production of indicators+demarcation and production of necessary context information.

Reporting:

Regular progress reports to BFUG.

Minutes on Bologna website.

Final report (draft version): 15 January 2009

Final report (final version): 1 March 2009

STOCKTAKING

Relevant paragraph in the London Communiqué

3.7 We ask BFUG to continue the stocktaking process, based on national reports, in time for our 2009 Ministerial conference. We expect further development of the qualitative analysis in stocktaking, particularly in relation to mobility, the Bologna Process in a global context and the social dimension. The fields covered by stocktaking should continue to include the degree system and employability of graduates, recognition of degrees and study periods and implementation of all aspects of quality assurance in line with the ESG. With a view to the development of more student-centred, outcome-based learning, the next exercise should also address in an integrated way national qualifications frameworks, learning outcomes and credits, lifelong learning, and the recognition of prior learning.

General remarks

The 2009 stocktaking exercise will be the last of the decade and therefore look both at progress of the last 2-year period as to the general evolution of the implementation.

As an overarching action line it is extremely important that all other follow-up activities feed into stocktaking, which should be kept in mind when scheduling those activities. Similarly, the timing of the stocktaking work should allow making maximum use of the results of other surveys like, for instance, the Eurydice surveys on transparency tools (ECTS, Diploma Supplement and Qualifications Frameworks) and on mobility and portability of student support and the work done by EUA and ESU.

Moreover stocktaking should apply sound indicators and therefore work in close cooperation with the data collection working group.

Working group

Purpose: to continue stocktaking based on national reports.

To further develop the qualitative analysis, especially with regard to mobility, the Bologna Process in a global context and the social dimension.

Liaison with other follow-up activities: Input from all other follow-up activities needed, including the work on data collection.

Chair: Andrejs Rauhvargers (Latvia)

Participants: Armenia, Georgia, Germany, Italy, Latvia, Montenegro, Norway, Romania, Turkey, UK/Scotland, European Commission (Eurydice), EUA.

Timing and reporting:

First meeting: 8 November 2007

Template for national reports and timeline to be approved at BFUG March 2008.

Regular progress reports to BFUG.

Minutes on Bologna website.

Final report (draft version): 15 January 2009

Final report (final version): 1 March 2009

BEYOND 2010

Relevant paragraphs in the London Communiqué

4.1 As the EHEA continues to develop and respond to the challenges of globalisation, we anticipate that the need for collaboration will continue beyond 2010.

4.2 We are determined to seize 2010, which will mark the passage from the Bologna Process to the EHEA, as an opportunity to reaffirm our commitment to higher education as a key element in making our societies sustainable, at national as well as at European level. We will take 2010 as an opportunity to reformulate the vision that motivated us in setting the Bologna Process in motion in 1999 and to make the case for an EHEA underpinned by values and visions that go beyond issues of structures and tools. We undertake to make 2010 an opportunity to reset our higher education systems on a course that looks beyond the immediate issues and makes them fit to take up the challenges that will determine our future.

4.3 We ask BFUG as a whole to consider further how the EHEA might develop after 2010 and to report back to the next ministerial meeting in 2009. This should include proposals for appropriate support structures, bearing in mind that the current informal collaborative arrangements are working well and have brought about unprecedented change.

4.4 Building on previous stocktaking exercises, Trends, and Bologna With Student Eyes, we invite BFUG to consider for 2010 the preparation of a report including an independent assessment, in partnership with the consultative members, evaluating the overall progress of the Bologna Process across the EHEA since 1999.

General remarks

In the discussion on “Beyond 2010”, it is important to distinguish the two reports requested by Ministers in the London Communiqué.

- (a) For 2009, BFUG is asked to produce a report on how the EHEA might develop after 2010 (including support structures).
- (b) For 2010, BFUG is asked to produce a report including an independent assessment on the overall progress of the Bologna Process since 1999. Although this independent assessment is only due in 2010, preparations need to start already in this working period. For BFUG, the first priority should be to come to an agreement on the terms of reference of such an independent assessment.

At the same time, work needs to start on the 2009 report. Given that the discussion on “Beyond 2010” is such a sensitive issue, Ministers explicitly asked “BFUG as a whole” to consider the further developments. Since during regular BFUG meetings there might not be enough time for in-depth discussion, one or two extra BFUG meetings might be necessary to address the issue adequately.

It is clear that such a BFUG discussion needs careful preparation but a traditional working group might not be the appropriate form for this preparation, not least because probably almost all countries and organisations would like to be part of such a group. An alternative might be to make use of the Board, supported by the Bologna Secretariat.

In any case, it is crucial that the report on “Beyond 2010” is produced in an open and transparent process, involving all countries and organisations participating in the Bologna Process by way of regular consultations, be it electronically or at (special) BFUG meetings.

To take a wider view on the issue and to give room to new ideas, it is proposed to get input also from outside the “inner Bologna circle”, using a combination of survey, publication and seminar(s).

Consultation of experts and stakeholders

(1) <u>Survey by international academic experts</u> (2) <u>Publication of essays of consulted stakeholders</u> <u>Purpose</u>: to identify the major challenges for the EHEA in the next decade and possibly to propose new action lines	<u>Organiser</u>: Belgium/Flemish Community and Luxembourg in cooperation with host of the seminar and in consultation with BFUG <u>Participants</u>: international experts in higher education (survey); other stakeholders: politicians, scholars, students and business representatives (publication)	<u>Timing</u>: (1) Survey: October 2007 – March 2008 (2) Publication of essays: Mid-2008
Seminar		
<u>Purpose</u>: to discuss and validate the conclusions of the above-mentioned survey and the consultation of stakeholders	<u>Organiser</u>: Belgium/Flemish Community and Luxembourg <u>Participants</u>: all countries and organisations participating in the Bologna Process	<u>Date</u>: 19-20 May 2008 <u>Place</u>: Ghent (Belgium)
Series of seminars organised by consultative members		
<u>Purpose</u>: to identify future challenges for the EHEA; to develop a common vision on the role of higher education beyond 2010.		
Electronic consultation		
<u>Purpose</u>: to discuss and validate the conclusions of the above-mentioned seminars	<u>Organiser</u>: Bologna Secretariat <u>Participants</u>: all countries and organisations participating in the Bologna Process	<u>Timing</u>: Results to be ready by 15 January 2009
BFUG discussions		
	<u>Chair</u>: Respective Presidency <u>Participants</u>: all BFUG members	<u>Timing</u>: “Beyond 2010” will be a regular item on the BFUG agenda. To allow for the necessary in-depth discussions, an extra BFUG meeting will be held on 24-25 June 2008 in Sarajevo.
Evaluation report / independent assessment		
Discussion on the terms of reference	<u>Chair</u>: Slovenian Presidency <u>Participants</u>: all BFUG members	<u>Timing</u>: BFUG meeting March 2008
Steering of independent assessment by BFUG	<u>Chair</u>: subsequent Presidencies <u>Participants</u>: all BFUG members	<u>Timing</u>: 2008-2010

ANNEX 1: BFUG and Board meetings planned for the period 2007-2009

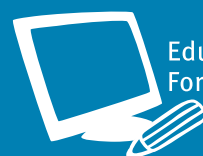
2007 - Portuguese Presidency		
Board meeting	<u>Place</u> : Lisbon	<u>Date</u> : 30-31 August 2007
BFUG meeting	<u>Place</u> : Lisbon	<u>Date</u> : 2-3 October 2007
2008 - Slovenian Presidency		
Board meeting	<u>Place</u> : Ljubljana	<u>Date</u> : 16 January 2008
BFUG meeting	<u>Place</u> : Brdo conference centre	<u>Date</u> : 13-14 March 2008
Board meeting	<u>Place</u> : Bled	<u>Date</u> : 9 June 2008
Extra BFUG meeting on Bologna Beyond 2010	<u>Place</u> : Sarajevo	<u>Date</u> : 24-25 June 2008
2008 - French Presidency		
BFUG meeting	<u>Place</u> : Paris	<u>Date</u> : 14-15 October 2008
2009 - Czech Presidency		
Board meeting	<u>Place</u> : Prague	<u>Date</u> : 13 January 2009
BFUG meeting	<u>Place</u> : Prague	<u>Date</u> : 12-13 February 2009
BFUG meeting	<u>Place</u> : Prague	<u>Date</u> : 26-27 March 2009
BFUG meeting	<u>Place</u> : Leuven	<u>Date</u> : 27 April 2009



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El Marco Europeo de Cualificaciones para el aprendizaje permanente (EQF-MEC)



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IMPRESO EN PAPEL BLANQUEADO SIN CLORO

EL MARCO EUROPEO DE CUALIFICACIONES PARA EL APRENDIZAJE PERMANENTE (EQF-MEC)



COMISIÓN EUROPEA
Educación y Cultura

Aprendizaje permanente: Políticas de educación y formación
Coordinación de las políticas de aprendizaje permanente



El Marco Europeo de Cualificaciones para el aprendizaje permanente (EQF-MEC)

El EQF es un marco común de referencia que relaciona entre sí los sistemas de cualificaciones de los países y sirve de EQF anismo de conversión para mejorar la interpretación y comprensión de las cualificaciones de diferentes países y sistemas de Europa. Sus dos objetivos principales son: fomentar la movilidad de los ciudadanos entre diversos países y facilitarles el acceso al aprendizaje permanente.

La Recomendación entró en vigor oficialmente en abril de 2008. Establece el año 2010 como fecha límite recomendada para que los países realicen las correspondencias entre sus sistemas nacionales de cualificaciones y el EQF, y 2012 para que los certificados individuales de cualificación contengan una referencia al nivel correspondiente del EQF.

El EQF vinculará los diferentes sistemas y marcos nacionales de cualificaciones mediante una referencia europea común: sus ocho niveles de referencia. Los niveles abarcan toda la gama de cualificaciones, desde el nivel básico (nivel 1, como los certificados de educación escolar) hasta los más avanzados (nivel 8, por ejemplo, el doctorado). Dado que se trata de una herramienta para fomentar el aprendizaje permanente, el EQF tiene en cuenta todos los niveles de cualificación de la enseñanza

general, la formación profesional, la educación académica y otros tipos de formación. Además, el marco abarca asimismo las cualificaciones obtenidas en la educación inicial y la formación continua y.

Los ocho niveles de referencia se describen en términos de resultados de aprendizaje. El EQF reconoce que los sistemas de educación y formación europeos son tan diversos que sólo los resultados de aprendizaje permiten realizar comparaciones y posibilitan la cooperación entre países e instituciones.

En el EQF, los resultados de aprendizaje son expresiones de lo que una persona en proceso de aprendizaje sabe, comprende y es capaz de hacer al culminar un proceso de aprendizaje. En consecuencia, el EQF se centra en los resultados de aprendizaje y no en datos básicos como la duración del estudio. Los resultados de aprendizaje se dividen en tres categorías: conocimientos, destrezas y competencia. Esto refleja el hecho de que las cualificaciones, en diferentes combinaciones, abarcan un amplio abanico de resultados de aprendizaje, incluidos los conocimientos teóricos, destrezas prácticas y técnicas, y competencias sociales, entre las cuales destaca el trabajo en equipo.

Contexto del desarrollo del EQF: ¿cómo surgió el EQF?

El desarrollo del Marco Europeo de Cualificaciones comenzó en 2004 como respuesta a las solicitudes de los Estados miembros, los interlocutores sociales y otras partes interesadas, que pedían una referencia común para incrementar la transparencia de las cualificaciones.

La Comisión, con el apoyo del Grupo de expertos sobre el EQF, realizó el diseño de un modelo en el que se proponía un marco de ocho niveles basado en resultados de aprendizaje que mejorase la transparencia y la transferibilidad de las cualificaciones, además de fomentar el aprendizaje permanente. La Comisión lanzó una consulta en toda Europa sobre dicho plan durante la segunda mitad de 2005.

Las respuestas a la consulta reflejaron que las diferentes partes interesadas en Europa respaldaban la propuesta de la Comisión aunque pedían, no obstante, algunas aclaraciones y cierta simplificación. En consecuencia, la Comisión modificó la propuesta en función de los comentarios de los expertos de los 32 países participantes y de los interlocutores sociales europeos. A continuación, la Comisión adoptó el texto revisado en forma de propuesta el 6 de septiembre de 2006. Durante el año 2007, el Parlamento Europeo y el Consejo negociaron con éxito la propuesta y, en febrero de 2008, se adoptó oficialmente el EQF.

¿Qué ventajas tiene el EQF para Europa?

La Recomendación establecerá una referencia europea común que pondrá en relación los diferentes sistemas nacionales de cualificaciones para permitir una mayor comunicación entre ellos. De este modo, se creará una red de sistemas de cualificaciones independientes, pero relacionados entre sí y con una lógica común.

Al utilizar los resultados de aprendizaje como punto de referencia común, el Marco facilitará la comparación y transferencia de cualificaciones entre países, sistemas e instituciones; por tanto, beneficiará a un amplio grupo de usuarios, tanto a escala europea como nacional.

La mayoría de los países europeos han optado por desarrollar Marcos Nacionales de Cualificaciones (NQF en sus siglas en inglés) que reflejen y se orienten hacia el EQF, importantes para garantizar que el proceso de cooperación a escala europea quede firmemente arraigado a escala nacional. El rápido desarrollo de los NQF desde 2004 refleja la necesidad de una mayor transparencia y comparabilidad de las cualificaciones a todos los niveles y pone de manifiesto el consenso respecto a los principios en que se basa el EQF.

Un mayor vínculo entre los diferentes sistemas de cualificaciones de los países beneficiará a un gran número de personas:

- El MECEQF fomentará una mayor movilidad para las personas en proceso de aprendizaje y los trabajadores. Ayudará a las personas en proceso de aprendizaje a describir su nivel general de competencia a los recursos humanos en otros países. Las empresas podrán interpretar más fácilmente las cualificaciones de los candidatos y fomentar así la movilidad en el mercado de trabajo en Europa. Desde un punto de vista más práctico, a partir de 2012 todas las nuevas cualificaciones deberían contener una referencia al nivel correspondiente del EQF. Por tanto, el EQF complementará y reforzará los instrumentos de movilidad europea ya existentes, como Europass, Erasmus y ECTS.
- El EQF debería beneficiar a los ciudadanos mejorando el acceso y participación en el aprendizaje permanente.

Al establecer un punto de referencia común, el EQF mostrará cómo se pueden combinar los resultados de aprendizaje en función de diferentes contextos, como el trabajo o los estudios formales, y de diferentes países. De este modo, contribuirá a reducir la distancia entre los servicios de educación y formación (p. ej. entre la educación superior y la educación y formación profesional, que pueden funcionar independientemente). Esto fomentará el avance, por ejemplo permitiendo que las personas en proceso de aprendizaje no tengan que repetir determinados estudios.

- El EQF puede beneficiar a personas que posean una amplia experiencia por su trabajo o en otros campos de actividad al facilitar el reconocimiento del aprendizaje no formal e informal. Dado que se centra en los resultados de aprendizaje, permitirá evaluar más fácilmente si los resultados de aprendizaje obtenidos en tales contextos son equivalentes en contenido y relevancia a las cualificaciones formales.
- El MECEQF beneficiará tanto a los usuarios individuales como a los centros de educación y formación al incrementar la transparencia de las cualificaciones externas a los sistemas nacionales, como por ejemplo las concedidas por los sectores y las empresas multinacionales. La adopción de un marco de referencia común basado en resultados de aprendizaje facilitará la comparación y la (posible) relación entre las cualificaciones tradicionales otorgadas por las autoridades nacionales y las cualificaciones concedidas por otras partes interesadas. En consecuencia, el EQF ayudará a los sectores y a las personas individuales a beneficiarse de la creciente internacionalización de las cualificaciones.

El EQF es un instrumento ambicioso y de gran alcance que tendrá repercusiones en los sistemas de educación y formación, en el mercado laboral, en la industria, en el comercio y en los ciudadanos.

Más información en:

http://ec.europa.eu/dgs/education_culture/index_es.html

RECOMENDACIÓN DEL PARLAMENTO EUROPEO Y DEL CONSEJO

del 23 de abril de 2008

relativa a la creación del Marco Europeo de Cualificaciones para el aprendizaje permanente

EL PARLAMENTO EUROPEO Y EL CONSEJO DE LA UNIÓN EUROPEA,

Visto el Tratado constitutivo de la Comunidad Europea, y en particular su artículo 149, apartado 4, y su artículo 150, apartado 4,

Vista la propuesta de la Comisión,

Visto el dictamen del Comité Económico y Social Europeo¹,

Visto el dictamen del Comité de las Regiones²,

De conformidad con el procedimiento establecido en el artículo 251 del Tratado³,

¹ DO C 175 de 27.7.2007, p. 74.

² DO C 146 de 30.6.2007, p. 77.

³ Dictamen del Parlamento Europeo de 24 de octubre de 2007 (no publicado aún en el Diario Oficial) y Decisión del Consejo de 14 de febrero de 2008.

Considerando lo siguiente:

- (1) El desarrollo y el reconocimiento de los conocimientos, las destrezas y la competencia de los ciudadanos son esenciales para el desarrollo individual, la competitividad, el empleo, y la cohesión social de la Comunidad. Este desarrollo y reconocimiento deben facilitar la movilidad transnacional de los trabajadores y las personas en proceso de aprendizaje y contribuir a cubrir las necesidades de oferta y demanda en el mercado europeo de trabajo. Por consiguiente, conviene promover y mejorar el acceso de todos, incluidas las personas desfavorecidas, al aprendizaje permanente y la participación en el mismo, así como el reconocimiento y el uso de las cualificaciones a nivel nacional y comunitario.
- (2) En 2000, el Consejo Europeo de Lisboa llegó a la conclusión de que la mejora de la transparencia de las cualificaciones debería ser una de las principales medidas necesarias para adaptar los sistemas de educación y formación de la Comunidad a las exigencias de la sociedad del conocimiento. Además, el Consejo Europeo de Barcelona de 2002 pidió una cooperación más estrecha en el sector universitario y la mejora de la transparencia y de los métodos de reconocimiento en el campo de la educación y la formación profesionales.
- (3) La Resolución del Consejo, de 27 de junio de 2002, sobre la educación permanente⁴, instó a la Comisión a desarrollar, en estrecha cooperación con el Consejo y los Estados miembros, un marco para el reconocimiento de las cualificaciones tanto para la educación como para la formación, basándose en las realizaciones del proceso de Bolonia y fomentando una actuación similar en el ámbito de la formación profesional.
- (4) Los informes conjuntos del Consejo y de la Comisión sobre la ejecución del programa de trabajo "Educación y formación 2010", adoptados en 2004 y 2006, subrayaron la necesidad de desarrollar un Marco Europeo de Cualificaciones.
- (5) En el marco del proceso de Copenhague, las conclusiones del Consejo y de los Representantes de los Gobiernos de los Estados miembros reunidos en el seno del Consejo, de 15 de noviembre de 2004, sobre las futuras prioridades de una cooperación reforzada europea en materia de educación y formación profesionales, dieron prioridad al desarrollo de un Marco Europeo de Cualificaciones abierto y flexible, basado en la transparencia y en la confianza mutua, que sirva de referencia común y abarque tanto la educación como la formación.
- (6) La validación de los resultados del aprendizaje no formal e informal debe promoverse de conformidad con las conclusiones del Consejo sobre los principios europeos comunes de determinación y convalidación de la educación no formal e informal adoptadas el 28 de mayo de 2004.
- (7) Los Consejos Europeos de Bruselas de marzo de 2005 y marzo de 2006 insistieron en la necesidad de adoptar un Marco Europeo de Cualificaciones.
- (8) La presente Recomendación tiene en cuenta la Decisión nº 2241/2004/CE del Parlamento Europeo y del Consejo, de 15 de diciembre de 2004, relativa a un marco comunitario único para la transparencia de las cualificaciones y competencias (Europass)⁵ la Recomendación 2006/962/CE del Parlamento Europeo y del Consejo, de 18 de diciembre de 2006, sobre las competencias clave para el aprendizaje permanente⁶.
- (9) La presente Recomendación es compatible con el marco previsto para el Espacio Europeo de Educación Superior y con los descriptores de ciclo acordados por los ministros responsables de la educación superior en 45 países europeos en su reunión de Bergen celebrada los días 19 y 20 de mayo de 2005 en el marco del proceso de Bolonia.
- (10) Las conclusiones del Consejo sobre la garantía de calidad en materia de educación y formación

4 DO C 163 de 9.7.2002, p. 1.

5 DO L 390 de 31.12.2004, p. 6.
6 DO L 394 de 30.12.2006, p. 10.

profesionales de 23 y 24 de mayo de 2004, la Recomendación 2006/143/CE del Parlamento Europeo y del Consejo, de 15 de febrero de 2006, sobre una mayor cooperación europea en la garantía de la calidad de la enseñanza superior⁷, y las normas y directrices para la garantía de calidad en el Espacio Europeo de Educación Superior, acordadas por los ministros responsables de la educación superior en su reunión de Bergen, contienen principios comunes relativos a la garantía de calidad que deben servir de apoyo a la aplicación del Marco Europeo de Cualificaciones.

- (11) La presente Recomendación se entiende sin perjuicio de la Directiva 2005/36/CE del Parlamento Europeo y del Consejo, de 7 de septiembre de 2005, relativa al reconocimiento de cualificaciones profesionales, que confiere derechos e impone obligaciones tanto a las autoridades nacionales como a los migrantes. Para las cualificaciones profesionales⁸ reconocidas de conformidad con la Directiva 2005/36/CE, las referencias a los niveles de cualificaciones previstos en el Marco Europeo de Cualificaciones no deben afectar al acceso al mercado de trabajo.
- (12) El objetivo de la presente Recomendación es crear un marco común de referencia que sirva de mecanismo de conversión para los diferentes sistemas y niveles de cualificación, tanto para la educación general y superior como para la educación y formación profesionales. De esta forma mejorarán la transparencia, la comparabilidad y la transferibilidad de las cualificaciones de los ciudadanos expedidas con arreglo a las prácticas de los diversos Estados miembros. En principio, debe poder obtenerse cada nivel de cualificación a través de una serie de vías educativas o carreras. Por lo demás, el Marco Europeo de Cualificaciones debe permitir a las organizaciones sectoriales internacionales establecer correspondencias entre sus sistemas de cualificaciones y un punto de referencia europeo común, mostrando así la relación

entre las cualificaciones internacionales sectoriales y los sistemas nacionales de cualificaciones. La presente Recomendación debe, pues, contribuir a la consecución de objetivos más amplios tales como la promoción del aprendizaje permanente y la mejora de la capacidad de empleo, la movilidad y la integración social de los trabajadores y las personas en proceso de aprendizaje. El establecimiento de unos principios transparentes de garantía de la calidad y el intercambio de información deben servir de apoyo a su aplicación al contribuir a instaurar la confianza mutua.

- (13) La presente Recomendación debe contribuir a la modernización de los sistemas de educación y formación, a la interrelación entre la educación, la formación y el empleo, así como a tender puentes entre el aprendizaje formal, no formal e informal, lo que conducirá asimismo a la validación de los resultados del aprendizaje adquirido mediante la experiencia.
- (14) La presente Recomendación no reemplaza ni define sistemas de cualificaciones ni cualificaciones nacionales. El Marco Europeo de Cualificaciones no describe cualificaciones específicas ni competencias individuales. Cada cualificación debe estar referenciada en el nivel del Marco Europeo de Cualificaciones que le corresponda a través de los sistemas nacionales de cualificaciones pertinentes.
- (15) Dado su carácter no vinculante, la presente Recomendación es conforme al principio de subsidiariedad al apoyar y completar las actividades de los Estados miembros, facilitando una cooperación más estrecha entre ellos a fin de reforzar la transparencia y de promover la movilidad y el aprendizaje permanente. Debe aplicarse de conformidad con la legislación y las prácticas nacionales.
- (16) Dado que el objetivo de la presente Recomendación, a saber, la creación de un marco común de referencia que sirva de mecanismo de conversión para los diferentes sistemas y niveles de cualificación, no puede ser alcanzado de manera suficiente por los Estados miembros y, por consiguiente, debido a la dimensión y a los efectos de la acción prevista, puede lograrse mejor a nivel comunitario, la Comunidad

⁷ DO L 64 de 4.3.2006, p. 60.
⁸ DO L 255 de 30.9.2005, p. 22. Directiva modificada por la Directiva 2006/100/CE del Consejo (DO L 363 de 20.12.2006, p. 141).

puede adoptar medidas, de acuerdo con el principio de subsidiariedad consagrado en el artículo 5 del Tratado. De conformidad con el principio de proporcionalidad enunciado en dicho artículo, la presente Recomendación no excede de lo necesario para alcanzar dicho objetivo.

RECOMIENDAN A LOS ESTADOS MIEMBROS:

1. que utilicen el Marco Europeo de Cualificaciones como instrumento de referencia para comparar los niveles de cualificación de diferentes sistemas de cualificaciones y que promuevan tanto el aprendizaje permanente como la igualdad de oportunidades en la sociedad del conocimiento, así como una mayor integración del mercado laboral europeo al tiempo que se respeta la rica diversidad de los sistemas de educación nacionales;
2. que alineen, de aquí a 2010, sus sistemas nacionales de cualificaciones al Marco Europeo de Cualificaciones, en especial vinculando de manera transparente sus niveles de cualificación con los niveles contemplados en el anexo II, y, cuando proceda, desarrollando marcos nacionales de cualificaciones conformes con la legislación y las prácticas nacionales;
3. que adopten medidas, cuando proceda, de forma que, a más tardar en 2012, todos los nuevos certificados de cualificación, diplomas y todos los documentos "Europass" expedidos por las autoridades competentes contengan una referencia clara —mediante los sistemas nacionales de cualificaciones— al nivel correspondiente del Marco Europeo de Cualificaciones;
4. que, a la hora de definir y describir las cualificaciones, apliquen un planteamiento basado en los resultados del aprendizaje, y que promuevan la validación del aprendizaje no formal e informal en consonancia con los principios europeos comunes acordados en las conclusiones del Consejo de 28 de mayo de 2004, prestando una atención particular a aquellos ciudadanos más expuestos al desempleo y a la precariedad laboral, para los que este tipo de

enfoque puede contribuir a aumentar la participación en el aprendizaje permanente y el acceso al mercado laboral;

5. que promuevan y apliquen los principios relativos a la garantía de la calidad de la educación y de la formación a que se refiere el anexo III a la hora de establecer correspondencias entre las cualificaciones de la educación superior y de la educación y la formación profesionales de los sistemas nacionales de cualificaciones y del Marco Europeo de Cualificaciones;
6. que designen puntos de coordinación nacionales vinculados a las estructuras y criterios particulares de los Estados miembros con la misión de apoyar y, en asociación con otras autoridades nacionales pertinentes, guiar las relaciones entre los sistemas nacionales de cualificaciones y el Marco Europeo de Cualificaciones, con vistas a fomentar la calidad y transparencia de esa relación.

En concreto, estos puntos de coordinación deberían:

- a) poner en relación los niveles de cualificación previstos en el sistema nacional de cualificaciones con los niveles previstos en el Marco Europeo de Cualificaciones, tal y como se describen en el anexo II;
- b) velar por que se aplique una metodología transparente para establecer correspondencias entre los niveles de cualificación nacionales y el Marco Europeo de Cualificaciones con el fin de facilitar las comparaciones entre ambos, por un lado, y velar por que se publiquen las decisiones resultantes, por otro;
- c) orientar a los interesados y facilitarles el acceso a la información sobre las correspondencias que se establezcan entre las cualificaciones nacionales y el Marco Europeo de Cualificaciones a través de los sistemas nacionales de cualificaciones;
- d) promover la participación de todos los interesados afectados, incluidos, de conformidad con la legislación y las prácticas nacionales,

las instituciones de educación superior y de educación y formación profesionales, los interlocutores sociales, los sectores y los expertos en materia de comparación y uso de cualificaciones a nivel europeo.

RESPALDAN LA INTENCIÓN DE LA COMISIÓN DE:

1. asistir a los Estados miembros en la realización de las tareas antes mencionadas, y a las organizaciones sectoriales internacionales en la utilización de los niveles de referencia y de los principios del Marco Europeo de Cualificaciones según lo establecido en la presente Recomendación, en especial facilitando la cooperación, el intercambio de buenas prácticas y la experimentación, entre otros mediante la revisión paritaria de carácter voluntario y los proyectos piloto en el marco de programas comunitarios, lanzando campañas de información y consulta de los comités de diálogo social y elaborando material de apoyo y orientación;
2. crear, a más tardar el 23 de abril de 2009, un grupo consultivo para el Marco Europeo de Cualificaciones (compuesto por representantes de los Estados miembros y en el que participarán, según proceda, los interlocutores sociales europeos y otras partes interesadas) que será responsable de garantizar la coherencia general y de promover la transparencia del proceso de correlación de los sistemas de cualificaciones y del Marco Europeo de Cualificaciones;
3. valorar y evaluar, en cooperación con los Estados miembros y previa consulta a las partes interesadas, las medidas adoptadas en respuesta a la presente Recomendación, incluido el mandato y el período de vigencia del grupo consultivo, e informar, a más tardar el 23 de abril de 2013, al Parlamento Europeo y al Consejo sobre la experiencia adquirida y las repercusiones para el futuro, incluida, en su caso, la posibilidad de reexaminar y revisar la presente Recomendación;
4. promover unos vínculos estrechos entre el Marco Europeo de Cualificaciones y los sistemas europeos existentes o futuros de transferencia y acumulación de créditos en la educación superior y en la educación y la formación profesionales, con el fin de mejorar la movilidad de los ciudadanos y facilitar el reconocimiento de los resultados del aprendizaje.

Hecho en Estrasburgo, el día 23 de abril de 2008.

Por el Parlamento Europeo

El Presidente

HANS-GERT PÖTTERING

Por el Consejo

El Presidente

JANEZ LENARČIČ

ANEXO I

Definiciones

A efectos de la presente Recomendación, se aplican las siguientes definiciones:

- a) “cualificación”: resultado formal de un proceso de evaluación y validación que se obtiene cuando un organismo competente establece que el aprendizaje de un individuo ha superado un nivel determinado;
- b) “sistema nacional de cualificaciones”: conjunto de las actividades de un Estado miembro relacionadas con el reconocimiento del aprendizaje y otros mecanismos destinados a poner en relación la educación y la formación con el mercado de trabajo y la sociedad civil; estas actividades incluyen la elaboración y la aplicación de disposiciones y procesos institucionales relativos a la garantía de la calidad, la evaluación y la concesión de cualificaciones; un sistema nacional de cualificaciones puede estar compuesto por varios subsistemas e incluir un marco nacional de cualificaciones;
- c) “marco nacional de cualificaciones”: instrumento de clasificación de las cualificaciones en función de un conjunto de criterios correspondientes a determinados niveles de aprendizaje, cuyo objeto consiste en integrar y coordinar los subsistemas nacionales de cualificaciones y en mejorar la transparencia, el acceso, la progresión y la calidad de las cualificaciones en relación con el mercado de trabajo y la sociedad civil;
- d) “sector”: conjunto de actividades profesionales agrupadas atendiendo a su función económica principal, un producto, un servicio o una tecnología;
- e) “organización sectorial internacional”: asociación de organizaciones nacionales, incluidos, por ejemplo, empleadores y organizaciones profesionales, que representa los intereses de los sectores nacionales;
- f) “resultados del aprendizaje”: expresión de lo que una persona sabe, comprende y es capaz de hacer al culminar un proceso de aprendizaje; se define en términos de conocimientos, destrezas y competencia;
- g) “conocimiento”: resultado de la asimilación de información gracias al aprendizaje; acervo de hechos, principios, teorías y prácticas relacionados con un campo de trabajo o estudio concreto; en el Marco Europeo de Cualificaciones, los conocimientos se describen como teóricos o fácticos;
- h) “destreza”: habilidad para aplicar conocimientos y utilizar técnicas a fin de completar tareas y resolver problemas; en el Marco Europeo de Cualificaciones, las destrezas se describen como cognitivas (fundadas en el uso del pensamiento lógico, intuitivo y creativo) y prácticas (fundadas en la destreza manual y en el uso de métodos, materiales, herramientas e instrumentos);
- i) “competencia”: demostrada capacidad para utilizar conocimientos, destrezas y habilidades personales, sociales y metodológicas, en situaciones de trabajo o estudio y en el desarrollo profesional y personal; en el Marco Europeo de Cualificaciones, la competencia se describe en términos de responsabilidad y autonomía.

ANEXO II

Descriptorios para definir los niveles del Marco Europeo de Cualificaciones (MEC)

Cada uno de los ocho niveles se define mediante un conjunto de descriptorios que indican los resultados del aprendizaje pertinentes para una cualificación de ese nivel sea cual sea el sistema de cualificaciones.

		Conocimientos
		En el MEC, los conocimientos se describen como teóricos y/o fácticos.
Nivel 1	Resultados del aprendizaje correspondientes al nivel 1:	conocimientos generales básicos
Nivel 2	Resultados del aprendizaje correspondientes al nivel 2:	conocimientos fácticos básicos en un campo de trabajo o estudio concreto
Nivel 3	Resultados del aprendizaje correspondientes al nivel 3:	conocimiento de hechos, principios, procesos y conceptos generales en un campo del trabajo o estudio concreto
Nivel 4	Resultados del aprendizaje correspondientes al nivel 4:	conocimientos fácticos y teóricos en contextos amplios en un campo de trabajo o estudio concreto
Nivel 5*	Resultados del aprendizaje correspondientes al nivel 5:	amplios conocimientos especializados, fácticos y teóricos, en un campo de trabajo o estudio concreto, siendo consciente de los límites de esos conocimientos
Nivel 6**	Resultados del aprendizaje correspondientes al nivel 6:	conocimientos avanzados en un campo de trabajo o estudio que requiera una comprensión crítica de teorías y principios
Nivel 7***	Resultados del aprendizaje correspondientes al nivel 7:	- conocimientos altamente especializados, algunos de ellos a la vanguardia en un campo de trabajo o estudio concreto, que sienten las bases de un pensamiento o investigación originales - conciencia crítica de cuestiones de conocimiento en un campo concreto y en el punto de articulación entre diversos campos
Nivel 8****	Resultados del aprendizaje correspondientes al nivel 8:	conocimientos en la frontera más avanzada de un campo de trabajo o estudio concreto y en el punto de articulación entre diversos campos

Destrezas	Competencia
En el MEC, las destrezas se describen como cognitivas (uso del pensamiento lógico, intuitivo y creativo) y prácticas (fundadas en la destreza manual y en el uso de métodos, materiales, herramientas e instrumentos).	En el MEC, la competencia se describe en términos de responsabilidad y autonomía.
• destrezas básicas necesarias para efectuar tareas simples	• trabajo o estudio bajo supervisión directa en un contexto estructurado
• destrezas cognitivas y prácticas básicas necesarias para utilizar información útil a fin de efectuar tareas y resolver problemas corrientes con la ayuda de reglas y herramientas simples	• trabajo o estudio bajo supervisión con un cierto grado de autonomía
• gama de destrezas cognitivas y prácticas necesarias para efectuar tareas y resolver problemas seleccionando y aplicando métodos, herramientas, materiales e información básica	• asunción de responsabilidades en lo que respecta a la realización de tareas en actividades de trabajo o estudio • adaptación del comportamiento propio a las circunstancias para resolver problemas
• gama de destrezas cognitivas y prácticas necesarias para encontrar soluciones a problemas específicos en un campo de trabajo o estudio concreto	• ejercicio de autogestión conforme a consignas definidas en contextos de trabajo o estudio generalmente previsibles, pero susceptibles de cambiar • supervisión del trabajo rutinario de otras personas, asumiendo ciertas responsabilidades por lo que respecta a la evaluación y la mejora de actividades de trabajo o estudio
• gama completa de destrezas cognitivas y prácticas necesarias para encontrar soluciones creativas a problemas abstractos	• labores de gestión y supervisión en contextos de actividades de trabajo o estudio en las que pueden producirse cambios imprevisibles • revisión y desarrollo del rendimiento propio y ajeno
• destrezas avanzadas que acrediten el dominio y las dotes de innovación necesarias para resolver problemas complejos e imprevisibles en un campo especializado de trabajo o estudio	• gestión de actividades o proyectos técnicos o profesionales complejos, asumiendo responsabilidades por la toma de decisiones en contextos de trabajo o estudio imprevisibles • asunción de responsabilidades en lo que respecta a la gestión del desarrollo profesional de particulares y grupos
• destrezas especializadas para resolver problemas en materia de investigación o innovación, con vistas al desarrollo de nuevos conocimientos y procedimientos, y a la integración de los conocimientos en diversos campos	• gestión y transformación de contextos de trabajo o estudio complejos, imprevisibles y que requieren nuevos planteamientos estratégicos • asunción de responsabilidades en lo que respecta al desarrollo de conocimientos y/o prácticas profesionales y a la revisión del rendimiento estratégico de equipos
• destrezas y técnicas más avanzadas y especializadas, en particular en materia de síntesis y evaluación, necesarias para resolver problemas críticos en la investigación y/o la innovación y para ampliar y redefinir conocimientos o prácticas profesionales existentes	• autoridad, innovación, autonomía, integridad académica y profesional y compromiso continuo sustanciales y acreditados respecto al desarrollo de nuevas ideas o procesos en la vanguardia de contextos de trabajo o estudio, incluida la investigación.

Compatibilidad con el marco de cualificaciones del Espacio Europeo de Educación Superior

El marco de cualificaciones del Espacio Europeo de Educación Superior prevé descriptores para los ciclos de enseñanza. Cada descriptor de ciclo ofrece una declaración genérica de las expectativas en materia de realizaciones y habilidades habitualmente asociadas con las cualificaciones que representan el fin de ese ciclo.

- * El descriptor para el ciclo corto de la educación superior (dentro del primer ciclo o vinculado a él), elaborado en el contexto de la iniciativa conjunta a favor de la calidad en el marco del proceso de Bolonia, corresponde a los resultados del aprendizaje del nivel 5 del MEC.
- ** El descriptor para el primer ciclo del marco de cualificaciones del Espacio Europeo de Educación Superior acordado por los ministros responsables de la educación superior en la reunión celebrada en Bergen en mayo de 2005 en el marco general del proceso de Bolonia corresponde a los resultados del aprendizaje del nivel 6 del MEC.
- *** El descriptor para el segundo ciclo del marco de cualificaciones del Espacio Europeo de Educación Superior acordado por los ministros responsables de la educación superior en la reunión celebrada en Bergen en mayo de 2005 en el marco general del proceso de Bolonia corresponde a los resultados del aprendizaje del nivel 7 del MEC.
- **** El descriptor para el tercer ciclo del marco de cualificaciones del Espacio Europeo de Educación Superior acordado por los ministros responsables de la educación superior en la reunión celebrada en Bergen en mayo de 2005 en el marco general del proceso de Bolonia corresponde a los resultados del aprendizaje del nivel 8 del MEC.

Principios comunes relativos a la garantía de la calidad en la educación superior y en la educación y formación profesionales en el contexto del Marco Europeo de Cualificaciones

En el contexto de la aplicación del Marco Europeo de Cualificaciones, la garantía de la calidad necesaria para asegurar la asunción de responsabilidades y la mejora de la educación superior y de la educación y formación profesionales debería sustentarse en los siguientes principios:

- Todos los niveles del Marco Europeo de Cualificaciones deberían sustentarse en políticas y procedimientos relativos a la garantía de la calidad.
- La garantía de la calidad debería ser parte integrante de la gestión interna de las instituciones de educación y formación.
- La garantía de la calidad debería incluir una evaluación periódica de las instituciones, sus programas o sus sistemas de garantía de la calidad a cargo de órganos o agencias de supervisión externos.
- Los órganos o agencias de supervisión externos responsables de la garantía de la calidad deberían ser objeto de controles regulares.
- La garantía de la calidad debería abarcar los contextos, insumos, procesos y producciones, haciendo hincapié en los productos y resultados.
- Los sistemas de garantía de la calidad deberían incluir los siguientes elementos
 - objetivos y normas claros y mensurables;
 - directrices de aplicación que prevean, en particular, la participación de la partes interesadas;
 - recursos apropiados;
 - métodos de evaluación coherentes que conjuguen la autoevaluación y el -control externo;
 - mecanismos y procedimientos de respuesta a fines de mejora;
 - resultados de evaluación ampliamente accesibles.
- Las iniciativas relativas a la garantía de la calidad deberían coordinarse a nivel internacional, nacional y regional a fin de garantizar la supervisión, la coherencia, la sinergia y el análisis del sistema.
- La garantía de la calidad debería ser un proceso cooperativo en el que intervengan todos los niveles y sistemas de educación y formación, integrando a todas las partes interesadas en este ámbito, a nivel nacional y comunitario.
- Las orientaciones relativas a la garantía de la calidad a nivel comunitario pueden constituir puntos de referencia para las evaluaciones y el aprendizaje inter pares.

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European Higher Education in a Global Setting. A Strategy for the External Dimension of the Bologna Process.

1. Introduction

The Bologna Declaration (1999) sets out “the objective of increasing the international competitiveness of the European system of higher education” and points out the need “to ensure that the European higher education system acquires a world-wide degree of attraction”, a goal which has been further pursued in the Ministerial Meetings of Prague, Berlin and, in particular, Bergen. This has also been an important issue in a European Union context, as reflected in the European Council Conclusions of Lisbon (2000) and Barcelona (2002). In the Bergen Communiqué (2005), the Ministers described the *European Higher Education Area (EHEA) as a partner to higher education systems in other regions of the world, stimulating balanced student and staff exchange and cooperation between institutions of higher education. They also asked the Bologna Follow-up Group (BFUG) to elaborate and agree on a strategy for the External Dimension of the Bologna Process.

In many parts of the world, ‘the European reform model’ has created considerable interest. It has a strong – and growing – appeal in other parts of the world, as described in Professor Pavel Zgaga’s report on the External Dimension of the Bologna Process. In some countries, it has even been debated if ‘Bologna’ or Bologna-like reforms should be adopted in the context of domestic higher education reform processes, and whether ‘Bologna’ should be used to establish convergence at a regional (supranational) level. The Bologna Process has also stimulated a discussion between European and international partners about mutual recognition of qualifications. All this suggests that the Bologna Process is already helping to enhance the attractiveness of Europe as a destination for students and scholars from other parts of the world.

It is important for Europe to use this momentum and to respond to the global interest in its reforms by formulating and agreeing on a strategy for the External Dimension of the Bologna Process. This reconfirms the timeliness of the Ministers’ request in Bergen for the development of a Strategy for the External Dimension. The present paper is a response to that request. It proposes key elements for a Strategy which takes both competitiveness and cooperation into account, identifying **guiding principles of the Bologna Process** and **five core policy areas**. The idea is that all actors at the European, national and institutional levels need to pursue the strategy together. These policy areas (Improving Information on the EHEA; Promoting European Higher Education to enhance its world-wide attractiveness and competitiveness; Strengthening Cooperation based on Partnership; Intensifying Policy Dialogue; and Furthering Recognition of Qualifications) are described in Section 3 of this document.

As a prerequisite for being an attractive partner world-wide, the European reform process needs to continue a coherent implementation of the Bologna Process. The Internal and External Dimensions are interlinked. The strength of the Bologna Process rests on the voluntary cooperation of 45 countries to create a European Higher Education Area by converging important structural features of their national systems of higher education. For the External Dimension Strategy of the Bologna Process to succeed, and to enhance Europe's attractiveness and competitiveness, it is of the utmost importance that all the objectives and instruments of the EHEA, e.g. the new degree structure and the development of qualifications frameworks, quality assurance, ECTS or the Diploma Supplement, be implemented across all Bologna countries in a coherent and compatible way.

As the term "External Dimension" has been deemed confusing, the title has been changed to a "Strategy for the European Higher Education Area in a Global Setting", and is referred to simply as 'the Strategy'.

2. Guiding principles

As an integral part of the Bologna Process, the Strategy for the European Higher Education Area in a Global Setting shares its key principles, and broader political and cultural context. As for other aspects of the Bologna Process, this strategy relies on a balanced mix of institutional, national and European policies within a common overall framework. This *acquis* should be observed in the implementation of the Strategy. It is enshrined in the following guiding principles.

2.1 European heritage and values

The Bologna Process includes the goal of sustainable innovation for European higher education and contributes to responding to the developmental challenges of the societies in which we live. Innovation and renewal can, however, only be successful if they build on an awareness of traditions and values. Like the European Higher Education Area as a whole, also in its global setting it should build on Europe's heritage, values and achievements, while adapting to changing circumstances across the world.

The Strategy for the European Higher Education Area in a Global Setting reconfirms the centrality of the principles of institutional autonomy and academic freedom. It endorses the principle that, in all matters related to higher education, academic values should prevail. It is built on a firm belief in democracy, human rights and the rule of law. It is based on the ideas of cultural and religious dialogue and tolerance.

2.2 Stakeholder participation

One of the success factors of the Bologna Process so far has been the close cooperation demonstrated by all higher education stakeholders in an atmosphere of trust. One of the greatest strengths of the Bologna Process is that governments have joined forces with institutions of higher education and their national and European associations, as well as with students and staff and international organizations and institutions. A successful

Strategy must rely on the same model and is therefore contingent on full commitment on the part of all stakeholders.

3. Geographical scope

The Strategy does not exclude any region or country of the world. Meanwhile, individual European countries have strong links with specific regions or countries outside Europe, and they may want to develop those links further. The diversity of the international cooperation activities of individual nations and institutions of higher education across the world should be perceived as strength and an asset for the EHEA, rather than as a disadvantage.

Core policy areas

The Strategy for the European Higher Education Area in a Global Setting encompasses the following five core policy areas:

1. Improving Information on the EHEA;
2. Promoting European Higher Education to enhance its world-wide attractiveness and competitiveness;
3. Strengthening Cooperation based on partnership;
4. Intensifying policy dialogue;
5. Furthering recognition of qualifications.

These five core policy areas provide a common strategic framework to which all stakeholders in the Bologna Process can make their full contribution. Every country in the European Higher Education Area should endorse these policy goals and decide on appropriate measures for their implementation, in the light of national priorities. Therefore, the emphases which a specific country will set might justifiably differ from those of the next. And, evidently, not all measures and initiatives may be suitable and appropriate to implement for all partner countries and regions.

3.1 Improving Information on the EHEA

The Bologna Process has a high degree of visibility outside the EHEA. However, this does not mean that all relevant stakeholders outside of Europe know enough about the key elements of the Bologna Process. In many cases, there are even important misperceptions ('Bologna myths'), which need to be rectified. It is therefore necessary to monitor the global perception and assessment of the Bologna Process and to provide correct information about the EHEA.

3.2 Promoting European Higher Education to enhance its world-wide attractiveness and competitiveness

To increase the attractiveness and competitiveness of the EHEA, providing information on the Bologna Process will not in itself be sufficient. Europe must also make concerted efforts to increase its international attractiveness to students, teachers and researchers

across the world. To this end, all Bologna countries should designate an organization as having the prime responsibility for coordinating efforts for the international promotion of their higher education systems and institutions.

The goal of a European Higher Education Area in which students, staff and holders of qualifications are able to move freely cannot be reached through measures of higher education policy alone. This important goal equally depends on facilitating the granting of visas and on facilitating social security coverage, as well as on the granting of work permits for staff. While these measures are outside the competence of Ministers responsible for higher education, they are within the competence of the governments of the Bologna countries. All Bologna countries commit themselves to work within their respective governments for decisive progress in this area by 2010.

3.3 Strengthening Cooperation based on partnership

Apart from the above information and promotion activities intended to showcase and strengthen Europe's attractiveness, there is a need for enhanced higher education cooperation with non-EHEA countries in a spirit of partnership and solidarity, aiming at mutual benefit on all levels and covering the full range of higher education programmes, including lifelong learning. This need for cooperation and partnership extends to all regions of the world, covering highly developed, emerging and developing countries alike. However, cooperation with institutions of higher education in developing countries has been and must remain an especially important task of the EHEA countries in order to build capacity in higher education, which is a crucial condition for socio-economic development. Individual EHEA countries are already deeply committed to and engaged in this task. European institutions of higher education should also contribute to their national development strategies, for example, in the context of the Millennium Development Goals. All players should join forces to provide the requisite framework conditions, including balanced exchanges or capacity-building measures to counter-act brain drain.

3.4 Intensifying Policy Dialogue

It would be useful to systematize and broaden the policy dialogue already initiated with non-EHEA country governments and stakeholders regarding the introduction of higher education reform and innovation in order to exchange new ideas and share good practice. The participation of non-EHEA country stakeholders in Bologna seminars is one approach in this respect. Joint conferences and seminars on issues of mutual interest and in different languages are another possibility.

Wherever possible, the policy dialogue should be based on already existing and well-functioning fora. Policies should be tailor-made for each region and take due account of relevant European Union policy.

3.5 Furthering recognition of qualifications

The recognition of qualifications is a key element in facilitating mobility to, from and within the EHEA. Developing policies and practice furthering the fair recognition of qualifications

is therefore a key element of the Strategy for the European Higher Education Area in a Global Setting.

Within the EHEA, the recognition of qualifications is based on the Council of Europe/UNESCO Recognition Convention (1997) and its four subsidiary texts. This legal framework is implemented through policy and practice developed at national level including, from 2007 onwards, national action plans in the Bologna Process and in particular for the ENIC and NARIC Networks, coordinated jointly by the Council of Europe, the European Commission and UNESCO-CEPES. In particular, insofar as the recognition of qualifications for the purpose of further study is concerned, institutions of higher education bear a prime responsibility.

Two important features of the current policy developments are, first, a shift of emphasis from the procedures and formalities of higher education to learning outcomes and, second, the developing of a better common understanding of the concept of 'substantial differences', i.e. differences between qualifications that may lead to partial recognition and non-recognition. The recognition of prior learning should also be given increased priority.

4. Conclusion

The success of the Strategy for the European Higher Education Area in a Global Setting is contingent on full commitment on the part of all stakeholders.

Institutions of higher education bear a major responsibility for the implementation and further development of the Strategy. The involvement of students and academic and administrative staff is of crucial importance to this process. Governments have the responsibility to provide the framework conditions as appropriate.

In a document entitled "Elements for possible future actions" possible measures for each of the five core policy areas have been listed. Most of the proposed actions are already undertaken to a certain extent by some of the Bologna stakeholders. For each measure, Bologna stakeholders should - depending on their own priorities - decide if and how they will implement it - individually or jointly with other partners in the process.

CONCLUSÕES DA PRESIDÊNCIA CONSELHO EUROPEU DE LISBOA 23 – 24 DE MARÇO DE 2000

O Conselho Europeu realizou uma reunião extraordinária em 23-24 de Março de 2000, em Lisboa, a fim de acordar num novo objectivo estratégico para a União tendo em vista reforçar o emprego, a reforma económica e a coesão social no âmbito de uma economia baseada no conhecimento. No início dos trabalhos foi efectuada uma troca de opiniões com a Presidente do Parlamento Europeu, Nicole Fontaine, sobre os principais tópicos em debate.

I. EMPREGO, REFORMA ECONÓMICA E COESÃO SOCIAL

UM OBJECTIVO ESTRATÉGICO PARA A PRÓXIMA DÉCADA

O novo desafio

1. A União Europeia está confrontada com uma enorme mutação resultante da globalização e dos desafios de uma nova economia baseada no conhecimento. Estas mudanças, que estão a afectar todos os aspectos da vida das pessoas, requerem uma transformação radical da economia europeia. A União terá de as moldar de uma forma consentânea com os seus valores e modelos de sociedade e igualmente com vista ao próximo alargamento.
2. Atendendo ao ritmo cada vez mais rápido destas mudanças, é urgente que a União actue desde já para aproveitar plenamente as vantagens e oportunidades que se lhe apresentam. Daí a necessidade de a União definir um objectivo estratégico claro e aprovar um programa estimulante para criar infra-estruturas de conhecimento, fomentar a inovação e a reforma económica e modernizar os sistemas de previdência social e de ensino.

As forças e as fraquezas da União

3. Abrem-se neste momento à União as melhores perspectivas macroeconómicas desde há uma geração. Em resultado de uma política monetária orientada para a estabilidade e apoiada por políticas orçamentais sólidas num contexto de moderação salarial, a inflação e as taxas de juros estão baixas, os défices do sector público foram consideravelmente reduzidos e a balança de pagamentos da UE encontra-se numa situação sólida. A introdução do euro foi coroada de êxito e está a trazer os benefícios esperados para a economia europeia. O mercado interno já se encontra amplamente realizado e está a produzir benefícios palpáveis tanto para os consumidores como para as empresas. O futuro alargamento criará novas oportunidades para o crescimento e o emprego. A União dispõe em geral de uma mão-de-obra com boa formação,

bem como de sistemas de protecção social capazes de proporcionar, para além do seu valor intrínseco, o enquadramento estável necessário para gerir as transformações estruturais inerentes à evolução no sentido de uma sociedade baseada no conhecimento. Verificou-se uma retoma do crescimento e da criação de emprego.

4. Estes pontos fortes da União não deverão desviar a nossa atenção de alguns aspectos negativos. Encontram-se ainda no desemprego mais de 15 milhões de europeus. A taxa de emprego é demasiado baixa e caracteriza-se por uma insuficiente participação das mulheres e dos trabalhadores mais idosos no mercado de trabalho. O desemprego estrutural de longa duração e os acentuados desequilíbrios regionais do desemprego continuam ainda a ser um fenómeno endémico nalgumas regiões da União. O sector dos serviços encontra-se subdesenvolvido, particularmente nos domínios das telecomunicações e da Internet. É cada vez mais acentuada a inadequação das qualificações, em especial na tecnologia da informação, em que existe um crescente número de postos de trabalho por preencher. Com a actual melhoria da situação económica, chegou o momento adequado para empreender reformas tanto económicas como sociais, como parte de uma estratégia positiva que combina a competitividade com a coesão social.

O caminho a seguir

5. A União atribuiu-se hoje ***um novo objectivo estratégico*** para a próxima década: *tornar-se no espaço económico mais dinâmico e competitivo do mundo baseado no conhecimento e capaz de garantir um crescimento económico sustentável, com mais e melhores empregos, e com maior coesão social*. A consecução deste objectivo pressupõe uma ***estratégia global*** que vise:

- preparar a transição para uma economia e uma sociedade baseadas no conhecimento, através da aplicação de melhores políticas no domínio da sociedade da informação e da I&D, bem como da aceleração do processo de reforma estrutural para fomentar a competitividade e a inovação e da conclusão do mercado interno;
- modernizar o modelo social europeu, investindo nas pessoas e combatendo a exclusão social;
- sustentar as sãs perspectivas económicas e as favoráveis previsões de crescimento, aplicando uma adequada combinação de políticas macroeconómicas.

6. Esta estratégia visa permitir à União reconquistar as condições do pleno emprego e reforçar a coesão regional da União Europeia. É necessário que o Conselho Europeu fixe um objectivo para o pleno emprego na Europa numa nova sociedade emergente, mais adaptada às escolhas pessoais das mulheres e dos homens. Se as medidas a seguir expostas forem implementadas num contexto macroeconómico saudável, uma taxa média de crescimento económico

de cerca de 3% deveria constituir uma perspectiva realista para os próximos anos.

7. A implementação desta estratégia passa pela melhoria dos procedimentos existentes, pela introdução de um ***novo método aberto de coordenação*** a todos os níveis, em conjugação com um reforço do papel de orientação e coordenação desempenhado pelo Conselho Europeu, por forma a assegurar uma direcção estratégica mais coerente e um acompanhamento mais eficaz dos progressos realizados. Deverá realizar-se todos os anos, na Primavera, uma reunião do Conselho Europeu tendo em vista definir os mandatos pertinentes e assegurar o respectivo acompanhamento.

PREPARAÇÃO DA TRANSIÇÃO PARA UMA ECONOMIA COMPETITIVA, DINÂMICA E BASEADA NO CONHECIMENTO

Uma sociedade da informação para todos

8. A passagem para uma economia digital e baseada no conhecimento, impulsionada pela existência de novos bens e serviços, constituirá um poderoso motor para o crescimento, a competitividade e a criação de empregos. Além disso, permitirá melhorar a qualidade de vida dos cidadãos e o ambiente. Para tirar o maior partido possível desta oportunidade, o Conselho e a Comissão são convidados a elaborar um Plano de Acção abrangente "eEuropa", a apresentar ao Conselho Europeu de Junho deste ano, utilizando um método aberto de coordenação baseado na aferição (*benchmarking*) de iniciativas nacionais, em combinação com a recente iniciativa "eEuropa" da Comissão e com a sua comunicação "Estratégias de criação de empregos na sociedade da informação".

9. As empresas e os cidadãos deverão ter acesso a uma infra-estrutura de comunicações pouco dispendiosa e à escala mundial, bem como a um vasto leque de serviços. Cada cidadão deverá estar provido das competências necessárias para viver e trabalhar nesta nova sociedade da informação. Os diferentes meios de acesso deverão prevenir a info-exclusão. O combate contra o analfabetismo deverá ser reforçado. Deverá ser dada uma atenção especial às pessoas deficientes. As tecnologias da informação podem ser utilizadas para renovar o desenvolvimento urbano e regional e incentivar tecnologias ecologicamente correctas. As indústrias de conteúdos são geradoras de valor acrescentado, explorando e colocando em rede a diversidade cultural europeia. As administrações públicas deverão empreender esforços reais, a todos os níveis, para explorar as novas tecnologias a fim de tornar a informação tão acessível quanto possível.

10. A plena realização do potencial electrónico da Europa está dependente da criação de condições para o florescimento do comércio electrónico e da Internet, para que a União possa recuperar o atraso em relação aos seus concorrentes ligando muito mais empresas e lares à Internet através de ligações rápidas. As regras aplicáveis ao comércio electrónico devem ser previsíveis, inspirando

confiança nos meios empresariais e nos consumidores. Há que tomar medidas para assegurar que a Europa mantenha um lugar de liderança em domínios-chave da tecnologia, tais como as comunicações móveis. A rapidez das mudanças tecnológicas poderá vir a exigir, no futuro, abordagens novas e mais flexíveis em matéria de regulamentação.

11. O Conselho Europeu apela, em especial:

- ao Conselho e também, se for caso disso, ao Parlamento Europeu, para que aprove o mais rapidamente possível, durante o ano 2000, a legislação pendente relativa ao enquadramento jurídico para o comércio electrónico, ao direito de autor e direitos conexos, ao dinheiro electrónico, à venda à distância de serviços financeiros, à competência judiciária e à execução de decisões e ao regime de controlo da exportação de bens de dupla utilização; à Comissão e ao Conselho, para que estudem a melhor forma de promover a confiança dos consumidores no comércio electrónico, especialmente através de sistemas alternativos de resolução de litígios;
- ao Conselho e ao Parlamento Europeu, para que concluem o mais brevemente possível, no ano 2001, os trabalhos sobre as propostas legislativas anunciadas pela Comissão na sequência da revisão, em 1999, do enquadramento regulamentar para as telecomunicações; aos Estados-Membros e, se for caso disso, à Comunidade, para que assegurem o cumprimento dos requisitos de frequências para os futuros sistemas de comunicações móveis de forma atempada e eficiente. A plena integração e liberalização dos mercados das telecomunicações deverá estar concluída até final de 2001;
- aos Estados-Membros, em colaboração com a Comissão, para que trabalhem no sentido de fomentar a concorrência nas redes de acesso local antes do final de 2000, e desagregar a linha de assinante, contribuindo assim para uma redução substancial dos custos associados à utilização da Internet;
- aos Estados-Membros, para que assegurem que todas as escolas da União tenham acesso à Internet e aos recursos multimédia até final de 2001 e que todos os professores necessários sejam capazes de utilizar a Internet e os recursos multimédia até final de 2002;
- aos Estados-Membros, para que garantam, até 2003, o acesso electrónico generalizado aos principais serviços públicos de base;
- à Comunidade e aos Estados-Membros, com o apoio do BEI, para que disponibilizem em todos os países europeus redes de baixo custo, interligadas a alta velocidade para acesso à Internet, e para que fomentem o desenvolvimento de tecnologias da informação e de outras redes de telecomunicações de ponta, bem como dos conteúdos para essas redes. Deverão ser definidas metas específicas no âmbito do Plano de Acção "eEuropa".

Criação de um Espaço Europeu de Investigação e de Inovação

12. Tendo em conta o papel significativo desempenhado pela investigação e o desenvolvimento em matéria de crescimento económico, de emprego e de coesão social, a União deverá empenhar-se na consecução dos objectivos constantes da comunicação da Comissão intitulada "Rumo a um espaço europeu da investigação". As actividades de investigação a nível nacional e da União deverão ser mais bem integradas e coordenadas por forma a torná-las tão eficazes e inovadoras quanto possível e a assegurar que a Europa proporcione perspectivas atraentes aos seus melhores cérebros. Os instrumentos previstos no Tratado e todos os outros meios apropriados, incluindo os acordos voluntários, deverão ser plenamente explorados por forma a alcançar esse objectivo de modo flexível, descentralizado e não burocrático. Simultaneamente, a inovação e as ideias deverão ser convenientemente recompensadas no âmbito de uma economia baseada no conhecimento, designadamente através da protecção das patentes.

13. O Conselho Europeu solicita ao Conselho e à Comissão, em conjunto com os Estados-Membros se for caso disso, que tomem, na perspectiva da criação de um Espaço Europeu de Investigação, as medidas necessárias para:

- desenvolver os mecanismos adequados para a ligação em rede dos programas de investigação nacionais e comuns numa base de voluntariado em torno de objectivos livremente escolhidos, por forma a tirar o maior partido possível dos recursos acordados em matéria de I&D nos Estados-Membros, e assegurar a apresentação periódica de relatórios ao Conselho sobre os progressos realizados nesta matéria; fazer o levantamento, até 2001, de exemplos de excelência em termos de investigação e desenvolvimento em todos os Estados-Membros, a fim de incentivar a difusão de tal excelência;
- tornar o ambiente mais propício ao investimento na investigação privada, às parcerias em matéria de I&D e ao lançamento de empresas no domínio das tecnologias de ponta, através de políticas fiscais, de capitais de risco e do apoio do BEI;
- incentivar o desenvolvimento de um método aberto de coordenação para aferir a investigação nacional e as políticas de desenvolvimento e identificar, até Junho de 2000, os indicadores de avaliação do desempenho em diversas áreas, designadamente no que diz respeito ao desenvolvimento dos recursos humanos; introduzir até Junho de 2001 um painel de avaliação europeu no domínio da inovação;
- propiciar a criação, até ao final de 2001 e com o apoio do BEI, de uma rede transeuropeia de alta velocidade para as comunicações científicas por via electrónica, que ligue entre si os institutos de investigação e as universidades, bem como as bibliotecas científicas, os centros científicos e, progressivamente, as escolas;

- tomar, até 2002, medidas de remoção dos obstáculos à mobilidade dos investigadores na Europa, bem como atrair e reter na Europa os talentos em matéria de investigação de alta qualidade;
- assegurar, até ao final de 2001, a disponibilidade de uma patente comunitária, incluindo o modelo de utilidade, por forma a que a protecção de patentes à escala comunitária na União seja tão simples e barata e o seu alcance tão abrangente quanto a protecção proporcionada pelos principais concorrentes.

Criação de um ambiente favorável ao lançamento e ao desenvolvimento de empresas inovadoras, especialmente de PME

14. A competitividade e o dinamismo das empresas dependem directamente de um clima regulamentador conducente ao investimento, à inovação e ao espírito empresarial. É necessário prosseguir os esforços no sentido de reduzir os custos da actividade empresarial e de suprimir a burocracia desnecessária, especialmente pesados para as PME. As Instituições europeias, os Governos nacionais e as autoridades regionais e locais deverão continuar a prestar especial atenção ao impacto e aos custos de adaptação das regulamentações propostas, e prosseguir nessa perspectiva o diálogo com as empresas e os cidadãos. É igualmente necessário desenvolver uma acção específica no sentido de incentivar as interfaces essenciais nas redes de inovação, ou seja: as interfaces entre empresas e mercados financeiros, I&D e institutos de formação, serviços de consultadoria e mercados tecnológicos.

15. O Conselho Europeu considera que deverá ser aplicado nesta área um método aberto de coordenação, pelo que solicita que:

- o Conselho e a Comissão lancem, até Junho de 2000, um exercício de aferição sobre questões tais como o tempo e os custos inerentes à criação de uma empresa, o montante do capital de risco investido, a quantidade de diplomados em questões empresariais e científicas e as oportunidades de formação. Os primeiros resultados desse exercício deverão ser apresentados até Dezembro de 2000;
- a Comissão apresente dentro em breve uma comunicação sobre uma Europa empreendedora, inovadora e aberta, juntamente com o Programa Plurianual em favor das Empresas e do Espírito Empresarial (2001-2005), que desempenhará um importante papel de catalisador em relação a esse exercício;
- o Conselho e a Comissão elaborem uma Carta para as pequenas empresas, a aprovar em Junho de 2000, susceptível de empenhar os Estados-Membros a concentrarem-se nos instrumentos acima referidos relativos às pequenas empresas enquanto principais motores para a criação de emprego na Europa, e dêem uma resposta específica às suas necessidades;

- o Conselho e a Comissão apresentem um relatório até ao final de 2000 sobre a revisão em curso dos instrumentos financeiros do BEI e do FEI a fim de reorientar os subsídios para o apoio à criação de empresas, de firmas de alta tecnologia e de micro-empresas, bem como para outras iniciativas de capital de risco propostas pelo BEI.

Reformas económicas com vista a um mercado interno completo e plenamente operacional

16. É necessário trabalhar rapidamente a fim de perfazer o mercado interno em determinados sectores e melhorar o fraco desempenho de outros sectores por forma a garantir os interesses das empresas e dos consumidores. A fim de tirar plenamente partido dos benefícios resultantes da liberalização do mercado, é igualmente crucial que se estabeleça um quadro efectivo de análise e aperfeiçoamento contínuos, com base na Estratégia para o Mercado Interno aprovada pelo Conselho Europeu de Helsínquia. Além disso, é essencial dispor de regras em matéria de concorrência e de auxílio estatal claras e uniformemente aplicadas por forma a assegurar que as empresas possam prosperar e funcionar eficazmente em pé de igualdade no mercado interno.

17. Por conseguinte, o Conselho Europeu solicita à Comissão, ao Conselho e aos Estados-Membros que, em conformidade com as respectivas competências:

- estabeleçam até ao final de 2000 uma estratégia para a supressão dos obstáculos aos serviços;
- acelerem a liberalização em áreas tais como o gás, a electricidade, os serviços postais e os transportes. Identicamente, no que se refere à utilização e gestão do espaço aéreo, o Conselho solicita à Comissão que apresente as suas propostas o mais rapidamente possível. O objectivo é realizar um mercado interno plenamente operacional nessas áreas; o Conselho Europeu avaliará a evolução realizada na sessão da próxima Primavera com base num relatório da Comissão e em propostas apropriadas;
- concluam atempadamente os trabalhos relativos às futuras propostas de actualização das normas em matéria de contratos públicos, em especial por forma a torná-las acessíveis às PME, a fim de permitir que as novas normas entrem em vigor antes de 2002;
- tomem as medidas necessárias para assegurar que seja possível, até 2003, efectuar por via electrónica as aquisições comunitárias e do sector público;
- estabeleçam até 2001 uma estratégia de acção coordenada mais aprofundada a fim de simplificar o ambiente regulamentar, incluindo o desempenho da administração pública, tanto a nível nacional como comunitário. Essa estratégia deverá incluir a identificação de espaços em que sejam necessárias novas acções por parte dos Estados-Membros destinadas a racionalizar a transposição da legislação comunitária para o direito nacional;

– continuem a esforçar-se por incentivar a concorrência e reduzir o nível geral dos auxílios estatais, passando do apoio a empresas ou sectores isolados para a defesa de objectivos horizontais de interesse comunitário, tais como o emprego, o desenvolvimento regional, o ambiente, e a formação ou a investigação.

18. São indispensáveis melhoramentos estruturais globais para alcançar metas ambiciosas de crescimento, emprego e inclusão social. O Conselho já identificou áreas-chave que há que reforçar no âmbito do processo de Cardiff. O Conselho Europeu convida por conseguinte o Conselho a acelerar o trabalho relativo aos indicadores de desempenho estrutural e a apresentar um relatório até ao final de 2000.

19. O Conselho Europeu considera essencial que, no quadro do mercado interno e de uma economia baseada no conhecimento, se tomem plenamente em conta as disposições do Tratado relativas a serviços de interesse económico geral e às empresas a quem cabe efectuar esses serviços. O Conselho solicita à Comissão que, com base no Tratado, actualize a sua comunicação de 1996.

Mercados financeiros eficientes e integrados

20. Os mercados financeiros eficientes e transparentes promovem o crescimento e o emprego através de uma melhor repartição do capital e da redução do seu custo. Desempenham como tal um papel essencial no fomento de novas ideias, no apoio a uma cultura empresarial e na promoção do acesso e utilização de novas tecnologias. É essencial aproveitar o potencial proporcionado pelo euro para avançar na integração dos mercados financeiros da UE. Além disso, os mercados de capital de risco eficientes desempenham um papel fundamental em relação a PME inovadoras e de alto crescimento e na criação de empregos novos e sustentáveis.

21. Para acelerar a concretização do mercado interno em matéria de serviços financeiros, há que tomar medidas no sentido de:

– fixar um calendário rígido para que o Plano de Acção dos Serviços Financeiros seja executado até 2005, tendo em conta áreas de acção prioritária tais como: facilitar o acesso mais vasto possível ao capital de investimento à escala da UE, incluindo para as PME, através de um "passaporte único" para os emitentes; facilitar a participação bem sucedida de todos os investidores num mercado integrado, eliminando os obstáculos ao investimento nos fundos de pensão; promover uma maior integração e um melhor funcionamento dos mercados de dívida pública através de uma maior consulta e transparência sobre os calendários de emissão de dívida, técnicas e instrumentos, e um melhor funcionamento dos mercados de vendas transfronteiriças e de recompra ("repo"); melhorar a comparabilidade dos balanços financeiros das empresas; e intensificar a cooperação entre os reguladores dos mercados financeiros da UE;

- assegurar a plena implementação do Plano de Acção em Matéria de Capital de Risco até 2003;
- avançar rapidamente nas propostas há muito pendentes relativas às ofertas públicas de aquisição e à reorganização e dissolução das instituições de crédito e das companhias de seguros, por forma a melhorar o funcionamento e a estabilidade do mercado financeiro europeu;
- concluir, em conformidade com as Conclusões do Conselho Europeu de Helsínquia, o pacote fiscal pendente.

Coordenação das políticas macroeconómicas: consolidação orçamental, qualidade e sustentabilidade das finanças públicas

22. Para além de preservarem a estabilidade macroeconómica e de estimularem o crescimento e o emprego, as políticas macroeconómicas deverão promover a transição para uma economia baseada no conhecimento, o que implica um papel reforçado para as políticas estruturais. O diálogo macroeconómico no âmbito do processo de Colónia deve criar uma relação de confiança entre todos os participantes que permita uma compreensão adequada das posições e limitações de cada um. A oportunidade proporcionada pelo crescimento deve ser utilizada para prosseguir a consolidação orçamental de forma mais activa e para melhorar a qualidade e a sustentabilidade das finanças públicas.

23. O Conselho Europeu solicita ao Conselho e à Comissão que, utilizando os procedimentos existentes, apresentem um relatório até à Primavera de 2001, avaliando o contributo das finanças públicas para o crescimento e o emprego, e avaliando ainda, com base em dados e indicadores comparáveis, se estão a ser tomadas medidas concretas de molde a:

- reduzir a pressão fiscal sobre o trabalho e especialmente sobre os trabalhadores pouco qualificados e de baixos salários, melhorar os efeitos incentivadores sobre o emprego e a formação dos regimes fiscal e de subsídios,
- reorientar a despesa pública aumentando a importância relativa da acumulação de capital – tanto físico como humano – e apoiar a investigação e desenvolvimento, a inovação e as tecnologias da informação;
- assegurar a sustentabilidade das finanças públicas a longo prazo, analisando as diferentes dimensões envolvidas, designadamente o impacto do envelhecimento das populações, à luz do relatório a elaborar pelo Grupo de Alto Nível sobre Protecção Social.

MODERNIZAR O MODELO SOCIAL EUROPEU ATRAVÉS DO INVESTIMENTO NAS PESSOAS E DA CONSTRUÇÃO DE UM ESTADO-PROVIDÊNCIA ACTIVO E DINÂMICO

24. As pessoas são o principal trunfo da Europa e deverão constituir o ponto de referência das políticas da União. O investimento nas pessoas e o

desenvolvimento de um Estado-providência activo e dinâmico será fundamental tanto para o lugar da Europa na economia do conhecimento como para assegurar que a emergência desta nova economia não venha agravar os problemas sociais existentes em matéria de desemprego, exclusão social e pobreza.

Educação e formação para a vida e o trabalho na sociedade do conhecimento

25. Os sistemas educativo e de formação europeus necessitam de ser adaptados não só às exigências da sociedade do conhecimento como também à necessidade de um maior nível e qualidade do emprego. Terão de oferecer oportunidades de aprendizagem e de formação concebidas para grupos-alvo em diferentes fases das suas vidas: jovens, adultos desempregados e as pessoas empregadas que correm o risco de ver as suas competências ultrapassadas pela rapidez da mudança. Esta nova abordagem deverá ter três componentes principais: o desenvolvimento de centros de aprendizagem locais, a promoção de novas competências básicas, em especial em matéria de tecnologias da informação, e uma maior transparência das habilitações.

26. O Conselho Europeu solicita por conseguinte aos Estados-Membros, de acordo com as suas regras constitucionais, ao Conselho e à Comissão que tomem as medidas necessárias nas áreas da sua competência para alcançar as seguintes metas:

- um aumento anual substancial do investimento per capita em recursos humanos;
- o número de jovens da faixa etária dos 18-24 anos que apenas têm estudos secundários de nível inferior e que não estão a prosseguir os estudos ou a formação deverá ser reduzido para metade até 2010;
- as escolas e os centros de formação, todos eles ligados à Internet, deverão ser transformados em centros locais de aprendizagem polivalentes, acessíveis a todos, utilizando os métodos mais apropriados para abordar um vasto leque de grupos-alvo; deverão ser criadas parcerias de aprendizagem entre escolas, centros de formação, firmas e unidades de investigação para o seu benefício mútuo;
- as novas competências básicas, que serão proporcionadas através da aprendizagem ao longo da vida, deverão ser definidas num quadro europeu: competências em TI, línguas estrangeiras, cultura tecnológica, espírito empresarial e competências sociais; deverá ser criado um diploma europeu de competências básicas em TI, com procedimentos descentralizados de certificação, a fim de promover a literacia digital em toda a União;
- deverão ser definidos, até final de 2000, os meios de promover a mobilidade dos estudantes, professores e pessoal de formação e investigação tanto através de uma melhor utilização dos actuais programas comunitários (Sócrates, Leonardo e Juventude para a Europa), como através da remoção de obstáculos e de uma maior transparência no reconhecimento

das habilitações e dos períodos de estudos e de formação; deverão ser adoptadas medidas destinadas a remover os obstáculos à mobilidade dos professores até 2002 e a atrair professores altamente qualificados;

– deverá ser desenvolvida uma norma europeia comum para os *curricula vitae*, a utilizar numa base voluntária, por forma a facilitar a mobilidade por meio da ajuda à avaliação dos conhecimentos adquiridos, tanto pelos estabelecimentos de ensino e formação como pelos empregadores.

27. O Conselho Europeu solicita ao Conselho (Educação) que proceda a uma reflexão geral sobre os objectivos futuros concretos dos sistemas educativos, que incida nas preocupações e prioridades comuns e simultaneamente respeite a diversidade nacional, com vista a contribuir para os processos do Luxemburgo e de Cardiff e a apresentar um relatório geral ao Conselho Europeu na Primavera de 2001.

Mais e melhores empregos para a Europa: desenvolvimento de uma política de emprego activa

28. O Processo do Luxemburgo, assente na elaboração de orientações de emprego a nível da Comunidade e na sua transposição para Planos de Acção Nacionais para o Emprego, permitiu à Europa reduzir substancialmente o desemprego. A revisão intercalar deverá conferir uma nova dinâmica a este processo, através do enriquecimento das orientações e da fixação de metas mais concretas, estabelecendo laços mais estreitos com outros domínios políticos relevantes e definindo processos mais eficazes para a participação dos diferentes actores. Os parceiros sociais devem ser mais estreitamente implicados na elaboração, execução e acompanhamento das orientações relevantes.

29. Neste contexto, convidam-se o Conselho e a Comissão a abordar as quatro áreas-chave seguintes:

– melhorar a empregabilidade e reduzir as lacunas de formação, em particular fornecendo aos serviços de emprego uma base de dados à escala europeia sobre empregos e oportunidades de aprendizagem; promover programas especiais para permitir às pessoas desempregadas colmatar as suas lacunas de formação;

– conferir uma maior prioridade à aprendizagem ao longo da vida como componente básica do modelo social europeu, inclusive através do incentivo a acordos entre os parceiros sociais em matéria de inovação e formação ao longo da vida; através da exploração da complementaridade entre a aprendizagem ao longo da vida e a adaptabilidade, assegurando uma gestão flexível do tempo de trabalho e da rotação de empregos; e através da introdução de um prémio europeu para as empresas particularmente avançadas neste capítulo. Os progressos feitos em relação a estes objectivos deverão ser aferidos (*benchmarked*);

- aumentar o emprego nos serviços, nomeadamente os serviços pessoais, onde existam carências de relevo; poderão estar envolvidas iniciativas do sector privado, do sector público ou do sector terciário, com soluções apropriadas para as categorias mais desfavorecidas;
- promover todos os aspectos da igualdade de oportunidades, incluindo a redução da segregação ocupacional, tornando mais fácil a conciliação da vida profissional com a vida familiar, em particular através da fixação de um novo *benchmark* para melhores estruturas de acolhimento de crianças.

30. O Conselho Europeu considera que o objectivo geral destas medidas deverá ser, com base nas estatísticas disponíveis, a elevação da taxa de emprego da média actual de 61% para a taxa mais próxima possível de 70% em 2010, e o aumento do número de mulheres empregadas da média actual de 51% para mais de 60% em 2010. Reconhecendo os seus diferentes pontos de partida, os Estados-Membros deverão considerar a definição de metas nacionais com vista ao aumento da taxa de emprego, o que, ampliando a força de trabalho, reforçará a sustentabilidade dos sistemas de protecção social.

Modernizar a protecção social

31. O modelo social europeu, com os seus bem desenvolvidos sistemas de protecção social, deverá propiciar a transformação para a economia do conhecimento. No entanto, estes sistemas terão que ser adaptados enquanto parte de um Estado-providência activo para assegurar que o trabalho recompensa, garantir a sua sustentabilidade a longo prazo face ao envelhecimento da população, promover a inclusão social e a igualdade de oportunidades entre homens e mulheres, e fornecer serviços de saúde de qualidade. Ciente de que este desafio pode ser enfrentado de forma mais efectiva se for integrado num esforço de cooperação, o Conselho Europeu convida o Conselho a:

- reforçar a cooperação entre os Estados-Membros por via de um intercâmbio de experiências e de melhores práticas com base em redes de informação aperfeiçoadas que constituem os instrumentos básicos nesta área;
- mandar o Grupo de Alto Nível sobre Protecção Social, tomando em consideração os trabalhos empreendidos pelo Comité de Política Económica, para apoiar esta cooperação e, como primeira prioridade, preparar, com base numa comunicação da Comissão, um estudo sobre a evolução futura da protecção social numa perspectiva de longo prazo, e prestando especial atenção à sustentabilidade dos sistemas de pensões em diferentes quadros temporais até 2020 e para além desta data, se necessário. O Grupo deverá elaborar, até Dezembro de 2000, um relatório sobre o avanço dos trabalhos.

Promover a inclusão social

32. É inaceitável o número das pessoas que vivem abaixo do limiar de pobreza e em situação de exclusão social na União. Deverão ser tomadas medidas que

tenham um impacto decisivo no que respeita à erradicação da pobreza, através da fixação de metas adequadas a acordar pelo Conselho até ao final do ano. O Grupo de Alto Nível sobre Protecção Social será associado a este trabalho. A nova sociedade baseada no conhecimento proporciona um tremendo potencial de redução da exclusão social, tanto por via da criação de condições económicas para uma maior prosperidade através de níveis mais elevados de crescimento e de emprego como pela abertura de novas formas de participação na sociedade. Simultaneamente, esta nova sociedade acarreta o risco de criar um fosso cada vez maior entre os que têm acesso aos novos conhecimentos e os que deles são excluídos. Para se evitar este risco e maximizar estas novas potencialidades, deverão ser desenvolvidos esforços no sentido de melhorar as aptidões, de promover um acesso mais amplo aos conhecimentos e às oportunidades e de combater o desemprego: a melhor salvaguarda contra a exclusão social é o emprego. As políticas tendentes a combater a exclusão social deverão basear-se num método aberto de coordenação que combine os planos nacionais de acção e uma iniciativa da Comissão com vista à cooperação neste domínio a apresentar até Junho de 2000.

33. Muito em particular, o Conselho Europeu convida o Conselho e a Comissão a:

- promover uma melhor compreensão da exclusão social por via de um diálogo ininterrupto e de intercâmbios de informação e das melhores práticas, com base em indicadores geralmente aceites; o Grupo de Alto Nível sobre Protecção Social será associado ao estabelecimento destes indicadores;
- atribuir à promoção da inclusão um papel de relevo nas políticas de emprego, educação e formação, saúde e alojamento dos Estados-Membros, o que deverá ainda ser complementado a nível comunitário por acções no âmbito dos Fundos Estruturais dentro dos limites do actual quadro orçamental;
- desenvolver acções prioritárias dirigidas a grupos-alvo específicos (por exemplo, grupos minoritários, crianças, idosos e pessoas deficientes), cabendo aos Estados-Membros, segundo as suas situações específicas, escolher as acções a implementar e, posteriormente, informar sobre a sua execução.

34. Tomando em consideração as presentes conclusões, o Conselho prosseguirá a sua reflexão sobre a orientação futura da política social com base numa comunicação da Comissão, tendo em vista chegar a acordo sobre uma Agenda Social Europeia no Conselho Europeu de Nice, em Dezembro, incluindo as iniciativas dos diferentes parceiros envolvidos.

TRADUZIR AS DECISÕES EM PRÁTICAS: UMA ABORDAGEM MAIS COERENTE E SISTEMÁTICA

Aperfeiçoar os processos existentes

35. Não é necessário qualquer novo processo. As Orientações Gerais de Política Económica já existentes e os processos do Luxemburgo, de Cardiff e de Colónia já proporcionam os instrumentos necessários, desde que simplificados e melhor coordenados, especialmente através das outras formações do Conselho que também contribuíram para a preparação pelo Conselho ECOFIN das Orientações Gerais de Política Económica. Além disso, as Orientações Gerais de Política Económica devem centrar-se cada vez mais nas implicações a médio e a longo prazo das políticas estruturais e nas reformas tendentes à promoção das potencialidades de crescimento económico, do emprego e da coesão social, bem como na transição para uma economia baseada no conhecimento. Os processos de Cardiff e do Luxemburgo permitirão tratar mais pormenorizadamente os respectivos temas.

36. Estas melhorias serão potenciadas pelo propósito do Conselho Europeu de assumir um significativo papel de orientação e coordenação com vista a assegurar a coerência global e a monitorização efectiva da progressão para o novo objectivo estratégico. Assim, o Conselho Europeu realizará anualmente, na Primavera, uma sessão dedicada às questões económicas e sociais. Consequentemente, deverão organizar-se os trabalhos tanto a montante como a jusante de tal sessão. O Conselho Europeu convida a Comissão a elaborar anualmente um relatório de síntese sobre os progressos efectuados, com base em indicadores estruturais a serem acordados, referentes ao emprego, à inovação, à reforma económica e à coesão social.

Aplicação de um novo método aberto de coordenação

37. A consecução do objectivo estratégico será facilitada pela aplicação de um novo método aberto de coordenação conduzindo à divulgação de melhores práticas e favorecendo uma maior convergência no que respeita aos principais objectivos da UE. Este método, que foi delineado para ajudar os Estados-Membros a desenvolverem progressivamente as suas próprias políticas, implica:

- que sejam definidas, para a União, orientações combinadas com calendários específicos para a consecução dos objectivos nelas fixados a curto, médio e longo prazo;
- que sejam estabelecidos, sempre que necessário, indicadores quantitativos e qualitativos e *benchmarks* de entre os melhores do mundo, adequados às necessidades dos diferentes Estados-Membros e sectores como um método de comparação das melhores práticas;
- que essas orientações europeias sejam traduzidas em políticas nacionais e regionais, por via da definição de metas específicas e da adopção de medidas, tendo em conta as diferenças nacionais e regionais;
- que se proceda periodicamente à monitorização, à avaliação e à análise pelos homólogos, organizadas como um processo de aprendizagem recíproca.

38. Será aplicada uma abordagem plenamente descentralizada consentânea com o princípio da subsidiariedade, em que a União, os Estados-Membros, as instâncias regionais e locais, bem como os parceiros sociais e a sociedade civil, estarão activamente associados, através do recurso a formas variáveis de parceria. A Comissão Europeia, através de um trabalho em rede com os diversos fornecedores e utilizadores, designadamente os parceiros sociais, as empresas e as ONG, elaborará um método de *benchmarking* das melhores práticas de gestão da mudança.

39. O Conselho Europeu formula um apelo especial ao sentido de responsabilidade social das empresas no que toca às melhores práticas de aprendizagem ao longo da vida, organização do trabalho, igualdade de oportunidades, inclusão social e desenvolvimento sustentável.

40. Realizar-se-á em Junho um Fórum de Alto Nível reunindo as instituições e os órgãos da União e os parceiros sociais para fazer um balanço dos processos do Luxemburgo, de Cardiff e de Colónia e das contribuições dos vários agentes para a valorização do conteúdo do Pacto Europeu do Emprego.

Mobilizar os meios necessários

41. O cumprimento do novo objectivo estratégico assentará principalmente no sector privado, bem como nas parcerias sector público-sector privado. Dependerá da mobilização dos recursos existentes nos mercados, bem como dos esforços dos Estados-Membros. O papel da União é o de actuar como catalisador nesse processo, criando um quadro eficaz para a mobilização de todos os recursos disponíveis para a transição para a economia baseada no conhecimento, e acrescentando o seu próprio contributo para esse esforço através das políticas comunitárias existentes, no respeito da Agenda 2000. Além disso, o Conselho Europeu congratula-se com o contributo que o BEI está pronto a dar nos domínios da formação do capital humano, das PME e do espírito empresarial, da I&D, das redes nos sectores da tecnologia da informação e das telecomunicações, e ainda da inovação. Com a "Iniciativa Inovação 2000", o BEI deverá avançar com os seus planos de disponibilizar uma nova fracção de mil milhões de euros destinados a operações de capital de risco para as PME e com o seu plano de empréstimo específico de 12 a 15 mil milhões de euros ao longo dos próximos três anos para as áreas prioritárias.

II. POLÍTICA EUROPEIA COMUM DE SEGURANÇA E DEFESA

42. O Conselho Europeu congratulou-se com o relatório preliminar da Presidência sobre "Reforço da Política Europeia Comum de Segurança e Defesa", que reflecte o trabalho realizado pela Presidência, juntamente com o Secretário-Geral/Alto Representante, no âmbito do Conselho "Assuntos Gerais", de acordo com a incumbência de Helsínquia.

43. O Conselho Europeu congratula-se em especial com o facto de os órgãos provisórios previstos em Helsínquia terem já sido instituídos e terem entrado em

funcionamento efectivo, e com o facto de o Conselho ter definido um processo de elaboração do objectivo prioritário e de identificação das contribuições nacionais com vista à satisfação do objectivo de capacidade militar fixado em Helsínquia.

44. O Conselho Europeu aguarda com interesse o trabalho subsequente que a Presidência, juntamente com o Secretário-Geral/Alto Representante, irá prosseguir no Conselho e o relatório global da Presidência ao Conselho Europeu da Feira, tal como solicitado em Helsínquia, designadamente propostas sobre a participação de países terceiros na gestão militar de crises da UE e sobre a evolução futura da relação da UE com a NATO, em conformidade com as Conclusões do Conselho Europeu de Helsínquia.

45. O Conselho Europeu exprime ainda o seu apreço pelo que foi até agora realizado na vertente não militar da gestão de crises e convida o Conselho a criar até à reunião da Feira, ou nessa ocasião, um Comité de Gestão Civil de Crises.

III. BALCÃS OCIDENTAIS

46. O Conselho Europeu reafirma que a paz, a prosperidade e a estabilidade da Europa do Sudeste constituem uma prioridade estratégica para a União Europeia. O Conselho Europeu regista os progressos realizados no decurso deste último ano mas também os sérios desafios que ainda se deparam à comunidade internacional nos Balcãs Ocidentais. O Conselho Europeu congratula-se com o Relatório apresentado pelo Secretário-Geral/Alto Representante, em conjunto com a Comissão, sobre os Balcãs Ocidentais.

47. O Conselho Europeu confirma que o seu objectivo global continua a ser a máxima integração dos países da região no contexto geral político e económico da Europa. O Conselho Europeu confirma que o Processo de Estabilização e Associação constitui a trave-mestra da sua política para os Balcãs. Os Acordos de Estabilização e Associação incluirão cooperação e assistência económica e financeira, diálogo político, aproximação à legislação da UE, cooperação noutros domínios políticos e comércio livre. Esses acordos deverão ser precedidos por uma liberalização comercial assimétrica. O Conselho Europeu exorta os países da região a cooperarem entre si e com a União para que o Processo de Estabilização e Associação venha a ter êxito.

48. O Conselho Europeu, tendo em mente as Conclusões do Conselho Europeu de Tampere, recorda a próxima Conferência do Adriático, patrocinada pela Itália em cooperação com a União Europeia, que decorrerá em Ancona em 19 e 20 de Maio, e que reforçará a cooperação no Adriático no que toca à luta contra o crime organizado, o contrabando e a emigração ilegal, e que promoverá a cooperação transfronteiras.

49. O Conselho Europeu insta a Comissão a apresentar propostas que garantam procedimentos acelerados e uma assistência rápida e eficaz.

50. O Conselho Europeu salienta que, na RFJ, uma Sérvia democrática cooperante e convivendo pacificamente com os seus vizinhos será bem-vinda no seio da família europeia. Nessa perspectiva, a União manterá a sua acção tendente a uma mudança democrática na Sérvia. As sanções selectivas dirigidas contra o regime continuarão a ser um elemento necessário da política da UE enquanto o Presidente Milosevic se mantiver no poder. O Conselho Europeu apela ao povo sérvio para que tome o futuro nas suas próprias mãos e reconquiste o seu lugar na família das nações democráticas. Por seu turno, a UE não só continuará a apoiar a oposição democrática como também desenvolverá um diálogo abrangente com a sociedade civil. As ONG sérvias deverão ser encorajadas a cooperar regionalmente com outras ONG, no quadro do Pacto de Estabilidade.

51. O Conselho Europeu insta a Comissão e todas as partes implicadas no processo, incluindo a Comissão do Danúbio, a iniciarem imediatamente a execução das medidas necessárias para permitir a navegação no Danúbio até ao Verão.

52. O Conselho Europeu apoia os esforços do Montenegro no sentido de instaurar reformas democráticas e de conquistar a prosperidade económica. O Conselho Europeu salienta a necessidade urgente de uma assistência substancial ao Montenegro com vista a garantir a sobrevivência do governo democrático e a evitar uma nova crise grave na região. Para além do estudo do BEI sobre a possível expansão das suas actividades ao Montenegro, já solicitado pelo Conselho, o Conselho Europeu insta as instituições competentes a tomarem, sem mais demoras, as decisões necessárias sobre o financiamento, no quadro das dotações disponíveis para 2000, de projectos, programas e outras formas de assistência que ajudem a aliviar as necessidades financeiras imediatas do Montenegro, se necessário por via do recurso às reservas orçamentais da UE, bem como à assistência macroeconómica. Neste contexto, o Conselho Europeu congratula-se com a inauguração oficial, ocorrida hoje, da Agência de Reconstrução em Salónica.

53. O Conselho Europeu reafirma que considera a RCSNU 1244 como o enquadramento dos esforços da comunidade internacional no Kosovo. O Conselho Europeu louva a acção da UNMIK e da KFOR na prossecução dos objectivos da Resolução e da OSCE. A consecução da participação sérvia na administração provisória e nas eleições municipais do Outono de 2000 serão passos importantes na via da estabilização da situação no Kosovo. A estabilidade duradoura na região só poderá ser conquistada tomando em linha de conta os interesses legítimos dos países vizinhos da RFJ no pleno respeito da integridade territorial e das fronteiras existentes.

54. A responsabilidade especial da União nesta região implica que deverá ser a União a desempenhar o papel central na prestação do apoio internacional ao Kosovo. A União está empenhada em assegurar o sucesso dos esforços internacionais no Kosovo e, para tal, reconhece a necessidade de se prestar apoio de forma muito mais coordenada e coerente e de assegurar que os

esforços da União e dos seus Estados-Membros sejam devidamente reconhecidos. A UE já assumiu um papel preponderante na reconstrução do Kosovo, enviando 30 000 militares à KFOR, disponibilizando 800 polícias civis e 505 milhões de euros em financiamentos e ainda liderando o pilar de reconstrução económica da UNMIK.

55. A comunidade internacional carece de uma estratégia mais coerente e activa para o apoio económico e político ao Kosovo e à região. O Conselho Europeu reafirma a este respeito a contribuição vital do Pacto de Estabilidade, sob a égide do seu Coordenador Especial e Representante Especial da UE. No propósito de reforçar o papel central da UE, o Conselho Europeu convida o Secretário-Geral/Alto Representante, sob a autoridade da Presidência e do Conselho e em associação plena com a Comissão, a assegurar a coerência das políticas da UE em relação aos Balcãs Ocidentais, a aumentar o impacto da sua contribuição, e a reforçar a coordenação com o Pacto de Estabilidade e outros esforços da comunidade internacional. Com esse objectivo, deverão ser apresentadas propostas orientadas para a acção na próxima sessão do Conselho "Assuntos Gerais". A Conferência sobre o Financiamento Regional, a decorrer em breve, será um momento-chave para os esforços conjuntos da comunidade internacional da Europa do Sudeste.

IV. RÚSSIA

56. Nas vésperas das eleições presidenciais na Rússia, o Conselho Europeu reafirma:

- a importância do desenvolvimento de uma parceria estratégica genuinamente efectiva e operante, em conformidade com o APC, a estratégia comum da UE e os planos de acção das sucessivas Presidências, de forma a permitir a cooperação nas muitas áreas de interesse comum, com vista a alcançar a paz, a estabilidade e a prosperidade na Europa, com base em valores comuns e objectivos partilhados.
- para esse fim, a necessidade de, no que se refere à Chechénia, a Rússia cumprir os seus compromissos, nomeadamente:
 - = pôr fim ao uso indiscriminado da força militar,
 - = permitir investigações independentes relativas a violações dos direitos humanos,
 - = permitir que as organizações e os observadores internacionais competentes cumpram livremente a sua missão,
 - = prosseguir de imediato a busca de uma solução política.

57. O Conselho Europeu encara o Conselho de Cooperação com a Rússia, em 11 de Abril, e a planeada Cimeira UE-Rússia como ocasiões importantes para a consecução destes objectivos. Neste mesmo propósito, o Conselho Europeu mandata a Tróica para se deslocar a Moscovo logo que possível após a eleição

do novo Presidente da Rússia, para lhe reafirmar, e também ao seu Governo, a abordagem e as preocupações da UE quanto a relações que tão importantes são para ambas as partes.

V. CONFERÊNCIA INTERGOVERNAMENTAL

58. O Conselho Europeu regista a evolução dos trabalhos da Conferência bem como a intenção da Presidência de apresentar um relatório global da sua própria responsabilidade ao Conselho Europeu da Feira.

VI. REGIÕES ULTRAPERIFÉRICAS

59. O Conselho Europeu regista o relatório recentemente apresentado pela Comissão sobre medidas destinadas a aplicar o nº 2 do artigo 299º relativo às regiões ultraperiféricas e convida aquela Instituição a submeter as suas propostas iniciais à apreciação do Conselho.

Anexo

DOCUMENTOS APRESENTADOS AO CONSELHO EUROPEU DE LISBOA (1)

- Documento da Presidência sobre Emprego, reformas económicas e coesão social – para uma Europa da inovação e do conhecimento
(5256/00 + ADD 1 COR 1 (en))
- Relatório da Comissão
eEuropa – Sociedade da Informação para Todos
(6978/00)
- Contribuição da Comissão
– Uma Agenda de Renovação Económica e Social para a Europa
(6602/00)
- Comunicação da Comissão sobre as políticas comunitárias em prol do emprego
(6714/00)
- Comunicação da Comissão: Construir uma Europa inclusiva

- (6715/00)
- Comunicação da Comissão: Tendências Sociais: Perspectivas e Desafios
(6716/00)
- Comunicação da Comissão: Estratégias de criação de empregos na sociedade da informação
(6193/00)
- Relatório da Comissão sobre a reforma económica:
Relatório sobre o funcionamento dos mercados de produtos e de capitais
(5795/00)
- Contribuição do Conselho (ECOFIN)
(6631/1/00 REV 1)
- Contribuição do Conselho (Trabalho e Assuntos Sociais)
(6966/00)
 - Contribuição do Conselho (Mercado Interno): Processo de Reforma Económica de Cardiff: aspectos relativos ao Mercado Interno
(7130/00)
- Parecer do Comité do Emprego e do Mercado de Trabalho
(6557/00)
 - Relatório da Presidência sobre o "Reforço da Política Europeia Comum de Segurança e Defesa"
(6933/00)
 - Relatório sobre os Balcãs Ocidentais apresentado ao Conselho Europeu de Lisboa pelo Secretário-Geral/Alto Representante em conjunto com a Comissão
(SN 2032/2/00 REV 2)
 - Projecto de relatório do Conselho Europeu para o Parlamento Europeu sobre os progressos realizados pela União Europeia em 1999

MAGNA CHARTA UNIVERSITATUM

Préambule

Les Recteurs des Universités européennes soussignés, réunis à Bologne à l'occasion du IX^e centenaire de la plus ancienne d'entre elles, quatre ans avant la suppression définitive des frontières intra-communautaires et dans la perspective d'une collaboration élargie entre tous les peuples européens, estimant que les peuples et les Etats doivent prendre plus que jamais conscience du rôle que les universités seront appelées à jouer dans une société qui se transforme et s'internationalise,

Considèrent:

1. que l'avenir de l'humanité, en cette fin de millénaire, dépend dans une large mesure du développement culturel, scientifique et technique qui, lui, se forge dans les centres de culture, de connaissance et de recherche que sont devenues les vraies universités;
2. que la tâche de diffusion des connaissances que l'université doit assumer envers les nouvelles générations implique aujourd'hui qu'elle s'adresse également à l'ensemble de la société - dont l'avenir culturel, social et économique exige: notamment un effort considérable de formation permanente;
3. que l'université doit assurer aux générations futures une éducation et une formation leur permettant de contribuer au respect des grands équilibres de l'environnement naturel et de la vie.

Ils proclament devant les Etats et la conscience des peuples les *principes fondamentaux* qui doivent soutenir dans le présent et le futur la vocation de l'université.

Principes fondamentaux

1. L'université, au coeur de sociétés diversement organisées du fait des conditions géographiques et du poids de l'histoire, est une institution autonome qui, de façon critique, produit et transmet la culture à travers la recherche et l'enseignement.
Pour s'ouvrir aux nécessités du monde contemporain, elle doit être indépendante de tout pouvoir politique, économique et idéologique.
2. Dans les universités, l'activité didactique est indissociable de l'activité de recherche afin que l'enseignement soit à même de suivre l'évolution des besoins comme les exigences de la société et des connaissances scientifiques.
3. La liberté de recherche, d'enseignement et de formation étant le principe fondamental de la vie des universités, les pouvoirs publics et les universités, chacun dans leur domaine de compétence, doivent garantir et promouvoir le respect de cette exigence fondamentale.

Dans le refus de l'intolérance et dans le dialogue permanent, l'université est donc un lieu de rencontre privilégié entre professeurs, ayant la capacité de transmettre le savoir et les moyens de le développer par la recherche et l'innovation, et étudiants, ayant le droit, la volonté et la capacité de s'en enrichir.

4. Dépositaire de la tradition de l'humanisme européen, mais avec le souci constant d'atteindre au savoir universel, l'université, pour assumer ses missions, ignore toute frontière géographique ou politique et affirme la nécessité impérieuse de la connaissance réciproque et de l'interaction des cultures.

Moyens

La réalisation de ces objectifs, dans le cadre de semblables principes, exige des moyens efficaces et donc adaptés à la situation contemporaine.

1. Pour préserver la liberté de recherche et d'enseignement, les instruments propices à sa réalisation doivent être fournis à l'ensemble des membres de la communauté universitaire.
2. Le recrutement des enseignants - ainsi que la réglementation de leur statut - doivent être commandés par le principe de l'indissociabilité de l'activité de recherche et de l'activité didactique.
3. Chaque université doit garantir à ses étudiants, tout en respectant la spécificité des situations, la sauvegarde des libertés et les conditions nécessaires pour atteindre leurs objectifs en matière de culture et de formation.
4. Les universités - et notamment les universités européennes - voient dans l'échange réciproque d'informations et de documentation comme dans la multiplication d'initiatives scientifiques communes les instruments fondamentaux d'un progrès continu des connaissances.

C'est pourquoi, retrouvant en cela leurs sources, elles encouragent la mobilité des enseignants-chercheurs et des étudiants et considèrent qu'une politique générale d'équivalence en matière de statut, de titres, d'examens (tout en préservant les diplômes nationaux), et d'attribution de bourses, constitue l'instrument essentiel garantissant l'exercice de leurs missions contemporaines.

Les Recteurs soussignés, au nom de leur Université, s'engagent à tout mettre en oeuvre afin que chaque Etat et les organisations supranationales concernées puissent s'inspirer progressivement des dispositions de cette Charte, expression unanime de la volonté autonome des universités.

Bologne, le 18 septembre 1988



COMISSÃO DAS COMUNIDADES EUROPEIAS

Bruxelas, 10.5.2006
COM (2006) 208 final

**COMUNICAÇÃO DA COMISSÃO AO CONSELHO E AO PARLAMENTO
EUROPEU**

**REALIZAR A AGENDA DA MODERNIZAÇÃO DAS UNIVERSIDADES:
ENSINO, INVESTIGAÇÃO E INOVAÇÃO**

COMUNICAÇÃO DA COMISSÃO AO CONSELHO E AO PARLAMENTO EUROPEU¹

REALIZAR A AGENDA DA MODERNIZAÇÃO DAS UNIVERSIDADES: ENSINO, INVESTIGAÇÃO E INOVAÇÃO

Introdução

A modernização das universidades europeias², processo que envolve os seus papéis interligados de ensino, investigação e inovação, foi reconhecida não apenas como condição indispensável para o êxito da estratégia de Lisboa em sentido lato, mas como elemento no contexto mais vasto da passagem para uma economia cada vez mais global e baseada no conhecimento. Os elementos principais da agenda da mudança foram identificados³ e receberam novo impulso por parte do Conselho Europeu: com efeito, na reunião informal de Hampton Court, em Outubro de 2005, as instituições de I&D e as universidades foram reconhecidas como as fundações em que assenta a competitividade europeia; o Conselho Europeu da Primavera de 2006 acordou em reforçar a sua acção a nível europeu tendo em vista levar por diante esta agenda nas universidades e na investigação, que deverá ser posta em prática até finais de 2007 no contexto da parceria renovada para o crescimento e o emprego⁴. Nos programas nacionais de reformas baseados nas orientações integradas para o crescimento e o emprego⁵, os Estados-Membros fazem referência de uma maneira geral a estas questões, mas poucos são aqueles que lhes conferem estatuto de prioridade nacional. Porém, estas mudanças são necessárias para regenerar o modelo próprio da Europa, em vez de reproduzir qualquer modelo importado. Estas mudanças são igualmente necessárias para **reforçar o papel de intervenção na sociedade** assumido pelas universidades numa Europa cultural e linguisticamente diversa.

Para este efeito, ombreando com a importância fundamental das raízes locais, regionais e nacionais das universidades, o quadro europeu está a ganhar cada vez mais importância. A dimensão europeia oferece as vantagens potenciais que advêm de uma operação a uma maior escala, uma maior diversidade e riqueza intelectual dos recursos, a que acrescem oportunidades de cooperação e de competição entre instituições.

A este respeito, a Comissão já propôs a criação do Instituto Europeu de Tecnologia (IET)⁶ que foi saudado pelo Conselho Europeu da Primavera de 2006 como uma nova iniciativa destinada especificamente a enfrentar estes desafios. Este instituto pode contribuir para melhorar a capacidade da Europa no campo do ensino científico, da investigação e da

¹ A Comissão aprecia e agradece as contribuições de todos os peritos que foram consultados e que emitiram comentários e sugestões durante a preparação deste documento.

² No presente documento, entende-se por "universidades" todas as instituições de ensino superior, independentemente da sua designação e do seu estatuto nos Estados-Membros.

³ "Mobilizar os recursos intelectuais da Europa: Criar condições para que as universidades dêem o seu pleno contributo para a Estratégia de Lisboa", COM(2005) 152, de 20 de Abril de 2005, e Resolução do Conselho de 15 de Novembro de 2005. «Criar uma Europa inovadora», grupo de peritos presidido por Esko Aho, Comissão Europeia, Janeiro de 2006.

⁴ Conclusões 1 777/06, de 24 de Março de 2006.

⁵ COM(2005)141 final de 12.4.2005.

⁶ COM(2006)77 final de 22.2.2006.

inovação, proporcionando ao mesmo tempo um modelo inovador para inspirar e promover a mudança nas universidades existentes, em particular incentivando a multidisciplinaridade e desenvolvendo parcerias fortes com empresas que assegurarão a sua pertinência. Naturalmente, o IET não pode ser a única solução no processo de modernização das universidades da Europa.

A presente comunicação tem origem no diálogo⁷ que a Comissão Europeia levou a efeito nos últimos anos com os Estados-Membros e as comunidades académicas e científicas. O seu conteúdo foi discutido igualmente com alguns peritos (ver anexo 2), que deram o seu parecer à Comissão a título pessoal.

DESAFIOS A ENFRENTAR...

Com 4000 instituições, mais de 17 milhões de estudantes e cerca de 1, 5 milhões de pessoal – dos quais 435 000 são investigadores⁸ – **as universidades europeias têm um potencial enorme**, mas que não está a ser plenamente aproveitado nem utilizado eficazmente para apoiar os esforços da Europa no sentido de conseguir maior crescimento e mais empregos.

Os Estados-Membros atribuem uma enorme importância às suas universidades e muitos deles têm tentado «preservá-las» a nível nacional por meio de regulamentações pormenorizadas de que se servem para as organizar, controlar, microgerir e, no fim de contas, lhes impor um grau de uniformidade indesejável.

Esta pressão para a uniformidade conduziu a um desempenho médio geralmente bom, mas originou uma maior fragmentação do sector em sistemas e subsistemas nacionais, na maior parte dos casos, de reduzida dimensão. Estes sistemas assim fragmentados tornam a cooperação difícil a nível nacional, para já não falar a nível europeu ou internacional, e impõem condições que impedem as universidades de se diversificarem e de se empenharem na qualidade.

Para além disso, na sua maioria, as universidades tendem a oferecer os mesmos cursos ao mesmo grupo de jovens estudantes mais bem qualificados do ponto de vista académico, não se abrindo a outros tipos de aprendizagem e a outros tipos de alunos, por exemplo, cursos de reciclagem que não confirmam grau académico para adultos ou cursos de recuperação para estudantes que não venham dos percursos convencionais. Esta situação, para além de ter limitado o acesso a grupos sociais desfavorecidos e impedido taxas de matrícula mais elevadas, também retardou a inovação dos currículos e dos métodos pedagógicos (por exemplo no que diz respeito ao espírito empresarial)⁹, dificultou a oferta de oportunidades de formação/reciclagem para elevar os níveis de qualificação e de competência das forças de trabalho e levou a desfasamentos persistentes entre as qualificações dos diplomados e as necessidades do mercado de trabalho. O desemprego entre diplomados em muitos Estados-Membros situa-se em níveis elevados totalmente inaceitáveis.

⁷ Comunicação “O papel das universidades na Europa do conhecimento” [COM(2003)58], Conferência de Liège de 2004 e relatório do Fórum sobre IBU das Universidades Europeias: Melhorar a base da investigação europeia (*Forum on UBR European Universities: Enhancing Europe's Research Base*).

⁸ Os elementos estatísticos que sustentam a análise desta secção encontram-se no anexo 2. Fonte de dados para estes valores: Eurostat

⁹ Cf. Comunicação da Comissão de 13 de Fevereiro de 2006 «Promover o espírito empreendedor através do ensino e da aprendizagem».

Além disso, as regulamentações administrativas ainda impedem a mobilidade académica para fins de estudo, investigação, formação ou trabalho noutro país. Os procedimentos para o reconhecimento de qualificações para fins académicos são, na melhor das hipóteses, morosos; mas, na pior das hipóteses, o não reconhecimento e a reduzida transferibilidade das bolsas/empréstimos nacionais ou dos direitos a pensão impedem estudantes, investigadores e académicos de beneficiar plenamente das oportunidades noutros Estados-Membros.

As universidades também têm de convir que a investigação já não é uma actividade isolada e que actualmente se privilegiam as equipas e redes de investigação globais, em detrimento do antigo modelo em que a investigação estava a cargo de investigadores individuais. Os problemas científicos tendem a ultrapassar as estruturas das disciplinas tradicionais e a investigação de ponta cada vez mais é realizada na interface entre disciplinas académicas ou em contextos multidisciplinares. Os ambientes de investigação das universidades estão mais competitivos e globalizados e requerem maior interacção.

Neste contexto, porém, muitas universidades europeias ainda subestimam as vantagens potenciais que advêm da partilha de conhecimentos com a economia e com a sociedade, enquanto a indústria, pelo seu lado, ainda não desenvolveu suficiente capacidade de absorção para tirar partido das potencialidades da investigação universitária. Consequentemente, a fertilização cruzada com a comunidade empresarial e com a sociedade em geral continua a ser difícil. Esta falta de abertura à comunidade empresarial também se reflecte nas escolhas de carreira dos titulares de doutoramento, que tendem a passar toda a sua carreira em círculos académicos ou na indústria, e não como empreendedores.

Problemas estruturais e culturais como estes ainda são agravados pelo enorme défice dual de financiamento que afecta as universidades tanto na parte educativa como na parte da investigação. Embora se tenha registado um bem acolhido crescimento do número de matrículas de estudantes, essa evolução não foi correspondida por um crescimento do financiamento público, pelo que as universidades da Europa não foram capazes de colmatar a diferença recorrendo a fontes privadas. A diferença média de recursos, tanto para as actividades de investigação como ensino, que as separa das suas homólogas dos EUA é de cerca de 10 000 euros por estudante e por ano¹⁰. Ao mesmo tempo, o ensino e a investigação de alta qualidade estão a tornar-se mais caros e, com as actuais restrições nas finanças públicas, as autoridades estão a sujeitar o apoio à investigação universitária a condições cada vez mais rigorosas. Para o futuro, é de esperar que o volume de recursos necessários para colmatar o défice de financiamento tenha de provir de fontes não públicas, ou seja, das famílias, da indústria e de doações.

Em resumo, **as universidades europeias não estão actualmente em posição de realizar o seu potencial em vários aspectos importantes**. Consequentemente, não acompanharam a concorrência internacional crescente para atrair os académicos e estudantes mais talentosos e não seguem o ritmo das agendas de investigação em rápida evolução nem conseguem gerar a massa crítica, a excelência e a flexibilidade necessárias para terem êxito. Estas deficiências são ainda agravadas por um controlo público excessivo e um financiamento insuficiente.

A Europa precisa de universidades **que sejam capazes de tirar partido dos seus pontos fortes, fazendo destes a base para a diferenciação das suas actividades**. Embora todas as

¹⁰ Documento de trabalho dos serviços da Comissão que acompanha a comunicação «Mobilizar os recursos intelectuais da Europa», parágrafo 42.

instituições compartilhem de certos valores e tarefas comuns, nem todas têm necessidade do mesmo equilíbrio entre ensino e investigação, da mesma abordagem à investigação e formação para a investigação, ou ainda da mesma combinação de serviços e de disciplinas académicas. A investigação deveria permanecer uma tarefa-chave dos sistemas no seu conjunto, mas não necessariamente em todas as instituições. Tal permitiria a emergência de um sistema articulado que abarcaria instituições de investigação de renome mundial e redes de universidades e faculdades nacionais e regionais excelentes que também ministrariam um ensino técnico de mais curta duração. Um sistema com estas características mobilizaria o acervo substancial de conhecimento, de talentos e energia nas universidades e mereceria - e estaria em condições de gerar - o aumento de investimento necessário para poder ombrear com o que de melhor se faz no mundo.

...E MUDANÇAS NECESSÁRIAS

Para que os Estados-Membros consigam alcançar este desiderato, têm de criar as condições necessárias para permitir às universidades melhorar o seu desempenho, modernizar-se e tornar-se mais competitivas – em suma, tornarem-se líderes no seu próprio renascimento e desempenharem o papel que lhes cabe na criação da sociedade baseada no conhecimento proclamada pela estratégia de Lisboa. As discussões a nível europeu revelam uma vontade crescente de modernizar os sistemas e a agenda que a seguir enunciamos não é, no essencial, contestada. É primordialmente aos Estados-Membros e às universidades que cabe agir. Fazendo o inventário do debate e tomando em consideração as especificidades europeias, a Comissão sugere as seguintes mudanças que, em seu entender, serão a chave do êxito:

1. ELIMINAR AS BARREIRAS QUE RODEIAM AS UNIVERSIDADES NA EUROPA

A mobilidade geográfica e intersectorial precisa de crescer substancialmente. A proporção de diplomados que passaram pelo menos um período ou semestre no estrangeiro ou com experiência na indústria deveria, no mínimo, crescer para o dobro. Esta exigência é ainda mais premente para os investigadores.

Todas as formas de mobilidade deveriam ser explicitamente valorizadas como um factor que enriquece os estudos a todos os níveis (incluindo a formação em investigação a nível de doutoramento), mas também como factor de progressão na carreira dos investigadores e do pessoal do meio universitário.

As bolsas/empréstimos nacionais deverão poder ser plenamente transferíveis em toda a UE. A transferibilidade total dos direitos a pensão em conjugação com a remoção de todos os obstáculos à mobilidade profissional, internacional ou intersectorial é necessária para fomentar a mobilidade dos membros do pessoal e dos investigadores, e, por consequência, da inovação.

O trabalho no contexto do processo da Bolonha está a determinar uma convergência na estrutura e na duração dos programas de ensino superior; contudo, só por si, esta evolução não criará as condições para uma maior mobilidade intra-universitária. **Deveria ser feito um esforço importante para levar a cabo as principais reformas de Bolonha até 2010** em todos os países da UE: qualificações comparáveis (ciclo curto, licenciatura, mestrado, doutoramento); currículos flexíveis e modernizados a todos os níveis, que correspondam às necessidades do mercado de trabalho; e sistemas fiáveis de garantia de qualidade. Para esse

efeito, exigem-se incentivos selectivos por parte das autoridades nacionais competentes para assegurar uma verdadeira adesão às reformas e não um mero cumprimento superficial das normas. Os currículos em determinadas disciplinas ou profissões deveriam ser renovados, com base em comparações e nas melhores práticas a nível europeu.

A directiva recente sobre o reconhecimento das qualificações profissionais¹¹ simplificou e acelerou o reconhecimento das qualificações para o exercício de uma profissão fora das fronteiras nacionais. Os procedimentos para o reconhecimento académico deveriam igualmente ser revistos a fim de assegurar resultados mais rápidos e mais fáceis de prognosticar (nomeadamente pela publicação das políticas de reconhecimento das universidades): tal como no caso do reconhecimento profissional, a Comissão sugere que **nenhum requerente deveria ter de esperar mais de quatro meses por uma decisão sobre o reconhecimento académico.**

2. ASSEGURAR UMA VERDADEIRA AUTONOMIA E RESPONSABILIZAÇÃO DAS UNIVERSIDADES

As universidades não se tornarão inovadoras nem terão capacidade de reagir à mudança se não lhes forem conferidas real autonomia e responsabilidade. Os Estados-Membros deveriam orientar o sector universitário como um todo através de um quadro de regras gerais, de objectivos políticos, de mecanismos de financiamento e incentivos para actividades de ensino, investigação e inovação. Como contrapartida de se libertarem de um quadro de regulação excessiva e dos ónus da microgestão, as universidades deveriam aceitar a plena responsabilidade institucional pelos seus resultados ante a sociedade em sentido lato.

Esta evolução passa pela instauração de **novos sistemas de governança internos** baseados em prioridades estratégicas e na gestão profissional dos recursos humanos, dos investimentos e dos processos administrativos, e requer igualmente que as universidades **superem a sua fragmentação** em faculdades, departamentos, laboratórios e unidades administrativas e concentrem os seus esforços colectivamente em prioridades institucionais para a investigação, a docência e os serviços. Os Estados-Membros deverão encorajar e recompensar a capacidade de gestão e de liderança no seio das universidades. Para tanto, poderiam instituir organismos nacionais vocacionados para a administração das universidades e para a formação em liderança, inspirando-se nos exemplos já existentes.

3. OFERECER INCENTIVOS PARA PARCERIAS ESTRUTURADAS COM A COMUNIDADE EMPRESARIAL

Ainda que a missão pública e o mandato social e cultural global das universidades europeias devam ser preservados, estas deveriam assumir-se cada vez mais como intervenientes de peso na economia, aptas a responder melhor e mais rapidamente às exigências do mercado e desenvolver parcerias capazes de aproveitar o conhecimento científico e tecnológico. Tal implica **o reconhecimento de que a sua relação com a comunidade empresarial é de uma importância estratégica** e faz parte do seu compromisso para servir o interesse público.

¹¹ Directiva 2005/36/CE adoptada em 7 de Setembro de 2005 e com entrada em vigor prevista para Outubro de 2007.

Parcerias estruturadas com a comunidade empresarial (incluindo PME) proporcionam às universidades oportunidades para melhorarem a partilha de resultados de investigação, de direitos de propriedade intelectual, de patentes e licenças (por exemplo através de *start-ups* sob a égide das universidades ou da criação de parques de ciência). Podem igualmente aumentar a relevância dos programas de educação e formação através da colocação de estudantes e investigadores em empresas, e melhorar as perspectivas de carreira dos investigadores em todas as fases da mesma, somando competências empresariais à especialização científica. Os laços com as empresas podem trazer financiamento adicional, por exemplo para expandir a capacidade de investigação ou oferecer cursos de reciclagem, e aumentarão a repercussão da investigação universitária nas PME e na inovação regional.

Para alcançar estas vantagens, as universidades, na sua maioria, precisarão do apoio externo para levar a cabo as necessárias mudanças organizacionais e desenvolver atitudes empresariais e competências de gestão. Para esse efeito, pode recorrer-se à criação a nível local de «*clusters* para a criação e transferência de conhecimento» ou ligações para o mundo empresarial, investigação conjunta ou serviços de transferência de conhecimento que actuem como interface com os operadores económicos locais regionais. Isso implica igualmente que o desenvolvimento de competências empresariais, de gestão e inovação passe a fazer parte integrante do ensino universitário, da formação em investigação e das estratégias de formação permanente para o pessoal universitário.

4. FORNECER A COMBINAÇÃO ADEQUADA DE APTIDÕES E COMPETÊNCIAS PARA O MERCADO DE TRABALHO

As universidades dispõem do potencial para desempenhar um papel vital no objectivo de Lisboa de equipar a Europa das aptidões e competências necessárias para se afirmar numa economia globalizada, baseada no conhecimento. No intuito de superar os desfasamentos persistentes entre qualificações dos diplomados do ensino superior e necessidades do mercado de trabalho, os programas universitários deveriam ser **estruturados por forma a melhorar directamente a empregabilidade dos diplomados** e oferecer um apoio amplo às forças de trabalho de modo mais geral. As universidades deveriam propor currículos, métodos de ensino e programas de formação/reciclagem inovadores, no âmbito dos quais sejam ministradas competências mais amplas directamente relacionadas com o emprego, em paralelo com as competências específicas a cada disciplina. Deveriam ser integrados nos currículos estágios nas empresas que conferem créditos. Isto aplica-se a todos os níveis de ensino, ou seja, programas de ciclo breve, licenciatura, mestrado e doutoramento. Implica igualmente propor cursos que não conferem diploma para adultos, por exemplo, cursos de reciclagem e cursos de transição para estudantes que não vêm dos percursos convencionais. Estas mudanças não deveriam limitar-se às necessidades do mercado de trabalho, mas ir mais além e estimular uma **mentalidade empreendedora** entre estudantes e investigadores.

A nível de doutoramento, tal significa que os candidatos que têm em vista uma carreira profissional na investigação devem adquirir competências em investigação e em gestão de direitos de propriedade intelectual, comunicação, ligação em rede, espírito empresarial e em trabalho de equipa, para além de formação em técnicas de investigação.

Em termos mais gerais, as universidades devem procurar agarrar de modo mais directo os desafios e oportunidades oferecidos pela **agenda da educação ao longo da vida**. A formação ao longo da vida representa um desafio, porquanto vai exigir que as universidades se

predisponham a oferecer cursos para estudantes nas fases mais tardias do ciclo de vida. Representa uma oportunidade para universidades que, de outro modo, se arriscariam a ver diminuir nos próximos anos o número de matrículas de estudantes vindos directamente das escolas, por força das mudanças demográficas que se adivinham.

Em resumo, ao passo que a inserção de diplomados no mercado de trabalho é uma responsabilidade compartilhada por empregadores, governos e agremiações profissionais, o êxito no mercado de trabalho deveria ser utilizado como um indicador (entre outros) da qualidade do desempenho universitário, e reconhecido e recompensado no quadro de sistemas de regulação, de financiamento e de avaliação.

5. REDUZIR O DÉFICE DE FINANCIAMENTO E ASSEGURAR MAIOR EFICÁCIA DO FINANCIAMENTO DO ENSINO E DA INVESTIGAÇÃO

Dado o papel importante das universidades na investigação europeia, o objectivo da UE de investir 3% do PIB em I&D em 2010 requer um maior investimento na investigação universitária¹². Como já foi assinalado no seu Relatório Anual de Progresso sobre a Estratégia de Lisboa¹³, a Comissão propõe que a União Europeia deveria também assumir o objectivo de, dentro de uma década, **afectar pelo menos 2% do PIB¹⁴ (compreendendo tanto financiamentos públicos como privados) a um sector do ensino superior modernizado**. Estudos da OCDE, por exemplo, revelam que o dinheiro investido na obtenção de qualificações universitárias tem um retorno superior ao das taxas de juro reais¹⁵.

Os actuais regimes de apoio a estudantes tendem a ser insuficientes para assegurar a igualdade de oportunidades de acesso e de êxito aos estudantes que provêm de meios menos favorecidos. Nesta situação inclui-se igualmente o acesso gratuito, que não garante necessariamente a justiça social. Os Estados-Membros deveriam portanto **examinar de modo crítico os moldes em que actualmente combinam propinas pagas pelos estudantes e esquemas de apoio, à luz da sua real eficácia e equidade**. A excelência no ensino e na investigação não pode ser alcançada se a origem socioeconómica constituir uma barreira ao acesso às carreiras de investigação.

As universidades deveriam ser financiadas mais pelo que fazem do que pelo que são, **devendo o financiamento orientar-se mais para os resultados do que para os inputs**, e adaptar-se à diversidade dos perfis institucionais¹⁶. As universidades deveriam assumir uma maior

¹² Cf. «Mais Investigação e Inovação – Investir no Crescimento e no Emprego: Uma Abordagem Comum», (2005) 488 de 12 de Outubro de 2005.

¹³ COM(2006)30 final de 25.1.2006.

¹⁴ A média da UE de 2002 de investimento directo nas universidades era de 1,1% comparada com o nível de 2,6% dos EUA. Menos de metade das despesas com educação nos EUA são financiadas por fontes públicas (despesas directas), enquanto na maioria dos Estados-Membros da UE ultrapassa os 75% (e em alguns está perto dos 100%). Fonte: EUROSTAT

¹⁵ *The Economics of Knowledge: why education is key for Europe's success*, (Andreas Schleicher, 2006) http://www.lisboncouncil.net/files/download/Policy_Brief_Economics_of_Knowledge_FINAL.pdf

¹⁶ As universidades orientadas para a investigação não deveriam ser avaliadas nem financiadas na mesma base que as que são mais fracas na vertente investigação e mais fortes no aspecto da integração de estudantes provenientes de grupos desfavorecidos ou que actuam como força motriz para a indústria e serviços locais. Para além das taxas de conclusão e duração média dos estudos e de emprego dos diplomados, deverão ser tidos em conta outros critérios para as universidades orientadas para a investigação: resultados de investigação, participações bem sucedidas em concursos para

responsabilidade na questão da sua própria sustentabilidade financeira a longo prazo, particularmente no tocante à investigação: tal implica uma diversificação proactiva das suas carteiras de financiamento de investigação através da colaboração com as empresas (incluindo sob a forma de consórcios transfronteiriços), fundações e outras fontes privadas.

Cada país deverá, por conseguinte, encontrar o justo equilíbrio entre financiamento de base, financiamento competitivo e financiamento baseado nos resultados (sustentado num sistema sólido de garantia de qualidade) para o ensino superior e a investigação universitária. O financiamento competitivo deveria ser baseado em sistemas de avaliação institucionais e em indicadores de desempenho diversificados, com objectivos claramente definidos e indicadores sustentados em avaliação comparativa internacional tanto para os *inputs* como para os resultados económicos ou de incidência social.

6. REFORÇAR A INTERDISCIPLINARIDADE E A TRANSDISCIPLINARIDADE

As universidades deveriam poder reconfigurar as suas agendas em matéria de ensino e investigação por forma a aproveitar as oportunidades oferecidas pelos novos desenvolvimentos nos campos existentes e pelas novas linhas emergentes da pesquisa científica. Para tal, deverão **centrar-se menos nas disciplinas científicas e privilegiar os domínios de investigação** (por exemplo, energias renováveis, nanotecnologia), pondo-os em relação mais estreita com os campos conexos ou complementares (incluindo ciências humanas, ciências sociais, competências empresariais e de gestão) e promovendo a interacção entre estudantes, investigadores e equipas de investigação mediante uma maior mobilidade entre disciplinas, sectores e contextos de investigação.

Tudo isto requer novas abordagens institucionais e organizacionais de gestão de pessoal, critérios de avaliação e de financiamento, ensino e currículos e, acima de tudo, de investigação e formação em investigação.

Importa que as implicações da interdisciplinaridade e da transdisciplinaridade sejam tomadas em consideração não só pelas universidades e pelos Estados-Membros, mas também pelas agremiações profissionais e conselhos de financiamento, que continuam a basear-se principalmente em mecanismos e estruturas de financiamento tradicionais e em avaliações monodisciplinares.

7. ACTIVAR OS CONHECIMENTOS MEDIANTE A INTERACÇÃO COM A SOCIEDADE.

A sociedade baseia-se cada vez mais no conhecimento, conhecimento esse que está a tomar o lugar dos recursos físicos como principal motor do crescimento económico. As universidades precisam, por conseguinte, pôr em evidência as suas actividades, particularmente aquelas que se prendem com a investigação, **partilhando conhecimentos com a sociedade e reforçando o diálogo com todas as partes interessadas**. A comunicação entre especialistas científicos e não-especialistas é indispensável mas frequentemente inexistente.

financiamento, publicações, citações, patentes e licenças, prémios académicos, parcerias industriais e/ou parcerias internacionais, etc.

Isto exige um empenhamento muito mais claro por parte das universidades nas oportunidades de formação ao longo da vida, mas também uma ampla estratégia de comunicação baseada em conferências, operações «portas abertas», colocações, fóruns de discussão, diálogos estruturados com alunos e com os cidadãos em geral bem como com os agentes locais/regionais. Uma colaboração com a educação formal e não-formal prévia e com as empresas (incluindo PME e outras pequenas entidades) poderá ser igualmente importante neste contexto.

Essa interacção com o mundo exterior fará com que as actividades das universidades em geral, e os seus programas de ensino, formação e investigação em particular, se tornem gradualmente mais pertinentes face às necessidades dos cidadãos e da sociedade em sentido lato. Ajudará as universidades a promover as suas diferentes actividades e a convencer a sociedade, os governos e o sector privado de que vale a pena investir nelas.

8. PREMIAR A EXCELÊNCIA AO NÍVEL MAIS ELEVADO

A excelência emerge da concorrência e é desenvolvida principalmente ao nível da faculdade/departamento, já que poucas universidades alcançam a excelência num espectro alargado de domínios. Uma **concorrência acrescida**, combinada com mais mobilidade e maior concentração de recursos, deveria permitir às universidades e seus parceiros na indústria oferecer um ambiente de trabalho mais aberto e estimulante para os estudantes e investigadores mais talentosos, tornando-os assim mais atractivos tanto para os europeus como para os não-europeus. As universidades devem estar em posição de **atrair os melhores académicos e investigadores**, de os recrutar por processos flexíveis, abertos e transparentes, de garantir aos investigadores principais e/ou chefes de equipa plena autonomia de investigação e de oferecer ao pessoal perspectivas de carreira atractivas¹⁷.

A excelência requer igualmente que os Estados-Membros revejam as oportunidades que oferecem aos níveis de mestrado, de doutoramento e de pós-graduação, incluindo a combinação de disciplinas e competências envolvidas. As oportunidades de pós-doutoramento ainda tendem a ser negligenciadas ou a incidir em matérias demasiado restritas. Neste âmbito, impõem-se mudanças de grande alcance. Cada universidade deveria identificar os domínios específicos em que pode alcançar excelência e concentrar-se neles.

A nível europeu, a excelência em escolas a nível de licenciatura/doutoramento deveria ser incentivada por meio da ligação em rede daqueles que cumprem os critérios-chave: massa crítica, transdisciplinaridade e interdisciplinaridade, forte dimensão europeia, apoio por parte das administrações públicas e da indústria, domínios de excelência identificados e reconhecidos, oferta de oportunidades de pós-doutoramento, garantia de qualidade apropriada, etc.

Neste contexto, assinalam-se duas iniciativas que irão reforçar particularmente a competição pela excelência: são elas a proposta de criação do Instituto Europeu de Tecnologia e o Conselho de Investigação Europeu¹⁸.

¹⁷ Os procedimentos relativos aos investigadores deverão estar em conformidade com a Recomendação da Comissão C(2005)576 relativa à Carta Europeia do Investigador e ao Código de Conduta para o Recrutamento de Investigadores.

¹⁸ COM(2005)441 final de 21.9.2005

9. TORNAR O ESPAÇO EUROPEU DO ENSINO SUPERIOR E O ESPAÇO EUROPEU DA INVESTIGAÇÃO MAIS VISÍVEIS E ATRACTIVOS A NÍVEL MUNDIAL

O desenvolvimento de uma ampla cooperação, de mobilidade e de redes entre universidades europeias ao longo das últimas décadas criou as condições ideais para uma maior internacionalização. Na sua maioria, as universidades dispõem agora de experiência com consórcios multilaterais e muitas delas participam em cursos conjuntos ou em convenções de diplomas duplos. Os mestrados Erasmus Mundus demonstraram a pertinência destas iniciativas - que são exclusivas da Europa - na arena internacional. **A incessante globalização implica que o espaço europeu do ensino superior e o espaço europeu da investigação têm de estar totalmente abertos ao mundo e tornar-se intervenientes competitivos à escala mundial.**

Para alcançar essa meta, é condição indispensável que a Europa faça um esforço sério no sentido de promover a qualidade das suas universidades e aumentar a sua atractividade e visibilidade a nível mundial.

Uma possibilidade, a nível europeu e dos Estados-Membros, consistiria em desenvolver uma cooperação internacional mais estruturada e apoiada pelos meios financeiros necessários com os países limítrofes da UE e com o resto do mundo, por meio de acordos bilaterais/multilaterais. Isto implica igualmente que os Estados-Membros, no respeito do compromisso da UE de não promover a fuga de cérebros, devem abrir os seus regimes de financiamento a não-europeus e oferecer oportunidades de intercâmbios interuniversitários de pessoal e, bem assim, oportunidades para que os investigadores e o pessoal académico não europeus desenvolvam actividades profissionais. Deveria também ser promovida a «circulação de cérebros» para os estudantes, docentes e investigadores europeus que tivessem decidido passar uma parte da sua carreira fora da Europa¹⁹. As pessoas que cumprem um destacamento temporário no estrangeiro são um trunfo para o país de envio e/ou de acolhimento porquanto constituem uma reserva de contactos profissionais no estrangeiro e funcionam como cabeças-de-ponte para a partilha do conhecimento. Com estes intercâmbios, sairá reforçada a visibilidade da Europa no ensino e investigação, tal como o seu estatuto de parceiro fiável no desenvolvimento do capital humano dos países terceiros.

Um ponto fundamental consiste em simplificar e acelerar os processos jurídicos e os procedimentos administrativos para a entrada dos estudantes e investigadores não pertencentes à UE. No que se refere à admissão e residência de investigadores de países terceiros, assinala-se que «o pacote do visto para investigadores», que consiste numa directiva e duas recomendações sobre a admissão de cidadãos de países terceiros para realizar investigação científica na Comunidade Europeia²⁰, foi adoptado em 2005 e deverá ser transposto para o direito nacional em 2007.

Construir uma imagem atractiva para as universidades europeias no mundo exige igualmente um esforço sério no sentido de tornar mais fácil o reconhecimento dos diplomas europeus fora

¹⁹ Cf. iniciativa-piloto Investigadores Europeus no Estrangeiro ((ERA-Link), <http://www.eurunion.org/legislat/ste/eralink.htm>

²⁰ Os três instrumentos foram publicados em 3 de Novembro de 2005 no Jornal Oficial L 289 de 3 de Novembro de 2005. As duas recomendações entraram imediatamente em vigor, enquanto os Estados-Membros terão dois anos (ou seja, até Novembro de 2007) para aplicar a directiva, assim como a Directiva 2004/114/CE Conselho, de 13 de Dezembro de 2004 (JO L 370 de 23.12.2004).

da Europa. Porém, em primeiro lugar, há que alcançar o pleno reconhecimento dentro da UE; a recente directiva relativa ao reconhecimento das qualificações profissionais já conseguiu simplificar o reconhecimento para fins profissionais. **São ainda necessários mais esforços no que respeita ao reconhecimento académico.** Para isso contribuirá o quadro coerente de qualificações e de sistemas compatíveis de garantia de qualidade actualmente em desenvolvimento²¹. A existência de mais cursos "europeus", oferecidos conjuntamente por consórcios de universidades e que conferem diplomas conjuntos ou duplos a nível de mestrado ou de doutoramento, também contribuirá para tornar a Europa mais atractiva para estudantes, docentes e investigadores do resto do mundo.

....E O QUE PODE E DEVE FAZER A COMISSÃO

A Comissão não é um interveniente directo na modernização das universidades, mas pode desempenhar um papel catalisador, imprimindo um ímpeto político e concedendo financiamento específico para apoiar a reforma e a modernização.

A Comissão pode apoiar um novo impulso político mediante a interacção coordenada com os Estados-Membros através do método aberto de coordenação, identificando e divulgando as melhores práticas e apoiando os Estados-Membros nos seus esforços em prol de regimes universitários mais eficazes. Mais concretamente, os «clusters» de aprendizagem pelos pares criados no âmbito do programa de trabalho Educação e Formação 2010 constituem um meio eficaz de explorar em que moldes é que se podem vencer os desafios que as universidades da União Europeia enfrentam. Ao oferecer um fórum para o intercâmbio das melhores práticas e para o levantamento de soluções inovadoras, o nível europeu pode representar um genuíno valor acrescentado²². A Comissão pode facilitar o diálogo entre universidades, parceiros sociais e empregadores, no intuito de fomentar parcerias estruturadas com o mundo empresarial.

Poderá igualmente conceder financiamento, com impacto significativo na qualidade e no desempenho das universidades. Esse financiamento pode assumir a forma de incentivos para ajudar as universidades a cumprir os objectivos enunciados na presente comunicação. Entre esses mecanismos contam-se não só os novos programas para 2007-2013 (o 7.º programa-quadro para a investigação e o desenvolvimento, o programa de formação ao longo da vida, o programa de competitividade e inovação), mas também os fundos estruturais e os empréstimos do BEI²³.

Os fundos estruturais podem conceder financiamento para a melhoria dos recursos e instalações das universidades, a promoção de parcerias entre os sectores académico e empresarial e o apoio à investigação e inovação pertinentes em relação aos objectivos de desenvolvimento económico dos Estados-Membros ou das regiões. O sistema de gestão descentralizada dos Fundos Estruturais permite levar em linha de conta as especificidades regionais. Os Estados-Membros, as autoridades regionais e as universidades deveriam

²¹ Por exemplo, por meio da recente Recomendação do Parlamento Europeu e do Conselho sobre garantia de qualidade no ensino superior (JO L64 de 4.3.2006) e por meio das consultas relativas a um quadro de qualificações europeu.

²² Um exemplo apropriado pode ser o aumento da capacidade de gestão no seio das universidades, a que se faz referência no capítulo 2.

²³ O apoio descrito neste capítulo está dependente da adopção do programa e a demais legislação pertinente.

aproveitar ao máximo estas oportunidades de melhorar as sinergias entre o ensino, a investigação e a inovação, em particular nos Estados-Membros e nas regiões da UE economicamente menos desenvolvidos.

O projectado Instituto Europeu de Tecnologia terá uma estrutura de governança que contempla excelência, interdisciplinaridade, ligação em rede entre centros e entre academias e empresas, reflectindo assim as mensagens da presente comunicação. Desta forma, para além da sua contribuição directa para reforçar o ensino científico, a investigação e a inovação da Europa, funcionará como porta-estandarte revelador do valor da abordagem modernizada e do modo de governança e de parceria com o mundo empresarial.

CONCLUSÕES

As universidades são agentes-chave para o futuro da Europa e para a transição bem sucedida para uma economia e sociedade baseadas no conhecimento. No entanto, este sector crucial da economia e da sociedade carece de profunda reestruturação e modernização, condição indispensável para que a Europa não perca na concorrência global que impera no ensino, na investigação e na inovação.

Levar a cabo esta reestruturação e modernização requer uma acção coordenada de todas as partes implicadas:

- Os Estados-Membros, ao aplicarem as orientações integradas para o crescimento e o emprego²⁴ e os respectivos programas nacionais de reformas, têm de adoptar as medidas necessárias em relação às universidades, tendo em conta aspectos como a administração, a concessão de uma real autonomia e responsabilização às universidades, as capacidades de inovação, o acesso ao ensino superior e a adaptação dos sistemas de ensino superior às novas exigências em matéria de competências.
- As universidades, pelo seu lado, têm de fazer opções estratégicas e levar avante as suas reformas internas a fim de alargar a sua base de financiamento, reforçar as suas áreas de excelência e melhorar a sua posição competitiva; parcerias estruturadas com o mundo empresarial e outros parceiros potenciais serão indispensáveis para estas transformações.
- A Comissão pode dar o seu contributo mediante a aplicação do Programa Comunitário de Lisboa²⁵, mediante o diálogo político e a aprendizagem recíproca, em particular no âmbito do programa de trabalho Educação e Formação 2010, e mediante a prestação de apoio financeiro aos Estados-Membros e às universidades para os seus esforços de modernização.

A Comissão convida o Conselho Europeu a emitir uma mensagem clara sobre a determinação da UE em alcançar a necessária reestruturação e modernização das universidades, e a instar com todas as partes interessadas para que tomem medidas imediatas para levar avante esta agenda.

²⁴ Em particular as orientações n.º 7 (R&D), n.º 8 (inovação) n.º 23 (investimento em capital humano) e n.º 24 (adaptação às novas exigências em matéria de competências).

²⁵ COM(2005)330 final de 20.7.2005.

Anexo 1

Quadros estatísticos

Quadro 1:

Défice de financiamento em investimento na investigação (para investigação realizada por todos os agentes, incluindo universidades) em 2003

	UE 25	EUA	Japão
Intensidade de I&D em % do PIB	1,92	2,59	3,15

Fonte: Estimativas das DG RTD e EAC, baseadas em dados do EUROSTAT

Quadro 2:

Taxas brutas de matrícula (totalidade dos estudantes, independentemente da idade, em % da população em idade de realizar estudos universitários) no ensino superior em 2003

	UE 25	EUA	Japão
Totalidade dos estudantes em % da população da faixa etária 20-24	57%	81%	50%

Fonte: EUROSTAT

Quadro 3:

Taxas de matrícula de adultos no ensino superior em 2003

	UE 25	EUA	Japão
% da população de 30-39 no ensino superior	30-34 anos: 4,1%	30-34 anos: 7,0%	:
	35-39 anos: 1,8%	35-39 anos: 4,9%	:

Fonte: EUROSTAT

Quadro 4:

Produção e emprego de investigadores em 2003

		UE 25	EUA	Japão
Novos doutorados	Todas disciplinas as	88 100*	46 000	14 500
	Matemática, Ciência e Tecnologia e	37 000	16 200	5 500
Emprego de investigadores (ETI)	Número total	1 167 000	1 335 000 ²⁶	675 000
	Investigadores por 1000 pessoas nas forças de trabalho	5,5	9,1 ²⁷	10,1

Fonte: EUROSTAT e OCDE

Nota: Faltam os dados relativos à Grécia

Quadro 5:

Quota mundial no total de famílias de patentes «triádicas» (patentes registadas simultaneamente na UE, nos EUA e no Japão) em 2000, em %

²⁶ Estimativas da OCDE para 2002.

²⁷ Valores de 2002.

	UE 25	EUA	Japão
Quota no total das famílias de patentes «triádicas»	31,5	34,3	26,9

Fonte: DG RDT, Números-chave 2005

Quadro 6: Taxas de desemprego de diplomados em 2003

	UE 25	EUA	Japão
Taxa de desemprego da população de 20-24 que concluiu o ensino superior	12,3	1,6	:
Taxa de desemprego da população de 25-29 que concluiu o ensino superior	8,5	2,6	:

Fonte: EUROSTAT e OCDE

Quadro 7:

Percentagem de estudantes estrangeiros (segundo a nacionalidade) na totalidade dos estudantes do ensino superior em 2003

	Austrália	Suíça	Nova Zelândia	UE 25	Noruega	EU A	Japão	Rússia	Coreia
Percentagem de estudantes estrangeiros na totalidade dos estudantes do ensino superior	18,7	17,7	13,5	6,2	5,2	3,5	2,2	0,8	0,2

Fonte: EUROSTAT e OCDE

Anexo 2

Agradecimentos

Na preparação do presente documento, a Comissão consultou a título pessoal as seguintes individualidades:

Vladimir Bálež (Universidade Técnica Eslovaca, Bratislava)

Olivier Blanchard (Instituto de Tecnologia de Massachusetts, EUA);

Ivor Crewe (Universidade de Essex, Reino Unido);

Federico Mayor Saragoça (Fundação Cultura de Paz, Madrid);

Linda Nielsen (Universidade de Copenhaga);

Mario Monti (Universidade Bocconi, Milão);

Janeiro Sokol (Universidade Karlova, Praga);

Georg Winckler (Universidade de Viena).

Deram o seu contributo a título pessoal, cabendo toda a responsabilidade pelo documento à Comissão Europeia.

A Comissão gostaria igualmente de agradecer aos membros do *Fórum da Investigação no Contexto Universitário* pela sua contribuição para o debate sobre os assuntos tratados na presente comunicação.
http://europa.eu.int/comm/research/conferences/2004/univ/pdf/enhancing_euoperesearchbase_en.pdf



COMISSÃO DAS COMUNIDADES EUROPEIAS

Bruxelas, 20.4.2005
COM(2005) 152 final

COMUNICAÇÃO DA COMISSÃO

**Mobilizar os recursos intelectuais da Europa:
Criar condições para que as universidades dêem o seu pleno contributo para a
Estratégia de Lisboa**

{SEC(2005) 518}

COMUNICAÇÃO DA COMISSÃO

Mobilizar os recursos intelectuais da Europa:

Criar condições para que as universidades dêem o seu pleno contributo para a Estratégia de Lisboa

“A busca do saber esteve desde sempre no âmago da aventura europeia. Contribuiu para definir a nossa identidade e os nossos valores e é a força motriz da nossa futura competitividade”¹.

1. AS UNIVERSIDADES SÃO ESSENCIAIS PARA A CONSECUÇÃO DOS OBJECTIVOS DE LISBOA

Nos próximos vinte anos, o modelo económico da Europa mudará radicalmente. A sua base transformadora continuará a reduzir-se, o crescimento e a protecção social dependerão cada vez mais de indústrias e serviços que exigem um alto nível de conhecimentos, e crescerá o número de empregos que exigem qualificações de nível universitário. Não entanto, as universidades europeias², motores do novo paradigma fundado no conhecimento, não estão em condições de dar o seu pleno contributo para a relançada estratégia de Lisboa.

A Europa tem de reforçar os três vértices do seu triângulo do conhecimento: educação, investigação e inovação. As universidades são essenciais em todos esses domínios. Investir mais e melhor na modernização e na qualidade das universidades é um investimento no futuro da Europa e dos cidadãos europeus.

O presente documento, que enuncia diferentes vias para se alcançar esse objectivo, baseia-se na consulta às partes interessadas lançada pela Comunicação da Comissão intitulada “O papel das universidades na Europa do conhecimento”³, de 2003, a que foi dado um duplo seguimento:

- os resultados da consulta respeitantes às questões relativas à investigação foram analisados⁴ à luz de dois relatórios que versavam sobre as relações entre ensino superior e investigação⁵ e foram objecto de debate numa grande conferência que teve lugar em Liège em Abril de 2004⁶; o futuro plano de acção sobre a investigação universitária (um documento paralelo à presente Comunicação) abordará o papel das universidades na investigação;
- os resultados respeitantes às questões relativas ao ensino superior foram analisados⁷ no quadro do programa de trabalho “Educação e Formação 2010”⁸ e

¹ Revisão intercalar da Estratégia de Lisboa, COM(2005) 24 de 2 de Fevereiro de 2005 (§ 3.3.2).

² O termo «universidades» designa qualquer instituição de ensino superior.

³ COM(2003) 58 de 5 de Fevereiro de 2003.

⁴ http://europa.eu.int/comm/research/conferences/2004/univ/pdf/univ_outcome_consult_en.pdf

⁵ Do grupo de peritos STRATA-ETAN, Outubro de 2002 e Novembro de 2003.

⁶ http://europa.eu.int/comm/research/conferences/2004/univ/index_en.html

⁷ http://europa.eu.int/comm/education/policies/2010/consultation_en.html

⁸ Documento do Concelho 6365/02, de 20 de Fevereiro de 2002.

debatidos na conferência “Criar as condições para que as universidades europeias dêem o seu pleno contributo para a estratégia de Lisboa”, de Fevereiro de 2005⁹.

A presente Comunicação baseia-se em grande medida em opiniões convergentes recolhidas no processo de consulta, que identificaram os três grandes imperativos para o ensino superior europeu: atingir um padrão de qualidade mundial, melhorar a governança e aumentar e diversificar o financiamento. A acção que é sugerida nestes três domínios tem plenamente em conta o princípio da subsidiariedade, de acordo com o qual os Estados-Membros são responsáveis pela organização do seu ensino superior.

2. DESAFIOS CADA VEZ MAIS DIFÍCEIS

Esta secção deverá ser lida em conjunto com o documento de trabalho dos serviços da Comissão intitulado “O ensino superior europeu numa perspectiva mundial”, que a complementa, com a análise e apresentação de dados estatísticos e indicadores (principalmente a Secção III e o Anexo Estatísticos, quadros 3, 4, 5 e 8).

2.1. Diferenças em matéria de recursos humanos e níveis de inovação

Níveis de consecução de estudos superiores

Ainda que a Europa seja incontestavelmente uma sociedade altamente instruída, só 21% da população da UE em idade activa concluíram estudos superiores, um número que se situa muito abaixo dos EUA (38%), do Canadá (43%), do Japão (36%) e da Coreia do Sul (26%).

Acesso ao ensino superior

Muito embora uma grande parte da Europa veja o ensino superior como um “bem público”, as matrículas neste grau de ensino cresceram mais rapidamente noutras partes do mundo, graças sobretudo a um financiamento privado muito mais elevado. Com uma taxa bruta média de matrículas de 52%, a UE está ligeiramente à frente do Japão (49%), mas está atrasada em relação ao Canadá (59%) e mais ainda em relação aos EUA (81%) e à Coreia do Sul (82%).

Desempenho da investigação

Ainda que a União Europeia conte globalmente mais diplomados em ciências e tecnologia e mais titulares de um doutoramento, apenas emprego 5,5 investigadores por 1 000 empregados, um atraso marginal em relação ao Canadá e à Coreia do Sul, mas em forte perda em comparação com os EUA (9,0) e o Japão (9,7). Dois estudos recentes que se debruçaram sobre a investigação revelaram que, com excepção de um punhado na Grã-Bretanha, entre as vinte melhores universidades do mundo não figura nenhuma da União Europeia e relativamente poucas entre as melhores cinquenta¹⁰. O rápido crescimento das universidades asiáticas, tanto públicas como privadas, está já a rivalizar com a Europa – e os EUA – no que respeita ao número de doutorandos nos domínios científicos e técnicos¹¹.

⁹ http://europa.eu.int/comm/education/policies/2010/lisbon_en.html

¹⁰ Inquéritos realizados pela Shanghai Jiao Tong University, <http://ed.sjtu.edu.cn/ranking.htm> e por Times Higher Education Supplement, 5 de Novembro de 2004.

¹¹ International graduate admissions survey, US Council of Graduate Schools, Dezembro de 2004.

2.2. Os estrangulamentos

Uniformidade

A tendência para a uniformidade e igualitarismo que predomina em muitos sistemas nacionais tem permitido que a qualidade média das universidades, ainda que geralmente homogénea, seja comparativamente boa, pelo menos no que toca ao aspecto académico. Mas também se registam deficiências que têm origem numa insuficiente diferenciação. As universidades, na sua maioria, tendem a oferecer os mesmos programas monodisciplinares e utilizam métodos tradicionais orientados para o mesmo grupo de estudantes academicamente mais bem qualificados, o que leva à exclusão daqueles que não se ajustam ao modelo. Outras consequências desta situação são a escassez na Europa de centros de excelência à escala mundial e o pouco estímulo que têm as universidades para explicarem, no seu próprio país e no estrangeiro, o valor específico daquilo que produzem para os estudantes e para a sociedade.

Isolamento

O ensino superior europeu continua fragmentado – entre diferentes países e mesmo dentro de cada país – em grupos de média ou pequena dimensão, regidos por diferentes regulamentações e utilizando, como é óbvio, diferentes línguas. Para recuperar a sua posição como principal destino dos estudantes em mobilidade, distinção que perdeu para os EUA nos anos noventa, o ensino superior europeu terá que se tornar “legível” no mundo. Além disso, permanece demasiado isolado da indústria, com uma limitada partilha do conhecimento e fraca mobilidade. Como consequência, um número demasiado elevado de diplomados – incluindo ao nível mais elevado – não estão dotados do espírito empresarial e das qualificações pretendidas no mercado de trabalho. As universidades, na sua maioria, dependem em larga medida do Estado e estão mal preparadas para participarem na corrida mundial aos talentos, ao prestígio e aos recursos.

Excessiva regulamentação

A excessiva regulamentação da vida das universidades entrava a sua modernização e eficácia. A concepção dos cursos à escala nacional e as normas de recrutamento de pessoal universitário tendem a inibir a reforma curricular e a interdisciplinaridade. A rigidez das normas de admissão e de reconhecimento constituem um obstáculo à aprendizagem ao longo da vida e à mobilidade. Condições pouco atractivas levam os jovens talentos a procurar em qualquer outra parte um acesso mais rápido à independência e a condições salariais mais vantajosas. Os controlos minuciosos *ex ante* diminuem a capacidade das universidades de se adaptarem prontamente às mudanças que ocorrem no ambiente que as rodeia. Quando as mudanças requerem forçosamente uma alteração da legislação, as reformas tendem a ser raras, perturbadoras e uniformes.

Financiamento insuficiente

As universidades encontram-se numa encruzilhada para onde convergem dois enormes défices de investimento no sector do conhecimento:

- na investigação, os países da UE gastam 1,9% do PIB, ao passo que os EUA, o Japão e a Coreia do Sul se aproximam dos 3%, graças a um investimento muito mais elevado por parte da indústria;

- no ensino superior, os países da UE gastam em média apenas 1,1% do PIB, em igualdade com o Japão, mas muito abaixo do Canadá (2,5%), dos EUA (2,7%) e da Coreia do Sul (2,7%). Esta situação explica-se quase inteiramente pelos níveis muito mais baixos de investimento da indústria e das famílias na Europa. Para igualar este valor dos EUA, a Europa necessitaria de gastar cada ano mais 150 000 milhões de euros no ensino superior¹².

Num plano estratégico, as consequências do baixo nível de financiamento e da dependência face aos dinheiros públicos não se limitam à pobreza relativa do sector do ensino superior, mas manifestam-se, com diferenças de um país para outro, sob a forma de outros problemas, que vão desde os baixos níveis de matrícula no ensino superior à impossibilidade de satisfazer a procura, passando pela incapacidade de preparar os estudantes para o mercado de trabalho europeu, a escassez de postos de trabalho para professores/investigadores e as dificuldades para atrair e reter os grandes talentos.

3. PRIORIDADES DO PROGRAMA DE MODERNIZAÇÃO: CAPACIDADE DE ATRACÇÃO, GOVERNANÇA E FINANCIAMENTO

Os estrangulamentos mencionados atrás são mais ou menos pronunciados consoante o Estado-Membro, mas, para a UE, o que é fundamental é que eles sejam eliminados em todo o território da União. O processo de consulta deixou claro que há soluções, mas que requerem intervenção em três direcções.

3.1. Capacidade de atracção: o imperativo de qualidade e de excelência

Melhorar a qualidade e reforçar a capacidade de atracção implica transformações importantes nas universidades. Os responsáveis pela introdução destas carecem de apoio específico (incluindo o financiamento) da sociedade envolvente. As universidades que não conseguirem empreender estas mudanças – por falta de iniciativa, de capacidade de actuação, ou de recursos – agravarão a sua situação de desvantagem, que atingirá também os seus diplomados e até o seu próprio país.

3.1.1. Diferenciação em qualidade e excelência

Mobilizar todos os recursos intelectuais da Europa e aplicar esta massa cinzenta na economia e na sociedade irá exigir um grau de diversidade muito superior ao que até agora se verificava em relação aos grupos destinatários, aos modos de ensino, aos pontos de entrada e saída, à combinação de disciplinas e competências nos curricula, etc.

Uma qualidade excepcional só pode surgir de um terreno previamente fertilizado com uma "cultura da excelência" generalizada. A excelência nunca é um objectivo acabado: é preciso pô-la em questão constantemente. É possível que se manifeste nalgumas universidades tomadas na sua globalidade, mas encontra-se muito mais amiúde em faculdades ou em equipas integradas em instituições ou redes mais amplas. A natureza e a intensidade da investigação (tal como de outras actividades) varia consideravelmente entre os países, tipos de instituição ou universidades. Cada universidade tem de realizar o seu máximo potencial em função dos seus próprios pontos fortes e das suas prioridades, devendo por conseguinte estar em condições de os identificar e de neles concentrar os seus esforços.

¹² Documento de trabalho dos serviços da Comissão, § 44.

Tal exige uma certa concentração do financiamento, não apenas nos centros e nas redes que já alcançaram um nível de excelência (num determinado tipo/área de investigação, ensino/formação ou serviço comunitário), mas também naqueles que têm potencial para alcançar a excelência e desafiar os líderes estabelecidos.

3.1.2. Factores que podem concorrer para atrair mais estudantes

Maior flexibilidade e abertura ao mundo no ensino/aprendizagem

Para que as universidades possam reforçar a sua capacidade de atracção a nível local e internacional, é preciso proceder a uma profunda revisão curricular, não apenas para assegurar o mais alto nível de conteúdo académico, mas também para responder às necessidades em mudança dos mercados de trabalho. A integração dos diplomados na vida profissional e, consequentemente, na sociedade, é uma responsabilidade social fundamental do ensino superior. A aprendizagem tem de abarcar competências transversais (como o trabalho em equipa e o espírito empresarial), para além do conhecimento especializado. Os aspectos europeus e interdisciplinares têm de ser reforçados. Deveria aproveitar-se plenamente o potencial que encerram as TIC no ensino/aprendizagem, incluindo na aprendizagem ao longo da vida. A divisão em dois ciclos (licenciatura e mestrado) permite diversificar mais os perfis de programas e os métodos de aprendizagem (por exemplo, aprendizagem baseada na investigação e utilização das TIC).

Acesso mais amplo

Com o aparecimento de novos tipos de estudantes, a diversificação dos programas, o incremento da mobilidade através da Europa, a melhoria da orientação e do aconselhamento (antes e durante o ensino superior), ganham cada vez mais importância as políticas de ingresso flexíveis e as trajectórias de aprendizagem personalizadas. Trata-se de elementos determinantes para alargar o acesso, apoiar o empenhamento do estudante e aumentar o êxito e a eficácia, independentemente de a admissão se fazer por concurso ou não. Os sistemas de bolsas/empréstimos, o alojamento acessível e o trabalho a tempo parcial ou como assistente são outros tantos elementos que contribuem para tornar as universidades atractivas e acessíveis a uma população suficientemente vasta de estudantes, quebrando-se assim o vínculo entre origem social e nível de habilitações atingido.

Melhor comunicação

Enquanto as universidades têm tendência para presumir que a boa qualidade faz a sua própria publicidade, a capacidade de atracção é uma questão de percepção. A instauração de uma estrutura coerente de diplomas, os créditos ECTS, o suplemento ao diploma e os rótulos de qualidade fidedignos concorrerão para o reconhecimento dos diplomas europeus. Mas não chega: as universidades têm de comunicar melhor com a sociedade sobre o valor daquilo que produzem, e investir mais na sua presença e no marketing no seu próprio país e no estrangeiro. Nem todas estão preparadas para isso.

3.1.3. Meios para reforçar os recursos humanos

Os recursos humanos são um factor determinante da qualidade do ensino superior e da investigação. Por conseguinte, as universidades têm de se empenhar em reforçar o seu potencial humano, tanto qualitativa como quantitativamente, atraindo, desenvolvendo e mantendo talentos na carreira do ensino e/ou de investigação. A excelência só pode surgir de um ambiente profissional favorável baseado sobretudo em procedimentos abertos, transparentes e competitivos. As vagas, pelo menos para reitor, deão, professores e investigadores devem ser publicadas, e, sempre que possível, a nível internacional. Os investigadores devem ser tratados como profissionais desde o início da sua carreira¹³. A mobilidade física e virtual (quer se trate de mobilidade transfronteiras, quer entre a universidade e a indústria) e a inovação que conduza, por exemplo, à criação de empresas deveriam ser encorajadas e recompensadas¹⁴. Dever-se-á recompensar a qualidade e o bom desempenho no exercício de todas as tarefas, incluindo sob a forma de uma participação nos rendimentos procedentes de contratos de investigação, serviços de consultoria, patentes, etc. Com o tempo, estas medidas irão reforçar a excelência mundial das universidades europeias, reduzindo deste modo o défice de capacidade de atracção face a outras regiões do globo, o que aproveitaria a toda a Europa, com a ida ou o regresso de diplomados altamente qualificados às universidades mais regionais, quer de imediato, quer num momento posterior das suas carreiras.

3.1.4. A diversidade requer uma organização à escala europeia.

O ensino superior europeu é e deverá manter-se diversificado no que se refere às línguas, à cultura, aos sistemas e às tradições. Ao mesmo tempo, é indispensável garantir um suficiente grau de compatibilidade entre as diferentes regulamentações nacionais, a fim de evitar que essa diversidade redunde em confusão em prejuízo de um enriquecimento da oferta de oportunidades de escolha e de mobilidade dos cidadãos. O reconhecimento mútuo das qualificações e competências exige um nível mínimo de organização a nível europeu sob a forma de referências e de normas de base comuns.

Criar um quadro europeu de qualificações do ensino superior é um objectivo importante do processo de Bolonha¹⁵. Se for adoptada, a proposta que irá ser apresentada aos Ministros na sua próxima reunião em Bergen constituirá uma referência comum não só para todos os diferentes tipos de diplomas de licenciatura, mestrado e doutoramento, mas também para

¹³ Cf. Recomendação da Comissão, de 11 de Março de 2005, relativa à Carta Europeia do Investigador e ao Código de conduta para o recrutamento de investigadores, <http://europa.eu.int/eracareers/europeancharter>.

¹⁴ Cf. idem.

¹⁵ Comunicado dos Ministros, Berlim, 19 de Setembro de 2003, <http://www.bologna-bergen2005.no>.

outras qualificações pós-secundárias “mais curtas” que se situam em torno do nível nocional de 120 créditos ECTS. Desta forma, a proposta integrar-se-á no quadro europeu de qualificações (QEQ) global preconizado na Estratégia de Lisboa para abarcar todos os tipos e níveis de qualificações¹⁶.

A qualidade depende antes de mais da existência de uma “cultura da qualidade” e de mecanismos internos de garantia da qualidade (GQ) nas universidades, tanto mais que a universidade actua próximo da fronteira do conhecimento. Mas a responsabilidade das universidades ante a sociedade exige também um sistema exterior de garantia da qualidade. Na Europa, este sistema deverá funcionar através de uma rede de agências da garantia da qualidade, cada uma delas responsável por um país ou região, ou por uma disciplina/profissão, que deverão acordar nalguns critérios de base no intuito de facilitar o reconhecimento mútuo dos rótulos de qualidade em toda a União¹⁷. Salvo as poucas universidades que criaram as suas próprias imagens de marca, as universidades europeias necessitam de rótulos de qualidade que gozem de credibilidade internacional. Caso não consigam dotar-se desses rótulos de qualidade, continuarão a padecer dessa desvantagem competitiva.

3.2. Governança: a necessidade de uma melhor gestão do sistema e das instituições

A reivindicação de maior autonomia por parte das universidades não implica necessariamente a retirada do Estado: muito pelo contrário, na Europa existe uma posição quase consensual de que o Estado deve manter ou mesmo reforçar a sua responsabilidade em matéria de ensino superior.

As universidades estão a reivindicar um novo tipo de relação (ou de “contrato”) com a sociedade, nos termos do qual serão responsáveis e obrigadas a prestar contas pelos seus programas, pelo seu pessoal e recursos, enquanto os poderes públicos se concentrarão na orientação estratégica do sistema no seu conjunto.

3.2.1. Reforçar a responsabilidade pública pelo ensino superior enquanto sistema

Ao concentrar-se na orientação estratégica do sistema no seu conjunto, o Estado terá mãos livres para reforçar a sua responsabilidade pública pelo ensino superior na era do conhecimento, sobretudo pela definição de um quadro regulador nos termos do qual a orientação estratégica em conjunção com a autonomia e a diversidade se traduzam num acesso mais amplo e no aumento da qualidade.

Em muitos países, tal obrigaria a uma nova abordagem nos ministérios, com uma redução dos controlos *ex ante*, e maior responsabilização *ex post* das universidades pela sua qualidade e eficiência e pelo cumprimento dos objectivos acordados. Esta evolução passaria obrigatoriamente por uma extensa formação, com vista a permitir aos administradores universitários planear e gerir a mudança de maneira estratégica e numa perspectiva europeia/internacional.

¹⁶ Relatório Intercalar Conjunto, Documento 6905/04 do Conselho, de 3 de Março de 2004, ponto 2.3.1.

¹⁷ O projecto de Recomendação da Comissão sobre a garantia da qualidade no ensino superior, COM (2004) 642 de 12 de Outubro de 2004, funda-se precisamente neste princípio.

3.2.2. *Permitir às instituições aplicar estratégias de modernização*

Há uma maioria de universidades que considera que os seus regulamentos nacionais não lhes permitem, no momento presente, empreender as mudanças necessárias para o seu futuro. Num ambiente aberto, competitivo e evolutivo, a autonomia é uma condição indispensável para que as universidades possam responder às necessidades em mudança da sociedade e assumir plenamente a responsabilidade por essas respostas.

As universidades deverão ser responsáveis por:

- fixar prioridades específicas a médio prazo (nomeadamente definindo tipos/áreas de investigação, ensino e serviços nos quais atingirão uma qualidade excepcional) e orientar o esforço colectivo do seu pessoal para a realização dessas prioridades;
- gerir e desenvolver os seus recursos humanos (cf. ponto 3.1.3);
- definir os seus curricula – subordinados aos mecanismos internos de garantia da qualidade, em conformidade com os princípios comuns do Espaço Europeu de Ensino Superior;
- gerir profissionalmente as suas instalações (posse, exploração e desenvolvimento), os seus recursos financeiros (incluindo orçamentos, investimentos e empréstimos) e a comunicação externa (construção de uma imagem de marca).

3.3. **Financiamento: necessidade de investir mais e com mais eficácia**

Dada a excessiva duração dos estudos às altas taxas de abandono e de desemprego entre os diplomados, um maior investimento no sistema actual pode ser visto como improdutivo, ou mesmo contraproducente. No entanto, nalguns países, os efeitos combinados da insuficiência de investimento e da rigidez do sistema são tão marcantes que impedem o processo de reforma nas universidades, que assim se vêem apanhadas num círculo vicioso.

Para atrair mais financiamento, as universidades têm em primeiro lugar de convencer as partes interessadas – governos, empresas, famílias – de que os recursos existentes são usados com eficácia e de que os novos recursos criarão valor acrescentado que os beneficiará. Não há forma de justificar um financiamento mais elevado sem a introdução de mudanças profundas: propiciar essas mudanças é a principal justificação e o propósito primordial dos novos investimentos.

3.3.1. *Prioridades de investimento para a modernização do ensino superior*

Um dos principais argumentos invocados pelas universidades é o de que reformas do alcance das que são necessárias na Europa não podem ser introduzidas de maneira sustentável sem novos recursos (orientados)¹⁸. Estas reformas exigem recursos humanos específicos, formação, desenvolvimento das TIC, etc. e, por conseguinte, fundos específicos, a juntar aos que se destinam a cobrir as actividades correntes.

O financiamento adicional deverá antes de mais prover incentivos e meios para aquelas universidades (que existem em todos os sistemas) e aqueles grupos/particulares (que existem

¹⁸ Cf. Consulta das partes interessadas e estudo *Trends IV* das reformas de Bolonha, EUA, Março de 2005.

em cada universidade) que têm vontade e capacidade de inovar, reformar e atingir um elevado nível de qualidade no ensino, na investigação e nos serviços. Para esse efeito, importa que o financiamento passe a ser determinado pela concorrência no domínio da investigação e pela produção de resultados na educação.

3.3.2. Contribuições dos estudantes e da indústria

O debate sobre as vantagens sociais e privadas do ensino superior veio demonstrar quão benéfico é o investimento no ensino superior tanto para os particulares (aos quais proporciona maiores rendimentos e estatuto social) como para a sociedade no seu conjunto (taxas de emprego mais elevadas, custos sociais mais baixos e carreiras profissionais mais longas¹⁹). Também ficou demonstrado que o ensino superior gratuito só por si não é suficiente para garantir a igualdade de acesso e maximizar as matrículas. Este elemento vem colocar a tão controversa questão das propinas sob uma nova perspectiva. Na consulta, as universidades que preconizam um aumento das propinas sugerem que deste modo se obterá uma melhoria da qualidade do ensino. Alguns analistas também vêem no aumento das propinas uma forma de, na prática, proporcionar um melhor acesso aos estudantes provenientes de grupos de população com menores rendimentos, caso os fundos suplementares fossem reciclados num sistema eficaz de apoio aos estudantes²⁰. Dadas as diferenças entre os sistemas nacionais, não se pode esperar uma resposta uniforme para esta questão: cada Estado-Membro terá de encontrar a abordagem que mais se adequa às suas circunstâncias.

As universidades europeias têm também de se converter em parceiros mais atractivos para a indústria. São necessárias parcerias duradouras para permitir intercâmbios estruturados de pessoal e o desenvolvimento de curricula que respondam à necessidade da indústria em matéria de diplomados e de investigadores bem formados. Mas o desenvolvimento de formação/reciclagem, investigação e serviços de consultoria com interesse comercial exige investimento ao longo de alguns anos até que estas actividades comecem a ser rentáveis, sobretudo se as subvenções públicas forem reduzidas proporcionalmente. Tal significa que o estabelecimento de parcerias duradouras com a indústria poderá depender (pelo menos inicialmente) da disponibilidade de incentivos fiscais.

4. PRIORIDADES DE ACÇÃO

As principais direcções que deverão nortear a modernização das universidades na Europa já foram identificadas. Os Ministros irão afiná-las na sua próxima reunião em Bergen, no quadro do processo de Bolonha. No âmbito da Estratégia de Lisboa, urge passar de imediato à acção, acção essa que se articulará em três elementos, a saber, a iniciativa das universidades, a criação das condições necessárias a nível nacional e o apoio europeu.

4.1. Libertar o potencial das universidades no contexto nacional

Em vários Estados-Membros já se procedeu à reforma do estatuto, da organização interna e do financiamento das universidades. Não obstante, a Estratégia de Lisboa desafia os Governos a irem mais além e estabelecerem uma nova parceria com as universidades, que abandone o controlo estatal em proveito de uma responsabilização face à sociedade, e a investirem na modernização do sector do conhecimento.

¹⁹ Documento de trabalho dos serviços da Comissão, secção II.

²⁰ Conferência de 10 de Fevereiro de 2005, sessões consagradas ao financiamento.

4.1.1. *Criar as condições para a mudança das universidades*

A Comissão insta todos os Estados-Membros a tomarem medidas no sentido de que os respectivos quadros reguladores permitam e incentivem as autoridades universitárias a avançar para mudanças autênticas e a prosseguir prioridades estratégicas.

Esses quadros reguladores deverão contemplar pelo menos três aspectos essenciais:

- Regulamentos e incentivos para a modernização do sistema no contexto europeu: as reformas induzidas pelo processo de Bolonha e o ajustamento das referências comuns definidas a nível da UE, como, por exemplo, para o Quadro Europeu das Qualificações, a validação da aprendizagem não formal, a Carta Europeia do Investigador e o Código de conduta para o recrutamento de investigadores ou a criação de uma acreditação GQ (garantia de qualidade) com credibilidade a nível europeu;
- Acordos plurianuais entre o Estado/região e cada universidade, que consagrem os objectivos estratégicos decididos de comum acordo, o compromisso dos responsáveis universitários pela sua consecução e os fundos públicos fixos e pontuais a atribuir;
- Habilitar efectivamente as universidades a tomar e a pôr em prática decisões por intermédio de uma equipa de liderança com suficiente autoridade e capacidade de gestão, já com algum tempo de funcionamento e uma vasta experiência à escala europeia ou internacional. Este aspecto assume ainda mais importância se tivermos em conta que os resultados das universidades são função da qualidade dos seus responsáveis²¹.

4.1.2. *Assegurar um nível suficiente de financiamento global*

Incumbe aos poderes públicos a importante responsabilidade de velar por que nenhum sistema de ensino superior na Europa seja posto de parte por insuficiência de recursos globais. A UE não precisa de reproduzir o modelo dos Estados Unidos, no qual a corrida às “estrelas” académicas levou a uma inflação dos salários. Não entanto, a Comissão estima que, mesmo num sistema universitário modernizado, um investimento total de cerca de 2% do PIB (EUA: 2.7%) é o mínimo que se exige para economias caracterizadas por uma utilização intensiva de conhecimentos.

A Comissão exorta os responsáveis políticos nacionais em todos os ministérios a reconhecer que colmatar o enorme défice de financiamento no ensino superior é uma condição indispensável para o cumprimento da Estratégia de Lisboa. No entanto, a combinação de financiamento público e privado e de financiamento de base, concorrencial e em função dos resultados, continuará a ser diferente de um país para outro, dada a grande diversidade de culturas, economias e tradições universitárias.

É incontestável que as universidades têm necessidade de obter da indústria uma quota muito maior de financiamento, mas terão que convir que isso só acontecerá no quadro de parcerias claramente vantajosas para ambas as partes, pelo que deverão começar a preparar-se para essas condições.

²¹ Conferência de 10 de Fevereiro de 2005, sessões sobre a governança.

A Comissão convida, pois, os Estados-Membros a velar por que as normas fiscais permitam e incentivem as parcerias entre empresas e universidades, e por que as universidades estejam em medida de utilizar esses fundos de maneira que daí resulte um reforço contínuo.

Existe um grande leque de possibilidades no espaço entre os dois pólos que constituem o ensino gratuito subvencionado e o ensino totalmente financiado por meio de propinas. Em qualquer dos casos, o princípio da igualdade de oportunidades deve ser respeitado. Nos casos em que haja introdução de propinas, uma parte substancial dos fundos deverá ser redistribuída sob a forma de bolsas/empréstimos concedidos em função dos rendimentos no intuito de garantir o acesso a todos, e sob a forma de bolsas de estudo concedidas em função do desempenho e destinadas a fomentar a excelência. Poderão ser utilizados sistemas de propinas e de subvenções diferenciados com o propósito de assegurar a capacidade de atracção dos cursos com maior valor social, por exemplo para prevenir défices de mão-de-obra em certas áreas e o desemprego de diplomados noutras; dever-se-á ir até ao ponto de remunerar certas categorias, tratando-as como profissionais em formação, como por exemplo, os investigadores em início de carreira que preparam um doutoramento.

A Comissão insta os Estados-Membros a considerarem se o seu modelo actual de financiamento (com ou sem propinas de valor substancial, bolsas e/ou empréstimos) garante efectivamente um acesso equitativo a todos os estudantes que correspondem aos requisitos de admissão no máximo das suas capacidades.

4.2. Responder ao apelo das universidades no sentido de obterem mais apoio da Europa

As reformas e o financiamento são primordialmente da responsabilidade do Estado, das regiões e das universidades no contexto nacional. Não obstante, a Comissão tenciona responder de três maneiras ao pedido das universidades de mais apoio da Europa.

4.2.1. Mobilizar todas as fontes de financiamento da UE para a modernização das universidades

O ensino superior não é apenas o somatório das suas actividades de educação, formação e investigação. É também um sector económico e social fundamental por direito próprio, que necessita de recursos para a reorganização. A UE, que já apoiou o processo de conversão de sectores como a siderurgia ou a agricultura, enfrenta agora o imperativo de modernizar a sua "indústria do conhecimento" e, em particular, as suas universidades.

Porém, o ensino superior não figura actualmente entre os principais beneficiários dos fundos estruturais europeus e dos empréstimos do Banco Europeu de Investimento. Não entanto, o co-cofinanciamento ou os empréstimos a longo prazo permitiriam reduzir ou escalonar no tempo do custo do investimento no ensino superior, quer seja para infra-estruturas materiais ou não-materiais, quer para programas de formação ou centros de conhecimento regionais.

A Comissão convida, pois, os Estados-Membros a fazer o maior uso possível dos instrumentos financeiros da UE para desenvolver o seu sector do conhecimento. Os fundos de desenvolvimento estruturais e rurais oferecem possibilidades inexploradas para estimular a modernização do ensino superior por meio de medidas sectoriais. O ensino superior é também um sector prioritário para o BEI, sendo desejável que passe a beneficiar mais dos seus empréstimos.

4.2.2. *Reforçar a cooperação no quadro do programa "Educação e Formação 2010"*

O programa de trabalho "Educação e formação 2010" reconhece a extrema importância da modernização do ensino superior²², para além das reformas exigidas pelo processo de Bolonha que também são, *a fortiori*, importantes para atingir os objectivos de Lisboa.

A Comissão fará pleno uso de todos os instrumentos disponíveis no programa de trabalho para apoiar os esforços dos Estados-Membros na modernização das suas universidades, por exemplo, apoiando o intercâmbio de boas práticas, inquéritos e estudos, aprendizagem mútua entre os responsáveis políticos, etc. A análise de indicadores pode igualmente ajudar a medir o desempenho em matéria de financiamento e de resultados²³, mas a Comissão não propõe pontos de referência específicos à escala europeia no ensino superior.

O programa de acção integrado no domínio da aprendizagem ao longo da vida²⁴ proposto para 2007-2013 também irá ficar mais estreitamente associado às prioridades políticas da União, porquanto estimula a mobilidade e a cooperação universidade-indústria.

Dois dos principais objectivos para 2006 são adoptar o Quadro Europeu das Qualificações (QEQ) previsto e começar a aplicar a recomendação sobre a garantia da qualidade (uma vez adoptada) que introduz novas ferramentas importantes, tais como um registo europeu de agências que cumprem as normas definidas a nível europeu²⁵. A Comissão tenciona igualmente prestar o seu apoio em 2005 a uma série de novas iniciativas de acreditação à escala comunitária em disciplinas específicas.

4.2.3. *Investimento em qualidade e excelência*

A Comissão pretende responder aos pedidos no sentido de investir mais esforços e dinheiro na qualidade de nível excepcional, assegurando ao mesmo tempo que o terreno donde surge a excelência continue aberto e fértil em toda a União. O êxito passa no entanto pela satisfação de duas condições-chave: superar o isolamento e ajudar as regiões menos desenvolvidas a atingir um elevado padrão de qualidade em tipos/sectores específicos de actividade.

Entre as grandes prioridades contam-se as escolas e redes pós-universitárias/doutoramento de calibre europeu e internacional, na sua dupla função de ponto culminante do ensino superior e de primeira etapa na carreira dos investigadores. A Comissão examinará a possibilidade de prestar mais apoio a essas escolas e aos respectivos estudantes/investigadores, na condição de que cumpram certos critérios, tais como: massa crítica; interdisciplinaridade; forte dimensão europeia; apoio das autoridades regionais/nacionais e participação directa da indústria; áreas de excelência identificadas e declaradas. Poderá prever-se apoio específico para programas de doutoramentos conjuntos ou "europeus" e para a garantia da qualidade ou a acreditação a nível de doutoramento.

O programa Marie Curie para o desenvolvimento da carreira e da mobilidade de investigadores²⁶ ou o Instituto Universitário Europeu de Florença (no âmbito do qual a Comissão apoiará um programa-piloto de estudos de pós-doutoramento) proporcionam já apoio significativo a este nível.

²² Relatório intercalar conjunto, ponto 1.1.2.

²³ Documento de trabalho dos serviços da Comissão, secção IV.

²⁴ Cf. COM (2004) 474 de 14 de Julho de 2004.

²⁵ Cf. COM (2004) 642 de 12 de Outubro de 2004.

²⁶ http://europa.eu.int/comm/research/fp6/mariecurie-actions/action/fellow_en.html.

A Comissão está a estudar formas de levar por diante a sua proposta de um Instituto Europeu de Tecnologia. Este instituto terá de combinar uma reputação de nível mundial com uma identidade europeia e sustentar o conhecimento como um factor-chave para o crescimento e o emprego. Deverá alicerçar-se numa rede que congregue os melhores talentos e as melhores empresas e difunda a inovação em toda a Europa.

4.3. Apoio necessário para acção urgente

A presente Comunicação será complementada pelo futuro plano de acção relativo à investigação universitária²⁷ da Comissão. Juntos, estes dois documentos uma oportunidade ideal para assegurar que a modernização das universidades seja dada a prioridade adequada nos instrumentos financeiros e políticos da UE para o período de 2007-2013.

A Comissão convida o Conselho a adoptar uma resolução que sustente o seu apelo no sentido da instauração de um novo tipo de parcerias entre o Estado e as universidades e de um investimento suficiente para permitir a modernização do ensino superior. A Comissão espera igualmente que o Conselho Europeu e o Parlamento Europeu dêem o seu apoio explícito ao programa de mudança enunciado na presente comunicação.

²⁷ Plano de acção relativo à investigação no contexto universitário, baseado em grande medida no relatório sobre a investigação no contexto universitário.



COMISSÃO DAS COMUNIDADES EUROPEIAS

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COMUNICAÇÃO DA COMISSÃO

O papel das universidades na Europa do conhecimento

COMUNICAÇÃO DA COMISSÃO

O papel das universidades na Europa do conhecimento

1. RESUMO

A presente comunicação tem por objectivo lançar um debate sobre o papel das universidades¹ na sociedade e na economia do conhecimento na Europa e sobre as condições que será necessário assegurar para que possam desempenhar esse papel com eficácia. O crescimento da sociedade do conhecimento depende da produção de novos conhecimentos, da sua transmissão através da educação e da formação, da sua divulgação pelas tecnologias da informação e comunicação e da sua utilização em novos serviços ou processos industriais. As universidades têm de singular o facto de participarem em todos estes processos, devido ao papel fundamental que desempenham em três domínios: em primeiro lugar, a investigação e a exploração dos seus resultados, graças à cooperação industrial e às novas empresas nascidas da investigação (*spin-offs*); em segundo lugar, a educação e a formação, designadamente a formação dos investigadores; em terceiro lugar, o desenvolvimento regional e local, para o qual podem assegurar um contributo importante.

A União Europeia necessita, por conseguinte, de uma comunidade universitária sólida e próspera. A Europa precisa de excelência nas suas universidades, uma vez que só assim poderá otimizar os processos que estão na base da sociedade do conhecimento e concretizar o objectivo fixado no Conselho Europeu de Lisboa: *"tornar-se na economia baseada no conhecimento mais dinâmica e competitiva do mundo, capaz de garantir um crescimento económico sustentável, com mais e melhores empregos, e com maior coesão social"*. O Conselho Europeu de Barcelona reconheceu tal necessidade de excelência, ao estabelecer o objectivo de fazer dos sistemas de educação uma "referência mundial de qualidade" até 2010².

No entanto, o mundo universitário não está isento de problemas. Actualmente as universidades europeias não são competitivas, a nível mundial, em relação às dos nossos principais parceiros, muito embora produzam publicações científicas de grande qualidade. A presente Comunicação chama a atenção para diversos domínios que exigem uma reflexão e, em muitos casos, uma actuação adequadas, e apresenta um conjunto de interrogações, entre as quais se referem, a título de exemplo, as seguintes:

- Como assegurar receitas adequadas e sustentáveis para as universidades e garantir que as verbas sejam utilizadas com a máxima eficácia?
- Como garantir a autonomia e o profissionalismo tanto no âmbito da gestão como no domínio académico?

¹ Na presente Comunicação, o termo "universidades" abrange todos os estabelecimentos de ensino superior, incluindo, por exemplo, as "*Fachhochschulen*", as "*Polytechnics*" e as "*Grandes Ecoles*".

² Conselho Europeu de Barcelona - Conclusões da Presidência.

- Como concentrar recursos suficientes na excelência e criar condições que permitam às universidades atingir e desenvolver níveis de excelência?
- Como fomentar uma melhor contribuição das universidades para as estratégias e necessidades locais e regionais?
- Como estabelecer uma cooperação mais estreita entre universidades e empresas, a fim de garantir uma melhor divulgação e exploração dos novos conhecimentos na economia e na sociedade em geral?
- Como promover, em todos estes domínios, o espaço europeu de ensino superior coerente, compatível e competitivo preconizado na Declaração de Bolonha, bem como o espaço europeu de investigação estabelecido como objectivo para a União no Conselho Europeu de Lisboa, em Março de 2000.

A presente Comunicação, elaborada no contexto do Conselho Europeu da Primavera de 2003, convida todos os intervenientes no domínio do ensino superior, da investigação e da inovação a transmitir os seus pontos de vista sobre estas questões. A Comissão examinará a evolução do debate no Verão de 2003 e definirá as iniciativas adequadas, eventualmente numa nova Comunicação a apresentar aos ministros da Educação, no quadro do Conselho da Educação, e aos ministros da Investigação, no quadro do Conselho da Concorrência, bem como à Cimeira Europeia dos ministros responsáveis pelo ensino superior prevista para 18-19 de Setembro de 2003, em Berlim.

2. INTRODUÇÃO

A realização de uma Europa baseada no conhecimento constitui um objectivo central da União Europeia desde o Conselho Europeu de Lisboa, de Março de 2000. O objectivo de Lisboa foi enriquecido por ocasião dos vários Conselhos Europeus que se realizaram posteriormente, em particular o Conselho de Estocolmo, em Março de 2001, e o de Barcelona, em Março de 2002.

A agenda de Lisboa mobiliza uma grande variedade de protagonistas, entre os quais as universidades desempenham um papel particularmente importante. Esse papel decorre da sua dupla missão tradicional de investigação e de ensino, da sua importância crescente no complexo processo da inovação, bem como dos outros contributos para a competitividade da economia e a coesão social, sendo de referir neste contexto, a título de exemplo, o papel que desempenham na vida da comunidade e em matéria de desenvolvimento regional.

Tendo em conta o papel central que desempenham, a criação de uma Europa do conhecimento representa para as universidades uma fonte de oportunidades, mas também de desafios consideráveis. Com efeito, as universidades operam num ambiente cada vez mais globalizado e em constante evolução, marcado por uma concorrência crescente para atrair e manter os melhores talentos e pela emergência de novas necessidades, às quais têm obrigação de dar resposta. No entanto, as universidades europeias têm geralmente menos a oferecer e dispõem de menos meios financeiros do que as suas homólogas dos outros países desenvolvidos, em particular os Estados Unidos. Coloca-se, pois, a questão da sua capacidade de competir com as melhores universidades do mundo assegurando um nível de excelência sustentável.

Esta questão adquire particular actualidade na perspectiva do alargamento, tendo em conta a situação frequentemente difícil das universidades dos países candidatos, tanto em termos de recursos humanos como de meios financeiros.

Para levar a efeito a agenda de Lisboa, a União Europeia lançou uma série de acções e iniciativas nos domínios da investigação e da educação. Mencione-se, a título de exemplo, o Espaço Europeu da Investigação e da Inovação, para cuja realização acabam de ser abertas novas perspectivas³, e, no mesmo contexto, o objectivo de aumento do esforço europeu de investigação e de desenvolvimento para 3% do PIB da União até 2010⁴.

No domínio da educação e da formação, é de referir a realização de um espaço europeu de aprendizagem ao longo da vida⁵, a aplicação do programa de trabalho pormenorizado sobre o seguimento dos objectivos dos sistemas de educação e de formação⁶, bem como os trabalhos que visam reforçar a convergência dos sistemas de ensino superior, no âmbito do Processo de Bolonha, e dos sistemas de formação profissional, em conformidade com a Declaração de Copenhaga.

As universidades europeias não foram objecto, enquanto tal, de uma reflexão ou debate recentes⁷ ao nível da União Europeia. A Comissão deseja prestar um contributo neste plano. Para esse efeito, a presente Comunicação analisa o lugar e a função das universidades europeias na sociedade e na economia do conhecimento (Secção 3), propõe uma reflexão sobre as universidades numa perspectiva europeia (Secção 4) e expõe os principais desafios com que são confrontadas as universidades europeias, bem como algumas pistas de reflexão (Secção 5).

A Comissão convida todos os intervenientes (universidades, conselhos de reitores, autoridades públicas nacionais e regionais, sector da investigação, estudantes, empresas e cidadãos) a transmitir os seus comentários, sugestões e pontos de vista sobre os diferentes aspectos abordados por esta Comunicação⁸. Com base nas contribuições recebidas, a Comissão definirá as futuras linhas de acção e decidirá da oportunidade de apresentar uma comunicação de acompanhamento, a transmitir aos ministros da Educação (no Conselho da Educação) e aos ministros da Investigação (no Conselho da Concorrência), bem como à Cimeira dos ministros responsáveis pelo ensino superior organizada no âmbito do Processo de Bolonha, que terá lugar em Berlim, de 18 a 19 de Setembro de 2003.

³ Comissão Europeia, Comunicações "Rumo a um Espaço Europeu da Investigação", COM (2000) 6 de 18.1.2000, e "Espaço Europeu da Investigação: uma nova dinâmica", COM (2002) 565 de 16.10.2002.

⁴ Comissão Europeia, Comunicação "Mais investigação na Europa - Objectivo: 3% do PIB", COM (2002) 499 de 11.9.2002.

⁵ Comissão Europeia, Comunicação "Tornar o espaço europeu de aprendizagem ao longo da vida uma realidade", COM (2001) 678 de 21.10.2001.

⁶ Programa de trabalho pormenorizado sobre o seguimento dos objectivos dos sistemas de educação e de formação na Europa, JO C 142 de 14.06.2002, p. 1.

⁷ Comissão Europeia, "Memorando sobre o ensino superior na Comunidade Europeia", COM (1991) 349 de 5.11.1991.

⁸ Ver Secção 7 "Como contribuir?".

3. AS UNIVERSIDADES EUROPEIAS NA ACTUALIDADE

3.1.1. As universidades no centro da Europa do conhecimento

A economia e a sociedade do conhecimento nascem da combinação de quatro elementos interdependentes: a produção do conhecimento, essencialmente pela investigação científica; a sua transmissão através da educação e da formação; a sua divulgação com as tecnologias da informação e da comunicação; e a sua exploração através da inovação tecnológica. Ao mesmo tempo, surgem novos modos de produção, transmissão e exploração dos conhecimentos, que têm por efeito associar um maior número de intervenientes, geralmente interligados em redes num contexto cada vez mais internacionalizado.

Porque se situam no ponto de intersecção da investigação, da educação e da inovação, as universidades detêm, sob vários pontos de vista, a chave da economia e da sociedade do conhecimento. As universidades empregam, com efeito, 34% do total de investigadores na Europa, embora os números nacionais variem quase do simples ao triplo entre os Estados-Membros (26% na Alemanha, 55% na Espanha e mais de 70% na Grécia). As universidades são também responsáveis por 80% da investigação fundamental realizada na Europa.

Por outro lado, as universidades formam um número sempre crescente de estudantes que possuem qualificações cada vez mais elevadas, contribuindo assim para reforçar a competitividade da economia europeia: um terço dos europeus trabalha hoje em sectores de elevada intensidade de conhecimentos (mais de 40% em países como a Dinamarca e a Suécia), que, por si só, contribuíram para metade dos novos postos de trabalho criados entre 1999 e 2000.

As universidades contribuem também para a realização dos outros objectivos da estratégia de Lisboa, designadamente o emprego e a coesão social, bem como para a melhoria do nível geral da educação na Europa. O número de jovens europeus que possuem diplomas de ensino superior é actualmente muito mais elevado do que nas gerações precedentes. Com efeito, cerca de 20% dos Europeus entre os 35 e os 39 anos concluíram estudos superiores, ao passo que esta percentagem é apenas de 12,5% para a faixa etária de 55 a 59 anos. Se considerarmos o conjunto da população com idades compreendidas entre os 25 e os 64 anos, a taxa de emprego dos titulares de diplomas do ensino superior (CITE 5 e 6) era de 84% em 2001, ou seja, quase 15 pontos acima da média, considerando todos os níveis de educação, e quase 30 pontos mais do que as pessoas que atingiram apenas o nível de ensino secundário inferior (CITE 0 a 2). Por último, em 2001, a taxa de desemprego das pessoas com diplomas do ensino superior era de 3,9%, o que representa um terço da taxa de desemprego das pessoas com baixos níveis de qualificação.

3.1.2. Panorama universitário na Europa

Existem cerca de 3 300 estabelecimentos de ensino superior na União Europeia e aproximadamente 4 000 em toda a Europa, incluindo os outros países da Europa Ocidental e os países candidatos⁹. Estes estabelecimentos acolhem um número

⁹ A título de comparação, existem mais de 4 000 estabelecimentos de ensino superior nos Estados Unidos, de entre os quais 550 concedem títulos de doutoramento e 125 são considerados como "universidades de investigação". Entre estas, cerca de 50 concentram o essencial das capacidades de

crescente de estudantes: mais de 12,5 milhões em 2000, contra menos de 9 milhões dez anos antes.

Organizado essencialmente a nível nacional e regional, o panorama universitário europeu caracteriza-se por uma grande heterogeneidade que se reflecte em termos de organização, gestão e condições de funcionamento, bem como em matéria de estatuto e condições de emprego e contratação dos professores e investigadores. Esta heterogeneidade manifesta-se entre os países, devido a diferenças culturais e legislativas, mas também dentro de cada país, dado que as universidades não têm todas as mesmas missões, nem reagem da mesma maneira e com a mesma rapidez às evoluções que as afectam. As reformas estruturais inspiradas pelo Processo de Bolonha representam um esforço no sentido de organizar essa diversidade num quadro europeu mais coerente e compatível, que constitui uma condição da transparência e, consequentemente, da competitividade das universidades europeias, não só na Europa mas também a nível mundial

Durante muito tempo, as universidades europeias definiram-se em função de alguns grandes modelos, em particular o modelo ideal de universidade concebido, há quase dois séculos, por Wilhelm von Humboldt na sua reforma das universidades alemãs, e que faz da investigação o cerne da actividade universitária e a base do ensino. Hoje em dia as universidades tendem a distanciar-se desses modelos no sentido de uma maior diferenciação. Esta diferenciação traduz-se pelo aparecimento de instituições mais especializadas que se concentram num núcleo de competências específicas em matéria de investigação e ensino, e/ou em certas dimensões das suas actividades, por exemplo pela integração numa estratégia de desenvolvimento regional através da formação de adultos.

3.1.3. As universidades europeias perante novos desafios

Em todo o mundo, mas particularmente na Europa, as universidades são actualmente confrontadas com o imperativo de se adaptarem a uma série de profundas mutações. Essas mutações podem classificar-se em cinco grandes categorias.

O crescimento da procura de formação superior

Este crescimento prosseguirá nos próximos anos¹⁰, sob a dupla pressão exercida pelo objectivo, fixado nalguns países, de aumentar o número de estudantes no ensino superior¹¹ e pelas novas necessidades ligadas à educação e à formação ao longo da vida. Tal crescimento, que será pouco afectado pelas baixas taxas de natalidade registadas na Europa, intensificará nas universidades uma situação de saturação das capacidades.

Como pode esta procura crescente ser absorvida, tendo em conta as limitações em termos de recursos humanos (que provavelmente registarão um défice nos próximos anos - tanto em docentes como em investigadores) e financeiros (que não aumentam

investigação académica americana, dos financiamentos públicos de apoio à investigação universitária e dos Prémios Nobel científicos do país.

¹⁰ Comissão Europeia, Centro Comum de Investigação, relatório sobre "O futuro da Educação até 2010", Junho de 1999.

¹¹ Países como o Reino Unido e a Dinamarca fixaram o objectivo de dar formação universitária a 50% da população de uma determinada faixa etária até 2010.

em proporção comparável)? Como assegurar o financiamento sustentável de universidades que, além disso, se vêem confrontadas com novos desafios? É fundamental conseguir manter e reforçar a excelência em matéria de ensino e investigação sem comprometer o nível de qualidade oferecido e assegurando um acesso amplo, equitativo e democrático.

A internacionalização da educação e da investigação

Acelerada pelas novas tecnologias da informação e a comunicação, esta internacionalização traduz-se numa concorrência acrescida - concorrência entre universidades e entre países, mas também entre as universidades e outras instituições, como os laboratórios públicos de investigação (cujos investigadores não são obrigados a assegurar paralelamente uma função de docência), ou os estabelecimentos de ensino privados, em muitos casos especializados e que por vezes têm fins lucrativos. Dado que uma parte cada vez maior do financiamento das universidades é atribuída segundo critérios competitivos, prevê-se que a concorrência para atrair e manter os melhores talentos venha a ser também cada vez mais intensa.

Porém, as universidades europeias atraem menos estudantes estrangeiros e, sobretudo, menos investigadores estrangeiros do que as universidades americanas. Enquanto as universidades europeias acolhiem em 2000 cerca de 450 000 estudantes estrangeiros, as americanas tinham mais de 540 000¹², a maior parte dos quais proveniente da Ásia¹³. Os Estados Unidos atraem contudo proporcionalmente muito mais estudantes estrangeiros que seguem estudos avançados de engenharia, matemática e informática, e retêm em maior número os titulares de doutoramentos: cerca de 50% dos europeus que obtiveram o seu diploma nos Estados Unidos permanecem no país após a conclusão dos estudos durante vários anos, ou mesmo permanentemente nalguns casos.

As universidades europeias oferecem efectivamente aos investigadores e estudantes um ambiente menos atractivo, principalmente porque muitas vezes não possuem a massa crítica necessária, o que as obriga a adoptar abordagens baseadas na colaboração sob a forma de redes, ou de cursos ou diplomas comuns. Mas outros factores, exteriores às universidades, desempenham também um papel importante neste contexto, sendo de referir, a título de exemplo, a rigidez do mercado de trabalho ou a falta de espírito empresarial, que limitam as oportunidades de emprego nos sectores inovadores. Isto traduz-se por desempenhos inferiores aos dos EUA e do Japão em domínios como o financiamento da investigação, as relações com as empresas, o número de patentes e a criação de novas empresas tecnológicas (*spin-offs*)¹⁴.

O estabelecimento de uma cooperação estreita e eficaz entre universidades e empresas

A cooperação entre as universidades e a indústria deve ser intensificada a nível nacional e regional. Deve também ser orientada com mais eficácia para a inovação, a

¹² Comissão Europeia, DG RTD, *Key figures 2002* (baseados em dados da OCDE e do Eurostat).

¹³ Os estudantes de quatro países asiáticos (China, Índia, Japão e Coreia do Sul) representam perto de 40% do total de estudantes estrangeiros nos EUA (*Open Doors 2001*, IIE, Nova Iorque).

¹⁴ Comissão Europeia, Comunicações "Rumo a um espaço europeu da investigação", COM (2000) 6 de 18.1.2000, e "Espaço europeu de investigação: uma nova dinâmica", COM(2002) 565 de 16.10.2002.

criação de novas empresas e, em termos mais gerais, para a transferência e divulgação dos conhecimentos. Do ponto de vista da competitividade, é fundamental que os conhecimentos circulem livremente entre as universidades, as empresas e a sociedade. O registo da propriedade intelectual das universidades e a criação de novas empresas (*spin-offs* e *start-ups*) constituem os dois principais mecanismos através dos quais as competências especializadas e os conhecimentos adquiridos e desenvolvidos pelas universidades são transmitidos directamente à indústria.

Embora existam poucos dados nos Estados-Membros que indiquem em que medida as universidades estão a comercializar a sua própria investigação, o que torna difícil determinar se as universidades da União Europeia exploram da melhor forma os resultados da investigação em conjunto com o sector industrial, estão disponíveis algumas informações neste domínio através do Inquérito Comunitário à Investigação (CIS). Uma das perguntas feitas às empresas no âmbito deste inquérito referia-se às suas fontes de informação mais importantes em matéria de inovação.

Os resultados¹⁵ indicam que as fontes relacionadas com a educação e a investigação pública ocupam um lugar muito baixo na classificação. Os institutos de investigação públicos, ou privados sem fins lucrativos, e as universidades ou outros estabelecimentos de ensino superior representam fontes de informação muito importantes para menos de 5% das empresas inovadoras.

A divulgação do saber entre as empresas da UE, incluindo as PME dos sectores tradicionais, seria facilitada se as universidades promovessem activamente uma conexão universidade-indústria eficaz e explorassem de modo mais adequado os resultados do seu saber através das relações com a indústria. Os critérios de avaliação do desempenho das universidades poderiam ter em conta este desafio.

A Comissão Europeia prosseguirá o exame dos obstáculos que se colocam a esta cooperação, bem como dos factores que a incentivam, e assegurará a ampla divulgação dos resultados junto das partes interessadas.

A multiplicação dos lugares de produção dos conhecimentos

Este fenómeno, e a tendência crescente das empresas de subcontratar as suas actividades de investigação às melhores universidades, têm como consequência fazer evoluir as universidades num ambiente cada vez mais concorrencial. Às relações tradicionais entre as universidades de uma região e as indústrias em seu redor vêm sobrepor-se relações novas. A proximidade geográfica já não constitui a principal base de escolha de um parceiro. Por seu turno, as empresas de alta tecnologia tendem a estabelecer-se perto das universidades com melhores desempenhos. A diminuição dos períodos que decorrem entre uma descoberta científica e a sua aplicação e comercialização coloca a questão do papel e do contributo das universidades para o processo de inovação tecnológica, bem como das relações entre as universidades e as empresas.

A reorganização do conhecimento

Este fenómeno manifesta-se concretamente por duas tendências divergentes. Por um lado, assiste-se a uma diversificação e especialização crescentes do saber e ao

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"Estadísticas sobre la innovación en Europa" datos 1996-1997, EUROSTAT

surgimento de especialidades de investigação e de ensino cada vez mais avançadas e mais precisas. Por outro lado, o mundo académico necessita urgentemente de se adaptar ao carácter interdisciplinar dos campos abertos pelos grandes problemas de sociedade, como o desenvolvimento sustentável, os novos flagelos médicos, a gestão dos riscos, etc. No entanto, as actividades das universidades, particularmente em matéria de ensino, tendem a permanecer organizadas, e ainda muitas vezes compartimentadas, em função do quadro disciplinar tradicional.

A reorganização do conhecimento manifesta-se também numa certa confusão das fronteiras entre investigação fundamental e investigação aplicada. Essa confusão não chega, no entanto, ao ponto de privar totalmente de sentido a diferença entre, por um lado, a procura de conhecimentos como finalidade em si, e, por outro, a aquisição de conhecimentos para objectivos precisos, em particular com vista à criação de produtos, processos ou tecnologias.

Por conseguinte, a investigação fundamental continua a ser um domínio privilegiado de actividade das universidades em matéria de investigação. As capacidades das grandes universidades de investigação americanas neste domínio são o que as torna atractivas como parceiros para a indústria, que financia uma quantidade significativa de actividades deste tipo. A investigação fundamental é aqui efectuada num contexto de aplicação, sem no entanto perder o seu carácter fundamental. Na Europa, as universidades tendem a efectuar para as empresas investigação de natureza directamente aplicada, ou mesmo actividades de prestação de serviços científicos, mas um desenvolvimento excessivo destas actividades poderia pôr em perigo a sua capacidade de contribuir para o progresso dos conhecimentos.

O surgimento de novas expectativas

Paralelamente à sua missão fundamental de formação inicial, a universidade deve responder a novas necessidades de educação e de formação que emergem com a economia e a sociedade do conhecimento. Entre estas, é de referir a necessidade crescente de educação científica e técnica, de competências transversais e de possibilidades de aprendizagem ao longo da vida, que exigem uma maior permeabilidade entre as componentes e os níveis dos sistemas de ensino e de formação. A educação científica afecta directamente as universidades europeias, porque é na universidade que são formados os professores de ciências do ensino secundário. Além disso, a contribuição que se espera das universidades no quadro das estratégias de educação e de formação ao longo da vida conduz a um alargamento progressivo das condições de acesso ao ensino universitário (designadamente para permitir o acesso das pessoas que não vêm do ensino secundário superior mediante um melhor reconhecimento das competências adquiridas fora da universidade e da educação formal), a uma maior abertura das universidades às empresas, à melhoria dos serviços prestados aos estudantes e a uma diversificação da sua oferta de formação, tanto em termos de grupos destinatários, como de conteúdos e métodos de ensino¹⁶.

O desenvolvimento da economia e da sociedade do conhecimento tem ainda como consequência uma inserção mais profunda das universidades na vida da comunidade.

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Comissão Europeia, Comunicação "Tornar o espaço europeu de aprendizagem ao longo da vida uma realidade", COM (2001) 678 de 21.10.2001.

Além de exercer as suas missões fundamentais de produção e transmissão dos conhecimentos, e em ligação com elas, a universidade funciona hoje como fonte essencial de competências especializadas em diversos domínios. Pode e deve tornar-se cada vez mais um espaço de reflexão sobre o saber e de debate e diálogo entre cientistas e cidadãos.

Porque vive de financiamentos públicos e privados substanciais, e os conhecimentos que produz e transmite têm um impacto significativo na economia e na sociedade, a universidade é, além disso, responsável perante os seus patrocinadores e os cidadãos pela maneira como funciona e gere as suas actividades e os seus orçamentos. Isto traduz-se numa pressão crescente no sentido da inclusão de representantes do mundo não académico nas suas estruturas de gestão e governação.

4. DESAFIOS EUROPEUS

4.1.1. As universidades e a dimensão europeia

De um modo geral, as universidades são da competência dos Estados-Membros a nível nacional ou regional. Em contrapartida, os desafios mais importantes com que as universidades se vêem confrontadas são de natureza europeia, se não mesmo internacional ou mundial. Hoje em dia, a excelência já não é criada nem avaliada no plano nacional, mesmo nos maiores países europeus, mas sim ao nível da comunidade europeia ou mundial dos professores e investigadores.

Coloca-se neste contexto a questão da compatibilidade e da transparência dos sistemas de reconhecimento das qualificações (que constitui o tema central do Processo de convergência de Bolonha), bem como a dos obstáculos à mobilidade dos estudantes e dos investigadores na Europa¹⁷. A mobilidade dos estudantes, por exemplo, continua a ser marginal na Europa. Em 2000, apenas 2,3% dos estudantes europeus efectuava os seus estudos noutro país europeu¹⁸. E a mobilidade dos investigadores, embora seja superior à da média da população, é ainda inferior aos valores registados nos Estados Unidos. O desfasamento entre a organização das universidades ao nível dos Estados-Membros e a emergência de desafios que ultrapassam as fronteiras nacionais exacerbou-se nestes últimos anos, e continuará a aumentar devido à conjugação de vários factores:

- a criação de um verdadeiro mercado de trabalho europeu, dentro do qual os cidadãos europeus devem poder deslocar-se livremente¹⁹ e onde as dificuldades ligadas ao reconhecimento das qualificações adquiridas constituem, por conseguinte, um obstáculo obsoleto;

¹⁷ "Estratégia de mobilidade no espaço europeu da investigação", Comunicação da Comissão, COM (2001) 331 final de 26 de Junho de 2001.

¹⁸ Este valor médio muito baixo esconde fortes disparidades entre os Estados-Membros. Assim, 68% dos estudantes luxemburgueses, 10% dos estudantes gregos e 9% dos estudantes irlandeses estudavam fora dos respectivos países. Em contrapartida, apenas 0,7 % dos estudantes do Reino Unido e 1,2 % dos estudantes espanhóis estudavam fora das suas fronteiras.

¹⁹ Neste domínio, a Comissão Europeia apresentou um Plano de Acção para as Competências e a Mobilidade, COM(2002)72 de 13.2.2002.

- as expectativas em matéria de reconhecimento criadas pelas acções lançadas pela própria União Europeia para estimular a mobilidade, nomeadamente através da iniciativa Erasmus;
- advento de uma oferta globalizada de cursos universitários variados, a persistência da fuga de cérebros que conduz à perda de estudantes e investigadores de alto nível, e a continuação de um nível comparativamente baixo de actividade das universidades europeias a nível internacional;
- a intensificação destes factores que resultará do futuro alargamento da União, uma vez que este implicará uma maior heterogeneidade do panorama universitário europeu.

A natureza e a amplitude dos desafios relacionados com o futuro das universidades exigem que estas questões sejam abordadas a nível europeu. Mais precisamente, tornam necessário um esforço conjunto e coordenado dos Estados-Membros e dos países candidatos, acompanhado e apoiado pela União Europeia, tendo como objectivo a criação de uma verdadeira Europa do conhecimento.

4.2 A acção da União Europeia em prol das universidades

As universidades podem beneficiar do apoio de diversas iniciativas comunitárias nos domínios da investigação e da educação. Em matéria de investigação, recebem assim cerca de um terço dos financiamentos do programa-quadro de investigação e desenvolvimento tecnológico, nomeadamente das acções de apoio à formação e à mobilidade dos investigadores (Acções Marie Curie).

As vantagens do programa-quadro para as universidades serão ainda maiores com o sexto programa-quadro²⁰, que reforça as acções de apoio à formação e à mobilidade, estabelece um sistema de apoio à criação de jovens equipas com potencialidades de excelência e dá maior relevo à investigação fundamental, no contexto de "redes de excelência" ou de "projectos integrados"²¹, em particular no âmbito das acções de promoção da investigação "nas fronteiras do conhecimento" (acção NEST).

As universidades são igualmente instadas a desempenhar um papel importante nas iniciativas levadas a cabo no quadro do plano de acção "Ciência e sociedade"²², que visam incentivar o desenvolvimento e melhorar a coordenação das actividades e políticas nacionais em domínios como os pareceres científicos e o debate com os cidadãos, a ética, a educação científica ou a questão "Mulheres e ciência".

As universidades estão também implicadas em certas acções realizadas pela União sobre o tema da inovação tecnológica, por exemplo as acções de apoio à exploração dos resultados da investigação e ao desenvolvimento de parques científicos, através

²⁰ Decisão nº 1513/2002 do Parlamento Europeu e do Conselho, J.O. L 232 de 29.8.2002, p. 1.

²¹ As "redes de excelência" são um instrumento de integração das capacidades de investigação europeias numa perspectiva de progresso dos conhecimentos, os "projectos integrados" são um instrumento de execução de acções de investigação orientadas para um objectivo preciso. Estes dois instrumentos têm como objectivo reunir uma massa crítica de meios e são utilizados nos sete "domínios temáticos prioritários" do sexto Programa-Quadro.

²² Comissão Europeia, Comunicação "Plano de Acção Ciência e Sociedade", COM (2001) 714 de 4.12.2001.

do programa-quadro ou com o apoio dos Fundos Estruturais ou do Banco Europeu de Investimento (BEI).

No domínio da educação e da formação, as universidades estão muito implicadas em todas as acções do programa Sócrates, particularmente na sua vertente Erasmus. Desde o seu lançamento, mais de um milhão de estudantes beneficiaram desta acção e cerca de 12 000 professores participam todos os anos em acções de mobilidade neste quadro. Diversas redes temáticas interuniversitárias contribuem também para o reforço da cooperação a nível europeu, actuando como grupo de reflexão (*think tank*) sobre o futuro ou o desenvolvimento das suas disciplinas. A Comunidade apoiou a aplicação do sistema europeu de transferência de créditos académicos (ECTS) para o reconhecimento de períodos de estudos. O programa Leonardo presta apoio a projectos de mobilidade entre universidades e empresas, que abrangeram 40 000 pessoas entre 1995 e 1999. As universidades também participam na iniciativa eEurope e no seu plano de acção eEurope 2005, que incentiva todas as universidades a oferecer acesso em linha (*campus virtuais*) aos estudantes e investigadores²³.

Esta cooperação estende-se igualmente a outras regiões do mundo. O programa-quadro comunitário de investigação está em grande parte aberto a todos os países do mundo, apoiando mais particularmente a cooperação com os países da região mediterrânica, a Rússia e os Novos Estados Independentes, bem como os países em vias de desenvolvimento. Através do programa Tempus, a União Europeia apoia a cooperação universitária com os países da antiga União Soviética, do Sudeste europeu e, desde a extensão deste programa em 2002, da região mediterrânica. As relações com outras áreas geográficas beneficiam também de iniciativas como, por exemplo, ALFA e Asia-Link. No seu conjunto, estas actividades fomentam a projecção do universo académico europeu no mundo. É de referir ainda a proposta de programa "Erasmus World", que permitirá à União apoiar "mestrados europeus" a fim de atrair para a Europa alguns dos melhores estudantes do mundo, para que realizem estudos em pelo menos dois países europeus.

Por último, a Comissão apoia e incentiva o Processo de Bolonha, que visa criar, até 2010, um espaço europeu de ensino superior coerente, compatível e competitivo, através de reformas que convergem para uma série de objectivos estruturadores.

5. CONVERTER AS UNIVERSIDADES EUROPEIAS NUMA REFERÊNCIA A NÍVEL INTERNACIONAL

Para poderem desempenhar plenamente o seu papel na criação da Europa do conhecimento, as universidades europeias devem responder a diversos desafios, contando para tal com a ajuda dos Estados-Membros e actuando num contexto europeu. Só conseguirão concretizar as suas potencialidades ao preço de uma mutação profunda, necessária para fazer do sistema europeu uma verdadeira referência a nível internacional. Importa alcançar simultaneamente os três objectivos seguintes:

- garantir que as universidades europeias disponham de recursos suficientes e sustentáveis e os utilizem com eficácia;

²³

"Plano de acção eLearning - Pensar o futuro da educação". Comunicação da Comissão, COM (2001) 172 final, 28 de Março de 2001.

- reforçar a sua excelência, tanto em matéria de investigação como de ensino, nomeadamente pela criação de redes;
- assegurar uma maior abertura das universidades para o exterior e torná-las mais atractivas no plano internacional.

5.1.1. Garantir às universidades europeias recursos suficientes e sustentáveis

Meios insuficientes

Os Estados-Membros consagram em média 5% do PIB às despesas públicas para a educação em geral. Este valor é comparável ao registado nos Estados Unidos e superior ao do Japão (3,5%). No entanto, as despesas públicas não aumentaram ao mesmo ritmo que o PIB ao longo dos últimos anos na Europa, tendo mesmo diminuído na última década. Considerando apenas o ensino superior, as despesas totais não aumentaram proporcionalmente ao crescimento do número de estudantes em nenhum Estado-Membro. Surgiu, assim, um distanciamento significativo em relação aos Estados Unidos: 1,1% do PIB na União, quando nos Estados Unidos essas despesas atingem 2,3 % do PIB (mais do dobro). Esta discrepância explica-se principalmente pelo baixo nível do financiamento privado do ensino superior na Europa, que, com efeito, corresponde apenas a 0,2% do PIB europeu, contra 0,6% no Japão e 1,2% nos Estados Unidos.

As universidades americanas dispõem de meios financeiros muito mais elevados do que as universidades europeias - em média duas a cinco vezes mais por cada estudante. Os recursos assegurados pelos próprios estudantes, incluindo o grande número de estudantes estrangeiros, explica em parte essa diferença. Mas as universidades americanas beneficiam ao mesmo tempo de financiamentos públicos substanciais, incluindo através das dotações de investigação e de defesa, e de financiamentos privados importantes, nomeadamente para a investigação fundamental, fornecidos pelas empresas e por fundações. Além disso, as grandes universidades de investigação privadas possuem, em muitos casos, um património considerável, constituído progressivamente por meio de doações privadas, em especial das associações de licenciados.

O subfinanciamento agravado das universidades europeias compromete a sua capacidade de atrair e reter os melhores talentos e de reforçar a excelência das suas actividades de investigação e de ensino²⁴. Visto ser pouco provável que a atribuição de fundos públicos adicionais possa, por si só, compensar o actual desfasamento, convém encontrar formas de aumentar e diversificar as receitas das universidades. A Comissão lançará um estudo sobre o financiamento das universidades europeias, no intuito de analisar as principais tendências neste domínio e identificar exemplos de boas práticas.

²⁴

Nas suas Comunicações "Investir eficazmente na educação e na formação: um imperativo para a Europa" (COM(2002) 779, de 10 de Janeiro de 2003), e "Mais investigação na Europa - Objectivo: 3% do PIB" (COM(2002) 499 de 11.9.2002), a Comissão apresenta elementos para estimular a reflexão e o debate sobre a questão do financiamento das universidades.

No Conselho Europeu de Barcelona, em Março de 2002, a União estabeleceu o objectivo de aumentar o esforço europeu de investigação até 3% do seu PIB²⁵. Isto implica um esforço especial em matéria de recursos humanos para a investigação.

5.1.2. *Aumentar e diversificar as receitas das universidades*

Podem identificar-se quatro fontes principais de receitas das universidades:

- o financiamento público da investigação e do ensino, sob as suas diferentes formas, incluindo contratos de investigação atribuídos numa base competitiva: trata-se tradicionalmente da principal fonte de financiamento das universidades europeias. Ora, tendo em conta a situação orçamental dos Estados-Membros e dos países candidatos, a margem de manobra para o aumento do apoio público é limitada. Embora no Conselho Europeu de Lisboa, em Março de 2000, os Estados-Membros se tenham comprometido a aumentar substancialmente o investimento nos recursos humanos, parece pouco provável que os seus esforços possam fazer face ao aumento previsto do número de estudantes, ou permitir recuperar o atraso em relação aos Estados Unidos.
- As doações privadas podem representar uma fonte substancial de receitas para as universidades, como acontece nos Estados Unidos. No entanto, esta solução enfrenta uma série de problemas na Europa, decorrentes, nomeadamente, do facto de as doações privadas serem pouco atractivas do ponto de vista fiscal, ou do próprio estatuto das universidades, que nem sempre lhes permite acumular fundos privados e património. Estas dificuldades explicam também, pelo menos em parte, a ausência de uma tradição filantrópica comparável à dos Estados Unidos, onde os antigos estudantes se mantêm frequentemente ligados à sua universidade muito depois de concluírem os seus estudos.
- As universidades podem também obter receitas com a prestação de serviços (serviços de investigação e possibilidades flexíveis de aprendizagem ao longo da vida, por exemplo), nomeadamente às empresas, e com a exploração dos resultados da investigação. Todavia, actualmente estas fontes não contribuem de modo substancial para o financiamento das universidades europeias, em parte devido a um quadro regulamentar que não lhes permite verdadeiramente tirar partido das actividades de investigação, ou não as incentiva a fazê-lo, por exemplo porque os direitos de utilização (*royalties*) são pagos ao Estado e não à universidade ou aos próprios investigadores.
- Por último, são de referir as contribuições dos estudantes, sob a forma de propinas. Na Europa, estas contribuições são geralmente limitadas, ou mesmo proibidas, com o objectivo de permitir um acesso democrático ao ensino superior.

²⁵

Comissão Europeia, Comunicação "Mais investigação na Europa - Objectivo: 3% do PIB", COM (2002) 499 de 11.9.2002.

Questões para debate

- Como assegurar um financiamento público suficiente das universidades, tendo em conta tanto as restrições orçamentais existentes como a necessidade de assegurar condições democráticas de acesso?
- Como tornar as doações privadas mais atractivas, nomeadamente de um ponto de vista fiscal e jurídico?
- Como dar às universidades a flexibilidade necessária para lhes permitir tirar partido de um mercado dos serviços em plena expansão?

5.1.3. *Utilizar com maior eficácia os recursos financeiros disponíveis*

As universidades devem utilizar os recursos financeiros limitados de que dispõem com a máxima eficácia possível. Têm essa obrigação perante as "partes interessadas": os estudantes que formam, as autoridades públicas que as financiam, o mercado de trabalho que utiliza as qualificações e as competências por elas transmitidas e a sociedade em geral, na qual preenchem funções importantes ligadas à vida económica e social. O objectivo deve ser o de maximizar o retorno social do investimento que esse financiamento representa. Mas diversos indícios²⁶ revelam que os recursos não são actualmente utilizados da melhor forma.

- Uma taxa elevada de abandono dos estudos, que atinge cerca de 40%, em média, na União. A democratização do ensino superior traduziu-se numa expansão enorme da população estudantil, que não foi acompanhada por uma mudança fundamental das estruturas e das condições de vida universitárias. Na maior parte dos Estados-Membros, concluir com êxito o ciclo secundário superior confere automaticamente o direito de acesso aos estudos universitários, sem posterior selecção. Este direito é considerado como um elemento essencial da democracia e como garantia da igualdade entre os cidadãos. Muitos estudantes iniciam assim estudos superiores sem uma verdadeira vocação académica, e não encontram na formação universitária aquilo de que necessitam. Nalguns Estados-Membros, as próprias universidades aplicam sistemas de selecção e certas disciplinas²⁷ são por vezes sujeitas a uma selecção suplementar.
- Uma inadequação entre a oferta de qualificações (determinada numa perspectiva a médio prazo, em razão da duração dos estudos) e a procura (que frequentemente reflecte necessidades a muito curto prazo e é mais imprevisível) de pessoas qualificadas, a qual se pode traduzir por um défice duradouro de certos tipos de qualificações, sobretudo no domínio das ciências e da tecnologia. Na realidade, a formação universitária não diz respeito apenas às pessoas que dela beneficiam: a sociedade em geral deve procurar otimizar o retorno social das verbas que investe no financiamento dos estudos universitários. A falta de correspondência entre a oferta e a procura de qualificações reflecte, deste ponto de vista, uma utilização pouco eficaz dos recursos.

²⁶ Estes são analisados em pormenor na Comunicação "Investir eficazmente na educação e na formação: um imperativo para a Europa".

²⁷ Principalmente a medicina e a medicina veterinária.

- A duração dos estudos para a obtenção de um dado diploma pode apresentar variações de 100% na Europa. Isto explica as enormes disparidades do custo total de um estudante calculado com base no número médio de anos de estudo. Na Alemanha, por exemplo, a formação de um engenheiro civil é concluída normalmente num período de 5 a 6 anos e é financiada inteiramente por fundos públicos. No Reino Unido, implica apenas 3 anos de estudos universitários financiados por fundos públicos, seguidos de 3 a 5 anos de formação numa empresa, sancionada por um exame reconhecido pelo Estado, sendo esta formação financiada pelo empregador e acompanhada de experiência prática. Tais divergências em matéria de duração, mesmo entre países que reconhecem reciprocamente os seus diplomas, são surpreendentes se pensarmos na adesão geral ao Processo de Bolonha, que tem por objectivo a criação de um espaço europeu do ensino superior até 2010. A diferença de custos para o erário público convida a uma reflexão sobre a optimização da utilização dos recursos.
- Na mesma ordem de ideias, a disparidade dos estatutos e das condições de contratação e de trabalho dos investigadores ao nível de pré-doutoramento e pós-doutoramento na Europa não favorece a melhor distribuição possível dos meios que lhes são concedidos.
- A Europa carece de um sistema transparente de cálculo dos custos da investigação nas universidades europeias, devido à disparidade, opacidade e complexidade dos sistemas contabilísticos utilizados. Isto levou o grupo de altos conselheiros da Comissão para a investigação (EURAB, Comité Consultivo Europeu sobre Investigação) a propor o desenvolvimento de um sistema simples e transparente que permita calcular os custos reais da investigação e efectuar comparações.

Questões para debate:

- Como combinar a manutenção de um acesso democrático ao ensino superior com uma redução da taxa de insucesso e de abandono dos estudos?
- Como assegurar uma melhor adequação entre a oferta e a procura de qualificações universitárias no mercado de emprego, através de uma melhor orientação?
- Será necessário uniformizar a duração dos estudos que conduzem a qualificações idênticas?
- Como reforçar a transparência dos custos da investigação nas universidades?

5.1.4. Explorar com maior eficácia os resultados do trabalho científico

Exploração da investigação e criação insuficiente de novas empresas tecnológicas

Dado que constituem uma das principais fontes de novos conhecimentos, as universidades desempenham no processo de inovação tecnológica um papel cada vez mais importante. Porém, na Europa essa função não é desempenhada ao nível a que seria possível e necessário fazê-lo. Desde meados da década de 90, o número de jovens empresas tecnológicas (*spin-offs*) criadas por universidades tem aumentado constantemente na Europa, principalmente em torno de algumas dessas

universidades. No entanto, a sua densidade média continua a ser nitidamente inferior à registada na proximidade dos *campus* americanos. Com efeito, na Europa são criadas menos empresas por investigadores, ou em associação com estes, e, além disso, as empresas criadas na Europa tendem a crescer mais lentamente e a durar menos tempo.

Um obstáculo importante a uma melhor exploração dos resultados da investigação universitária é o modo como são tratadas, na Europa, as questões de propriedade intelectual. Nos Estados Unidos, a lei "Bayh-Dole" atribuiu aos organismos onde são efectuados trabalhos de investigação financiados por verbas federais, nomeadamente as universidades, a propriedade dos resultados obtidos, com a intenção de incentivar a exploração dos resultados da investigação académica. Na Europa, ao longo dos últimos anos, diversas legislações nacionais evoluíram de forma convergente para fórmulas próximas da lei "Bayh-Dole" e os Estados-Membros onde ainda não foram adoptadas disposições deste tipo estão a ponto de o fazer. O efeito real destas medidas não pode ainda ser avaliado. No entanto, as divergências que subsistem em relação às disposições em vigor em certos Estados-Membros, bem como o carácter nacional da regulamentação, dificultam e limitam a transferência de tecnologias e a colaboração internacional na Europa. A um nível mais geral, a patente comunitária, que abre perspectivas de exploração à escala europeia, continua ainda em debate.

As universidades europeias possuem, além disso, estruturas de gestão dos resultados da investigação pouco evoluídas, menos desenvolvidas, por exemplo, do que as dos organismos públicos de investigação. Outro factor em jogo é a falta de familiaridade de muitos universitários com as realidades económicas da investigação, em particular os aspectos de gestão e as questões de propriedade intelectual. Além do mais, a ideia de aplicar dos resultados da investigação ainda suscita desconfiança por parte de muitos investigadores e responsáveis universitários, principalmente devido à dificuldade de encontrar um equilíbrio entre, por um lado, a necessidade de aplicação económica e, por outro, a necessidade de preservar, no interesse comum, a autonomia das universidades e o livre acesso aos conhecimentos.

Questões para debate:

- Como facilitar a criação, pelas universidades e os seus investigadores, de empresas destinadas a explorar os resultados das investigações que efectuam, e permitir-lhes retirar maiores benefícios desta exploração?
- Como incentivar as universidades e os investigadores a identificar, gerir e valorizar o potencial comercial das suas investigações?
- Quais são os obstáculos que actualmente dificultam a realização desse potencial, incluindo no plano legislativo e ao nível do direito de propriedade intelectual? Como podem esses obstáculos ser superados, nomeadamente em países onde a universidade é financiada quase exclusivamente por fundos públicos?

5.1.5. Reforçar a excelência das universidades europeias

5.1.6. Criar as condições para a excelência

Para que as universidades europeias adquiram e desenvolvam verdadeiros padrões de excelência, devem estar reunidas diversas condições. Algumas já existem em certos Estados-Membros. A lista indicada não pretende ser exaustiva, mas constitui um ponto de referência para o debate. Tal como em muitos dos outros domínios mencionados na presente Comunicação, estas questões devem ser abordadas não só no âmbito das estruturas das próprias universidades, mas também no contexto da estrutura regulamentar em que funcionam. No entanto, estes esforços perderão muito do seu valor se não forem desenvolvidos de modo convergente e coerente em toda a Europa. O objectivo deve ser o de assegurar que todas as universidades possam concretizar o máximo das suas potencialidades, sem deixar algumas para trás; uma aplicação fragmentada nestes domínios diminuiria a dinâmica do mundo universitário na Europa em geral. Um processo convergente fornecerá igualmente um contexto favorável que facilitará aos Estados-Membros a realização das mudanças pretendidas, à semelhança das reformas estruturais que se seguiram à Declaração de Bolonha.

Necessidade de planificação e financiamento a longo prazo

Para desenvolver e apoiar a excelência é necessário, antes de mais, garantir um contexto que torne possível uma planificação a longo prazo. A excelência não se obtém de um dia para o outro. Adquirir reputação de excelência em qualquer disciplina (ou subdisciplina) demora vários anos e depende da atitude crítica dos pares, aferida não a nível nacional, mas sim à escala europeia ou mesmo mundial. A acumulação do capital intelectual representado por equipas de investigadores eficazes e de nível mundial, inspiradas por uma combinação óptima de visão e tenacidade e animadas por pessoas cuja contribuição se complemente da melhor forma, exige muito tempo e implica a possibilidade de se recrutarem pessoas a nível mundial.

No entanto, os poderes públicos, que continuam a ser as principais fontes de financiamento das universidades, estabelecem orçamentos numa base anual e têm dificuldade em fazer previsões a médio ou longo prazo. Embora alguns Estados-Membros tenham já optado por sistemas de contratos plurianuais com as universidades, os períodos de vigência raramente excedem quatro anos. Além disso, no termo do período de quatro anos é possível que se tenham realizado eleições, que a posição do governo tenha mudado, que os objectivos anteriormente visados tenham perdido importância ou, em casos extremos, tenham sido abandonados.

Os Estados-Membros precisam, assim, de um consenso geral dos meios políticos e da sociedade civil quanto ao contributo prestado pela excelência da investigação e das universidades e quanto à necessidade de o incentivar. Na medida do possível, esse consenso deve procurar proteger o sector da investigação dos riscos decorrentes da evolução das circunstâncias financeiras. Devem ser dadas às universidades condições que lhes permitam planificar, desenvolver estratégias próprias e exercer a sua autonomia, como previsto na Secção 5.1, durante períodos de 6 ou mesmo 8 anos, sempre que possível.

Necessidade de estruturas e práticas de gestão eficazes

Uma segunda condição é a de que as estruturas de gestão das universidades devem responder, ao mesmo tempo, às múltiplas necessidades da própria instituição e às expectativas da sociedade, que garante a maior parte do seu financiamento. Isto significa que as universidades devem dispor de processos de decisão eficazes, de capacidades de gestão administrativa e financeira desenvolvidas e da possibilidade de fazer corresponder as remunerações aos desempenhos. O sistema deve também ser concebido tendo presente a questão da responsabilidade. Gerir uma universidade moderna é uma actividade complexa, que deve estar aberta a profissionais exteriores à tradição exclusivamente académica, na condição de a confiança na gestão da universidade se manter sólida. Importa igualmente referir que a liberdade de financiamento modificará a cultura financeira das universidades, mas não constituirá, por si só, um factor de melhoria da qualidade da gestão.

Necessidade de desenvolver a interdisciplinaridade

Uma terceira condição para atingir a excelência é a de que as universidades possam realizar mais trabalho interdisciplinar e sejam encorajadas a fazê-lo. Como indicado na Secção 3.3, a investigação avançada sai cada vez mais dos limites de uma única disciplina, em parte porque os problemas podem ser mais complexos, mas sobretudo porque a nossa percepção desses problemas evoluiu e temos agora maior consciência das diversas especializações necessárias para estudar as diferentes facetas do mesmo problema.

A organização do trabalho numa base interdisciplinar exige das universidades uma organização flexível, por forma a que pessoas de departamentos diferentes possam partilhar os seus conhecimentos e trabalhar em conjunto, inclusivamente através do recurso às TIC. Exige também flexibilidade na forma como as carreiras são avaliadas e remuneradas, para que o trabalho interdisciplinar não seja penalizado por extravasar as estruturas departamentais normais. Por último, exige que os próprios departamentos aceitem o trabalho "transfronteiriço" enquanto contributo para os objectivos da faculdade.

Questões para debate:

- Como reforçar o consenso sobre a necessidade de promover a excelência nas universidades, em condições que permitam conjugar autonomia e eficácia de gestão?
- Como incentivar as universidades a assegurar uma gestão tão eficaz quanto possível, tendo em conta tanto as suas próprias necessidades como as legítimas expectativas da sociedade?
- Que medidas permitiriam promover a interdisciplinaridade no trabalho universitário e a quem compete tomar essas medidas?

5.1.7. Desenvolver centros e redes de excelência a nível europeu

A necessidade de conciliar o imperativo de excelência com os efeitos da precariedade dos meios e das pressões concorrenciais obriga as universidades e os Estados-Membros a fazer opções. Com efeito, torna-se necessário identificar em que

domínios as diversas universidades atingiram, ou podem razoavelmente esperar atingir, a excelência considerada necessária a nível europeu ou mundial, e concentrar nesses domínios os fundos de apoio à investigação académica. Tal política permitiria obter a qualidade adequada a nível nacional em certos domínios, garantindo ao mesmo tempo a excelência a nível europeu, uma vez que nenhum Estado-Membro pode atingir padrões de excelência em todos os domínios.

A escolha dos domínios a privilegiar deve basear-se numa avaliação levada a cabo no interior de cada sistema universitário. Para ser objectiva e reflectir a percepção da comunidade científica e académica europeia e internacional, essa avaliação deve ser realizada por painéis que incluam pessoas externas ao sistema nacional em questão. A excelência académica a avaliar poderia, além disso, abranger a de outras universidades às quais as instituições examinadas estejam associadas no quadro de acordos de cooperação transnacional. A escolha dos domínios e das instituições deve ser revista com regularidade, a fim de garantir a manutenção do nível de excelência e para permitir que novas equipas de investigadores demonstrem o respectivo potencial.

A concentração dos financiamentos de investigação num menor número de domínios e instituições deveria traduzir-se numa maior especialização das universidades, em conformidade com a evolução actualmente observada no sentido de um espaço universitário europeu mais diferenciado, onde as universidades tendem a concentrar-se nos aspectos fulcrais das suas competências de investigação e/ou ensino. Embora se parta do pressuposto de que a relação entre investigação e ensino continua a definir a especificidade da universidade como instituição e que a formação através da investigação deve permanecer um aspecto essencial da sua actividade, esta relação não é, no entanto, idêntica em todas as instituições, nem para todos os programas ou a todos os níveis.

O apoio à excelência e à sua divulgação, designadamente a excelência académica, é um princípio fundamental do sexto programa-quadro comunitário de investigação. Através das "redes de excelência" deste programa, a União procura promover a constituição de capacidades "virtuais" de excelência dotadas da massa crítica necessária e, sempre que possível, multidisciplinares.

Questões para debate:

- Como incentivar todos aqueles que financiam as universidades a concentrar os seus esforços na excelência, nomeadamente no domínio da investigação, de modo a atingir uma massa crítica europeia que se mantenha competitiva a nível mundial?
- Como organizar e divulgar a excelência, gerindo ao mesmo tempo o impacto das medidas tomadas sobre todas as instituições e equipas de investigação?
- Como pode a União Europeia contribuir mais e melhor para a obtenção e a manutenção da excelência académica na Europa?

5.1.8. A excelência dos recursos humanos

Para manter a sua posição e reforçar o seu papel no contexto internacional, a União necessita de uma reserva de investigadores/professores, engenheiros e técnicos de alto nível. A sua formação tem principalmente lugar na universidade. No plano

quantitativo, a União encontra-se na situação paradoxal de formar um número ligeiramente mais elevado de licenciados nas áreas científicas e técnicas do que os Estados Unidos, embora contando com menos investigadores do que as outras grandes potências tecnológicas. A explicação para este aparente paradoxo encontra-se no número mais reduzido de postos de investigação oferecidos aos licenciados da área científica na Europa, sobretudo pelo sector privado: apenas 50% dos investigadores europeus trabalham em empresas, em comparação com 83% dos seus homólogos americanos e 66% dos investigadores japoneses.

A situação europeia corre o risco de se deteriorar nos próximos anos. A ausência de perspectivas de carreira afastará os jovens dos estudos científicos e técnicos, ao passo que os licenciados em áreas científicas procurarão outras carreiras mais lucrativas. Além disso, cerca de um terço dos investigadores europeus actuais reformar-se-á nos próximos dez anos. Uma vez que a situação nos Estados Unidos é idêntica, é provável que este factor vá exacerbar a concorrência entre universidades a nível mundial.

Um dos meios para travar esta evolução seria aumentar o número de mulheres nas carreiras científicas e técnicas, sector onde estão subrepresentadas, em particular nos níveis de responsabilidade mais elevados. Com efeito, nos países da União o número de homens licenciados nas disciplinas científicas é, em média, duas a quatro vezes superior ao número de mulheres. E as mulheres representam apenas um quarto a um terço do pessoal de investigação nos laboratórios europeus. No quadro da iniciativa "Mulheres e ciência"²⁸, estão em curso acções com vista a fomentar a participação das mulheres nos esforços europeus de investigação, mediante a identificação dos obstáculos à sua presença neste domínio e a divulgação das medidas mais eficazes tomadas pelos Estados-Membros para os eliminar.

Um outro meio consistiria em enriquecer a reserva de recursos disponíveis, mediante o reforço não só da mobilidade académica intra-europeia, mas também da mobilidade entre as universidades e a indústria. Neste contexto, a mobilidade virtual baseada na utilização das TIC desempenha igualmente uma função importante.

Apesar de uma ligeira evolução positiva graças a iniciativas tomadas a este nível em vários Estados-Membros, as universidades europeias continuam a contratar essencialmente pessoas do país ou da região onde estão estabelecidas, ou mesmo da própria instituição. Acresce que a avaliação dos investigadores se efectua de acordo com critérios que não valorizam nem incentivam a passagem por outras universidades europeias.

Neste contexto, surge igualmente a questão central do reconhecimento dos estudos e das qualificações a nível europeu. A ausência de um sistema simples e rápido de

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Relatório do grupo de trabalho ETAN " *Politiques scientifiques dans l'Union européenne: intégrer la dimension du genre, un facteur d'excellence*" (Políticas científicas na UE: promover a excelência integrando a igualdade de oportunidades), 1999; Resolução do Parlamento Europeu sobre mulheres e ciência, de 3 de Fevereiro de 2000 (PE 284.656); Documento de trabalho dos serviços da Comissão "Mulheres e ciência: a dimensão do género como força impulsionadora da reforma científica", SEC (2001) 771 de 15 de Maio de 2001; Resolução do Conselho sobre ciência e sociedade e sobre mulheres e ciência de 26 de Junho de 2001, JO C 199, p.1, de 14.7.2001; Relatório do Grupo de Helsínquia "As mulheres e a Ciência" intitulado "Políticas nacionais sobre mulheres e ciência na Europa", Março de 2002.

reconhecimento para fins académicos ou profissionais constitui hoje um obstáculo importante à mobilidade dos investigadores - impedindo, por conseguinte, uma maior partilha das ideias e resultados da investigação entre universidades europeias e o aumento da sua influência. Foram desenvolvidos diversos instrumentos específicos (como o sistema ECTS, o suplemento de diploma, a rede NARIC e directivas comunitárias neste domínio) e quase todos os Estados-Membros e países candidatos investiram em sistemas de garantia da qualidade, que se encontram reunidos na rede ENQA (*European Network for Quality Assurance* - Rede europeia de garantia de qualidade). É urgente examinar se e como poderia ser colmatada (no quadro do Processo de Bolonha, que visa uma maior transparência e mobilidade) a lacuna existente em matéria de reconhecimento, que actualmente impede as universidades de utilizar as suas potencialidades e os seus recursos com eficácia e de alcançar um público mais vasto.

No plano qualitativo, a excelência dos recursos humanos depende, em grande parte, dos recursos financeiros disponíveis, mas também das condições de trabalho e das perspectivas de carreira. Nas universidades europeias, caracterizadas pela multiplicidade dos estatutos, as perspectivas de carreira são de um modo geral limitadas e incertas. Neste contexto, a Comissão apoia o Processo de Bolonha e a sua extensão ao doutoramento, e nota com interesse as experiências em curso sobre doutoramentos duplos ou com supervisão conjunta. Sublinha também a necessidade de se formarem os doutorandos em maior medida numa perspectiva do trabalho interdisciplinar.

As universidades europeias oferecem, além disso, muito menos possibilidades em matéria de pós-doutoramento do que as suas homólogas americanas. Seria, pois, necessário incentivar o alargamento da gama de possibilidades oferecidas aos titulares de um doutoramento fora das carreiras de investigação.

A União adoptou diversas iniciativas para incentivar e facilitar a mobilidade dos investigadores na Europa. No âmbito do projecto de Espaço Europeu da Investigação, definiu uma estratégia de incentivo da mobilidade dos investigadores levada a efeito através de uma série de medidas concretas. A Comissão apresentará também em breve uma Comunicação sobre o tema das carreiras científicas.

Questões para debate:

- Que medidas permitiriam tornar os estudos e as carreiras científicas e técnicas mais atractivos e reforçar a presença das mulheres na investigação?
- Que resposta deveria ser dada - e por quem - à falta de possibilidades de evolução de carreira após os estudos de doutoramento na Europa e como poderá ser promovida a independência dos investigadores na realização das suas tarefas? Que esforços poderão as universidades desenvolver nesse sentido, particularmente tendo em conta as necessidades de toda a Europa?
- Como ajudar as universidades europeias a ter acesso a uma reserva de recursos (estudantes, professores e investigadores) de dimensão europeia, mediante a eliminação dos obstáculos à mobilidade?

5.1.9. Conseguir uma maior abertura das universidades europeias ao exterior

5.1.10. Maior abertura internacional

As universidades europeias operam num ambiente cada vez mais "globalizado" e estão em concorrência com as universidades dos outros continentes, particularmente as americanas, quando se trata de atrair e reter os melhores talentos a nível mundial. Embora acolham um número só ligeiramente inferior de estudantes estrangeiros do que as universidades americanas, as universidades europeias atraem proporcionalmente menos estudantes de alto nível e uma percentagem mais baixa de investigadores.

O ambiente oferecido pelas universidades europeias é, com efeito, menos atractivo: as condições financeiras, materiais e de trabalho são menos vantajosas, as repercussões financeiras da exploração dos resultados da investigação e as perspectivas de evolução das carreiras são menores²⁹ e, além disso, as disposições em matéria de vistos e autorização de residência para os estudantes, professores e investigadores estrangeiros - nacionais da União ou de outros países do mundo - são inadequadas e não estão devidamente harmonizadas. Recentemente, vários Estados-Membros tomaram medidas para tornar os seus laboratórios, universidades e empresas mais atractivos para os investigadores e estudantes de alto nível e os trabalhadores qualificados de países terceiros, por exemplo graças à concessão de "vistos científicos".

Na mesma óptica, a Comissão apresentou uma proposta de directiva do Conselho relativa às condições de entrada e residência dos estudantes de países terceiros. Está prevista para 2003 uma iniciativa do mesmo tipo para os investigadores destes países. A União prestará também um apoio reforçado à melhoria da atractividade das universidades europeias através das acções de apoio à mobilidade do sexto programa-quadro, que permitirão acolher mais de 400 investigadores e doutorandos de países terceiros nas universidades europeias entre 2003 e 2006, bem como no âmbito da iniciativa "Erasmus World".

Questões para debate:

- Como reforçar a atractividade das universidades europeias para os melhores estudantes e investigadores a nível mundial?
- Perante a internacionalização crescente do ensino e da investigação, bem como da acreditação para fins profissionais, que adaptações são necessárias em termos de estruturas, programas de estudos e métodos de gestão para permitir que as universidades europeias se mantenham, ou voltem a ser, competitivas?

5.1.11. Desenvolvimento local e regional

As universidades estão presentes em todas as regiões da União. As suas actividades têm um impacto local frequentemente importante no plano económico, social e cultural. Isto contribui para fazer delas um instrumento de desenvolvimento regional e, ao mesmo tempo, de reforço da coesão europeia. O desenvolvimento de pólos

²⁹

Ver também Secção 5.1.3 sobre a gestão da propriedade intelectual.

tecnológicos e de parques científicos, a multiplicação das estruturas de colaboração regional entre o mundo empresarial e as universidades, a expansão das estratégias universitárias de desenvolvimento regional, a criação de redes de universidades a nível regional são outros exemplos desta dimensão da actividade universitária.

A dimensão regional da actividade das universidades deverá, pois, necessariamente ser reforçada, tendo em conta o seu papel essencial na realização da Europa do conhecimento, em particular na perspectiva do alargamento. A União Europeia apoia estes desenvolvimentos, nomeadamente através dos Fundos Estruturais e do sexto programa-quadro.

Além disso, o papel desempenhado pelas universidades como fonte de competências especializadas e catalisador de parcerias múltiplas entre os intervenientes económicos e sociais, através de diversas redes, reveste-se de particular interesse a nível regional e local.

A participação acrescida das universidades aos níveis local e regional não deveria, contudo, fazer-se em detrimento da sua abertura internacional e da melhoria constante dos padrões de excelência da investigação e do ensino. Estes dois aspectos continuam a ser indispensáveis e permitirão às universidades contribuir mais eficazmente para o desenvolvimento do quadro local e regional.

Questões para debate:

- Em que domínios e de que modo podem as universidades reforçar a sua contribuição para o desenvolvimento local e regional?
- Como promover o desenvolvimento de pólos de conhecimento que associem a nível regional os diferentes protagonistas da produção e transferência de conhecimentos?
- Como ter em conta em maior medida a dimensão regional nos projectos e programas europeus de investigação, educação e formação?

6. CONCLUSÃO

A presente Comunicação expõe diversas questões que reflectem a profunda mutação em que se encontra o mundo universitário europeu. Tendo permanecido durante muito tempo relativamente isoladas, tanto em relação à sociedade como no plano internacional, com financiamentos garantidos e estatutos protegidos pelo respeito da sua autonomia, as universidades europeias atravessaram a segunda metade do século XX sem pôr verdadeiramente em questão o seu papel ou a natureza da sua contribuição para a sociedade.

As transformações a que estão actualmente sujeitas, e que se sucedem a um ritmo cada vez mais intenso desde há uma década, levam-nos a colocar uma questão fundamental: podem as universidades europeias, na sua forma e com a sua organização actuais, esperar conservar no futuro o seu lugar na sociedade e no mundo?

Para se tornar na economia e sociedade do conhecimento mais dinâmica e competitiva do mundo que ambiciona ser, a Europa tem absoluta necessidade de um

sistema universitário de primeira classe - com universidades reconhecidas mundialmente como as melhores nos diferentes campos de actividade e nos diferentes domínios que lhes são próprios.

As questões colocadas no presente documento têm por objectivo ajudar a determinar as acções a desenvolver para avançar nesse sentido numa União Europeia alargada.

Todas as partes interessadas - instituições, poderes públicos, particulares ou associações representativas - são convidadas a comunicar os seus pontos de vista sobre este tema, bem como as suas experiências e "boas práticas".

7. COMO CONTRIBUIR?

A Comissão propõe-se analisar as contribuições que receber até ao final de Maio de 2003.

As contribuições podem ser enviadas para qualquer dos dois endereços electrónicos seguintes:

- eac-consult-univ@cec.eu.int
- rtd-consult-univ@cec.eu.int

Podem igualmente ser enviadas para o seguinte endereço postal:

Comissão Europeia
EAC A1 (Consult-Univ)
(B-7 09/58)
B - 1049 BRUXELAS



COMISSÃO DAS COMUNIDADES EUROPEIAS

Bruxelas, 18.1.2000
COM (2000) 6 final

**COMUNICAÇÃO DA COMISSÃO AO CONSELHO, AO PARLAMENTO
EUROPEU, AO COMITÉ ECONÓMICO E SOCIAL E AO COMITÉ DAS REGIÕES**

Rumo a um espaço europeu da investigação

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COMUNICAÇÃO DA COMISSÃO AO CONSELHO, AO PARLAMENTO EUROPEU, AO COMITÉ ECONÓMICO E SOCIAL E AO COMITÉ DAS REGIÕES

Rumo a um espaço europeu da investigação

SITUAÇÃO E OBJECTIVOS

1 A INVESTIGAÇÃO NA EUROPA

Mais ainda que o século agora findo, o século XXI no qual entramos será o século da ciência e da tecnologia. Mais do que nunca, são as actividades de investigação e desenvolvimento tecnológico as que apresentam um futuro mais prometededor.

Mas, na Europa, é preocupante a situação em que se encontra a investigação. Sem uma acção concertada para corrigir esta situação, corre-se o risco de as tendências actuais conduzirem a uma perda de crescimento e competitividade no contexto da economia global. O desfasamento relativamente às outras potências tecnológicas irá acentuar-se ainda mais. A Europa poderá não conseguir fazer a transição para a economia do conhecimento.

Porquê uma apreciação tão negativa¹?

- Em média, as actividades de investigação da União (os desfasamentos entre países são importantes) representam apenas actualmente 1,8% do seu PIB, em comparação com 2,8% nos Estados Unidos da América e 2,9% no Japão².
- Além do mais, este desfasamento tende a agravar-se. A diferença entre as despesas totais de investigação públicas e privadas americanas e europeias elevou-se assim a cerca de 60 mil milhões de euros em 1998, em comparação com 12 mil milhões de euros em 1992³.
- Nos últimos dez anos, a balança comercial de produtos de alta tecnologia apresentou um défice anual de cerca de 20 mil milhões de euros para a Europa e este défice tende a aumentar.
- Em termos de emprego, os investigadores representam apenas 2,5‰ dos trabalhadores das empresas na Europa, em comparação com 6,7‰ nos Estados Unidos e 6‰ no Japão.
- O número de estudantes europeus de pós-graduação (3º ciclo) nos Estados Unidos é mais de duas vezes superior ao dos estudantes americanos do mesmo nível na

¹ Os indicadores numéricos mencionados nesta comunicação são ilustrados e completados nos quadros e gráficos que figuram no Anexo II.

² Estimativa da DG Investigação/Eurostat para 1998.

³ Estimativa da DG Investigação, a partir de dados do Eurostat e da OCDE.

Europa⁴ e 50% dos europeus que fazem o seu doutoramento nos Estados Unidos vivem nesse país durante longos períodos, por vezes mesmo com carácter definitivo.

- O facto é que a investigação e a tecnologia estão na origem de 25 a 50% do crescimento económico e determinam fortemente a competitividade e o emprego, bem como a qualidade de vida dos cidadãos europeus.
- Se o progresso tecnológico cria os empregos de amanhã, a verdade é que a investigação cria os empregos de depois de amanhã. Corre-se, portanto, o risco de as tendências actuais em matéria de investigação influenciarem negativamente a evolução do emprego na Europa no futuro.

Verifica-se não só que a Europa investe uma proporção cada vez menos importante da sua riqueza no progresso dos conhecimentos, como também que a visão que os Europeus têm da ciência é menos positiva que no passado. O progresso científico parece inspirar tanto angústia como esperança e o fosso entre o mundo científico e os cidadãos acentua-se.

A Europa produz, todavia, um terço dos conhecimentos científicos mundiais e ocupa uma posição de primeiro plano em domínios como a investigação médica ou a química. Ao nível da tecnologia, são-lhe reconhecidos importantes sucessos em sectores como a aeronáutica ou as telecomunicações. Este potencial deve ser conservado, reforçado e plenamente explorado.

Torna-se, por conseguinte, oportuno realizar um debate aprofundado para definir uma orientação política que permita uma redinamização da investigação na Europa.

2 UM MELHOR INVESTIMENTO NO CONHECIMENTO

Nos últimos anos do século XX entrámos na sociedade do conhecimento. É essencialmente sobre os conhecimentos nas suas diferentes formas, sua produção, aquisição e utilização, que assenta o desenvolvimento económico e social.

A investigação científica e o desenvolvimento tecnológico, mais especificamente, constituem um elemento fulcral do funcionamento da sociedade. Cada vez mais as actividades desenvolvidas neste domínio se destinam explicitamente a responder à procura social e a satisfazer as necessidades sociais, nomeadamente as associadas à evolução do trabalho e à emergência de novos modos de vida e de actividade.

Para a criação de novos produtos e processos, bem como de novos mercados, a investigação e a tecnologia são um dos principais motores do crescimento económico e da competitividade. Constituem um instrumento privilegiado de modernização das empresas europeias, indispensável para que a Europa possa reforçar a sua posição em termos de concorrência. A investigação e a tecnologia contribuem também globalmente, de forma directa ou indirecta, para a manutenção e desenvolvimento do emprego. Para citar alguns exemplos:

- O mercado europeu de produtos decorrentes da biotecnologia, que representa actualmente cerca de 60 mil milhões de euros por ano, deverá atingir por si só 250 mil milhões de euros daqui a cinco anos;

⁴ Segundo relatório europeu sobre os indicadores científicos e tecnológicos, 1997.

- Uma grande parte dos 2 milhões de empregos criados anualmente nos Estados Unidos a partir de 1991 inserem-se nos sectores de alta tecnologia, mais especificamente nas PME com elevado potencial de crescimento;
- É nas indústrias com elevada intensidade de investigação e desenvolvimento, como a indústria farmacêutica, a aeronáutica ou a biotecnologia, que o emprego se manteve mais estável e em que se verificou mesmo um aumento;
- E são as regiões europeias onde o esforço de investigação das empresas é mais elevado que apresentam tendencialmente taxas de desemprego mais baixas.

O Conselho Europeu sublinhou, várias vezes nos últimos anos, a importância de um esforço contínuo em matéria de investigação e desenvolvimento tecnológico no sentido do crescimento e do emprego. O Conselho Europeu aprofundará as suas reflexões sobre esta questão no Conselho Europeu Especial de Lisboa, a realizar em Março de 2000, sobre "Emprego, reforma económica e coesão social - Para uma Europa da inovação e do conhecimento". O Parlamento Europeu, por seu lado, alertou muitas vezes para a necessidade de a Europa consagrar mais meios à actividade científica e tecnológica.

3 O ESFORÇO DE INVESTIGAÇÃO NO SECTOR PÚBLICO

A investigação desempenha um papel fulcral na implementação das políticas públicas e encontra-se no âmago do processo de decisão política. Em domínios como a saúde, o "desenvolvimento sustentável" ou a segurança industrial, alimentar e nuclear, as opções e as decisões políticas devem ter como base conhecimentos científicos tão sólidos quanto possível, bem como uma total e justa apreensão dos aspectos económicos e sociais dos problemas em causa.

Trabalhos de investigação de natureza essencialmente fundamental são hoje realizados num contexto de aplicação em diversos quadros institucionais: universidades, institutos de investigação, empresas e consórcios de associação entre estas entidades. Em alguns casos, traduzem-se com bastante rapidez em realizações concretas. É o caso, por exemplo, dos avanços obtidos em biologia molecular ou em imunologia no domínio da saúde. Mas podem também dar lugar, anos depois da sua realização, a aplicações imprevistas em domínios muito afastados daqueles em que foram desenvolvidos.

Nos Estados Unidos, a acção das grandes agências de investigação fundamental manteve-se, e foi muitas vezes acrescida, ao longo dos últimos anos. Com uma grande preocupação em recuperar do seu atraso, o Japão aumenta continuamente as suas acções neste domínio. A Europa faria uma má escolha se reduzisse aqui o seu investimento. Além disso, a ciência sempre foi e continua a ser uma das maiores e mais excitantes aventuras do espírito humano. Ela é o produto de uma criatividade que não deveria desaparecer na Europa do século XXI.

4 OS INVESTIMENTOS PRIVADOS

O sector privado financia mais de metade das actividades de investigação e desenvolvimento tecnológico na Europa e executa dois terços dessas actividades. Os investimentos em investigação e desenvolvimento do sector privado europeu, que tinham diminuído, recomeçaram a aumentar nos últimos anos. Os investimentos das empresas de dimensão internacional e das multinacionais europeias mantêm-se a um nível elevado, ou são mesmo reforçados. Devido à globalização da economia, em ligação com as alianças industriais e

tecnológicas e as operações de reagrupamento (concentrações, aquisições) que se multiplicam em todos os sectores, estas empresas desenvolvem estratégias de investigação e desenvolvimento à escala internacional. Para uma parte do sector privado, o espaço da investigação é portanto definido cada vez mais ao nível europeu e mesmo ao nível mundial.

O aumento global das despesas de investigação e desenvolvimento do sector privado manteve-se, todavia, inferior ao verificado nos seus principais concorrentes, Estados Unidos e Ásia. Tal facto deve-se essencialmente ao carácter limitado, na Europa, da componente de investigação nas empresas de média dimensão, bem como nas PME. A população europeia destas últimas é, com efeito, largamente constituída por empresas actual ou potencialmente utilizadoras de tecnologias e cujo futuro está condicionado pelo desenvolvimento das suas capacidades tecnológicas. No entanto, esta população é constituída apenas por um número reduzido de pequenas empresas que exploram nichos de tecnologias avançadas e a taxa de criação de empresas que comercializam os resultados de trabalhos de investigação e desenvolvimento é ainda relativamente pouco importante na Europa.

Por outro lado, o mercado financeiro europeu ainda não se apercebeu suficientemente do valor económico do investimento no conhecimento. Embora se tenha recentemente começado a observar um aumento, o capital de risco para a inovação continua, todavia, a ser limitado na Europa. O investimento desse tipo de capitais nos sectores de alta tecnologia e na criação de empresas continua a ser, com efeito, muito inferior ao dos Estados Unidos. Em termos globais, o clima para o investimento privado em investigação na Europa deixa ainda muito a desejar.

5 A ORGANIZAÇÃO DA INVESTIGAÇÃO NA EUROPA

O Tratado dotou a União de uma base jurídica para acções de apoio à cooperação europeia em matéria de investigação e de desenvolvimento tecnológico.

O principal quadro de referência das actividades de investigação na Europa continua, todavia, a ser nacional. Os meios afectos às diferentes iniciativas de cooperação científica e tecnológica a nível europeu, comunitário ou intergovernamental não ultrapassam 17% do conjunto das despesas públicas civis de investigação na Europa.

O principal instrumento utilizado até à data ao nível europeu é o programa-quadro de investigação da União. Em termos financeiros, este representa apenas cerca de 5,4% do total da investigação pública civil. Embora constitua, conforme o atestam os resultados nesse plano, um instrumento útil de incentivo à cooperação internacional, não permite, por si só, uma melhor organização das actividades de investigação europeias.

Na realidade, as actividades de investigação europeias constituem actualmente uma simples adição das actividades dos 15 Estados-Membros e da União. A fragmentação de esforços, o isolamento e a compartimentação dos sistemas nacionais de investigação, bem como a disparidade dos regimes regulamentares e administrativos, têm consequências que agravam os efeitos do menor investimento global no conhecimento.

A descompartimentação e uma melhor integração do espaço científico e tecnológico europeu constitui uma condição indispensável para o relançamento da investigação na Europa. É preciso evoluir da actual estrutura estática de "15+1" para uma configuração mais dinâmica, baseada numa execução mais coerente das acções desenvolvidas pelos Estados-Membros ao nível nacional, pela União através do programa-quadro e de outros eventuais instrumentos e

pelas organizações de cooperação intergovernamental. Uma tal configuração permitiria reunir a indispensável "massa crítica" nos grandes domínios de progresso dos conhecimentos, realizar economias de escala, distribuir globalmente melhor os recursos e reduzir as externalidades negativas ligadas, nomeadamente, a uma insuficiente mobilidade dos factores e à má informação dos intervenientes.

O mercado europeu da oferta e da procura de conhecimentos e tecnologias encontra-se ainda em fase embrionária. O seu desenvolvimento e funcionamento exigem a definição de uma verdadeira política europeia de investigação.

6 UMA VERDADEIRA POLÍTICA EUROPEIA: RUMO A UM ESPAÇO EUROPEU DA INVESTIGAÇÃO

Não é possível afirmar que existe actualmente uma política europeia em matéria de investigação. As políticas nacionais e a política da União neste domínio justapõem-se sem formar um todo coerente. Para progredir mais, impõe-se uma abordagem mais vasta que a seguida até hoje. O próximo alargamento da União torna essa necessidade mais premente, abrindo, com efeito, a perspectiva de uma Europa de 25 ou 30 países, que não poderá funcionar com os métodos utilizados até à data.

Esta foi uma questão fulcral na reunião informal de Ministros da Investigação realizada em 20 de Maio de 1999, em que estes tiveram a oportunidade de debater essa matéria com peritos da comunidade científica. O interesse foi confirmado no Conselho "Investigação" de 2 de Dezembro de 1999. O Parlamento Europeu, por seu lado, dedica, desde há vários anos, uma atenção crescente ao problema da forma a dar à acção da União em matéria de investigação.

O objectivo desta comunicação é analisar a melhor maneira de avançar no sentido de uma melhor organização da investigação na Europa, bem como propor à reflexão e ao debate sugestões sobre essa matéria. A ideia proposta é a criação de um espaço europeu da investigação. Não se trata de uma ideia nova, mas as condições necessárias para avançar no sentido da sua concretização parecem estar hoje reunidas.

Como definir este conceito de espaço europeu da investigação? Este conceito inclui especialmente os seguintes elementos:

- A ligação em rede dos centros de excelência existentes na Europa e a criação de centros virtuais graças à utilização das novas ferramentas de comunicação interactivas.
- Uma abordagem comum das necessidades e meios de financiamento das grandes infra-estruturas de investigação na Europa.
- Uma implementação mais coerente das actividades de investigação nacionais e europeias e o reforço das relações entre as diferentes organizações de cooperação científica e tecnológica na Europa.
- Uma melhor utilização dos instrumentos e meios que permitam incentivar o investimento em investigação e inovação: sistemas de apoio indirecto (no respeito das regras comunitárias em matéria de auxílios estatais), patentes e capital de risco.
- O estabelecimento de um sistema comum de referência científica e técnica para a implementação das políticas.

- Recursos humanos mais abundantes e com maior mobilidade:
 - Aumento da mobilidade dos investigadores e introdução de uma dimensão europeia nas carreiras científicas.
 - Reforço da posição e do papel das mulheres na investigação.
 - Estímulo do gosto dos jovens pela investigação e pelas carreiras científicas.
- Um reforço da coesão europeia em matéria de investigação, com base nas melhores experiências de transferência de conhecimentos ao nível regional e local, bem como do papel das regiões nas actividades europeias de investigação.
- Uma aproximação das comunidades científicas, das empresas e dos investigadores da Europa Ocidental e Oriental.
- O reforço da atracção do território europeu para os investigadores do resto do mundo;
- A promoção de valores sociais e éticos comuns em matéria de ciência e tecnologia.

Deveriam ser reanalisadas questões deixadas até agora sem verdadeira resposta. Na perspectiva de uma Europa em breve alargada a 25 ou 30 países, colocam-se com uma nova acuidade questões como o interesse do lançamento, à escala europeia, de acções e programas "de geometria variável", por exemplo, e a forma que estes deveriam assumir. As possibilidades de exploração das disposições estabelecidas no Tratado sobre esta matéria mereceriam uma reanálise.

Seria também necessário aprofundar a questão da "investigação dual". Em domínios como a aeronáutica, materiais avançados ou tecnologias da informação e das comunicações, numerosos trabalhos de investigação podem dar lugar, simultaneamente, a aplicações civis e no sector da defesa.

Nas suas duas comunicações de 1996 e 1997 sobre a indústria da defesa⁵, a Comissão sublinhara a possibilidade de exploração de sinergias entre estes dois sectores e o interesse da melhoria da complementaridade entre os programas realizados na Europa nesse domínio. Os progressos realizados, na sequência do Conselho Europeu de Colónia, no sentido de uma Política Externa e de Segurança Comum (PESC) colocam esta questão numa nova perspectiva e convidam a um debate aprofundado sobre esta matéria.

Em essência, a inexistência de um espaço europeu da investigação é devida à compartimentação dos sistemas públicos de investigação e à forma pouco coordenada como são implementadas as políticas nacionais e europeias de investigação. Deveriam ser envidados esforços significativos a este nível, sem todavia criar mecanismos pesados. Trata-se simultaneamente de ultrapassar ainda mais as barreiras que subsistem entre as diferentes disciplinas, bem como as que entravam a circulação de conhecimentos e pessoas entre o meio académico e as empresas.

Embora a maior parte destas medidas seja da competência das autoridades públicas, é no conjunto do sistema de investigação (público e privado) que as medidas sugeridas deveriam

⁵ COM (96)10 e COM (97)583.

exercer um impacto: os centros de excelência produzem conhecimentos passíveis de exploração pelas empresas, que figuram, alias, entre os utilizadores das infra-estruturas de investigação; a melhoria dos sistemas de apoio indirecto à investigação e inovação diz explicitamente respeito ao sector privado, etc.

UM ESPAÇO EUROPEU DA INVESTIGAÇÃO⁶

1. UM CONJUNTO DE RECURSOS MATERIAIS E DE INFRA-ESTRUTURAS OPTIMIZADO À ESCALA EUROPEIA

1.1. Ligação em rede dos centros de excelência e criação de centros virtuais

Na Europa, existem centros de excelência de nível mundial em praticamente todos os domínios e disciplinas. No entanto, os seus exactos domínios de especialização nem sempre são suficientemente conhecidos para além das fronteiras do país onde se encontram, muito especialmente pelas empresas que poderiam desenvolver uma colaboração frutuosa com eles. Um dos critérios geralmente aceite para a definição de centros de excelência é, com efeito, a sua capacidade para produzir conhecimentos passíveis de exploração para fins industriais.

Numerosos problemas de investigação fundamental e aplicada exigem, por outro lado, uma massa crítica de meios financeiros e humanos e a combinação de competências complementares de especialistas em diversas disciplinas.

Uma cartografia dos centros de excelência europeus permitiria criar uma melhor visibilidade nesse domínio. Poderia, por outro lado, atingir-se um nível de desempenho muito elevado ligando em rede os centros especializados espalhados pelos países da União. As formas de trabalho à distância permitidas pelas redes electrónicas tornam possível a criação de verdadeiros "centros de excelência virtuais", nomeadamente multidisciplinares e capazes de associar universidades e empresas.

Para promover a excelência é todavia necessário velar pela manutenção de um nível suficiente de concorrência entre os intervenientes privados e públicos da investigação. Em vários Estados-Membros, foram criados sistemas de financiamento de centros de excelência com base num ambiente de concorrência. A fórmula poderia ser aplicada à escala europeia, numa colaboração entre a Comissão e os Estados-Membros.

1.2. Definição de uma abordagem europeia em matéria de infra-estruturas de investigação

As infra-estruturas de investigação desempenham um papel fulcral no progresso e aplicação dos conhecimentos na Europa. As fontes de radiação, os centros de cálculo e as bases de dados em biologia molecular, para citar alguns exemplos, são cada vez mais exploradas pelas equipas de investigação do sector público e do sector privado. Existem já infra-estruturas deste tipo em todos os Estados-Membros. Os seus custos de construção são elevados, frequentemente superiores às capacidades de um só país, o mesmo acontecendo com os seus custos de exploração. E o potencial que lhes está associado nem sempre é explorado de forma óptima.

Foram construídas infra-estruturas de grandes dimensões que são actualmente exploradas a nível europeu. A avaliação das necessidades em novas infra-estruturas é, além disso, frequentemente realizada num quadro bilateral ou multilateral. Por seu lado, a União Europeia implementa, desde há alguns anos, um programa de apoio a infra-estruturas de investigação. Até à data, a acção desenvolvida por este meio limitou-se ao apoio ao acesso transnacional às

⁶ A lista de possíveis temas de acção específicos figuram no Anexo I.

infra-estruturas, ao desenvolvimento de novos instrumentos e equipamentos e a projectos de cooperação que permitam melhorar a interoperabilidade das instalações e a complementaridade das suas actividades.

Tratar-se-ia agora de avançar mais um passo, desenvolvendo uma abordagem europeia em matéria de infra-estruturas que abranja simultaneamente as questões da criação de novas instalações, do funcionamento das existentes e do seu acesso. Deveria ser efectuada uma análise das responsabilidades (nomeadamente em matéria financeira) nestes três planos e definidos sistemas de combinação das acções e dos meios. Com base no trabalho efectuado pela Fundação Europeia da Ciência (FEC) e pela OCDE, seria também necessário proceder a uma avaliação exacta das necessidades a satisfazer ao nível europeu (incluindo em matéria de serviços comuns).

A Comissão, em colaboração com a Fundação Europeia da Ciência, organizará uma conferência sobre o tema das infra-estruturas de investigação na Europa, a realizar em Estrasburgo no segundo semestre do ano 2000. Poder-se-ia aproveitar essa ocasião para criar um enquadramento e debater essas questões.

1.3. Melhor exploração do potencial oferecido pelas redes electrónicas

As redes electrónicas oferecem aos investigadores uma série de novas possibilidades de trabalho: laboratórios virtuais, manipulação de instrumentos à distância e acesso quase ilimitado a bases de dados complexas. A Internet, criada para utilização pela comunidade científica, passou a ser também o suporte de múltiplas actividades de informação e comunicação e deu lugar a espectaculares desenvolvimentos comerciais. Desenvolvida por um investigador do CERN para satisfazer as necessidades da comunidade de físicos, a *World Wide Web* (Teia Mundial) é actualmente utilizada por várias dezenas de milhões de utilizadores.

Para responder às necessidades específicas da investigação, em crescimento constante, são também necessárias redes específicas. Nos Estados Unidos, os investigadores, muito especialmente os das universidades, têm hoje ao seu dispor infra-estruturas de banda larga e de débito muito elevado. As recentes iniciativas americanas *Internet-2* e *Next Generation Internet* (NGI), lançadas em parceria pela comunidade científica, autoridades públicas e sector privado, deverão reforçar ainda mais essas capacidades.

No sentido de colmatar o atraso europeu neste domínio, a União apoia uma acção de interligação de redes telemáticas nacionais a níveis de capacidade progressivamente crescentes: 34 Mbits/s, actualmente 155 Mbits/s e em breve 622 Mbits/s, sendo o objectivo final atingir a ordem de grandeza dos Gbits/s, a cujo nível operam já algumas ligações com os Estados Unidos.

A fim de acelerar a recuperação europeia em matéria de redes electrónicas, a Comissão propôs na Cimeira de Helsínquia a iniciativa e-Europe, que fixa objectivos ambiciosos, nomeadamente no que diz respeito à interligação à escala europeia. Esta iniciativa tem um calendário definido até 2005. Um dos objectivos é promover a exploração máxima dessas redes pela comunidade de investigadores.

Com vista a aumentar a produtividade da investigação europeia, contribuindo simultaneamente para estruturar a colaboração à escala do continente, é necessário incentivar neste contexto a utilização de redes electrónicas nos diferentes domínios de investigação, tanto no âmbito dos programas europeus de investigação, como a nível

nacional: desenvolvimento de bases de dados e do acesso aos serviços Internet avançados, incentivo à produção de conteúdos multimédia e de utilizações interactivas e apoio a novos modos de colaboração electrónica dos investigadores, antecipando a emergência de verdadeiros "institutos de investigação virtuais".

Tratar-se-ia, paralelamente, de incentivar, aos níveis nacional e europeu, as acções de sensibilização e formação dos investigadores no que diz respeito às possibilidades criadas pelas tecnologias da informação e da comunicação.

2. INSTRUMENTOS E MEIOS PÚBLICOS UTILIZADOS COM UMA MAIOR COERÊNCIA

2.1. Maior coordenação na implementação dos programas de investigação nacionais e europeus

Dispondo de meios frequentemente importantes, os programas nacionais de investigação são realizados de forma basicamente independente uns dos outros. Esta situação impede que se aproveitem todos os benefícios dos recursos materiais e humanos que lhes são afectos.

Os programas de investigação da União exercem um certo efeito de coordenação nas actividades de investigação na Europa. Este efeito é variável consoante os domínios. Encontra-se institucionalizado no caso da fusão (que é objecto de um programa integrado). Exerce-se, de facto, noutros domínios, mais particularmente nos sectores onde ainda não existiam programas estruturados ao nível nacional no momento em que as acções a nível europeu foram lançadas ou em domínios muito especializados onde a experiência e conhecimentos não abundam na Europa. É também natural que os programas da União tenham mais facilmente impacto nos domínios onde já existe uma importante integração das actividades industriais, como em aeronáutica.

Seria oportuno avançar mais nessa direcção através de outros mecanismos. Os responsáveis das administrações nacionais de investigação dos Estados-Membros decidiram recomendar a adopção do princípio da abertura mútua dos programas nacionais. Tratar-se-ia de tomar as medidas necessárias para garantir a sua aplicação prática. Deveriam ser criados mecanismos de informação recíproca e um dispositivo de informação global sobre os objectivos e conteúdo dos programas, bem como sobre as condições de elegibilidade e de participação. Deveria ser considerado o alargamento dessa abertura aos países candidatos à adesão.

Durante os últimos anos foram realizadas com sucesso em vários países, como em Portugal e Alemanha, experiências convincentes de avaliação das actividades nacionais de investigação por painéis internacionais compostos essencialmente por peritos de outros países europeus. Devem assim ser encorajadas iniciativas desse tipo.

A Comissão pode assim desempenhar um papel de iniciador e catalisador, fornecendo aos Estados-Membros meios logísticos e instrumentos jurídicos para uma melhor coordenação das actividades de investigação desenvolvidas na Europa.

2.2. Intensificação das relações entre as organizações europeias de cooperação científica e tecnológica

Durante as últimas décadas, paralelamente aos programas europeus de investigação (ou mesmo antes da sua criação), foram criadas várias organizações europeias de cooperação

científica e tecnológica num quadro intergovernamental (FEC, AEE, EMBO, EMBL, CERN, ESO, ESRF, ILL, EUREKA, COST)⁷.

Desenvolveram-se actividades de cooperação entre estas organizações e os programas de investigação da União, numa base essencialmente bilateral (cooperação da União especialmente com EUREKA, AEE e Fundação Europeia de Ciência, em especial).

Estas organizações desempenham um papel importante no panorama científico e tecnológico europeu e enfrentam actualmente problemas comuns (financiamento, integração de investigadores dos países da Europa Central e Oriental, diálogo com os Estados Unidos). Seria útil dotá-las de um enquadramento no qual possam debater as suas respectivas posições no panorama científico e tecnológico europeu e as relações entre si e a União.

Dever-se-ia dar prioridade à criação de condições para uma concertação política entre essas organizações. Esta poderia ser assegurada por intermédio de um conselho dos seus responsáveis ao mais alto nível reunindo-se a intervalos regulares. A sua existência contribuiria, além disso, para oferecer aos Europeus e aos observadores exteriores uma imagem mais coerente da Europa da ciência e da tecnologia.

3. UM INVESTIMENTO PRIVADO MAIS DINÂMICO

3.1. Melhor utilização dos instrumentos de apoio indirecto à investigação

Verifica-se no mundo um recurso crescente a instrumentos de apoio indirecto, nomeadamente às medidas fiscais, com vista a incentivar o investimento privado em investigação e desenvolvimento e a criação de lugares de investigadores e de técnicos pelas empresas. Nos Estados Unidos e Canadá, são assim aplicados sistemas interessantes de apoio a longo prazo às jovens empresas.

Na Europa, os mecanismos utilizados nos diferentes países são muito variados. Alguns Estados-Membros recorrem a eles de forma contínua, outros muito menos.

Seria conveniente desenvolver sistemas de informação de fácil utilização relativos aos dispositivos existentes. Deveria assim promover-se o intercâmbio e difusão das boas práticas, a fim de incentivar os investimentos privados na investigação, muito especialmente os das PME, bem como na inovação.

As diferenças de situação entre países e regiões da União neste domínio podem afectar de muitas formas a concorrência entre si, criando condições mais ou menos favoráveis ao investimento na investigação e na inovação. Nos casos em que os dispositivos utilizados assumem a forma de auxílios estatais, as regras comunitárias em matéria de concorrência devem, de qualquer forma, ser respeitadas.

⁷ FEC: Fundação Europeia da Ciência; AEE: Agência Espacial Europeia; EMBO: Organização Europeia de Biologia Molecular; EMBL: Laboratório Europeu de Biologia Molecular; CERN: Organização Europeia de Investigação Nuclear; ESO: Observatório Europeu do Hemisfério Sul; ESRF: Instalação Europeia de Radiação Síncrotrónica; ILL: Instituto Laue-Langevin e COST: Cooperação Europeia no domínio da Investigação Científica e Técnica.

3.2. Desenvolvimento de instrumentos eficazes para protecção da propriedade intelectual

O actual sistema de patentes na Europa, assente no Instituto Europeu de Patentes e nos institutos nacionais, baseia-se na emissão de patentes nacionais, válidas unicamente nos Estados-Membros para os quais são emitidas. Este sistema é oneroso e o custo elevado das patentes é geralmente interpretado como um dos principais obstáculos à sua utilização generalizada na Europa. A gestão das patentes por vários Estados-Membros é, além disso, complexa. A Comissão estuda assim a possibilidade de propor a criação de uma patente comunitária unitária, abrangendo todo o território da União. No plano internacional, a Comissão velará pela adaptação dos acordos TRIPS em matéria de propriedade intelectual aos novos desenvolvimentos tecnológicos.

É importante para a investigação europeia a criação, o mais rapidamente possível, da patente comunitária, que deveria ser de acesso fácil e ter um custo comparável ao de uma patente europeia que abrange um número limitado de países. Deveriam ser envidados esforços especiais para reduzir os custos de tradução. A Comissão segue, por outro lado, atentamente os trabalhos desenvolvidos pela Organização Europeia de Patentes no âmbito da revisão da Convenção de Munique, para determinar em que condições os efeitos da divulgação anterior ao depósito de uma patente poderão ser tidos em conta no direito europeu de patentes.

A fim de aumentar o impacto do conjunto dos esforços de investigação desenvolvidos na Europa em termos de inovação, deveria também ser reforçada a pertinência e coerência dos regimes de propriedade intelectual aplicados na implementação dos programas públicos de investigação.

A protecção dos direitos de propriedade intelectual pode ser assegurada por muitos outros meios para além das patentes. Em complemento das iniciativas tomadas no âmbito do Primeiro Plano de Acção para a Inovação na Europa, poderiam ser criados sistemas de informação e intercâmbio de boas práticas neste domínio pelos organismos nacionais e europeus de apoio à investigação e à inovação.

3.3. Incentivo à criação de empresas e aos investimentos de capital de risco

A taxa de criação de empresas de alta tecnologia pelos investigadores, ou com participação dos investigadores no capital, continua a ser comparativamente fraca na Europa. As medidas adoptadas nos últimos anos a nível regional, como a criação de parques tecnológicos e de incubadoras, ou por alguns Estados-Membros, como a adaptação do estatuto dos investigadores do sector público, exerceram um efeito estimulante nessa matéria. Essas medidas poderiam ser completadas com outras iniciativas.

Por outro lado, a Europa sofre notoriamente de um nível demasiado débil de investimento de capital de risco nos sectores de alta tecnologia. Observa-se desde há algum tempo uma evolução positiva. Encontram-se actualmente cotadas nos novos mercados europeus (Euro-NM, EASDAQ e AIM) 650 sociedades. O seu número continua, no entanto, a ser oito vezes inferior ao observado nos Estados Unidos. No prolongamento, nomeadamente, do Primeiro Plano de Acção para a Inovação na Europa, a Comissão tomou, ao longo dos últimos anos, uma série de iniciativas neste domínio, algumas das quais (por exemplo o projecto I-TEC) são implementadas em colaboração com o Banco Europeu do Investimento (BEI). Em 1999, a

Comissão apresentou duas comunicações sobre essa matéria⁸, tendo acabado de propor, no âmbito da iniciativa *e-Europe*, um plano de acção que prevê, nomeadamente, um inventário dos instrumentos existentes ao nível da União, até ao mês de Março de 2000.

Vários centros de investigação nacionais e o CCI associaram-se para fornecer, em comum, a jovens empresas inovadoras o apoio técnico e os conhecimentos especializados de que estas necessitam para o seu desenvolvimento. Deveriam ser multiplicadas experiências deste tipo.

Seria necessário promover, também iniciativas de estabelecimento de contacto entre os cientistas, industriais e financeiros a todos os níveis. Tal poderia fazer-se em ligação com os programas nacionais e europeus de investigação, de preferência de forma combinada. Foram realizadas com sucesso experiências prometedoras a este nível, como o "Fórum Investimento" no domínio das tecnologias da informação e da comunicação, ou a criação do "Fórum Biotecnologia e Finanças".

4. UM SISTEMA COMUM DE REFERÊNCIA CIENTÍFICA E TÉCNICA PARA A IMPLEMENTAÇÃO DAS POLÍTICAS

4.1. Desenvolvimento dos trabalhos de investigação necessários para a tomada de decisões políticas

A ciência e a tecnologia desempenham um papel cada vez mais importante na implementação das políticas públicas, nomeadamente das políticas da União. Estas estão implicadas, a diferentes títulos, na elaboração da regulamentação, cada vez mais presentes no processo de decisão política e no âmago das negociações comerciais, bem como no centro dos debates internacionais sobre questões ligadas, por exemplo, à segurança nas suas diversas formas ou aos diferentes aspectos do desenvolvimento sustentável.

O sistema europeu de investigação deve ser organizado de forma a antecipar e tomar em conta as necessidades que se manifestam nas diferentes fases de implementação das políticas públicas: elaboração, tomada de decisão, execução e controlo. Os responsáveis políticos devem, com efeito, ter ao seu dispor conhecimentos precisos, tão completos quanto possível, cientificamente actualizados e validados em permanência.

Neste espírito, os trabalhos de investigação directamente realizados pela Comissão deveriam ser alinhados com as grandes preocupações dos cidadãos e decisores, como a protecção do ambiente, a segurança alimentar e dos produtos químicos ou a segurança nuclear.

Os resultados da investigação desenvolvida no âmbito dos programas europeus deveriam ser sistematicamente explorados para apoio às diferentes políticas da União, e o conjunto das actividades de investigação da União deveriam ser objecto de uma melhor coordenação nessa perspectiva.

Seria também necessário criar um sistema fiável e reconhecido de validação dos conhecimentos, dos métodos de análise, do controlo e da certificação, bem como proceder à ligação em rede dos centros de excelência existentes na Europa nos domínios em causa.

⁸ COM (99)232 e COM (99)493.

4.2. Criação de um sistema comum de referência científica e técnica

No seu trabalho de elaboração de regulamentação, ou face a situações de urgência, os decisores políticos, muito especialmente a nível europeu, vêem-se confrontados com problemas complexos e de repercussões consideráveis. É preciso garantir aos cidadãos e agentes económicos e sociais uma maior segurança, resolvendo simultaneamente os conflitos entre várias categorias de agentes com interesses frequentemente divergentes. Tal como a Comissão salientou no seu Livro Branco sobre a segurança alimentar⁹, a União deve nomeadamente restabelecer a confiança do público e dos consumidores na alimentação (sua produção, regulamentação e controlo).

Na Europa, a função de peritagem junto dos decisores é garantida de forma diferente segundo os países e os domínios. As instâncias criadas ao nível europeu e nacional abundam. Pelas características da sua função, os peritos vêem-se, cada vez mais, obrigados a abandonar o terreno das considerações de carácter exclusivamente científico. A sua apreciação dos problemas e as suas recomendações são condicionadas pela sua especialidade, pelo seu domínio de actividade ou pela comunidade a que pertencem.

Com base, nomeadamente, na aproximação dos métodos, na harmonização dos procedimentos e na comparação dos resultados, é necessário estabelecer um sistema comum de referência à escala da União. Próximo das instituições que definem as políticas da União e independente dos interesses nacionais e privados, o CCI, nos termos da sua missão, poderia desempenhar um papel importante no desenvolvimento de um espaço europeu de referência científica e técnica. Este seria constituído com base nos centros de referência nacionais, nas agências europeias, nos diferentes comités científicos e nas instituições criadas ao nível europeu, como seja a autoridade em matéria de segurança alimentar, independente dos interesses industriais e políticos, aberta ao inquérito público e reconhecida do ponto de vista científico, que a Comissão propôs criar até 2002, após um vasto processo de consulta.

5. RECURSOS HUMANOS MAIS ABUNDANTES E COM MAIOR MOBILIDADE

5.1. Maior mobilidade dos investigadores na Europa

A mobilidade é um instrumento eficaz e reconhecido de formação de investigadores e da difusão de conhecimentos. As acções desenvolvidas pela União para a incentivar tiveram um sucesso importante. Nos últimos anos, cerca de 8 000 jovens cientistas europeus beneficiaram deste instrumento, aos quais se deverão juntar mais 13 000 investigadores nos próximos quatro anos. Até à data, esta acção tinha uma finalidade essencialmente de formação.

Os investigadores apresentam, no seu conjunto, maior mobilidade que o resto da população. Numa estimativa global, a sua taxa de mobilidade é de cerca de 5% da população activa, sendo de 2% em média para as outras categorias profissionais. Mas a sua mobilidade não é ainda tão grande como seria desejável, nem é proporcional às necessidades.

Um aspecto que desempenha um papel importante é a pouca familiaridade dos investigadores europeus relativamente às "culturas" de investigação existentes noutros países e a pouca atracção que estas exercem sobre eles. Existem também obstáculos de natureza administrativa. A aplicação ao nível nacional das directivas comunitárias em matéria de livre

⁹ COM (99)719.

circulação e de direito de estabelecimento, de cobertura social ou de pensão nem sempre é fácil e exige dos interessados esforços que podem ter um efeito dissuasor.

As possibilidades de exploração da mobilidade como instrumento de transferência de conhecimentos e tecnologias deveriam ser mais utilizadas no futuro, aos níveis nacional e europeu.

Tratar-se-ia assim de encorajar e desenvolver substancialmente a mobilidade dos investigadores entre o mundo académico e o das empresas, sob as diferentes formas que esta pode assumir. Este constitui, com efeito, um dos melhores meios para intensificar a cooperação entre as universidades e a indústria.

Devem ser, por outro lado, desenvolvidas acções de informação, formação e familiarização dos investigadores e dos responsáveis administrativos das organizações de investigação, numa colaboração entre os Estados-Membros e a Comissão. A mais longo prazo, seria necessário analisar a possibilidade de os organismos em causa melhorarem, de forma coordenada, certas disposições regulamentares e administrativas internas.

5.2. Introdução de uma dimensão europeia nas carreiras científicas

Na Europa de hoje, a carreira dos investigadores processa-se essencialmente num quadro de referência nacional. As modalidades de recrutamento privilegiam os nacionais de cada país, no que diz respeito às carreiras académicas ou científicas, e a ausência de estruturas de carreiras adequadas para os investigadores de outros países europeus priva as organizações de investigação da possibilidade de beneficiar da experiência e conhecimentos de investigadores brilhantes formados noutros locais. As decisões de nomeação e promoção conduzem, nalguns casos, à penalização dos investigadores que se mantêm demasiado tempo no estrangeiro, o que desencoraja a mobilidade.

Foram desenvolvidas iniciativas em alguns Estados-Membros no sentido de introduzir uma dimensão europeia nas carreiras, como a abertura dos comités de recrutamento de investigadores a cientistas de outros países. Seria necessário promover essa evolução e a adopção pelos organismos de investigação de medidas que vão nesse sentido, como a criação de perspectivas de carreira para os investigadores de outros países europeus, bem como a tomada em consideração sistemática, na avaliação das carreiras, das actividades desenvolvidas noutros países da Europa ou ao nível europeu.

5.3. Reforço da posição e do papel das mulheres na investigação

Na Europa, as mulheres não estão suficientemente presentes na investigação. Embora representem 50% dos diplomas universitários e ultrapassem mesmo em número os homens em algumas disciplinas (ciências e tecnologias do ser vivo, por exemplo), as mulheres não se encontram proporcionalmente presentes nos laboratórios e serviços de investigação das empresas. A sua progressão na carreira científica é mais lenta que a dos homens e o seu número rarifica-se à medida que se sobe na escala de responsabilidades: no topo da hierarquia académica encontram-se, em média na União, menos de 10% de mulheres.

Várias categorias de factores estão na origem desta situação, nomeadamente certos mecanismos de discriminação e sua antecipação por parte das mulheres, bem como a forma insuficiente como são tomadas em conta as restrições particulares que estas têm de enfrentar na conduta das suas actividades profissionais. Esse facto constitui uma perda para as próprias mulheres, para a investigação e para a sociedade.

Foram adoptadas medidas em todos os Estados-Membros para melhorar esta situação. A União Europeia desenvolveu uma iniciativa importante neste domínio. Em Fevereiro de 1999, a Comissão apresentou a Comunicação "Mulheres e Ciência"¹⁰, que foi objecto de uma resolução favorável do Conselho. Esta iniciativa foi dotada de um plano de acção que está actualmente a ser implementado.

Este esforço deverá ser prosseguido e desenvolvido, sendo tanto mais fácil a concretização do objectivo de reforço da presença das mulheres na investigação quanto se procure atingir esse objectivo conjuntamente a nível nacional e da União.

5.4. Estímulo do gosto dos jovens pela investigação e pelas carreiras científicas

O reforço dos recursos humanos em matéria de investigação na Europa pressupõe uma actuação, em complementaridade, a montante da vida científica. Em todos os países da União observa-se um efeito de desafecção face aos estudos científicos e uma perda de interesse dos jovens pelas carreiras de investigação. Na Alemanha, o número de estudantes de física diminuiu assim para metade desde 1991. No Reino Unido, o número de futuros professores dessa disciplina desceu de 553 em 1993 para 181 em 1998. E em França, o número de estudantes de ciências desceu de 150 000, em 1995, para 126 000 em 1999.

Uma questão essencial é a do ensino das ciências. É na escola que se adquirem as bases do conhecimento e compreensão da ciência e que se forma o gosto pelas matérias científicas e técnicas.

No prolongamento, muitas vezes, de longas tradições de divulgação e ensino da ciência, foram desenvolvidas iniciativas nos Estados-Membros com vista a uma maior familiarização do público, muito especialmente dos jovens, com a ciência e os seus métodos. Nesse mesmo espírito, a Comissão organiza anualmente um Concurso para Jovens Cientistas Europeus.

Os Estados-Membros e a União deveriam rapidamente estudar em comum, de forma aprofundada, o lugar dado às disciplinas científicas nos sistemas educativos e analisar a melhor forma de reforçar o ensino das ciências na União, a todos os níveis de ensino: primário, secundário e superior.

Com base na experiência adquirida a nível nacional, seria também necessário intensificar as acções de sensibilização empreendidas, criando condições que favoreçam o intercâmbio de experiências e de boas práticas. Os Ministros da Investigação da União decidiram explorar as possibilidades de uma melhor coordenação das diferentes "Semanas da Ciência" organizadas nos Estados-Membros, entre estas e com a "Semana Europeia da Ciência e da Tecnologia" da União. A organização simultânea de acontecimentos em todos os Estados-Membros e à escala europeia aumentaria fortemente o efeito da sensibilização desejado.

¹⁰ COM (99)76

6. UM TERRITÓRIO EUROPEU DINÂMICO, ABERTO E ATRAENTE PARA OS INVESTIGADORES E OS INVESTIMENTOS

6.1. Reforço do papel das regiões no esforço de investigação europeu

O tecido europeu de ciência e tecnologia sofre de uma falta de coesão. Embora se verifique uma tendência para a diminuição dos desfasamentos no desenvolvimento entre regiões europeias, em termos de produção de conhecimentos científicos e de inovações tecnológicas, o facto é que esses desfasamentos ainda são importantes. Com vista a contribuir para a sua redução, os Fundos Estruturais consagraram, de 1989 a 1999, 12 mil milhões de euros a acções ligadas à investigação e ao desenvolvimento tecnológico: desenvolvimento de infra-estruturas de investigação, criação de parques científicos e de pólos tecnológicos, actividades de formação científica e tecnológica e, em alguns casos, actividades de investigação propriamente ditas.

Na maior parte dos Estados-Membros, as regiões têm, por outro lado, tendência para desempenhar um papel cada vez mais assumido no domínio da investigação e da inovação, beneficiando de meios por vezes importantes e lançando iniciativas para promoção do desenvolvimento das ligações entre universidades, empresas e centros de investigação a nível local.

Seria necessário aproveitar a ocasião da negociação das intervenções estruturais previstas para os anos 2000 a 2006 para examinar com uma maior atenção o modo adequado para uma combinação mais eficaz das acções implementadas no âmbito dos projectos desenvolvidos nos programas europeus.

Em termos mais específicos, tratar-se-ia de analisar e criar as condições para uma verdadeira "territorialização" das políticas de investigação (adaptação destas ao contexto socioeconómico territorial), bem como de compreender melhor e reforçar o papel que as regiões, em complemento aos Estados-Membros e à União, podem desempenhar na construção de um espaço europeu da investigação com um melhor desempenho no panorama mundial. Com este fim em vista, seria necessário, antes de mais, proceder a um aferimento comparativo ("benchmarking") das actividades de investigação e das acções desenvolvidas para a sua promoção. Seria igualmente útil elaborar um balanço das melhores práticas de transferência de conhecimentos para o sector económico aos níveis regional e local.

Os Estados-Membros e a Comissão deveriam igualmente analisar em conjunto a melhor forma de utilização dos "motores regionais" para o desenvolvimento de um território científico e tecnológico europeu mais dinâmico, desenvolvendo nomeadamente o papel da formação em matéria científica e tecnológica que os centros de excelência podem e deveriam desempenhar.

6.2. Integração das comunidades científicas da Europa Ocidental e Oriental

O reforço das capacidades de investigação dos países candidatos e a integração dos seus investigadores na comunidade científica europeia podem contribuir para a preparação da sua adesão. As acções de cooperação científica e tecnológica empreendidas ao longo dos últimos anos com esses países por parte da União e dos Estados-Membros deram uma primeira contribuição nesse sentido. A associação ao 5º Programa-Quadro de Investigação dos países candidatos abre às organizações destes países a possibilidade de participação nos programas europeus em condições exactamente idênticas às dos países da União.

O desafio do alargamento da União no domínio da investigação é proporcional à sua contribuição potencial para a criação do Espaço Europeu da Investigação. Com efeito, os países candidatos consagram actualmente poucos meios à investigação e as suas estruturas de investigação devem ser adaptadas às exigências da aplicação dos conhecimentos para fins económicos e sociais. Os países candidatos da Europa Central e Oriental podem beneficiar dos fundos do programa de assistência PHARE para financiamento de uma parte da sua contribuição para o 5º Programa-Quadro (relativamente ao qual beneficiam de uma redução degressiva).

Estes fundos e as contribuições dadas no âmbito dos programas de investigação deveriam ser utilizados em combinação. Um objectivo deveria ser reforçar as capacidades não só de investigação, como também de administração da investigação nos países candidatos. Os conhecimentos e a experiência existentes nas administrações e organizações de investigação nacionais e europeias deveriam ser mobilizadas para esse fim.

6.3. Tornar o território europeu atraente para os investigadores do resto do mundo

As instituições de investigação não têm para os investigadores do mundo inteiro o mesmo efeito de atracção magnética exercido pelas universidades, empresas e laboratórios americanos. A Europa não oferece aos investigadores de países terceiros condições (materiais e administrativas) particularmente vantajosas.

As formalidades a satisfazer são geralmente pesadas. As disposições regulamentares, bem como as línguas, variam além disso de país para país. A "fuga de cérebros", que alguns afirmavam ter sido travada, não parou. De 1988 a 1995, 8 760 estudantes europeus efectuaram o seu doutoramento nos Estados Unidos. Cinco anos após a obtenção desse grau, cerca de metade encontravam-se ainda nos Estados Unidos.

Com vista a atrair para os laboratórios europeus os melhores investigadores do mundo inteiro, poderia ser criado um sistema europeu de bolsas para cientistas de países terceiros. Os programas de investigação nacionais e europeus poderiam também estar mais abertos à participação de investigadores e equipas de países exteriores à União.

No caso dos países em desenvolvimento, e para garantir o desenvolvimento de um potencial de investigação local, este sistema deveria ser concebido de forma a incentivar o regresso dos investigadores beneficiários ao país de origem, com vista à exploração da sua experiência e à difusão dos conhecimentos adquiridos.

Deveriam ser também tomadas medidas a nível nacional e europeu para incentivar o regresso aos laboratórios da União de investigadores que partiram para completar a sua formação ou para prosseguir a sua carreira nos Estados Unidos.

Nestes diferentes planos, deveriam ser nomeadamente exploradas as possibilidades associadas aos acordos de cooperação científica e tecnológica concluídos pela União com vários países terceiros.

Seria, finalmente e sobretudo, necessário melhorar sensivelmente as condições oferecidas aos investigadores na Europa. Deveriam ser especialmente envidados esforços para uma maior simplificação e harmonização das regulamentações e das condições administrativas. Foram neste contexto adoptadas recentemente em França disposições para encurtar os procedimentos de concessão de visas a investigadores de países terceiros.

7. UM ESPAÇO DE VALORES PARTILHADOS

7.1. Abordagem das questões ciência/sociedade na sua dimensão europeia

Os Europeus estão ligados a um modelo de sociedade baseado na combinação da economia de mercado, de um elevado nível de protecção social e de qualidade de vida, bem como em determinados princípios como o do livre acesso aos conhecimentos. Os Europeus estão também conscientes da riqueza da sua diversidade cultural e são sensíveis à necessidade de a preservar.

Os países europeus vêm-se cada vez mais confrontados com problemas comuns ou idênticos, que têm tendência para abordar ao nível da União. É portanto cada vez mais frequente que as questões chamadas de "ciência/sociedade" se coloquem à escala europeia, como as ligadas às relações tecnologia/emprego/trabalho ou às grandes escolhas em matéria de energia, ambiente e saúde.

É conveniente abordá-las a esta escala no duplo respeito dos valores comuns e da diversidade europeia.

Deveria ser introduzida uma maior coerência nas actividades prospectivas (exercícios "foresight"), nos trabalhos de vigilância científica e tecnológica, de inteligência socioeconómica e de avaliação das escolhas científicas e tecnológicas empreendidas aos níveis nacional e europeu e no âmbito das numerosas redes existentes. Seria necessário estabelecer uma plataforma de intercâmbio, criar locais de síntese e iniciar trabalhos de aproximação de metodologias. Tratar-se-ia também de melhorar a recolha de dados no conjunto da União e de desenvolver estatísticas e indicadores à escala europeia.

Deveria ser, por outro lado, incentivado o desenvolvimento de formas novas e contínuas de diálogo entre os investigadores e os outros agentes sociais.

Por iniciativa nomeadamente dos Parlamentos nacionais foram lançadas, ao longo dos últimos anos, iniciativas com vista à abertura de um diálogo entre cidadãos, investigadores, peritos, responsáveis industriais e decisores políticos. "Conferência de consensos", nos países escandinavos e no Reino Unido, ou "Conferência de cidadãos", em França, estas fórmulas puseram em destaque a capacidade dos cidadãos vulgares de emitir juízos fundamentados sobre questões complexas, bem como a possibilidade de se chegar a um consenso entre grupos com interesses divergentes.

Os intercâmbios de experiências que tiveram lugar neste domínio deveriam ser incentivados e sistematizados. Poderiam ser experimentadas fórmulas de participação cruzada. Valeria assim a pena organizar conferências desse tipo ao nível europeu sobre questões que se colocam a essa escala.

7.2. Desenvolvimento de uma visão comum das questões de ética da ciência e da tecnologia

Clonagem, utilização de tecidos de embriões para fins médicos, bases de dados pessoais e desenvolvimento de universos virtuais: o progresso dos conhecimentos e das tecnologias, sobretudo em domínios como as ciências e as tecnologias do ser vivo e as tecnologias da informação, é acompanhado por um número crescente de questões éticas.

Os Europeus partilham largamente os mesmos valores e respeitam os mesmos princípios fundamentais. Mas diferem muitas vezes na maneira como aplicam esses últimos na prática.

As questões éticas ligadas ao progresso dos conhecimentos científicos e tecnológicos dão assim lugar a apreciações diferentes segundo os países.

Devem ser respeitadas as diferenças culturais e de sensibilidade moral que estão na origem dessa variação. Uma discordância demasiado grande seria, todavia, dificilmente aceitável. Importa assim incentivar o desenvolvimento de abordagens convergentes e coerentes dessas questões, muito especialmente nos domínios de actividade da União.

Deveriam ser intensificadas as ligações entre os comités de ética criados ao nível nacional e europeu (o Grupo Europeu de Ética para as Ciências e as Novas Tecnologias). Com vista a promover a compreensão mútua dos pontos de vista e o desenvolvimento de abordagens concordantes, seria necessário incentivar a abertura dos diferentes comités nacionais a peritos de outros países europeus.

As disposições em vigor e os critérios éticos utilizados nos programas nacionais e europeus de investigação deveriam ser comparados na perspectiva de uma aproximação em torno de princípios partilhados, no respeito das diferenças de sensibilidade e de opinião.

CONDIÇÕES PARA REALIZAÇÃO DA ACÇÃO

1. VIAS E MEIOS DE ACÇÃO

O Espaço Europeu da Investigação não nascerá instantaneamente numa forma acabada. O seu desenvolvimento far-se-á de uma forma progressiva. Entre as medidas sugeridas ou a sugerir, convém distinguir bem entre as acções a empreender a curto, médio e longo prazo, em que a realização das primeiras constitui muitas vezes uma condição para o sucesso das seguintes.

Algumas medidas poderiam ser implementadas imediatamente. Outras serão de adopção e aplicação mais lentas, como por exemplo as que implicam modificações das disposições legais, regulamentares ou administrativas ao nível nacional ou europeu.

Um aspecto importante é a questão da partilha de funções. Essas funções, bem como as responsabilidades que lhes estão associadas, deveriam ser definidas à luz do "princípio da subsidiariedade" considerado no seu senso mais lato: as acções deveriam ser empreendidas ao nível a que pudessem ser executadas da forma mais eficaz. Um espaço europeu da investigação eficaz pressupõe assim a clarificação das funções dos sectores público e privado, bem como das acções que conviria empreender aos níveis regional, nacional, europeu e internacional. No contexto da economia global e face aos problemas que se colocam ao nível mundial, a investigação deve, com efeito, ser definida em alguns casos numa base mais lata que a europeia.

Muitas vezes, o objectivo só será atingido através de uma combinação de iniciativas, meios e instrumentos aos diferentes níveis. A União poderia aí desempenhar um papel dinamizador. A União pode oferecer um enquadramento e ambiente adaptados, permitindo, por exemplo, a valorização e amplificação das iniciativas de abertura europeia tomadas pelos Estados-Membros, a título individual, no âmbito de cooperações bilaterais ou de iniciativas multilaterais.

Será necessário utilizar toda a panóplia de instrumentos à disposição da União, nomeadamente:

- Instrumentos práticos, como as bases de dados e os sistemas de informação;
- Estruturas e mecanismos de intercâmbio de informações e experiências: grupos de trabalho, redes de peritos e de intervenientes;
- Instrumentos financeiros;
- Instrumentos jurídicos: regulamentos e directivas;
- Instrumentos de coordenação política, permitindo um verdadeiro debate político que culmine com a adopção de recomendações ou resoluções pelo Conselho.

O leque de possibilidades oferecidas pelo Tratado (nomeadamente empresas comuns, programas complementares, participação em programas nacionais) deveria ser reexaminado com grande atenção.

Uma dimensão importante reside na comparação das situações e dos esforços desenvolvidos. Poderiam ser efectuados exercícios de aferimento comparativo dos desempenhos ("*benchmarking*"), incluindo a elaboração de relatórios nacionais. Com base nos resultados desses relatórios (cuja elaboração pressupõe um esforço combinado dos Estados-Membros e da União em matéria de estatística), bem como no relatório europeu sobre os indicadores científicos e tecnológicos e nos trabalhos do Eurostat e da OCDE, a Comissão poderia elaborar um relatório periódico sobre o estado da investigação na Europa. Concebido numa perspectiva de análise política, incluiria um "quadro sinóptico" da situação europeia neste domínio.

Este aferimento comparativo de desempenhos deveria incidir nos elementos mais pertinentes para a apreciação do impacto das actividades de investigação no desenvolvimento da sociedade do conhecimento e no emprego. Este deveria, nomeadamente, incluir as despesas públicas e privadas de investigação e desenvolvimento tecnológico, os desempenhos dos sistemas de inovação e de difusão de resultados e a situação em matéria de patentes. Seria dada uma especial atenção aos domínios específicos da presente comunicação, por exemplo a mobilidade dos investigadores, as medidas tomadas para incentivar o investimento privado (em matéria fiscal, nomeadamente), a situação em termos de capital de risco, a abertura dos programas nacionais, a ligação em rede dos centros de excelência, a presença das mulheres na investigação, as adaptações na evolução das carreiras científicas.

A abordagem utilizada no domínio do emprego pode servir de modelo para este caso. Essa abordagem baseia-se no estabelecimento de linhas de orientação que incluem a realização de objectivos concretos, a elaboração de planos de acção nacionais e a apresentação de relatórios conjuntos sobre a sua implementação. A sua aplicação no domínio da investigação teria como efeito o reforço da coerência e do incentivo à convergência das políticas desenvolvidas aos níveis nacional e europeu.

O instrumento financeiro de implementação da política de investigação da União Europeia continua a ser o programa-quadro, o qual terá o seu papel a desempenhar. Em meados do ano 2000, estarão disponíveis os resultados de importantes exercícios de avaliação quinquenal do programa-quadro e dos programas específicos. Com base nessas avaliações, iniciar-se-ão os trabalhos preparatórios do 6º Programa-Quadro e terão lugar os primeiros debates sobre essa matéria.

Tanto na sua forma como no seu conteúdo, o 6º Programa-Quadro deverá ser profundamente repensado à luz do projecto de desenvolvimento do Espaço Europeu da Investigação. Deverá fazer-se um esforço de concentração suplementar nas questões que é indispensável abordar à escala europeia. As modalidades de funcionamento e de intervenção do programa-quadro deverão, além disso, ser reexaminadas e introduzidos novos modos de acção baseados numa maior descentralização na execução dos programas, após se proceder ao seu estudo e ensaio.

2. NECESSIDADE DE UM VASTO DEBATE

Antes de qualquer decisão concreta, é necessário um debate alargado. As análises apresentadas nesta comunicação, bem como as sugestões formuladas, devem ser objecto de uma discussão aprofundada.

Este debate deveria, em primeiro lugar, desenrolar-se no âmbito das instituições europeias: no Conselho e no Parlamento Europeu, no prolongamento das discussões sobre o futuro da

investigação na Europa que tiveram lugar nos últimos anos, bem como no Comité Económico e Social e no Comité das Regiões.

Seria, por outro lado, essencial dar a palavra à comunidade científica, ao mundo industrial e, em sentido mais lato, à "sociedade civil".

A Comissão solicitará as opiniões das organizações representativas criadas a nível europeu. A Comissão convida também os Estados-Membros a analisar a possibilidade de organização, para o mesmo fim, de debates a nível nacional e regional, e está disponível para colaborar na organização dos mesmos.

A investigação afecta de forma crescente a vida dos cidadãos. Trata-se assim de alargar este debate ao conjunto da sociedade europeia. Esse alargamento será, nomeadamente, efectuado através de um fórum electrónico. O texto da presente comunicação será colocado na Internet, com convite ao envio de comentários. Salvo em caso de pedido explícito de confidencialidade, esses comentários serão tornados públicos pelo mesmo meio.

3. AS PRÓXIMAS ETAPAS

Esta questão é urgente. Sem um arranque coordenado e uma grande determinação para aumentar e organizar de melhor forma os esforços europeus em matéria de investigação, a Europa poderá comprometer as suas hipóteses de exploração plena do potencial decorrente da passagem à economia e sociedade do conhecimento. Tal facto não deixaria de ter consequências negativas no crescimento e no emprego.

O espaço europeu da investigação, cuja criação se propõe, seria um espaço de exploração óptima das capacidades científicas e dos recursos materiais existentes nos diferentes países, de implementação coerente das políticas nacionais e europeias, de circulação sem entraves de pessoas e conhecimentos; um espaço atraente para os investigadores europeus e também para os melhores investigadores dos países terceiros, construído no respeito dos valores sociais e éticos comuns dos Europeus e da sua diversidade.

As próximas etapas neste caminho poderiam ser:

- A análise e o debate desta comunicação no Parlamento Europeu;
- Um primeiro debate informal ao nível dos Ministros da Investigação, sob a presidência portuguesa no mês de Março de 2000;
- Uma contribuição da Comissão para este tema na Cimeira Europeia sobre o Emprego de Lisboa, a realizar em Março de 2000;
- A realização de um debate público nos Estados-Membros durante o primeiro semestre do ano 2000;
- Um segundo debate no Conselho "Investigação" no mês de Junho, altura em que a Comissão convidaria o Conselho a exprimir o seu acordo quanto à abertura de uma série de áreas de trabalho sobre cada um dos temas indicados na comunicação.

ANEXO I

POSSÍVEIS TEMAS DE ACÇÃO ESPECÍFICOS

1. UM CONJUNTO DE RECURSOS MATERIAIS E DE INFRA-ESTRUTURAS OPTIMIZADO À ESCALA EUROPEIA

1.1. Ligação em rede dos centros de excelência e criação de centros virtuais

- Cartografia dos centros de excelência europeus
- Criação de "centros de excelência virtuais"
- Sistema de financiamento dos centros de excelência com base num ambiente de concorrência

1.2. Definição de uma abordagem europeia em matéria de infra-estruturas de investigação

- Análise das responsabilidades em matéria de criação, funcionamento e acesso
- Avaliação das necessidades a satisfazer ao nível europeu
- Criação de um quadro de discussão

1.3. Melhor exploração do potencial oferecido pelas redes electrónicas

- Promoção da utilização de redes electrónicas nos diferentes domínios de investigação
- Acções de sensibilização e de formação dos investigadores

2. INSTRUMENTOS E MEIOS PÚBLICOS UTILIZADOS DE FORMA MAIS COERENTE

2.1. Maior coordenação na implementação dos programas de investigação nacionais e europeus

- Aplicação do princípio de abertura mútua dos programas nacionais
- Criação de mecanismos de informação sobre os objectivos e conteúdo dos programas
- Apoio a iniciativas de avaliação das actividades nacionais por painéis internacionais

2.2. Intensificação das relações entre as organizações europeias de cooperação científica e tecnológica

- Criação de um Conselho de altos responsáveis dessas organizações para fins de concertação política

3. UM INVESTIMENTO PRIVADO MAIS DINÂMICO

3.1. Melhor utilização dos instrumentos de apoio indirecto à investigação

- Desenvolvimento de sistemas de informação sobre os dispositivos existentes
- Incentivo ao intercâmbio e difusão de boas práticas

3.2. Desenvolvimento de instrumentos eficazes para a protecção da propriedade intelectual

- Apoio à criação da patente comunitária
- Reforço da coerência dos regimes aplicados nos programas públicos de investigação
- Criação de sistemas de informação e de intercâmbio de boas práticas

3.3. Incentivo à criação de empresas e aos investimentos de capital de risco

- Promoção da associação de centros de investigação nacionais para o apoio técnico a jovens empresas
- Iniciativas de estabelecimento de contacto entre os cientistas, industriais e financeiros em ligação com os programas nacionais e europeus

4. UM SISTEMA COMUM DE REFERÊNCIA CIENTÍFICA E TÉCNICA PARA A IMPLEMENTAÇÃO DAS POLÍTICAS

4.1. Desenvolvimento dos trabalhos de investigação necessários para as decisões políticas

- Alinhamento dos trabalhos de investigação realizados pela Comissão com as preocupações dos cidadãos e dos decisores
- Criação de um sistema fiável e reconhecido de validação de conhecimentos e de métodos de controlo
- Ligação em rede dos centros de excelência nos domínios em causa

4.2. Criação de um sistema comum de referência científica e técnica

- Criação de um sistema comum de referência à escala da União
- Desenvolvimento de um espaço europeu de referência científica e técnica com base no CCI, nos centros de referência nacionais, nos comités científicos e nas instâncias criadas ao nível europeu

5. RECURSOS HUMANOS MAIS ABUNDANTES E COM MAIOR MOBILIDADE

5.1. Maior mobilidade dos investigadores na Europa

- Incentivo à mobilidade como instrumento de transferência de conhecimentos e de tecnologias
- Desenvolvimento da mobilidade dos investigadores entre o meio académico e o das empresas
- Acções de formação dos investigadores e dos responsáveis administrativos
- Melhoria de certas disposições regulamentares

5.2. Introdução de uma dimensão europeia nas carreiras científicas

- Promoção da abertura europeia dos comités de recrutamento
- Criação de perspectivas de carreira para os investigadores de outros países europeus
- Tomada em consideração das actividades desenvolvidas noutros locais da Europa ou ao nível europeu

5.3. Reforço da posição e do papel das mulheres na investigação

- Implementação do Plano de Acção "Mulheres e Ciência"

5.4. Estímulo do gosto dos jovens pela investigação e pelas carreiras científicas

- Reforço do ensino das ciências a todos os níveis na União
- Apoio ao intercâmbio de experiências e boas práticas em matéria de sensibilização dos jovens para a ciência
- Coordenação das "Semanas da Ciência" organizadas na União

6. UM TERRITÓRIO EUROPEU DINÂMICO, ABERTO E ATRAENTE PARA OS INVESTIGADORES E OS INVESTIMENTOS

6.1. Reforço do papel das regiões no esforço de investigação europeu

- Combinação da utilização dos Fundos Estruturais e dos programas europeus de investigação
- Aferimento comparativo do desempenho ("benchmarking") das actividades de investigação das regiões e das acções desenvolvidas para as incentivar
- Balanço das melhores práticas de transferência de conhecimentos para o sector económico ao nível regional
- Análise do papel dos "motores regionais" no desenvolvimento de um território científico europeu mais dinâmico

6.2. Integração das comunidades científicas da Europa Ocidental e Oriental

- Mobilização dos conhecimentos e experiência presentes na União no sentido de reforçar as capacidades não só de investigação, como também de administração da investigação nos países candidatos.

6.3. Tornar o território europeu atraente para os investigadores do resto do mundo

- Criação de um sistema de bolsas para cientistas de países terceiros
- Abertura aos investigadores de países terceiros dos programas de investigação nacionais e europeus
- Simplificação e harmonização das regulamentações e condições administrativas
- Incentivo ao regresso à Europa dos investigadores que partiram para os Estados Unidos

7. UM ESPAÇO DE VALORES PARTILHADOS

7.1. Abordagem das questões ciência/sociedade na sua dimensão europeia

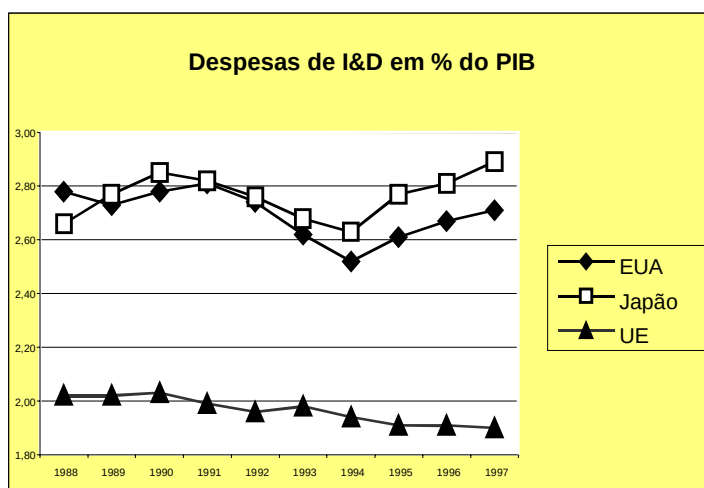
- Reforço da coerência das actividades prospectivas e de inteligência socioeconómica aos níveis nacional e europeu
- Criação de uma plataforma de intercâmbios
- Desenvolvimento de estatísticas e de indicadores e harmonização dos dados e metodologias à escala europeia
- Organização de "Conferências de Cidadãos" ao nível europeu

7.2. Desenvolvimento de uma visão comum das questões de ética da ciência e da tecnologia

- Reforço das ligações entre os comités de ética nacionais e europeus
- Abertura dos comités de ética nacionais a peritos de outros países europeus
- Comparação dos critérios utilizados nos programas nacionais e europeus na perspectiva de uma aproximação em torno de princípios comuns, no respeito das diversidades

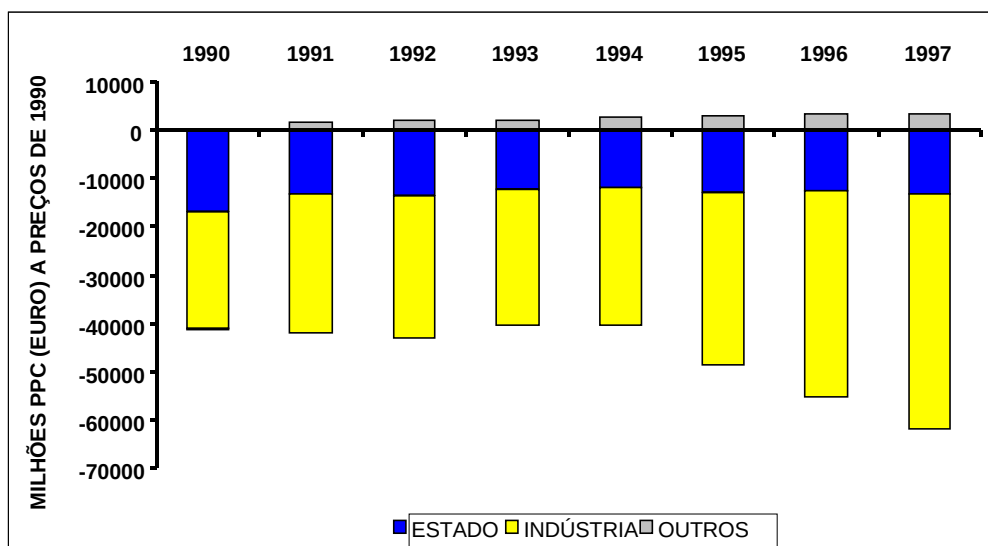
ANEXO II

1. O ESFORÇO GLOBAL DE INVESTIGAÇÃO DA UNIÃO RELATIVAMENTE AO SEU PRODUTO INTERNO BRUTO DIMINUI CONTINUAMENTE DESDE HÁ 10 ANOS. O DESFASAMENTO ACENTUA-SE RELATIVAMENTE AOS ESTADOS UNIDOS DA AMÉRICA E AO JAPÃO.



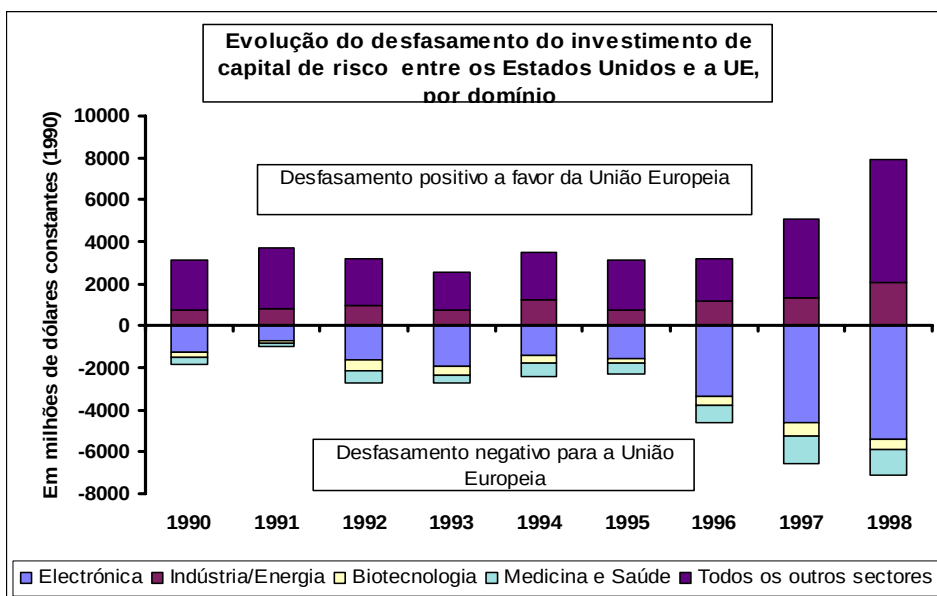
Fonte : Eurostat

2. O DESFASAMENTO ENTRE AS DESPESAS DE I&D DAS EMPRESAS AMERICANAS E EUROPEIAS É MUITO MAIS IMPORTANTE QUE O DESFASAMENTO ENTRE AS DESPESAS PÚBLICAS.



Fonte : DG Investigação, a partir de dados da OCDE

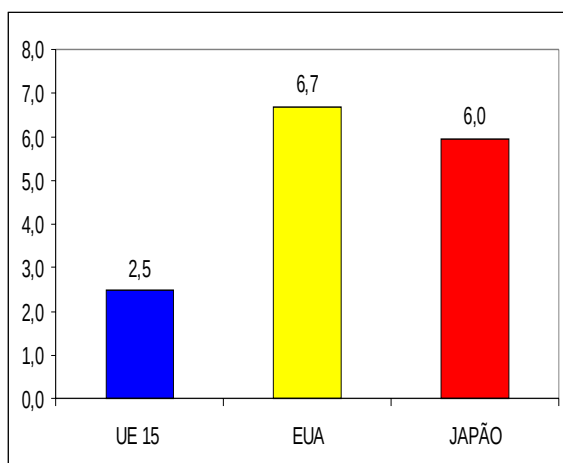
3. EM TERMOS DE CAPITAL DE RISCO, OS ESTADOS UNIDOS INVESTEM MAIS QUE A UNIÃO EUROPEIA NOS SECTORES DE ALTA TECNOLOGIA E NO FINANCIAMENTO DO ARRANQUE DE EMPRESAS INOVADORAS.



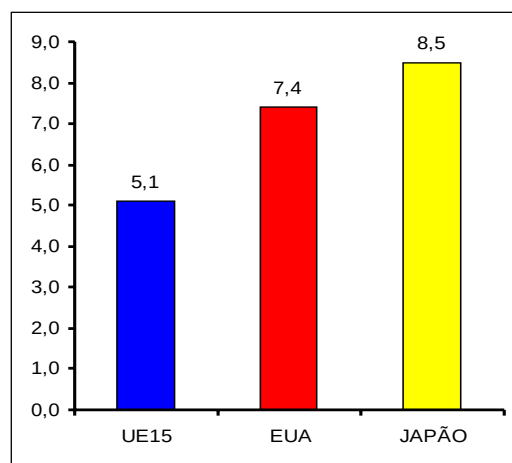
Fonte : DG Investigação, a partir de dados da EVCA e da NVCA

4. **A UNIÃO EUROPEIA DISPÕE DE UM NÚMERO REDUZIDO DE INVESTIGADORES EM COMPARAÇÃO COM OS ESTADOS UNIDOS E O JAPÃO E AS EMPRESAS EUROPEIAS EMPREGAM MUITO MENOS INVESTIGADORES QUE AS SUAS HOMÓLOGAS AMERICANAS E JAPONESAS.**

**Número de investigadores nas empresas
por 1000 trabalhadores, 1997**



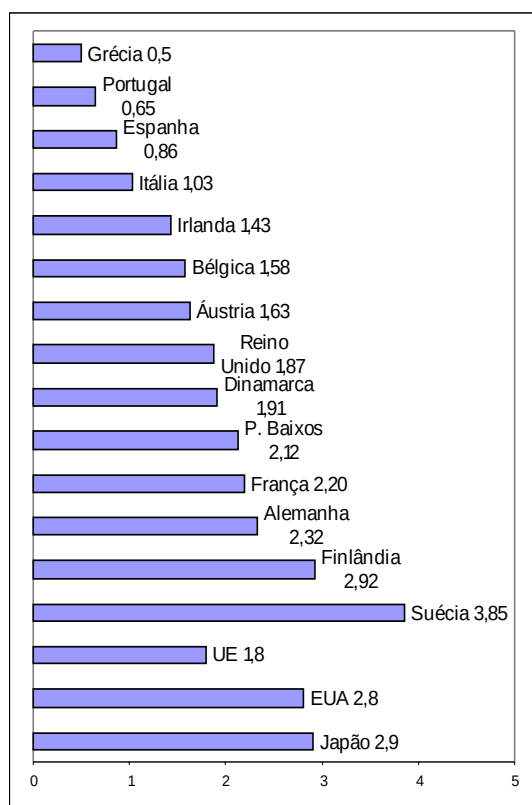
**Número de investigadores
por 1000 trabalhadores, 1997 ou ano
mais recente**



Fonte: DG Investigação, a partir de dados da OCDE

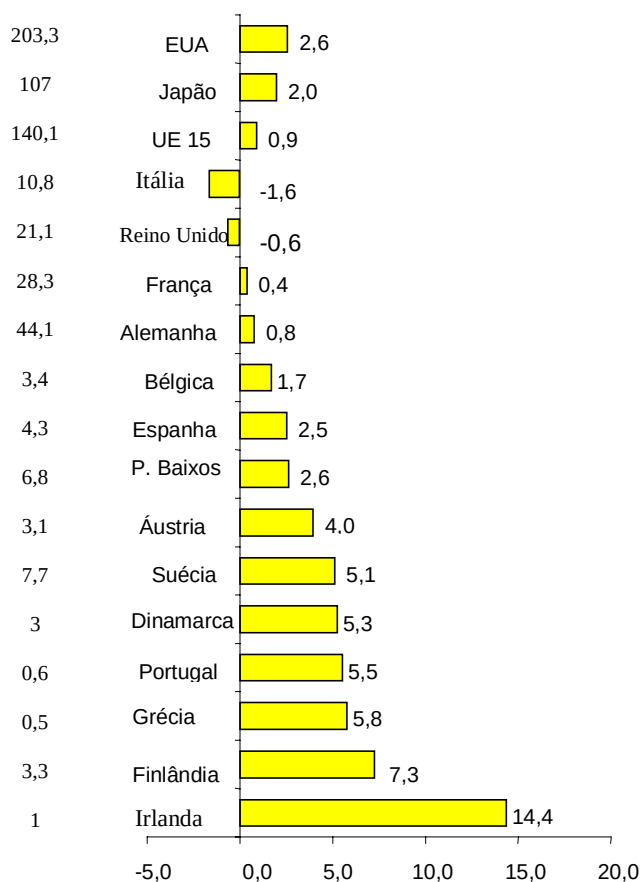
5. **OS NÍVEIS DE INVESTIMENTO EM I&D NOS ESTADOS-MEMBROS CONTINUAM A SER MUITO DIFERENTES, TANTO EM % DO PIB COMO EM NÚMEROS ABSOLUTOS. VERIFICOU-SE, NOS ÚLTIMOS ANOS, UM ESFORÇO SUPLEMENTAR DE INVESTIMENTO NOS PAÍSES EM QUE ESTE É MENOS IMPORTANTE .**

Intensidade de I&D (DIID/PIB) da UE, dos EUA e do Japão - 1998 ou o ano mais recente



Evolução das despesas totais de I&D nos Estados-Membros entre 1990 e 1998*

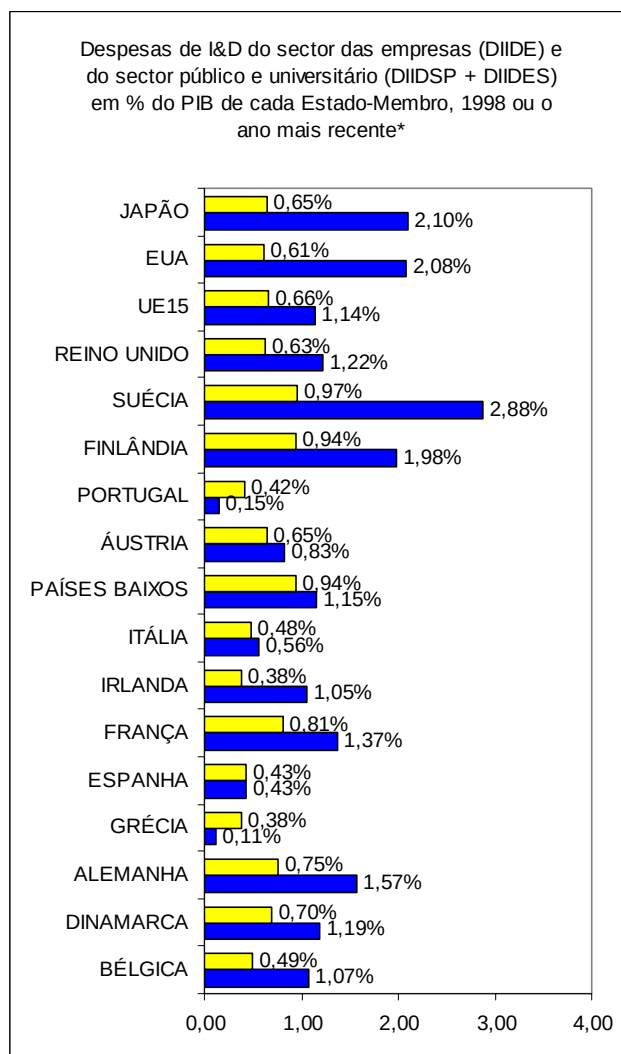
DIID em milhares de milhões de euros Taxa de crescimento real das DIID em % 1990-1998



* As taxas de crescimento real das despesas intramuros de investigação e desenvolvimento (DIID) de cada país são calculadas em termos de padrão do poder de compra (PPC) e a preços constantes de 1990. O crescimento real relativo ao Japão refere-se ao período de 1997/1990. As DIID relativas à Bélgica dizem respeito a 1996, e as relativas à Grécia, Irlanda, Países Baixos, Portugal, Suécia, Reino Unido e Japão referem-se a 1997.

Fonte: DG Investigação, a partir de dados da OCDE e do Eurostat

6. OS PERFIS DE DISTRIBUIÇÃO DAS DESPESAS DE INVESTIGAÇÃO ENTRE O SECTOR PÚBLICO (ORGANIZAÇÕES PÚBLICAS DE INVESTIGAÇÃO E UNIVERSIDADES) E O SECTOR PRIVADO VARIAM CONSIDERAVELMENTE NOS PAÍSES EUROPEUS.



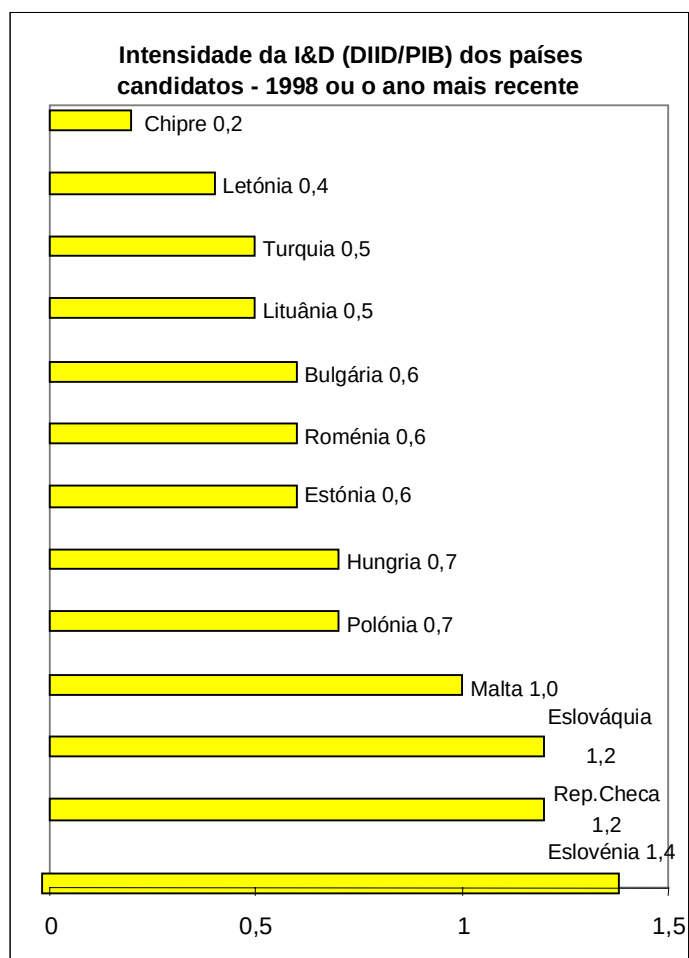
■ DIIDE/PIB

■ DIIDSP+DIIDES/PIB

* As eventuais ligeiras disparidades na soma das percentagens de um determinado país relativamente às percentagens globais que figuram no Quadro 5 (esquerda) devem-se a não se ter tomado em conta outras categorias (limitadas) de despesas (sector privado sem fins lucrativos) e/ou a diferenças na disponibilidade de dados no último ano.

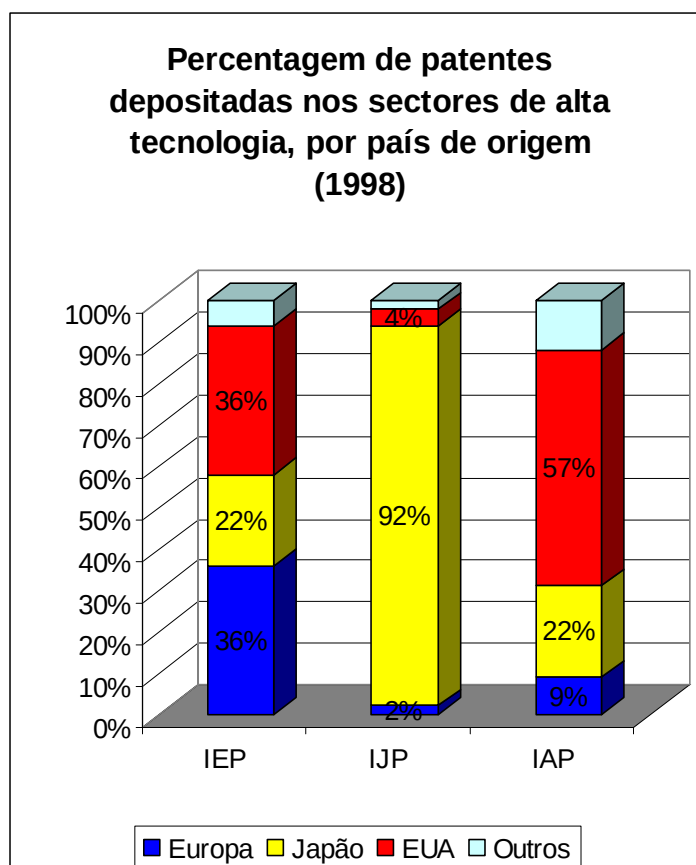
Fonte : DG Investigação, a partir de dados da OCDE, 1999

7. OS NÍVEIS DE INTENSIDADE DE I&D DOS PAÍSES CANDIDATOS SÃO NITIDAMENTE INFERIORES À MÉDIA DA UE-15.



Fonte: OCDE, Eurostat com excepção de Malta (Conselho da Ciência e da Tecnologia de Malta)

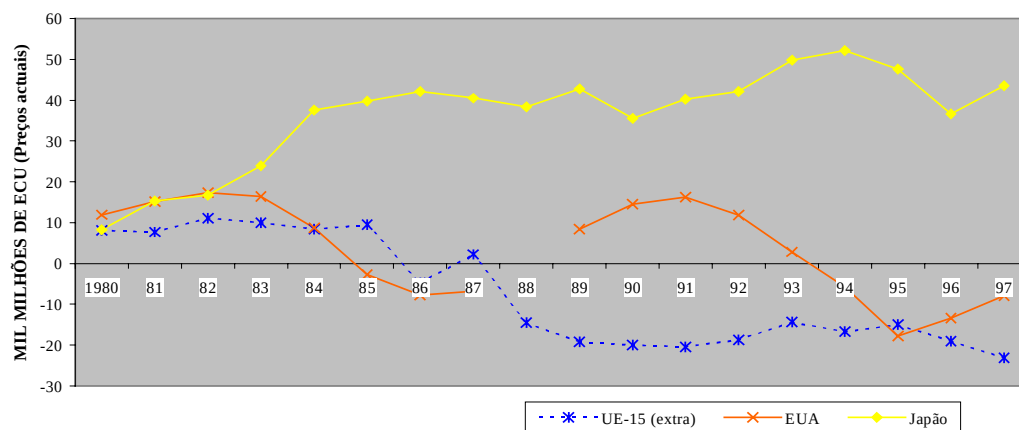
8. NOS SECTORES DE ALTA TECNOLOGIA, OS PAÍSES EUROPEUS ESTÃO NA ORIGEM DE APENAS 36% DAS PATENTES NELES DEPOSITADAS E DE APENAS 9% E 3% DAS PATENTES DEPOSITADAS, RESPECTIVAMENTE, NOS ESTADOS UNIDOS E NO JAPÃO. EM CONTRAPARTIDA, OS ESTADOS UNIDOS E O JAPÃO ESTÃO, RESPECTIVAMENTE, NA ORIGEM DE 36% E 22% DAS PATENTES DEPOSITADAS NO INSTITUTO EUROPEU DE PATENTES (IEP) NESSES SECTORES.



Fonte: Instituto Europeu de Patentes (IEP), Instituto Japonês de Patentes (IJP), Instituto Americano de Patentes (IAP): "Trilateral Statistical Report (1998) "

9. O DÉFICE COMERCIAL DA UNIÃO EUROPEIA NAS TROCAS EXTERNAS DE PRODUTOS DE ALTA TECNOLOGIA CONTINUA A DETERIORAR-SE DESDE 1987.

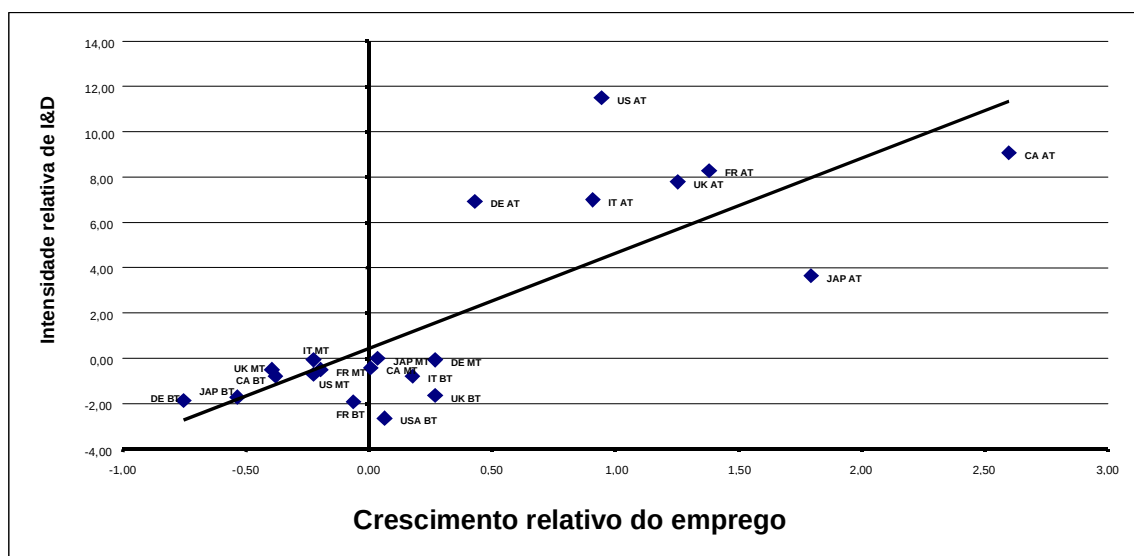
Evolução do saldo das trocas comerciais da UE, dos Estados Unidos e do Japão em produtos de alta tecnologia



Fonte : DG Investigação, Eurostat, *Key Figures in S&T*, 1999

10 AS INDÚSTRIAS DE ALTA TECNOLOGIA CRIAM MAIOR NÚMERO DE EMPREGOS QUE AS OUTRAS. OS PAÍSES QUE APRESENTAM UMA FORTE ESPECIALIZAÇÃO NOS SECTORES DE ALTA TECNOLOGIA DEFENDEM-SE MELHOR CONTRA O DESEMPREGO

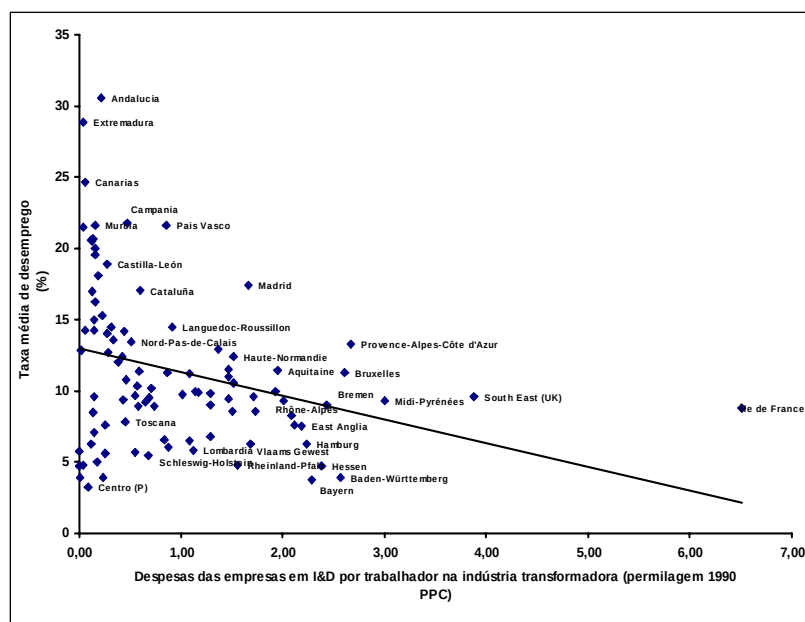
Intensidade de I&D e crescimento do emprego - indústrias de alta (AT), média (MT) e baixa (BT) tecnologia nos países do G7 (1977-1996)



Fonte : DG Investigação, a partir de dados da OCDE

11 DESPESAS DE I&D INDUSTRIAL E TAXA DE DESEMPREGO POR REGIÃO (1992-1995)

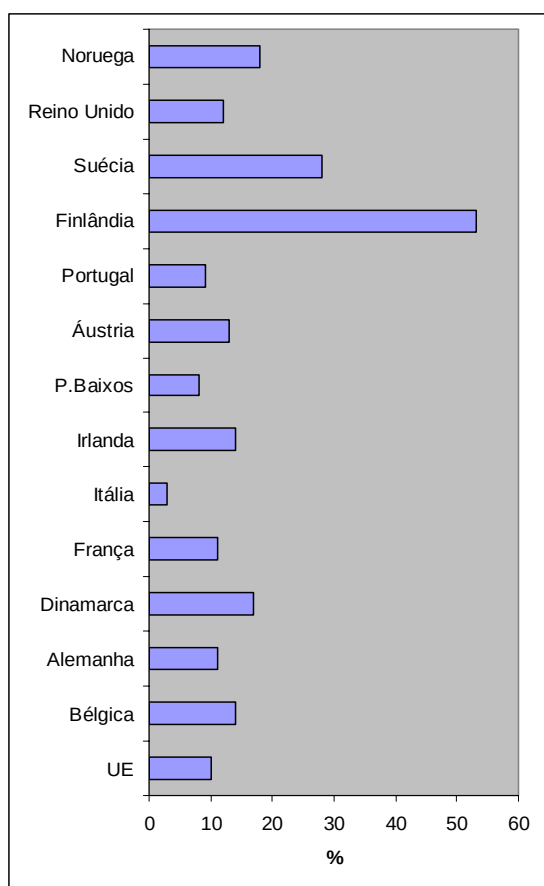
Nas regiões europeias que investem mais na I&D verifica-se uma taxa de desemprego relativamente mais baixa. Fonte : DG Investigação, a partir de dados do Eurostat



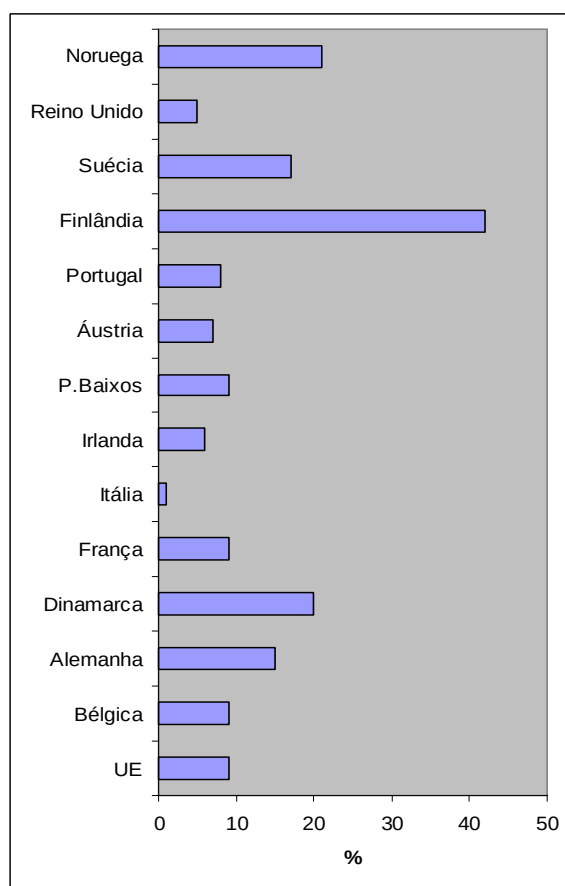
12 OS ACORDOS DE COOPERAÇÃO ENTRE EMPRESAS E INSTITUTOS DE INVESTIGAÇÃO UNIVERSITÁRIOS OU PÚBLICOS NÃO SE ENCONTRAM MUITO DESENVOLVIDOS NA MAIOR PARTE DOS PAÍSES DA UNIÃO. EM MÉDIA, UM POUCO MAIS DE 10% DAS EMPRESAS COOPERAM COM INSTITUTOS DE INVESTIGAÇÃO

Cooperação das empresas com universidades e institutos de investigação

Percentagem de empresas inovadoras que beneficiam da cooperação com as universidades (1994-96)



Percentagem de empresas inovadoras que beneficiam da cooperação com institutos públicos de investigação (1994-96)



Fonte: Eurostat, DG Empresas, 2º inquérito comunitário sobre a inovação.³⁴

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COMISSÃO DAS COMUNIDADES EUROPEIAS

Bruxelas, 30.10.2008
COM(2008) 680 final

RELATÓRIO DA COMISSÃO AO CONSELHO

relativo à Resolução do Conselho, de 23 de Novembro de 2007, sobre a Modernização das Universidades para a Competitividade da Europa numa Economia Mundial baseada no Conhecimento

{SEC(2008 2719)}

RELATÓRIO DA COMISSÃO AO CONSELHO

relativo à Resolução do Conselho, de 23 de Novembro de 2007, sobre a Modernização das Universidades para a Competitividade da Europa numa Economia Mundial baseada no Conhecimento¹

1. CONTEXTO

O presente relatório e o documento de trabalho da Comissão que o acompanha foram elaborados em resposta a um pedido do Conselho, formulado na Resolução do Conselho, de 23 de Novembro de 2007, sobre a Modernização das Universidades para a Competitividade da Europa numa Economia Mundial baseada no Conhecimento. Nessa resolução, o Conselho convida a Comissão «a apoiar os Estados-Membros no que diz respeito à agenda da modernização e, em especial, a:

- (1) Identificar, em consulta com as partes interessadas no sector do ensino superior e da investigação, bem como com as autoridades nacionais, as eventuais medidas para fazer face aos desafios e obstáculos com que as universidades se encontram confrontadas na União Europeia para procederem à sua modernização e contribuírem plenamente para os objectivos da Agenda de Lisboa;
- (2) Facilitar a aprendizagem mútua no contexto da Agenda de Lisboa e em particular no âmbito do programa de trabalho “Educação e Formação 2010” e do seguimento do Livro Verde sobre o EEI, e também através do incentivo de parcerias entre universidades e a indústria/sector privado;
- (3) Identificar eventuais medidas para fazer face aos obstáculos à mobilidade dos estudantes, dos professores e dos investigadores em toda a Europa e, em particular, ao reconhecimento mútuo de créditos e diplomas², e promover o intercâmbio de boas práticas neste contexto;
- (4) Em ligação com as estruturas nacionais do programa, assegurar um acompanhamento e uma avaliação do impacto:
 - do meio social dos estudantes que participam no ERASMUS,
 - do contributo do ERASMUS para a agenda da modernização,
 - do contributo do programa ERASMUS MUNDUS para o atractivo internacional das universidades europeias.»

¹ <http://register.consilium.europa.eu/pdf/en/07/st16/st16096-re01.en07.pdf>

² O reconhecimento das qualificações profissionais dos professores e investigadores já está abrangido pela Directiva 2005/36/CE, de 7 de Setembro de 2005, relativa ao reconhecimento das qualificações profissionais. Esta directiva simplifica, moderniza e consolida 15 directivas anteriores, adoptadas entre 1975 e 1999. A sua aplicação nos Estados-Membros foi fixada para 20 de Outubro de 2007.

Embora o relatório incida essencialmente nos aspectos de mobilidade da resolução do Conselho, fornece igualmente uma informação actualizada sobre o processo de modernização das universidades europeias. Descreve ainda o trabalho desenvolvido pela Comissão em resposta ao pedido do Conselho e apresenta as principais conclusões retiradas desse trabalho. O documento de trabalho da Comissão, que acompanha o presente relatório, contém informações mais pormenorizadas sobre essas conclusões.

2. TRABALHO REALIZADO E PRINCIPAIS CONCLUSÕES

A Comissão tem trabalhado em colaboração com os Estados-Membros e o sector do ensino superior no sentido de estabelecer uma agenda de modernização para as universidades, abrangendo as suas três missões (ensino, investigação e inovação), e apoiar a sua execução através do Método Aberto de Coordenação (MAC), de grupos de peritos e estudos (diálogo entre grupos de decisores políticos e peritos, actividades de aprendizagem pelos pares, indicadores e valores de referência, relatórios e estudos), de iniciativas específicas (Garantia da Qualidade, ECTS, QEQ, IET³, recolha de dados sobre universidades, etc.) e da concessão de apoio a iniciativas de outras entidades (projectos-piloto, associações, redes, etc.) no âmbito do programa «Aprendizagem ao Longo da Vida» e do 7.º Programa-Quadro da UE para a Investigação.

2.1. Ultrapassar os desafios e obstáculos enfrentados pelas universidades no domínio da modernização

Os principais desafios e obstáculos decorrentes da modernização do ensino superior foram identificados na Comunicação da Comissão de 2006⁴, que propõe nove áreas de acção relacionadas com a gestão das universidades, a mobilidade, a autonomia e a responsabilização, as parcerias com o mundo empresarial, uma maior interdisciplinaridade e transdisciplinaridade dos planos de formação e investigação, a interacção do conhecimento com a sociedade, o reconhecimento da excelência, os currículos e o financiamento. Os Estados-Membros concordaram amplamente com esta análise e aceitaram fornecer informações sobre a execução da agenda de modernização nos seus países, no quadro dos relatórios apresentados sobre a Agenda da Educação e Formação para 2010. Tanto estes relatórios, que fazem parte das informações fornecidas no âmbito dos objectivos de Lisboa, como diversos estudos e inquéritos revelam que resta ainda muito por fazer, apesar dos progressos realizados nas nove áreas. A Comissão prosseguirá o seu diálogo com as autoridades nacionais e as partes interessadas sobre a melhor forma de avançar na execução da agenda de modernização.

³ ECTS: Sistema Europeu de Transferência e Acumulação de Créditos (ECTS); QEQ: Quadro Europeu de Qualificações; IET: Instituto Europeu de Inovação e Tecnologia.

⁴ «Realizar a Agenda da Modernização das Universidades: Ensino, Investigação e Inovação», COM(2006) 208.

2.2. Facilitar a aprendizagem mútua no âmbito do programa de trabalho «Educação e Formação 2010» e do seguimento do Livro Verde sobre o Espaço Europeu de Investigação, bem como através do incentivo à criação de parcerias entre as universidades e a indústria

A Comissão lançou diversas iniciativas para facilitar a aprendizagem mútua e aplicar o MAC à reforma do ensino superior, nomeadamente: a criação do Grupo de Modernização do Ensino Superior e do Grupo de Trabalho CREST para a Aprendizagem Mútua, que analisa formas de melhorar a excelência da investigação nas universidades; a elaboração do relatório anual sobre os progressos alcançados na realização dos objectivos de Lisboa para a educação e formação, que inclui alguns indicadores e valores de referência; a criação de vários grupos de peritos, para analisar diversos aspectos relacionados com a missão de investigação das universidades no contexto do EEI (como a criação de um mercado de trabalho único para os investigadores, o reforço da investigação universitária, o financiamento externo da investigação e a gestão financeira, e os métodos de avaliação da investigação universitária); a criação do Fórum Universidade-Empresa, lançado em Fevereiro de 2008; e, ainda, a realização de acções específicas «Marie Curie» no âmbito do Programa «Pessoas» do 7.º PQ. Os resultados destas iniciativas demonstram que o conceito de «aprendizagem mútua» funciona. Uma informação mais pormenorizada sobre as diferentes iniciativas consta do documento de trabalho da Comissão.

2.3. Fazer face aos obstáculos à mobilidade dos estudantes, dos professores e dos investigadores

Em Dezembro de 2007, a Comissão criou um Fórum de Especialistas de Alto Nível sobre a Mobilidade, para explorar de que forma a UE, com base no êxito alcançado pelo programa «Erasmus», poderá reforçar a mobilidade não apenas no sector universitário, mas também de um modo mais geral entre os jovens, nomeadamente entre os jovens empresários e artistas e em sectores como a formação profissional.

Em Julho de 2008, o referido fórum apresentou as suas conclusões e recomendações. Para que a mobilidade passe a ser a regra e deixe de ser uma excepção, o fórum sugere a fixação de metas neste domínio a médio e a longo prazo. É necessária uma acção concertada da UE, dos Estados-Membros e de todas as outras partes interessadas para reforçar a mobilidade. É também preciso aumentar o financiamento dos programas comunitários na área da mobilidade e assegurar a complementaridade dos programas «Erasmus» e «Erasmus Mundus».

No seguimento do Livro Verde «O Espaço Europeu da Investigação: Novas Perspectivas»⁵, a Comissão adoptou em Maio de 2008 a Comunicação «Melhores Carreiras e Mais Mobilidade: uma Parceria Europeia para os Investigadores»⁶, com o objectivo de garantir progressos rápidos e quantificáveis em direcção a uma Europa mais atraente para os investigadores que desejem iniciar e desenvolver uma carreira, analisando quatro aspectos principais: i) o recrutamento aberto e a possibilidade de transferência das bolsas, ii) a segurança social e os direitos adicionais de pensão, iii)

⁵ COM(2007) 161 «O Espaço Europeu da Investigação: Novas Perspectivas».

⁶ COM(2008) 317 «Melhores Carreiras e Mais Mobilidade: uma Parceria Europeia para os Investigadores».

a criação de emprego e condições de trabalho atractivos e iv) o desenvolvimento da formação, das competências e da experiência dos investigadores europeus.

Em Junho de 2008, a Comissão lançou o novo portal EURAXESS⁷, para criar um ponto único de acesso à informação e à assistência destinadas aos investigadores em situação de mobilidade e que prosseguem uma carreira de investigação noutro Estado-Membro.

Além disso, a Comissão continua a analisar a forma como as mudanças estruturais introduzidas pelo Processo de Bolonha afectam a mobilidade. Os poucos dados disponíveis parecem sugerir que a introdução de estruturas baseadas em três ciclos pode provocar uma redução ou estagnação temporária da mobilidade estudantil, durante a fase de adaptação, embora, em princípio, as estruturas de Bolonha não representem um obstáculo à mobilidade. Os resultados de um estudo sobre a mobilidade transnacional, actualmente em preparação pelo organismo alemão responsável pelo programa «Erasmus», deverão ser apresentados em Novembro de 2008 e permitirão lançar uma nova luz sobre esta questão⁸.

2.4. O impacto dos programas «Erasmus» e «Erasmus Mundus»

2.4.1. Origem social dos estudantes que participam no programa «Erasmus»

Segundo um inquérito⁹, os participantes no programa «Erasmus» representam de um modo geral a população estudantil e não provêm de um meio mais privilegiado do que os outros estudantes. Tal parece indicar que o programa «Erasmus» ajuda de facto os estudantes de famílias menos abastadas a estudar no estrangeiro, possibilitando algo que de outra forma não seria possível. Além disso, os resultados do inquérito sugerem que, entre 2000 e 2005, este programa conseguiu atrair um número ligeiramente mais elevado de estudantes deste tipo. Uma questão importante é o papel desempenhado pelas ajudas ao rendimento oferecidas por certos Estados-Membros e regiões. A Comissão acompanhará atentamente os progressos realizados neste domínio.

2.4.2. Contributo do programa «Erasmus» para a agenda de modernização

Um estudo muito recente¹⁰ revela que o programa «Erasmus» teve um impacto considerável na modernização das universidades europeias, nomeadamente nas áreas da internacionalização, da inovação curricular e da garantia da qualidade. Todas as actividades realizadas nestas três áreas com o apoio do programa fazem igualmente parte do Processo de Bolonha, na vertente relativa à criação do Espaço Europeu do Ensino Superior. Além disso, as actividades contribuem para a realização dos objectivos fixados pela Agenda da Educação e Formação para 2010, no âmbito da Estratégia de Lisboa para o Crescimento e o Emprego. A Comissão atribui uma

⁷ www.ec.europa.eu/euraxess.

⁸ German Academic Exchange Service DAAD, ver www.daad.de.

⁹ Manuel Souto Otero e Andrew McCoshan, Survey of the Socio-Economic Background of ERASMUS students, Final Report, DG EQC 01/05, 2006.

Schnitzer, Klaus und Middendorff, Elke, EUROSTUDENT 2005. Social and Economic Conditions of Student Life in Europe 2005.

¹⁰ Impact of ERASMUS on European Higher Education: quality, openness and internationalisation - preliminary conclusions. Agosto de 2008, CHEPS, Incher-cassel e ECOTEC.

importância crescente às medidas e iniciativas que visam garantir uma maior transparência da missão e do desempenho das universidades com base na sua comparabilidade.

2.4.3. *Contributo do programa «Erasmus Mundus» para a capacidade de atracção das universidades europeias a nível internacional*

De acordo com a avaliação intercalar do programa «Erasmus Mundus»¹¹, este programa tem aumentado a capacidade de atracção das universidades europeias a nível internacional de diversas formas, nomeadamente promovendo o desenvolvimento de graus conjuntos, duplos e múltiplos e encorajando a excelência académica no ensino superior europeu. As recomendações da avaliação intercalar foram tomadas em consideração ao elaborar o futuro programa «Erasmus Mundus» («Erasmus Mundus II»), que deverá ter início em 2009. No âmbito do programa, a Comissão apoiou o Projecto de Promoção Global, que procura promover a Europa enquanto destino atractivo para a prossecução de estudos, junto dos estudantes de todo o mundo. Integrado neste projecto, foi lançado o sítio Web www.study-in-europe.org em Maio de 2008.

3. CONCLUSÕES OPERACIONAIS

O MAC já produziu bons resultados na execução da agenda de modernização das universidades, melhorando o resultado das missões interligadas de ensino, investigação e inovação destas instituições. A Comissão continuará a trabalhar em colaboração com os Estados-Membros e o sector do ensino superior, com vista a superar os obstáculos existentes e a desenvolver abordagens inovadoras. Procede, actualmente, à actualização do quadro estratégico fixado para a cooperação europeia no domínio da educação e formação, para o período após 2010.

Além disso, a Comissão contribuirá para o êxito do Processo de Bolonha e utilizará os programas «Erasmus»/«Aprendizagem ao Longo da Vida», o 7.º Programa-Quadro da UE para a Investigação, o Programa «Competitividade e Inovação», os Fundos Estruturais e os empréstimos do BEI para promover a modernização do ensino superior europeu.

Estão previstas novas acções nos seguintes campos:

Mobilidade

A Comissão explorará todas as opções que permitam reforçar significativamente a mobilidade dos estudantes e profissionais na Europa, e, neste contexto, analisará com os Estados-Membros e outras entidades competentes a melhor forma de garantir um acompanhamento adequado das recomendações do Fórum de Especialistas de Alto Nível para a Mobilidade. Tal inclui a possibilidade de criar um mecanismo europeu de empréstimos destinado aos estudantes, em colaboração com o Banco Europeu de Investimento. A Comissão propõe-se publicar um Livro Verde, em Junho de 2009, no seguimento dos trabalhos realizados pelo referido fórum e do debate que deverá ter lugar durante a Presidência Francesa, onde serão lançadas algumas pistas para que a mobilidade na

¹¹ Centre for Strategy & Evaluation Services LLP, Interim Evaluation of Erasmus Mundus, Final Report, Junho de 2007, ver: http://ec.europa.eu/education/programmes/mundus/news_en.html.

aprendizagem (não apenas no programa «Erasmus», mas em todas as formas da aprendizagem) passe a ser a regra e deixe de ser uma excepção.

No que se refere aos investigadores, serão desenvolvidos esforços tendo em vista uma maior mobilidade (geográfica e sectorial), em estreita colaboração com os Estados-Membros, no âmbito da aplicação da referida Comunicação da Comissão sobre uma Parceria Europeia para os Investigadores, que foi adoptada recentemente.

Novas competências para novos empregos

A Comissão dará apoio às iniciativas que ajudem a identificar novas competências para novos empregos em diversas áreas profissionais, com base no trabalho realizado em matéria de resultados de aprendizagem e competências do ensino superior (QEQ, Quadro de Qualificações de Bolonha¹², portal «Tuning Educational Structures in Europe»¹³). Tal deverá contribuir para a reflexão sobre a forma como as universidades poderão assegurar a combinação ideal de capacidades e competências para o mercado de trabalho, que constitui precisamente um dos objectivos enunciados na comunicação de 2006 sobre a modernização das universidades.

Cooperação Universidade-Empresa

A Comissão continuará a desenvolver a actividade do Fórum para a Cooperação Universidade-Empresa, lançado em Fevereiro de 2008, estando já previstos alguns eventos para o Outono de 2008 e a Primavera de 2009. Em 2009, publicará uma comunicação sobre esta cooperação.

Transparência do desempenho do ensino superior

A Comissão está a apoiar a realização de um estudo de viabilidade sobre a criação de um Sistema Europeu de Recolha de Dados Universitários, com vista a desenvolver um conjunto de dados comparáveis, que permita a fixação de valores de referência internacionais para as universidades (esperando-se os primeiros resultados até 2009), além de contribuir para a Avaliação dos Resultados de Aprendizagem do Ensino Superior (AHELO) da OCDE.

A Comissão dará apoio a iniciativas de dimensão internacional que procurem desenvolver métodos mais sólidos e fiáveis de classificação e avaliação do desempenho das universidades, na realização das suas diferentes missões.

Conclusão

Tanto através destas iniciativas como dos seus programas e de um diálogo político permanente com todas as partes interessadas, a Comissão continuará a apoiar os Estados-Membros e as universidades na prossecução dos objectivos de reforma enunciados na Resolução do Conselho de 23 de Novembro de 2007.

¹² <http://www.ond.vlaanderen.be/hogeronderwijs/bologna/documents/QF-EHEA-May2005.pdf>.

¹³ <http://tuning.unideusto.org/tuningeu/>.



**CONSELHO DA
UNIÃO EUROPEIA**

**Bruxelas, 6 de Dezembro de 2007 (07.12)
(OR. en)**

**16096/1/07
REV 1**

**RECH 422
EDUC 222
COMPET 426**

RESULTADO DOS TRABALHOS

de:	Secretariado-Geral
n.º doc. ant.:	15007/07 RECH 358 EDUC 212 COMPET 378
Assunto:	Resolução do Conselho sobre a modernização das universidades para a competitividade da Europa numa economia mundial baseada no conhecimento – Adopção da resolução do Conselho

Junto se envia, à atenção das delegações o texto da resolução do Conselho aprovado pelo Conselho (Competitividade) em 23 de Novembro de 2007.

PROJECTO
RESOLUÇÃO DO CONSELHO,
de 23 de Novembro de 2007
sobre a modernização das universidades para a competitividade da Europa numa economia
mundial baseada no conhecimento
(2007/C XXX/YY)

O CONSELHO DA UNIÃO EUROPEIA

RECORDANDO o contexto político desta questão enunciado no anexo à presente resolução:

REAFIRMA:

1. A necessidade de realizar progressos na modernização das universidades europeias, abordando a questão das suas missões interligadas no domínio da educação, da investigação e da inovação enquanto elemento fundamental do esforço da Europa para criar uma sociedade e uma economia baseadas no conhecimento e melhorar a sua competitividade;
2. A importância de aumentar as oportunidades de aprendizagem ao longo da vida, alargando o acesso ao ensino superior a aprendentes não tradicionais e adultos e desenvolvendo a dimensão da educação contínua das universidades;
3. A importância de criar mais oportunidades para que as mulheres sigam carreiras no domínio da ciência;
4. O princípio de que os estudantes motivados e especialmente dotados devem poder aproveitar as oportunidades em matéria de mobilidade, independentemente da sua origem social ou económica, e a necessidade de aumentar não só a mobilidade dos estudantes, mas também a dos investigadores, professores e outro pessoal universitário;
5. A necessidade de as estruturas das universidades disporem de suficiente autonomia, melhor governação e serem mais responsáveis nas suas estruturas para darem resposta às novas necessidades da sociedade e para permitir que aumentem e diversifiquem as suas fontes de financiamento público e privado, a fim de reduzirem a distância que as separa, em termos de financiamento, dos principais concorrentes da União Europeia;

6. A importância da garantia de qualidade, que constitui um vigoroso motor da mudança no ensino superior;
7. O papel das universidades, através do ensino, da investigação e da inovação, na transferência de conhecimentos para a economia e a sociedade, que constitui um importante contributo para a competitividade da Europa, e a necessidade de uma cooperação mais estreita entre o mundo académico e o mundo empresarial.

RECONHECE:

1. A necessidade de coerência nos trabalhos relativos ao espaço europeu do ensino superior, por um lado, e do espaço europeu da investigação, por outro;
2. Os desafios colocados pela globalização exigem que o espaço europeu do ensino superior e o espaço europeu da investigação estejam totalmente abertos ao mundo e que o objectivo das universidades europeias seja o de se tornarem intervenientes competitivos à escala mundial;
3. A necessidade de acelerar a reforma das universidades a fim não só de promover os progressos em todo o sistema de ensino superior, mas também de incentivar a criação e o reforço de estabelecimentos europeus de ensino superior capazes de demonstrar a sua excelência a nível internacional;
4. A necessidade de aumentar a mobilidade dos estudantes, dos investigadores, dos professores e pessoal universitário de outras categorias, reconhecendo simultaneamente a importância de alargar a composição social dos beneficiários dessa mobilidade;
5. Que o aumento das oportunidades de aprendizagem ao longo da vida, alargando o acesso ao ensino superior a todos, nomeadamente a aprendentes não tradicionais, e a melhoria da empregabilidade constituem objectivos essenciais de uma política de ensino superior a nível europeu e nacional.

CONVIDA OS ESTADOS-MEMBROS A:

1. Promoverem a excelência no ensino superior e na investigação, através do desenvolvimento de estabelecimentos e redes capazes de competir a nível internacional e de contribuir para atrair os melhores talentos para a Europa, dando a essas instituições a autonomia necessária para o desenvolvimento do seu pleno potencial;
2. Promoverem a internacionalização dos estabelecimentos de ensino superior, incentivando a garantia da qualidade através de uma avaliação independente e exame pelos pares das universidades, reforçando a mobilidade, promovendo a utilização de graus académicos comuns e duplos e facilitando o reconhecimento das qualificações e dos períodos de estudos;
3. Tomarem as medidas necessárias para modernizar os estabelecimentos de ensino superior, conferindo-lhes autonomia e uma maior responsabilização, por forma a permitir que:
 - melhorem as suas práticas de gestão
 - desenvolvam a sua capacidade inovadora; e
 - reforcem a sua capacidade de modernizar os currículos, a fim de responder de modo mais eficaz às necessidades do mercado de trabalho e dos aprendentes;e reforcem o acesso ao ensino superior, assegurando assim o cumprimento dos requisitos em matéria de competitividade económica e tecnológica e de objectivos mais amplos sob o ponto de vista societal;
4. Promoverem o contributo dos estabelecimentos de ensino superior para a inovação, o crescimento e o emprego, bem como para a vida social e cultural, encorajando-os a desenvolver e reforçar parcerias com outras partes interessadas, como o sector privado, os institutos de investigação, as autoridades regionais e locais e a sociedade civil;
5. Criarem incentivos concretos para encorajar os estabelecimentos de ensino superior a abrirem-se a aprendentes não tradicionais e a estudantes adultos, e continuar a desenvolver o seu papel na aprendizagem ao longo da vida, aumentando, sempre que adequado, a diversidade do sistema de ensino superior;
6. Desenvolverem melhores ambientes de aprendizagem e de investigação para os estudantes e jovens investigadores, através do reforço da aprendizagem baseada em projectos e do envolvimento precoce dos estudantes na investigação, especialmente nas áreas da ciência e da tecnologia;

7. Tomarem medidas para assegurar que os sistemas de apoio aos estudantes e aos investigadores promovam a participação mais ampla e equitativa possível em regimes de mobilidade, através, nomeadamente, da melhoria do acesso ao ensino superior de todos os estudantes e investigadores especialmente dotados, incluindo os que tenham deficiências, independentemente do sexo, dos rendimentos, da origem social ou linguística, e através do alargamento da dimensão social do ensino superior, concedendo um melhor apoio aos estudantes e aos investigadores na UE e dando informações sobre os estudos, a mobilidade e as oportunidades de carreira, tendo em vista garantir as melhores oportunidades de formação possíveis para todos. Uma destas medidas poderá ser contribuir para o acompanhamento da dimensão social no ensino superior, a fim de se poder dispor de dados comparáveis a nível internacional sobre esta questão;
8. Aumentarem o atractivo dos sistemas de ensino superior europeus, encorajando os estabelecimentos a utilizarem plenamente as possibilidades de cooperação e de mobilidade, nomeadamente as oferecidas pelo programa Erasmus Mundus para a promoção da excelência académica a nível mundial;
9. Utilizarem os fundos estruturais para modernizar o ensino superior.

CONVIDA A COMISSÃO a apoiar os Estados-Membros no que diz respeito à agenda da modernização e, em especial, a:

1. Identificar, em consulta com as partes interessadas no sector do ensino superior e da investigação, bem como com as autoridades nacionais, as eventuais medidas para fazer face aos desafios e obstáculos com que as universidades se encontram confrontadas na União Europeia para procederem à sua modernização e contribuírem plenamente para os objectivos da Agenda de Lisboa.
2. Facilitar a aprendizagem mútua no contexto da Agenda de Lisboa e em particular no âmbito do programa de trabalho "Educação e Formação 2010" e do seguimento do Livro Verde sobre o EEI, e também através do incentivo de parcerias entre universidades e a indústria/sector privado;

3. Identificar eventuais medidas para fazer face aos obstáculos à mobilidade dos estudantes, dos professores e dos investigadores em toda a Europa e, em particular, ao reconhecimento mútuo de créditos e diplomas, e promover o intercâmbio de boas práticas neste contexto;
 4. Em ligação com as estruturas nacionais do programa, assegurar um acompanhamento e uma avaliação do impacto:
 - do meio social dos estudantes que participam no ERASMUS,
 - do contributo do ERASMUS para a agenda da modernização,
 - do contributo do programa ERASMUS MUNDUS para o atractivo internacional das universidades europeiase a apresentar um relatório aos Estados-Membros até meados de 2008 .
-

Contexto político

- (1) A acção comunitária no domínio da educação e da formação baseia-se nos artigos 149.º e 150.º do Tratado.
- (2) Os Conselhos Europeus de Lisboa, realizado em Março de 2000, e de Barcelona, realizado em Março de 2002, respectivamente, acordaram em estabelecer um objectivo estratégico para a União Europeia se tornar na economia baseada no conhecimento mais dinâmica e competitiva do mundo até 2010, para tornar os sistemas de ensino e de formação da União Europeia numa referência mundial de qualidade até 2010 e para criar um Espaço Europeu da Investigação e da Inovação.
- (3) A Resolução do Conselho e dos Representantes dos Estados-Membros, reunidos no Conselho, relativa à mobilização dos recursos intelectuais da Europa: Criar condições para que as universidades dêem o seu pleno contributo para a Estratégia de Lisboa¹, sublinha a importância das reformas para o ensino superior.
- (4) Na Cimeira informal de Hampton Court (Reino Unido), realizada em Outubro de 2005, e no Conselho Europeu de Março de 2007, os Chefes de Estado ou de Governo europeus salientaram a importância do triângulo do conhecimento: educação, investigação e inovação para a competitividade da União Europeia. Convidaram a Comissão a identificar medidas concretas com base nas comunicações da Comissão intituladas "O papel das universidades na Europa do Conhecimento"² e "Mobilizar os recursos intelectuais da Europa: criar condições para que as universidades dêem o seu pleno contributo para a Estratégia de Lisboa"³.

¹ JO C 292 de 24.11.2005, p. 1.

² COM(2003) 58 final.

³ (COM(2005) 152 final).

- (5) A comunicação da Comissão intitulada "Realizar a Agenda da Modernização das Universidades: ensino, investigação e inovação" de Maio de 2006⁴ indicou nove áreas de actuação que contribuiriam para a modernização das universidades. Em Junho de 2006, o Conselho Europeu apelou a que fosse dado seguimento à comunicação da Comissão e incentivou os Estados-Membros a promoverem a excelência e a modernização, a reestruturação e a inovação no sector do ensino superior, por forma a desbloquear o seu potencial e sustentar o impulso da Europa no sentido da criação de mais crescimento e emprego.
- (6) O Livro Verde da Comissão, de Abril de 2007, "O Espaço Europeu da Investigação: novas perspectivas" serviu de base a uma ampla consulta das partes interessadas e a um debate institucional e público. Salienta a necessidade de reforçar o papel das universidades e dos institutos de investigação na promoção da excelência.
- (7) O relatório do Grupo "Aho" sobre como criar uma Europa inovadora preconiza uma interacção mais forte entre as universidades e outras partes interessadas na inovação.
- (8) O Processo intergovernamental de Bolonha com a participação de 46 países traduziu-se em progressos no sentido de tornar o ensino superior europeu mais competitivo a nível internacional e na reforma de alguns aspectos do ensino superior, nomeadamente as medidas para aumentar a mobilidade e facilitar a empregabilidade dos cidadãos europeus através da criação de um Espaço Europeu de Ensino Superior.
- (9) A Decisão do Parlamento Europeu e do Conselho de 15 de Novembro de 2006 que estabelece um programa de acção no âmbito da aprendizagem ao longo da vida 2007-2013⁵ baseia-se na premissa de que uma sociedade de conhecimento avançada é essencial para se conseguirem taxas de crescimento e de emprego mais elevadas e de que a educação e formação são prioridades essenciais para a União Europeia atingir os objectivos de Lisboa.

⁴ COM(2006) 208 final.

⁵ Decisão 1720/2006/CE (JO L 327 de 24 de Novembro de 2006, p.45).

- (10) O programa Erasmus que faz parte do Programa de Aprendizagem ao Longo da Vida tem o duplo objectivo de apoiar a criação de um Espaço Europeu do Ensino Superior e de reforçar o contributo do ensino superior e do ensino profissional avançado para o processo de inovação, apoiando para o efeito em especial a mobilidade em larga escala do pessoal universitário e dos estudantes e ainda projectos e redes multilaterais centrados na inovação, experimentação, desenvolvimento de novos conceitos e competências e na modernização dos estabelecimentos de ensino superior na Europa.
- (11) A Decisão do Parlamento Europeu e do Conselho de 18 de Dezembro de 2006 relativa ao Sétimo Programa-Quadro da Comunidade Europeia de acções em matéria de investigação, desenvolvimento tecnológico e demonstração (2007-2013), com o programa específico "Ideias" e o Conselho Europeu de Investigação nele baseado, constituem novos instrumentos importantes que irão influenciar as actividades de investigação nas universidades europeias.
- (12) A Comissão fez uma proposta em Novembro de 2006⁶ no sentido de criar o Instituto Europeu de Tecnologia para promover actividades integradas de inovação, investigação e de ensino superior, tendo o Conselho (Competitividade) em 25 de Junho de 2007 acordado numa abordagem geral em relação à proposta.
- (13) A proposta da Comissão de renovar o programa Erasmus Mundus para 2009 – 2013 destina-se a melhorar a qualidade do ensino superior e a promover o entendimento intercultural, contribuindo para o atractivo dos sistemas de ensino superior europeus e para a excelência académica através de uma cooperação inovadora e alargada com países terceiros.
- (14) O contributo da Comissão para a reunião de Outubro dos Chefes de Estado e de Governo realizada em Lisboa em 18-19 de Outubro "O Interesse Europeu: Ter êxito na era da globalização", em especial a secção "Mais I&D e Inovação" salientou a importância da modernização do ensino superior na dimensão externa da Estratégia de Lisboa.

⁶ COM(2006) 604 final/2.

Inventory of innovative practices in education for sustainable development

Order 31

DG EDUCATION AND CULTURE

Final Report submitted by GHK in association with:

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Every effort has been made to ensure that the information given here is accurate however no legal responsibility is accepted for any errors or omissions in the information provided. The study does not necessarily represent the opinion of the European Commission.

1 EXECUTIVE SUMMARY

The European Strategy for Sustainable Development recognises the important role that education and training systems should play in order to achieve the objectives of sustainable development. Education and training should contribute to all three axes of sustainable development, namely the social, economic and environmental dimensions. Likewise, the Lisbon Agenda and the Education and Training 2010 work programme provide a coherent framework for Education for Sustainable development at European level. However, there is an information gap on how the concept of education for sustainable development has been translated into practices at Member States level. Furthermore, Member States could benefit from exchange of good and innovative ways of delivering education for sustainable development.

The aim of this study was to prepare an inventory of innovative good practices for the purpose of stimulating exchange of good and innovative practices in education for sustainable development. The study has been commissioned by the European Commission, DG Education and Culture, Unit A2Lifelong Learning: Creativity and Innovation. The inventory illustrates how the concept of Sustainable Development has been translated and implemented in educational and training programmes in formal, informal and non-formal contexts.

The methodological approach entailed the elaboration of an analytical framework for describing the thematic focuses underpinning the three dimensions of sustainable development, economic, social and environmental, which were used to identify and describe the innovative good practices.

A wide range of stakeholders have been contacted and were asked to nominate innovative good practices in education for sustainable development, in 33 European countries, namely the 27 EU member states, the three EEA countries (Iceland, Lichtenstein, Norway) and the three candidate countries (Croatia, Macedonia, Turkey). In total, 212 stakeholders were contacted and were given the opportunity to contribute to this study.

Information on the good practices recommended by stakeholders was collected through a questionnaire to be completed by project managers, desk research and in some cases telephone interviews. The practices received were analysed and rated against a set of criteria to assess, among other things, the level of innovation, the potential for transferability, and the achievements.

In the end, a total of 30 practices were chosen for the inventory. These practices present a wide range of examples of innovative ways to deliver formal, informal and non-formal education for sustainable development. They also represent a good geographical spread, covering 17 countries: AT, BE, CZ, DE, ES, FI, FR, GR, IT, MT, PL, RO, SL, SE, UK, CR and NO. The selected practices also represent different geographical levels of implementation, with examples ranging from local initiatives, through regional and national, to projects with a European or international dimension, involving umbrella organisations and actors from different countries. Likewise, the innovative elements of the selected practices cover several types of innovation:

Innovation in the content includes innovative topics being addressed which range from issues linked to globalisation, including human rights and north-south relations, to healthier lifestyles, including healthy eating, to efficient energy consumption and promotion of renewable energy;

Innovation in the delivery method includes innovative ways to forge multi-stakeholder approaches and to create a sense of ownership among pupils, families, teachers, decision-makers and experts, and innovative ways of delivering the educational process by promoting participatory and interactive learning approaches and the use of new technology such as the internet, websites, electronic communication platforms and blogs;

Innovation in forging new partnerships and networks for the purpose of sharing knowledge and experience, fostering communication and exchange of experiences;

Innovation at the institutional level with sustainable development being mainstreamed in the curriculum for education or with activities aimed at raising awareness on the necessity to implement education for sustainable development; and,

Innovation in addressing sustainable development with a focus on ensuring a strong interdisciplinary approach in addressing the interrelated social, economic and environmental dimensions of sustainable development.

2 INTRODUCTION: BACKGROUND AND OBJECTIVES OF THE STUDY

The European Strategy for Sustainable Development, adopted in 2006, recognised the important role education and training systems should play in order to achieve the objectives of sustainable development. According to the strategy:

Education is a prerequisite for promoting the behavioural changes and providing all citizens with the key competences needed to achieve sustainable development. Success in reversing unsustainable trends will, to a large extent, depend on high-quality education for sustainable development.

Education and training should contribute to all three axes of sustainable development, namely:

- The Social perspective – education and training strengthen social cohesion by investment in human capital;
- The Economic perspective – education and training contribute to building a knowledge society based on sustainable economic growth; and,
- The Environmental perspective – education and training are crucial for changes in citizens' behaviour on issues such as: consumption, transport, use of sustainable energies, etc.

Even though all education and training activities have the potential to reinforce sustainable development, it is acknowledged that in order to fully realise this potential, education activities, especially focused on sustainable development, are required. Therefore, the UN Economic Commission for Europe drew up a separate Education for Sustainable Development strategy in 2005, recognising that:

“Education for Sustainable Development is a lifelong process from early childhood to higher and adult education and goes beyond formal education. As values, lifestyles and attitudes are established from an early age, the role of education is of particular importance for children. Since learning takes place as we take on different roles in our lives, Education for Sustainable Development has to be considered as a “life-wide” process. It should permeate learning programmes at all levels, including vocational education, training for educators, and continuing education for professionals and decision makers.”

Simultaneously, the United Nations launched the decade of Education for Sustainable Development (2005-2014), which triggers an important number of activities in this field.

In line with European, but also with international, developments several countries have drawn their own national programmes or strategies for education for sustainable development. The Netherlands, for example, has launched an important funding programme entitled *Learning for Sustainable Development*, while England has developed a Sustainable Development Education Strategy for England called ‘*Learning to Last*’, followed by *The Sustainable Development Action Plan for Education*, which aimed to encourage wider participation in sustainable development in all education and skills sectors.

As outlined in the above considerations and confirmed by the 2007 progress report on European Sustainable Development Strategy, the Lisbon Agenda and the Education and Training 2010 work programme provide a coherent framework for Education for Sustainable development at the European level. At the same time, Member States are developing fruitful initiatives in this area. However, according to the 2007 progress report, it appears that further coordination and exchanges among countries is necessary in order to strengthen and make education programmes and activities for sustainable development more effective.

In the above framework, the objective of this study has been to undertake an inventory of innovative good practices which should stimulate further exchanges and initiatives in education for sustainable development. The inventory will illustrate how the concept of Sustainable Development has been translated and implemented in a sample of educational and training programmes. The findings of the study will also feed into the next Progress Report on the EU Sustainable Development Strategy of DG EAC.

3 ELABORATION OF WORKING CONCEPTS

This section presents the definition of key concepts underpinning the notion of sustainable development.

Sustainable development, as defined by the EU, stands for meeting the development needs of present generations without jeopardizing the ability of future generations to meet their own development needs. Sustainable development does not focus solely on environmental issues, but broadly captures the different dimensions of development. Traditionally, sustainable development is conceptually considered in terms of three main pillars:

- Environmental sustainability;
- Economic sustainability; and
- Social sustainability.

It must be emphasised that these are interdependent and mutually reinforcing elements of the same integrated process of sustainable development.

Environmental sustainability

Environmental sustainability is defined as the ability of the environment to continue to function properly indefinitely. The goal of environmental sustainability is to minimize environmental degradation and to stop and reverse the process that leads to environmental degradation.

The EU Sustainable Development Strategy (SDS) adopted in 2001¹ and renewed in 2006², and the “6th Environmental Action Programme (6th EAP)”³, set out the overall objectives and concrete actions for dealing with the challenges for the coming period. The review of these documents provided a good background to identify a selection of the main thematic issues that often refer to the environmental pillar of sustainable development. These are presented in box 3.1 below.

¹ Communication from the European Commission “A Sustainable Europe for a Better world: A European Union Strategy for Sustainable Development” COM (2001) 264

² Council of the European Union “Renewed EU sustainable development strategy” 26 June 2006 10917/06
<http://register.consilium.europa.eu/pdf/en/06/st10/st10917.en06.pdf>

³ The 6th Environmental Action Programme (6th EAP) is the key programme for setting out the framework for environmental policy-making in the European Union for the period 2002-2012 and outlining actions that need to be taken to achieve them.

Box 3.1 – Selected thematic issues relating to the environmental pillar of sustainable development:

- Climate change issues;
- Reduction of greenhouse gas emissions (i.e. understanding the impacts of human activity in particular the burning of fossil fuels on climate change);
- Biodiversity (i.e. stopping biodiversity loss by addressing the changes in natural habitats);
- Energy efficiency (i.e. actions to save energy and developing energy-saving technology);
- Development of clean technology;
- Conservation and management of natural resources;
- Waste management;
- Pollution (water, air, soil); and,
- Sustainable transport.

Economic sustainability

Economic sustainability is defined as the way to achieving economic growth whilst respecting environmental limits, finding ways to minimise damage to the natural world and making use of the earth's resources in a sustainable way.

The economic dimension of sustainable development was developed by Agenda 21⁴, the United Nations programme. Agenda 21 states that:

“Economic policies of individual countries and international economic relations both have great relevance to sustainable development⁵”.

Another relevant concept for the economic pillar is “sustainable business”. A business is sustainable if it has adapted its practices to the use of renewable resources and holds itself accountable for the environmental and social impacts of its activities. This includes a business that may want to operate in a socially responsible manner as well as to protect the environment.

The notion of sustainable business has been elaborated by the European Commission Communication “Implementing the partnership for growth and jobs: making Europe a pole of excellence on corporate social responsibility” in which Corporate Social Responsibility is defined as:

⁴ <http://www.un.org/esa/sustdev/documents/agenda21/english/agenda21toc.htm>

⁵ Agenda 21 Chapter 2, Section 2.2.

“A concept whereby companies integrate social and environmental concerns in their business operations and in their interaction with their stakeholders on a voluntary basis⁶”.

A review of these documents provided a good background to identify a selection of the main thematic focuses that are often related to the economic pillar of sustainable development. These issues are presented in box 3.2 below.

Box 3.2 – Selection of thematic issues relating to the economic pillar of sustainable development:

- Sustainable consumption;
- Sustainable production;
- Corporate Social Responsibility (CSR) practices;
- Urban and local development;
- Sustainable tourism;
- Integration of environmental concerns in business decision-making (Green Business); and,
- Sustainable trade.

Social Sustainability

The social pillar of sustainable development is defined as a compilation of actions and efforts to promote development that does not deplete the stock of social and human resources but rather contributes to the enhancement of their potential. The social pillar also refers to the concept of “building sustainable and harmonious communities”.

The notion of social sustainability has been developed in the Lisbon Agenda in the European Employment Strategy⁷, and other several Communities initiatives for local and community development⁸.

⁶ Communication of the Commission ‘Implementing the partnership for growth and jobs: making Europe a pole of excellence on corporate social responsibility’, COM(2006) 136 Final, Brussels 2006

<http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2006:0136:FIN:EN:PDF>

⁷ http://ec.europa.eu/employment_social/employment_strategy/index_en.htm

⁸ For example see the Local Employment Development Strategy:

http://ec.europa.eu/employment_social/local_employment/index_en.htm

The review of these documents provided a good background to identify a selection of the main thematic issues that are often related to the social pillar of sustainable development. These are presented in box 2.3 below.

Box 3.3 - Selection of thematic issues relating to the social pillar of sustainable development:

- Health;
- Community cohesion;
- Social equity;
- Demography;
- Management of migration and cultural diversity;
- Equal opportunities;
- Flexicurity⁹; and,
- Development of human capital and skills.

Table 3.4 below represents the analytical framework for the study, regrouping the three sets of thematic issues listed above under each pillar. This analytical framework has been used to identify and describe the innovative good practices. It is noted that the boundaries between the selected thematic issues under each pillar of sustainable development are not always clear-cut. However, such classification allows for clarity of presentation, selection and classification, as well as for illustrating the variety of the main issues at stake in sustainable development.

It should be stressed that the elaboration of working concepts and of the conceptual framework is just a tool to be used in the context of this study, and does not hold any claims to contribute 'new thinking' to the theoretical and academic debate on sustainable development.

⁹ Flexicurity is defined as 'a policy strategy to enhance, at the same time and in a deliberate way, the flexibility of labour markets, work organisations and labour relations on one hand, and security –employment security and income security – on the other'

http://ec.europa.eu/employment_social/employment_strategy/flex_meaning_en.htm

Table 3.4 - Analytical framework

Sustainable Development		
Environmental Pillar	Economic Pillar	Social Pillar
✓ Climate change ✓ Reduction of gas emissions ✓ Biodiversity ✓ Energy efficiency ✓ Development of clean technology ✓ Conservation of natural resources ✓ Waste management ✓ Pollution (water, air, soil) ✓ Sustainable transport	✓ Sustainable consumption ✓ Sustainable production ✓ CSR practices ✓ Urban and local development ✓ Sustainable tourism ✓ Integration of environmental concerns in business decision-making (Green Business) ✓ Sustainable trade	✓ Health and quality of life ✓ Community cohesion ✓ Social equity ✓ Demography ✓ Management of migration and cultural diversity ✓ Equal opportunities ✓ Flexicurity ✓ Development of human capital and skills

4 METHODOLOGICAL APPROACH TO THE STUDY

This section sets out the scope, method and tools used for undertaking the study.

4.1 Scope and scale of the study

Geographical spread and implementing organisations

The study started with the identification of a high number of stakeholders to be contacted and asked to nominate innovative good practices in education for sustainable development, in 33 European countries, namely the 27 EU member states, three EEA countries (Iceland, Lichtenstein, Norway) and three candidate countries (Croatia, Macedonia, Turkey). A total of 212 stakeholders were contacted and were given the opportunity to contribute to this study.

The final selection of innovative good practices has a good geographical coverage. It represents national practices from the following 17 countries: AT, BE, CZ, DE, ES, FI, FR, GR, IT, MT, PL, RO, SL, SE, UK, CR and NO.

The selected practices range from local, regional and national initiatives to projects with a European and international dimension, involving NGOs, public institutions, such as schools, local governments and Ministries for Educations, as well as businesses and organisations representing the private sector.

Type of learning and context

The study has focused on sustainable education projects covering formal, non-formal and informal learning. The definitions of these three different types of learning are:

- **Formal learning:** learning that occurs within an organised and structured context (i.e. formal education institutions such as schools, colleges, vocational training institutes and universities), and follows a particular structured design. It typically leads to a formal recognition (diploma, certificate). In those cases, the issue of sustainable development tend to be inserted in the curriculum of the institution;
- **Non-formal learning:** learning which is embedded in planned activities that are not explicitly designated as formal learning, but which contain an important learning element, such as vocational skills acquired on the workplace;
- **Informal learning:** learning resulting from daily life activities related to work, leisure, free-time, etc. This type of learning is sometimes referred as experiential learning and can. Generally, it does not lead to certification.

The study has also taken into consideration the age groups that represented the target groups of the projects in order to have a balanced coverage of educational programmes aimed at children, pupils, students, and adults.

Sustainable development pillars covered

The study has outlined the analytical framework identifying the main dimensions of each of the three pillars of sustainable development to be used when describing and classifying the practices. The aim was to understand which specific pillar of sustainable development the project or programme aimed to address and to capture the wide variety of thematic issues under each pillar.

4.2 Approach to undertaking the study

The methodology of the study was developed through several steps.

Step 1: Desk review and stakeholders recommendations

This step aimed at mapping the sources of information and of stakeholders who were asked to nominate and identify examples of innovative good practices in ESD. In order to reach out to as many stakeholders as possible, three lists of stakeholders/sources of information were prepared to cover the international, European and national levels.

The list of stakeholders/sources of information at international level included:

- UNECE (United Nations Economic Commission for Europe) with the UN database on good practice in education for sustainable development;
- National websites of Ministries of Education, NGOs active in ESD and other relevant online sources;
- References found on educational practices on websites dedicated to sustainable development;
- DG EAC databases of the Leonardo, Comenius and Grundtvig programme;
- Information on practices provided by other DGs, in particular those suggested by the Steering Group.

The list of stakeholders/sources of information at European/International level included:

- EABIS (European Academy for Business Society);
- CSR Europe;
- European Trade Unions confederations (i.e. UNICE, European Trade Union of Teachers);
- European Business organisation (i.e. Business Europe);
- Lisbon Council;
- WBCSD (World Business Council for Sustainable Development).

The list of stakeholders/sources of information at national level included:

- Education ministries in Member States;
- Environmental ministries in Member States;
- Environmental organisations in Member States;
- NGOs and civic society organisations.

This “snow ball technique” and extensive desk research were used to identify additional sources of information/stakeholders within national and international organisations and NGOs involved in the field of ESD.

In total 212 stakeholders were contacted in the course of the study. The breakdown of types of stakeholders is as follows:

- 113 contacts from Education Ministries;
- 40 contacts from Environment Ministries;
- 23 contacts from NGOs and Universities;
- 8 contacts from the EAC databases; and,
- 29 contacts from INGOs.

Step 2: Request to stakeholders and stakeholder survey

An email was sent to all 212 stakeholders, together with an accreditation letter by DG EAC and a questionnaire to be completed by those responsible for an interesting programme, project or practice. While the accreditation letter aimed at explaining the importance of this study, the questionnaire offered stakeholders the option of either referring the study team to the project manager of a good practice, or circulating the questionnaire directly to the right stakeholders.

The questionnaire was structured to collect the following information:

- Basic information on the practice;
- Background of the approach;
- Innovative elements;
- Main features and strands of the approach;
- Organisational issues, including funding;
- Key outputs and added value of the approach;
- Success factors and issues and barriers to success;
- Evaluation arrangements; and,

- Transferability and lasting benefits.

A total of 37 completed questionnaires were returned to the research team. A further four practices were identified through desk research, thus totalling 41 projects from which 30 innovative good practices had to be selected.

Step 3: Elaboration of criteria for selecting the innovative good practices

Out of the 41 projects identified, 30 were selected as innovative good practices according to a set of selection criteria: innovation, dissemination and evaluation, plus three extra “award criteria”. The award criteria were used to give extra recognition to practices that included particularly interesting elements. The selection criteria and award criteria used are listed in box 4.1 below.

Box 4.1 – Innovative good practice selection criteria and award criteria

Good practice selection criteria (1 credit per positive response)

Set 1. - Innovation

Did the project have clear elements of innovation?

Did the project innovate at thematic focus level?

Did the project innovate at institutional level?

Did the project innovate in delivering education and teaching?

Did the approach innovate other ways of addressing the issue of sustainable development?

Did the approach develop and implement innovative partnerships and networks?

Did the approach encourage innovative interactions, exchanges and synergies with others actors?

Set 2- Dissemination/transferability

Was the project well disseminated?

Was the project transferred to other contexts?

Is the project potentially transferable?

Was the practice cited as a good practice, e.g. in press releases, nominations for inclusion on innovative good practice databases, etc?

Set 3- Evaluation

Was the approach evaluated (this includes self-evaluation but independent evaluation will be considered preferable)?

Did the evaluation highlight the key elements of strength and success of the practice?

Award criteria (extra credits per positive response, up to 3 points)

Making a difference: 'hard' or 'soft' evidence of the practice outcomes and impacts.

Sustainability: the practice has been continued or there is evidence of new projects as a result.

Multidisciplinary approach.

Step 4: Selection meeting with the Steering Group

A selection meeting with the Steering Group was held to assess the 41 practices collected, in order to select the 30 innovative good practices to be included in the inventory. The selection aimed at ensuring a good spread of practices in terms of geography, sustainable development pillars covered and types of education addressed and level of implementation (international, national, regional and local).

Step 5: Elaboration and presentation of innovative practices

Once the selection of the short-listed 30 innovative good practices had taken place, the research team prepared a brief description of each of them. All examples are presented in a common template. The structure of the template reflects the main topic addressed by the questionnaire. The template requested research team members to fill in the following fields:

- Key characteristics (type of learning, age group, level of implementation, funding, time frame and leading organisation);
- The project (rationale, aims and summary description);
- Dimensions of sustainable development (which thematic focuses were addressed under each pillar);
- Approach (approach, multidisciplinary and partnership);
- Innovative elements (innovation in the content, the delivery method, at the institutional level, in addressing sustainable development and in forging new partnerships and networks);
- Key successes (outputs, outcomes, impacts, key successes and added value and evaluation);
- Transferability and sustainability;
- Special highlights (particularly innovative elements of the practice); and,
- Further information.

The use of such template ensured that similar information is provided for all 30 examples selected, enabling comparisons and identification of common strands and patterns emerging from approaches. The descriptions are short and concise, with a layout of approximately two pages, to enable the reader to have a quick overview of the approach.

5 OVERVIEW OF 30 GOOD PRACTICES

This section presents a brief overview of the 30 practices that were selected for the purpose of the inventory of innovative good practices in education for sustainable development (ESD).

Geographical spread, level of coverage and implementing organisations

The final selection of innovative good practices has a wide geographical coverage. It presents national practices from the following 17 countries¹⁰: AT (2), BE (2), CZ (2), DE (3), ES (1), FI (1), FR (1), GR (1), IT (2), MT (1), PL (1), RO (2), SL (1), SE (1), UK (2), CR (1) and NO (1).

The examples selected concerned practices at different implementation levels, ranging from local initiatives (9), through regional (10) and national actions (25), to projects with a European (5) or International (10) dimension, involving umbrella organisations and actors from different countries¹¹.

A wide variety of organisations, institutions, public and private bodies were involved in the implementation of the practices. A total of 10 international organisations, and 7 national organisations were amongst the leading organisations implementing the selected examples. Furthermore, 8 Ministries, mostly of education, and 8 regional bodies and Universities contributed to the development of the illustrated approaches. Finally, the selection also includes examples of innovative ways developed by businesses to get involved in education for sustainable development (namely the World Business Council for Sustainable Development, Toyota with the European Toyota Fund, the Tourism Board of Flanders in Belgium, the Chambre des Metiers et du Commerce du Vaucluse in France).

Type of learning

The selected innovative good practices cover all three types of education described in section 4 (formal, informal, and non-formal): formal learning (24) prevails over informal (13) and non-formal (4). Moreover, in two instances the innovative good practices also covered vocational training. It is important to note that some projects covered more than one type of education.

¹⁰ Four practices (1 International, 2 European and 1 Czech) were selected on the basis of desk research. One practice (Italy) was substantially integrated with desk research.

¹¹ More than one geographical level of implementation was possible for each practice.

Age group and level of education

The final selection of practices covers a wide range of age groups.

A total of 11 practices focused on pupils between the age of 12 and 18, five of which adopted formal learning processes, two a combination of formal and informal and only one was implemented as informal type of learning. This reflects the fact that most practices introduced sustainable development in the school curricula, which facilitates access to young pupils and presents the possibility to reach pupils' families indirectly as well.

There were considerably less practices focusing on the age group 18 to 25 (1) and 25 to 30 (3), and with the exception of one example using non-formal and informal teaching methods, the other three examples were delivered in the form of formal learning (one was combined with vocational training methods). Three practices focused on students and adults between the age of 18 and 30, with approaches concentrating on mainstreaming sustainable development into universities (either through the curriculum or by acting as a sustainable institution itself). In a few cases, the innovative examples were focusing on employees, without having an age target.

Overall, the great majority of selected practices were implemented in the context of schools and universities targeting pupils and students from the age of 12 to 30. A few examples (4) targeted communities as a whole and only two practices targeted companies or public bodies.

Finally, one practice also included children from the age of 6 to 12, introducing young pupils to sustainable development.

Sustainable development pillars covered

The selected good practices provide a good spread of activities focussing on all three pillars of sustainable development: environmental, economic and social. It is important to note that the thematic focuses are not mutually exclusive and that hence one innovative practice could cover several themes. Table 5.1 gives an overview of the number of practices covering each theme.

Table 5.1 Types of activities covered

Pillar	Thematic focus	No. of practices
Environmental pillar	Waste management	20
	Energy efficiency	19
	Pollution	18
	Conservation of natural resources	17
	Sustainable transport	14
	Climate change	13
	Biodiversity	10
	Development of clean technology	9
	Reduction of gas emissions	3
Economic pillar	Sustainable consumption	23
	Urban and local development	14
	Sustainable trade	10
	Sustainable production	9
	Sustainable tourism	9
	CSR practices	8
	Integration of environmental concerns in business decision-making	7
Social pillar	Development of human capital and skills	20
	Community cohesion	19
	Social equity	18
	Health and quality of life	15
	Equal opportunities	13
	Management of migration and cultural diversity	7
	Demography	4
	Flexicurity	4

The table shows that, with regard to the environment pillar, waste management (20), energy efficiency (19) and pollution (18) were the most common themes encountered in the selection. In relation to the economic pillar, sustainable consumption was by far the most popular thematic focus with 23 examples of how this has been incorporated into education. Urban and local development came second with 14 examples referring to it. Finally, development of human capital and skills (20), community cohesion (19) and social equity (18) were the most recurrent themes under the social pillar of sustainable development.

It is also important to note that at the opposite end of the scale, reduction of gas emissions was the least mainstreamed theme under the environmental pillar, being included in only three practices. Similarly, integration of environmental concerns in business decision-making seemed to be the least addressed issue (only seven examples) under the economic pillar. It is worth mentioning, however, that this may also be related to the smaller number of practices mainstreaming ESD at the company level. Finally, demography and flexicurity had only both been inserted into education in four practices under the social pillar.

In sum, sustainable consumption was the most popular thematic focus, being inserted into education by 23 practices, while reduction of gas emissions was the least addressed issue, being mainstreamed into education in only 3 examples.

Elements of innovation

In general, selected practices showed a good coverage of all elements of innovation. Innovation in the content was the most recurrent element (present in 25 practices), representing a wide and innovative range of topics from issues linked to globalisation (e.g. human rights, north-south relations etc.), to healthier lifestyles (e.g. healthy eating patterns) to the more pressing issue of energy consumption and the need for renewable energy. Overall there seems to be a growing concern for extending the concept of sustainable development from essentially environmental to also focusing on social issues.

Innovation in the delivery method came second, being addressed in 23 of the selected examples. It focused mainly on multi-stakeholder approaches to create a sense of ownership over the initiative amongst pupils, families, teachers, regional and national decision-makers, and experts. Emphasis was also put on ensuring that all approaches were participative and interactive. Finally, this section clearly highlighted the emergence of new technologies, as five practices were based on the use of internet websites or platforms for communication (i.e. VCSE, Manger-bouger, EnviWiki, Chat of the World, the Web Village) and all other examples used blogs and web-sites to communicate their project objectives and results.

Innovation in forging new partnerships and networks was also present in 23 practices. The majority of practices aimed at creating new partnerships between national, regional and local actors and communities in order to ensure more participative approaches. Sharing knowledge and experiences was also a main concern for most of the selected examples. This type of innovation facilitates the creation of networks between universities at national and international level, as well as fostering communication between students, teachers, business communities and experts on a wide variety of topics addressed by these projects.

Innovation at the institutional level featured in 17 of the innovative practices and was, for the majority, reflected through the mainstreaming of sustainable development in the national curriculum for education. In a number of cases Ministries were involved in the projects either through the granting of a national award or by providing financial and institutional support to the leading organisations. Finally, in the case of three initiatives part of the outcome focused on raising awareness for the necessity to implement education for sustainable development.

Innovation in addressing sustainable development was an element of innovation in 10 selected practices and essentially focused on ensuring an interdisciplinary approach

addressing all the pillars of sustainable development. Additionally, a number of practices emphasised the importance of participation and consultation in decision-making.

6 ISSUES FOR FURTHER DISCUSSION

The study presents a collection of innovative good practices in delivering ESD. The examples selected cannot be taken as representative of new trends and developments in delivering ESD, however practitioners and policy-makers could take this compendium as a basis to identify topics for further discussions on innovative ways to deliver ESD, including reflections on their utility, effectiveness and impact. The issues that could be investigated further are:

- The utility of adopting an integrated and interdisciplinary approach to sustainable development, understanding the three pillars: environmental, economic and social;
- The importance of adopting ESD curriculum in formal education and delivering interactive and participatory teaching modules;
- The necessity of training teachers and trainers on most effective ways of delivering ESD;
- The importance of developing wider networks of stakeholders working together, such as schools, students, parents, communities, business associations, local and national governments;
- The added value of the involvement of the business sector in developing ESD;
- The importance of developing technical training for future professionals in adopting sustainable ways of productions;
- The role of ESD in delivering sustainable models of consumption (i.e. from healthy eating to sustainable holidays); and,
- The role of informal and non-formal education in targeting adult education in sustainable development.

7 ANNEX A - INVENTORY OF INNOVATIVE GOOD PRACTICES IN EDUCATION FOR SUSTAINABLE DEVELOPMENT (ESD)

Capacity Building in Business - Future Leaders Team (INTERNATIONAL LEVEL)

Key characteristics	
Type of learning	Non-formal, Informal
Age group	All
Level of implementation	International/National
Funding	Companies
Time frame	2000 – to date
Leading organisations	World Business Council for Sustainable Development (WBCSD) Over half of WBCSD member companies have participated in this program: Participants in 2008 include: Alcoa, Akzo Nobel, Borealis, Bosch, Caterpillar, Cemex, Chevron, Cimpor, ConocoPhillips, DNV, E.ON, Eskom, Evonik, Grupo Nueva, Henkel, Hitachi, Holcim, Infosys, Kimberly Clarke, Michelin, Petro Canada, Repsol, Shell, Telefonica.

The project

The Future Leaders Team (FLT) is a programme designed to provide a positive learning experience and networking opportunity for younger business managers as well as for the companies they represent.

A set of activities is planned each year focusing on a different theme. Teams are composed of around twenty/thirty young high-flyers employees interested in sustainable development.

In 2008, in its 7th year, the Future Leaders are focusing on Ecosystems, working to understand what ecosystems means to business and how ecosystems risks can be mitigated and opportunities harnessed. The first four months (March-June) have been spent on management issues utilising the methodology of the Ecosystems Services Review to identify business risks and opportunities arising from companies and impact on ecosystems. The second four months (July-October) are being spent preparing the business perspective in addressing ecosystems impacts at the World Conservation Forum in Barcelona in October by developing a short compelling video and a scenarios workshop for 2050.

Dimensions of sustainable development	
Environmental	Energy efficiency, Development of clean technology, Waste management.
Economic	Integration of environmental and social concerns in business decision-making.
Social	Demography, Migration, Flexicurity.

Approach

Future Leaders participating in the project are drawn from across a range of job functions in order to maximise synergies and to ensure a multidisciplinary approach to the interrelated issues of sustainable development.

The FLT outcomes and outputs have been presented at numerous conferences, seminars, workshops, business events and universities and connected to external stakeholders from all over the world.

Innovative elements

Innovation in forging new partnership and networks: the project has been successful in engaging the business community in ESD and in preparing the business leaders of tomorrow in taking a sustainable approach to their working practices. The creation of a network with the participation of young managers from different corporations has proven to foster innovative and creative thinking.

Key successes

The programme provides young professionals with new skills linked to sustainable development and is a tangible step forward in shaping the future of SD in a business environment. There is also the opportunity to communicate with a broader set of stakeholders and to subsequently enhance the network, creativity and commitment.

Transferability and sustainability

The programme is run every year with a different thematic focus.

Special Highlights

The project has the potential to make a real change in the business community. Young business managers become sustainable development ambassadors, spreading the message within their companies, at business schools, at youth forums and others types of events at all levels - local and international. The network of young business managers is a vibrant and vital learning laboratory, and has proven to be a successful formula.

Further information

Website of the project: <http://www.wbcsd.org>

FEI - Fashioning an ethical industry (INTERNATIONAL LEVEL)

Key characteristics	
Type of learning	Formal
Age group	12-25
Level of implementation	International/National
Funding	UK Department for International Development (DFID) and Labour Behind the Label
Time frame	Started in June 2007 and has a duration of 36 months
Leading organisations	Südwind Agentur (lead NGO, Austria), Schone Kleren Kampagne (Netherlands), Labour Behind the Label (United Kingdom), Polish Humanitarian Organization (Poland)

The project

Little is known about the realities of garments workers' conditions in the fashion industry. Teaching SD does not only imply addressing human rights conditions in supplier countries, but it also ensures that future professionals understand how their industry is playing a role in the creation of these conditions by trading practices of garment retailers and brands. The project therefore aims at supporting university, college and high school tutors of fashion-related courses in incorporating sustainable development issues into their teaching, and to equip students with professional skills to contribute to more socially responsible policies and practices in the industry.

Dimensions of sustainable development	
Environmental	Conservation of natural resources, Pollution.
Economic	Sustainable consumption, Sustainable production, CSR practices, Sustainable trade.
Social	Health, Development of human capital skills, Flexicurity.

Approach

Four organisations from Austria, Netherlands, United Kingdom and Poland are working in partnership to develop the most appropriate approaches (workshops, discussions, videos, student manual, website, group activities, student placement, tutor training etc.) which would have the most significant impact on fashion industry stakeholders. To this end, they aim at incorporating supplier partners'

knowledge into decision making and promote exchanges of experiences and good practices. The project has already been implemented in 11 universities and colleges in the four partner countries. There are plans to build links with French and Spanish associates for the purpose of replicating all parts of the project.

Innovative elements

Innovation in the content: the project does not limit itself to raising awareness about humanitarian rights, but it focuses most importantly in mobilising support for more equitable North-South relations. To this end, it highlights the interdependence between European Union and developing countries by linking the effect of Northern retailers' and brands' trade practices on supplier countries. It makes full use of long established links with supplier partners to enable them to play an active part in the project.

Innovation at the institutional level: project partners work in close cooperation with tutors to incorporate sustainable development issues within existing modules and units via student projects or 'problem-solving'. Where appropriate partners work with course and curriculum development teams to design new study units and modules which explicitly include these areas of knowledge, skills and understanding. The project also works to meet the needs of tutors and students in relation to information and resources, activities and projects, access to stakeholders in supplier countries and other speakers, opportunities for exchange and networking.

Innovation in addressing sustainable development: there is continuous consultation of target groups in order to identify relevant courses and entry points. Furthermore, tutors and students are closely assisted, throughout the process and the courses, in the organisation of activities, projects and the creation of contacts and opportunities for exchange and networking. Finally, outreach events are not only used as a means to publicise the project but also to generate project ideas and mobilise students.

Innovation in forging new partnership and networks: a central objective of the project is developing links with companies in order to ensure that supplier countries' experience informs the promotion of sustainable development. There is also an investment in ownership of the project to ensure that motivation will last beyond the period of the project.

Key successes

Two fashion colleges in Austria (Hetzendorf in Vienna and Hallein in Salzburg) have integrated social responsibility issues in their existing study units on Marketing and Supply chain management and three colleges in the Netherlands (Hogeschool voor de Kunsten Utrecht (HKU), Amsterdam Fashion Institute (AMFI) and TMO, Doorn) have expressed a wish to use the student manual to incorporate CSR in their curriculum. In addition, the biggest and leading technical university in Poland (Technical University in Lodz) teaching garment industry related courses has started working on an ethical fashion academic project, and five universities and colleges in the UK (London College of Fashion, Birmingham City University, Westminster University, University of Huddersfield, New College Nottingham) have referred to this project to integrate sustainable development in their curriculum. It is also worth noting that there are plans to establish a Centre for Sustainable Fashion at London College of Fashion in the UK.

Transferability and sustainability

Project partners are now in the process of extending the project to Spain and France and plans have been made for further development of the project by the four leading countries. Materials and

information are available in Polish, German, Italian, French, Dutch and English for the purpose of facilitating plans for European dissemination, which include a conference in the third year of the project where 100 people are expected to participate.

Special Highlights

FEI tackles the issue of sustainable development in the garment industry by training future professionals to take into account the impact of Northern outsourcing and trading practices in the context of the fashion industry.

FEI creates a link between future professionals in the fashion industry and stakeholders in supplier countries in order to foster exchange of experiences and cultivate partnerships that could eventually lead to an improvement of working conditions in garment factories.

Further information

Website of the project: http://fashioninganethicalindustry.org/static/machine_rollover.html

Schools for Sustainable Development to promote local community environmental actions (EUROPEAN LEVEL)

Key characteristics	
Type of learning	Formal and Informal
Age group	12 and above
Level of implementation	European
Funding	Toyota Fund for Europe (TFfE)
Time frame	Started in 2003
Leading organisations	Toyota Fund for Europe (TFfE)

The project

As environmental concerns grow in our societies, consumers and business stakeholders are increasingly attentive to business practices and ethics. Having developed a strong presence throughout Europe since 1990, Toyota aims to develop responsible and sustainable relationships with all its stakeholders.

The initiative *Schools for Sustainable Development* promote partnership between local schools, community and business sector in order to implement practical small-scale projects for improving the environment of deprived urban and rural areas in the UK, Poland and the Czech Republic. The initiative is based on participative and practical social and environmental education.

Dimensions of sustainable development	
Environmental	Environment protection.
Economic	Sustainable urbanisation and rural development.
Social	Urban and local development, Community cohesion.

Approach

Schools for Sustainable Development operates as a partnership between NGOs in three European countries (*Groundwork* in the UK, the *Polish Environmental Partnerships Foundation*, and the *Czech Environmental Partnership Foundation*) to develop local practical actions. As part of the initiative,



schools and NGOs have developed a learning toolkit, and have created a website and media materials. The involvement of NGOs ensures that schools take a multidisciplinary approach in their educational strategies and that knowledge from different sectors of society is shared with pupils and teachers.

Innovative elements

Innovation in the content: The project focuses on linking environmental improvement with health, safety and socio- economic regeneration of run-down communities.

Innovation in the delivery method: The initiative is based on a multi-stakeholder-approach. Schools, NGOs and community groups work together on identifying high priority areas, project design and planning, and development and implementation of practical projects.

Innovation in forging new learning partnership/networks: The creation of partnerships between NGOs, schools, communities and business sector is a fundamental element of the project.

Key successes

The initiative has demonstrated that a multi-stakeholder approach is the most effective way to deal with the linkages between environmental improvement and socio-economic regeneration of run-down communities. *Schools for Sustainable Development* has provided a mechanism for private companies operating at European level, such as Toyota, to engage successfully with local communities, and has identified an innovative mechanism for transferring and sharing experience, skills and expertise between schools, NGOs and the business sector. The initiative has clearly helped to create a platform of business support for ESD in schools and at the grassroots level.

Transferability and sustainability

Schools for Sustainable Development already works in three different countries and its structure could be replicated in other countries of the European Union, reaching new partners and funders from the private sector. Pupils' participation to the project and the partnership created between different stakeholders has delivered long-term benefits, such as practical improvement to the local environment, and has fostered pupils and communities self-confidence and social cohesion.

Special Highlights

Schools for Sustainable Development acts as focal points for small-scale local area regeneration initiatives to promote an integrated and practical approach to sustainable development in run-down communities, by teaching pupils to take responsibility for the place they live in.

Further information

Website of the project: www.toyota-europe.com

VCSE - Virtual Campus for a Sustainable Europe (EUROPEAN LEVEL)

Key characteristics	
Type of learning	Formal
Age group	18-30
Level of implementation	International/National
Funding	eLearning Programme, European Commission
Time frame	Since February 2007
Leading organisations	University of Macedonia (UOM), Greece

The project

Given the need to develop effective strategies for mainstreaming sustainable development principles in public policy, universities have a responsibility to foster competences for sustainable development amongst students, staff and local communities. *Virtual Campus for a Sustainable Europe* project aims at building a sustainable Europe by developing an educational model in which the principles of SD are mainstreamed in multiple sectors.

Dimensions of sustainable development	
Environmental	Conservation and management of natural resources, Waste management, Pollution.
Economic	CSR practices, Urban and local development, Sustainable tourism, Integration of environmental concerns in business decision-making.
Social	Social equity, Management of migration and cultural diversity, Equal opportunities, Critical Approaches to Globalisation.

Approach

Five Universities from five countries (Austria, Czech Republic, Germany, Greece and the Netherlands) worked in partnership to engage relevant actors from academic, governmental and non-governmental sectors on finding solutions to most effectively implement sustainable development principles. In addition to e-learning courses for students, they have developed educational activities for local actors and decision-makers at national level. The VCSE courses facilitated interaction of participants across disciplines, sectors and cultures by providing and sharing high quality academic e-learning courses.

Innovative elements

Innovation in the content: A crucial aspect of the courses is their interdisciplinary character, which is indispensable for seeking solutions to complex problems of sustainable development.

Innovation in the delivery method: Problem-based research encourages students to seek solutions to pressing local and global problems by dialogue and engagement with a wide range of real world resources.

Innovation at the institutional level: All of the VCSE partner-universities are recognized at a local/regional/national level as a focal point for the transfer and wider dissemination of know-how and expertise on ESD.

Innovation in addressing sustainable development: Students' diverse disciplinary viewpoints (from all areas of sciences and humanities) are an asset in seeking solutions to complex problems, giving the students valuable opportunities to learn from each other.

Innovation in forging new partnerships and networks: The VCSE project has created two-folded synergies: (a) Among European Universities specialized on e-learning and sustainable development issues (The VCSE Academic Network); (b) Among local/regional actors and decision-makers at VCSE-partners' countries (The VCSE local/regional learning networks).

Key successes

The VCSE model has proven to be a successful best practice example for the setting up of a virtual campus on sustainability. Its innovative test-it-yourself approach invites any European university interested in sustainable development studies to test for themselves the proposed VCSE model through on-site demonstrations, educational workshops and free-trials, for all involved actors, technical and administrative personnel, academic staff and experts. The project has thus successfully overcome some resistance to e-learning and multidisciplinary teaching among traditional universities.

Transferability and sustainability

To ensure the transfer of the Virtual campus model, workshops were held locally to disseminate and discuss such model. The VCSE Network has welcomed eight new members as a result. Furthermore, new local/regional e-learning networks for sustainable development were created in all five partner countries in order to design e-courses or blended learning courses on sustainable development issues as demanded by local/regional actors and decision makers. VCSE e-learning case study is also included in the UNECE Strategy for education for SD.

Special Highlights

The VCSE-model based on a multi-dimensional approach involves both the academic community and local/regional actors. The educational model created by the project is flexible to meet the needs of national contexts while being a relevant model for universities across Europe.

Further information

Website of the project: <http://www.vcse.eu>

CSCT- Curriculum for Sustainable Development Competences Teachers Training (EUROPEAN LEVEL)

Key characteristics	
Type of learning	Formal
Age group	18-30
Level of implementation	European/National
Funding	Comenius programme
Time frame	2004 – 2007
Leading organisations	ENSI (international network for school and environment) and the Department of Teacher Education of the Katholieke Hogeschool Leuven, Belgium.

The project

Teaching SD is a challenge for teachers and training institutions. SD requires an integrated and multidisciplinary approach, which often requires a dramatic change in the way the curriculum is organised. The project aimed to define a curriculum for ESD and provide teachers with the necessary skills and education tools to deliver ESD in a multidisciplinary way.

Dimensions of sustainable development	
Environmental	Conservation of natural resources, Waste management and Sustainable transport.
Economic	Sustainable consumption and Sustainable trade.
Social	Community cohesion, Social equity, Cultural diversity and Development of human capital skills.

Approach

Fifteen educational institutions from nine different countries (Belgium, Austria, Denmark, Germany, Hungary, Norway, Spain, Switzerland, and United Kingdom) participated in the project CSCT. They worked in partnership to develop a common conceptual framework which set out the core competences that are necessary to teach sustainable development in a multidisciplinary way and to integrate scientific issues with ethical and cultural elements. The common framework has been used to implement SD curriculum in nine different educational institutions.

Innovative elements

Innovation in the context: Sustainable development is often associated with scientific subjects (for example biology and chemistry) resulting in the socio-economic dimensions not being integrated into the teaching. The CSCT project provides teachers with the educational tools needed to cover the different but interrelated dimensions of SD.

Innovation in the delivery methods: an innovative pedagogical methodology is set out, encouraging teachers to undertake 'action research' to identify sustainability issues that are pertinent to the local context in which they operate. The curriculum also promotes first-hand experience with sustainability issues, active participation of the learners, personal reflections and integrated understanding of the natural and socio-economic environment.

Innovation in forging new partnership and networks: educational institutions from different countries worked together to elaborate a common conceptual framework, exchanging their implementation methods and disseminating their achievements.

Key successes

The common framework was used by nine educational institutions to develop their own curriculum and approach to ESD in different contexts. A report was produced for each educational institution participating to the project, which outlined the main activities and achievements. The nine case studies and the common framework are available on-line.

Transferability and sustainability

The project has now finished but the information material (common conceptual framework, case studies from educational institutions, final report, etc.) is available on-line to encourage other educational institutions to implement a SD curriculum. The project has demonstrated that the common conceptual framework can easily be transferred to different educational contexts.

Special Highlights

CSCT designed a conceptual framework that covers all the dimensions of sustainable development in an integrated way, but at the same time is flexible enough to be tailored to the specific needs and contexts of different educational settings.

CSCT encourages interactive and participatory learning linking theoretical concepts with practical activities and personal experience.

Further information

Website of the project: http://www.ensi.org/Projects/Former_Projects/CSCT/

Programme Ecologisation of schools – Education for Sustainable Development (AUSTRIA)

Key characteristics	
Type of learning	Formal
Age group	6-25
Level of implementation	National, regional, local
Funding	Central support is provided by the Ministry of Education, Science and Culture and by the Forum Umweltbildung; Euro 100.000/year
Time frame	1996: starting of the pilot phase. School network started in 2001
Leading organisations	Austrian Federal Ministry for Education, the Arts and Culture, Subdept. V/11c, Environmental Education, Austria

The project

ÖKOLOG is the first and main Austrian programme for schools at the interface of Environmental Education (EE) and Education for Sustainable Development (EDS) and School development.

Schools define the ecological, technical and social conditions of their environment, and on the basis of these results, they define the objectives, targets and/or concrete activities and quality criteria, to be implemented and evaluated.

Students along with all the other stakeholders are actively involved and collaborate with authorities, business and other interested parties.

Dimensions of sustainable development	
Environmental	Climate change, Energy efficiency, Pollution, Waste management, Sustainable transport.
Economic	Sustainable consumption.
Social	Health, Community cohesion, Social equity, development of human capital skills.

Approach

Schools have to apply to become a member of the Ecologisation (ÖKOLOG) school network. Schools involved have to follow a set of steps: creating a school consensus, building and maintaining a school working team on SD, and becoming active in “hard topics” such as energy consumption and in “soft topics” (e.g. school climate).

Innovative elements

The project puts an emphasis on the passage from temporary individual initiatives to ecologically sustainable structures and to a combination of pedagogical, social and technical/economic initiatives. Ecologisation is seen as an important contribution to school development. This project aims at becoming an inherent feature of the system of education after its pilot phase. Similarly, the competencies created within a number of teachers and headmasters become an intrinsic professional feature of the teaching profession/school management.

Key successes

Over 270 schools with about 100,000 students are in the network while many others are reached by web-site teachers. Training seminars and newsletters for teachers are also available.

The schools involved are highly committed to the project, with 20% of the ECO-schools being awarded the Austrian “National Environmental Performance Award for Schools and Educational Institutions” (*“Umweltzeichen für Schulen und Bildungseinrichtungen”*, see www.umweltzeichen.at/schulen)

Transferability and sustainability

ÖKOLOG is part of the international association of ECO-schools and/or ESD-schools with the purpose of school development as a basis to implement and develop ESD.

Special Highlights

Students along with all the other actors are actively involved and cooperate with authorities, businesses and other interested parties.

An Ecologisation (ÖKOLOG) network binds various schools on a national base and integrates the issue of sustainable development as a permanent feature of the education system.

Further information

Website of the project: <http://www.oekolog.at>

Sustainable Universities (AUSTRIA)

Key characteristics	
Type of learning	Formal
Age group	18-30
Level of implementation	National
Funding	FORUM Umweltbildung
Time frame	Started in 2007 and takes place on a 2 year basis
Leading organisations	FORUM Umweltbildung, Vienna, Austria

The project

The main objective of Sustainable Universities is to strengthen and to integrate the issue of SD into the daily life of higher education institutions in Austria. After the initial phase of networking and communication with the relevant stakeholders, the project aims at 1) raising the motivation for sustainable higher education, and 2) at supporting the pioneers in this field by organizing a nationwide “sustainability award” for higher education institutions.

Dimensions of sustainable development	
Environmental	Climate change, Biodiversity, Energy efficiency, Development of clean technology, Conservation and management of natural resources, Pollution, sustainable transport.
Economic	Sustainable consumption, Urban and local development, Sustainable tourism.
Social	Health, Community cohesion, Social equity, Development of human capital and skills.

Approach

The general aim is to launch a benchmarking and nationwide learning process among higher education institutions through a “sustainability award contest” held every two years.

Sustainable Universities focuses on continuous processes of “sustainable higher education” and not just on temporary projects, single persons or singular events. Additionally, participation and open learning are at the very heart of every learning process. The award is divided into 8 different action

fields (i.e. curricula, operations or students initiatives) and universities can submit their contributions to this contest according to their individual strengths to win the award in one particular action field.

Universities can use this experience to improve their performance in other fields and they have the opportunity to win more awards in other action fields.

Innovative elements

Innovation in the context: The innovation is the benchmarking and nationwide learning process amongst higher education institutions in the field of ESD.

Innovation at the institutional level: The Award supported universities to access their own sustainability performance and enhanced internal communications.

Innovation in forging new partnerships: Under the 'outreach' award category there have been several examples of regional co-operation projects between universities and other stakeholders (i.e. schools and business) which were linked by the common goal of sustainable development.

Key successes

Quality criteria were developed and accepted with the first ESD university contest being organised in 2007/2008 and the first awards being granted in spring 2008. A key element of success was the participation of the media and stakeholders in the field of SD. The added value of Sustainable Universities is the creation of a nationwide benchmarking and communication process.

The number of Award submissions was 43, of which 25 were defined as a success.

Transferability and sustainability

The inspiring principles of Sustainable Universities, especially the concept of continuous processes of sustainable higher education and the award system can be easily transferred to other contexts.

Special Highlights

The project aims at integrating higher education institutions into a general benchmarking and nationwide learning process.

The continuous processes of "sustainable higher education" are integrated into the daily functioning of Austrian universities, whilst a "sustainability award contest" is held every two years.

Further information

Website of leading organisation: <http://www.umweltbildung.at>

MangerBouger (BELGIUM)

Key characteristics	
Type of learning	Formal and Informal
Age group	12-30
Level of implementation	National
Funding	N/A
Time frame	Started in 2006
Leading organisations	Gouvernement de la Communauté française de Belgique

The project

In a society characterised by rising trends in obesity, increased sedentarity, and less time devoted to cooking, the Government of the French Community of Belgium has decided to implement a plan to promote healthy lifestyles in terms of eating and exercising, targeted at children and teenagers. MangerBouger aims at implementing a proactive policy for promoting healthy eating habits at school, as well as countering the pressure of marketing and media by developing critical attitudes among young people and helping them to make responsible choices. The objective is achieved by developing a culture of eating habits based on nutritional benchmarks as well as personal enjoyment.

Dimensions of sustainable development	
Environmental	Environment protection, Water.
Economic	Sustainable consumption.
Social	Education/learning, Health promotion, Citizenship.

Approach

A set of key actors have been involved and trained, such as school canteen staff, children's families and agencies in the nutritional sphere. On the pupils' side, the project encourages sports activities and develops critical attitudes to advertising and commercial messages. A quarterly magazine is distributed in all schools, dieticians are recruited, and an educational kit is made available to schools to provide reference material on eating and media education.

Innovative elements

Innovation in the content: The project intends to promote healthier eating habits and encourages the adoption of these patterns not only at school but also at home through the involvement of parents.

Innovation in the delivery: Schools are able to choose their own delivery methods and approaches.

Innovation at the institutional level: The government is involved in ensuring that the initiative is mainstreamed and extended to as many schools as possible.

Innovation in addressing sustainable development: The cultural, social, environmental and economic aspects are taken into account to forge an educational project that integrates these different, but interrelated, dimensions.

Innovation in forging new partnerships/networks: A wide range of people of all ages and professional backgrounds are involved in the initiative.

Key successes

The project relies on extensive cooperation between government departments, school management federations, teachers' representatives, various advisory bodies, doctors, nutritionists and dieticians. It has been successful in providing specific and coordinated responses to social and health issues by offering a positive approach to health and sport in a schooling environment. A key element in the project was the flexibility offered to schools to personalise their initiatives according to their own needs.

Transferability and sustainability

The project, which is in its early phase, is backed-up by a media campaign, a website and a magazine. The media campaign aims at strengthening awareness-raising via posters, post cards and children's games. The interactive website can appeal to various target groups and has proven to be the best way to reach a wide audience.

Special Highlights

A "healthy eating" label will be awarded to schools that develop an integrated and comprehensive project covering educational activities as well as the quality and variety of the food provided.

Further information

Website of the project: <http://www.mangerbouger.be/Saint-Quentin-une-ecole-pas-tout-a>

Sustainable Tourism: developing a sustainable development curriculum for bachelor degrees in tourism and recreation management (BELGIUM)

Key characteristics	
Type of learning	Formal, Vocational training
Age group	25-30
Level of implementation	Regional
Funding	The Tourism Board of Flanders founded the project
Time frame	February 2007-April 2008
Leading organisations	Tourism Board of Flanders (Belgium) and University College KHM Katholieke Hogeschool Mechelen

The project

The concept of sustainability is only addressed in a limited capacity by educational institutions training future managers and professionals to work in tourism and recreational sectors.

The objective of this project is to introduce the principles of sustainable development (SD) in a systematic, progressive and integrated way by developing a formal curriculum on sustainable tourism.

Dimensions of sustainable development	
Environmental	Climate change issues; reduction of greenhouse gas emissions, biodiversity, energy efficiency, development of clean technology; conservation and management of natural resources, waste management; pollution (water, air, soil); and sustainable transport.
Economic	Sustainable consumption, sustainable production, urban and local development, and sustainable tourism.
Social	Community cohesion, social equity, equal opportunities, and the development of human capital and skills.

Approach

A working group was set up between professors and the Tourism Board for Flanders. They have mapped the educational services in tourism and recreation provided by colleges. The curricula was also analysed to assess missing elements in terms of sustainability and how they could be integrated in existing courses.

Experiences from international universities were used as a basis for developing a set of core competences to integrate socio-economic and environmental aspects into the tourism industry. A supporting manual was also developed for engaging and guiding professors and teachers.

Innovative elements

Innovation in forging new partnership: Colleges have developed the core competencies for sustainable tourism in close cooperation with the Tourism Board for Flanders.

Innovation in the institutional level: The curriculum for sustainable tourism is fully integrated with other taught subjects and is developed across three year studies.

Key successes

The curriculum has been tested on over 162 students between 2007 and 2008.

An on-line questionnaire has been used to collect participants' views, with students and teachers rating the new curriculum on sustainable tourism very positively. Professors have in particular appreciated the manual as a valid pedagogical support, which has proven to be crucial for the successful delivery of the course.

A final workshop was also organised to present and disseminate the pilot-project achievements.

Transferability and sustainability

The curriculum for sustainable tourism will become an integral part of the education services provided by the college of the KHM Katholieke Hogeschool Mechelen from September 2008. Four other universities are also interested in adopting the same curriculum (HIEPSO Hogeschool West-Vlaanderen/Kortrijk; KHBO Katholiek Hogeschool Brugge-Oostende; EHB Erasmus Hogeschool Brussel, XIOS Hogeschool Limburg).

Special Highlights

Training and equipping future professionals in tourism and recreation with skills on sustainable development will enable these important economic sectors to adapt to changing market environments and guarantee long-term benefits.

Balkan Eco-Village Network – Sustainability in Practice (CROATIA)

Key characteristics	
Type of learning	Informal
Age group	12-18
Level of implementation	Regional
Funding	Swedish International Development Agency (SIDA) through SECTOR Program of Regional Environmental Centre for Central and Eastern Europe (REC)
Time frame	Started in July 2007 and will end in November 2008
Leading organisations	Green Network of Activists Group (GNAG)

The project

Communities and individuals seldom take the initiative to implement sustainable actions because they lack the practical knowledge to do so. The Ecovillage project focuses on three cities (Banja Luka, Velika Gorica and Cakovec) with significant water and waste problems and aims at working on the implementation of sustainable solutions in partnership with the local stakeholders and interested members of the community. These sustainable solutions will then be promoted and demonstrated throughout the region so to encourage reproduction of these solutions elsewhere.

Dimensions of sustainable development	
Environmental	Climate change, Energy efficiency, Development of clean technology, Waste management, Pollution.
Economic	Sustainable consumption, Sustainable production, Urban and local development.
Social	Health, Community cohesion, Equal opportunities.

Approach

GNAG will work in partnership with local stakeholders (i.e. relevant high schools and community associations in the three cities) to develop and disseminate innovative and easy-to-implement solutions that have the potential, in the long term, to reduce pressure on natural carrying capacity. While the main focus will be on waste management and energy, partners and stakeholders will be

able to explore other areas of SD through “permaculture” training (e.g. sustainable building, renewable energy sources, transport, organic gardening and food production, economy etc.) ensuring a multidisciplinary approach. The development of innovative solutions will be carried out through workshops with stakeholders and partners, while dissemination and education will be achieved through workshops, booklets and training.

Innovative elements

Innovation in the content: developing methods for the development of renewable energy sources and waste management are still unknown to most communities in the region. The multidisciplinary focus of the project combined with the participative aspect of the workshops allows for more involvement of local communities and as well as a better understanding of the issues at stake.

Innovation in the delivery methods: a participatory approach is ensured through the involvement of local partners and stakeholders in workshops involving not only experts in the field but beneficiaries as well. This interaction facilitates awareness raising and understanding that solutions and actions can be implemented at the local level by the community itself.

Innovation in addressing sustainable development: while the main focus remains on the areas of concern of the targeted communities (i.e. water and waste) the organisation of ‘permaculture’ training broadens the knowledge of the participants by cutting across various interrelated fields. It raises awareness on the interconnectedness of the different aspects of SD.

Innovation in forging new partnership and networks: a secondary aim of the project is to foster and improve cooperation and networking in the region. Workshop participation encourages different actors at different levels to interact and work on solutions together.

Key successes

The Ecovillage has created a system to produce energy from thermal waters and for turning organic waste into rich nutrient humus. Students and local citizens who participated in the workshops felt a sense of ownership and pride over solutions they had contributed in finding and implementing.

Transferability and sustainability

The Ecovillage will continue beyond the official closing date of the project. Information dissemination activities (through booklets, workshops and training) will ensure transferability and sustainability of the project on a larger scale.

Special Highlights

Ecovillage goes beyond awareness raising by providing participating communities with the opportunity to be part of the process of finding solutions to their own problems.

Ecovillage empowers local communities through training aimed at broadening their knowledge of SD and workshops enabling them to be part of the solution rather than the problem.

Further information

Website of the project: www.ekosela.org

Sustainable Offices (CZECH REPUBLIC)

Key characteristics	
Type of learning	Informal
Age group	12 to 30
Level of implementation	National
Funding	Czech Ministry of the Environment
Time frame	Started in 2003 and ended in 2005
Leading organisations	Czech Eco Counselling Network (STEP)

The project

Public institutions play a central role for the implementation of ESD within a country. Their visibility and high interaction with various stakeholders are crucial to raising awareness and reaching a significant number of target groups. Furthermore, they play a central role in increasing accessibility to sustainable products and services through the awarding of national labels for environmentally friendly products and encouraging fair trade. Sustainable Office was intended to start the process of mainstreaming ESD within public institutions' offices by providing their employees, visitors and clients with a sustainable environment.

Dimensions of sustainable development	
Environmental	Energy efficiency, Waste management.
Economic	Sustainable consumption, CSR practices.
Social	Health, Community cohesion, Policy, regulation and Governance.

Approach

National, regional and local authorities, in partnership with the Czech Eco-counselling Network (STEP) worked together to raise awareness on SD by starting at the level of public institutions (the Office of the Ombudsman). The project introduced the Green Public Procurement (GPP) approach in Czech public institutions' daily operations, ensuring that staff at all levels was involved and committed to more sustainable practices of consumption. To this end, it provided education and methodological support for both eco-counsellors and staff by way of a handbook (containing basic information on

GPP as well as examples of sustainable practices from the Czech Republic and abroad), workshops for eco-counsellors, a national survey on GPP with 35 institutions and a web page.

Innovative elements

Innovation in the delivery methods: an approach focused on implementing GPP in a public institution with high visibility such as the Office of the Ombudsman. The central aim of this was to involve employees as much as possible and facilitated awareness raising at national level.

Innovation at the institutional level: the project initially targeted a highly visible public institution to mainstream SD.

Innovation in addressing sustainable development: a wide range of topics were covered during the implementation of the project, from waste management to cleaning and from energy and water saving to procurement and education.

Innovation in forging new partnership and networks: the project fostered cooperation between national, regional and local authorities and the NGO STEP, ensuring a multi-stakeholder and multi-disciplinary approach.

Key successes

Measures taken in the Office of the Ombudsman were related to a wide range of different topics and played an important role in the pilot project: this motivated and encouraged the reproduction of similar approaches and activities in other public institutions. Furthermore, the majority of the measures taken had an organisational or operational nature and therefore incurred very little additional expenditure for the institutions, thus facilitating the mainstreaming of ESD at a very low cost.

Transferability and sustainability

There has been a significant interest in the project and it has already been replicated in other public institutions. The creation of the methodological handbook containing basic information and describing examples from both the Czech Republic and abroad gives interested authorities the opportunity to explore a wide range of options and select and adapt the most suitable one to their environment.

Special Highlights

'Sustainable offices' is based on the premise that part of the function of public institutions is setting the example of good practices for the country. It has therefore concentrated on a top-down approach encouraging SD to be implemented first at high level and allowing it to trickle down to small public institutions, businesses and citizens in general.

Further information

Website of the project: www.ekoporadna.cz

EnviWiki – Environmental Literacy for Teachers (CZECH REPUBLIC)

Key characteristics	
Type of learning	Formal and Informal
Age group	12-30
Level of implementation	National
Funding	Grants of the Czech Ministries of Education and of the Environment
Time frame	Started in 2005 and is ongoing
Leading organisations	Charles University Environment Centre

The project

SD is a constantly evolving concept, which definition broadens as concerns for sustainability grow. Textbooks on the subject need constant revision and update. EnviWiki aims at providing an alternative medium of ESD through the development of a flexible online source for information and course development from primary to university level. The MediaWiki software was selected to provide a user-friendly medium not only for information searches but also for its updating and amendment.

Dimensions of sustainable development	
Environmental	Climate change, Biodiversity, Energy efficiency, Development of clean technology, Conservation of natural resources, Waste management, Pollution, Sustainable transport.
Economic	Sustainable consumption, Sustainable production, CSR practices, Urban and local development, Sustainable tourism, Integration of environmental concerns in business decision-making, Sustainable trade, Economy.
Social	Health, Community cohesion, Social equity, Demography, Management of migration and Cultural diversity, Equal opportunities, Development of human capital skills, Globalisation.

Approach

The Charles University Environment Centre, in partnership with five other universities in Prague that are engaged in the “Prague University Co-operation Agreement to Introduce and Conduct Sustainable Development”, developed an educational toolkit facilitating networks of knowledge and interrelationships. EnviWiki is not only a flexible source of information on SD but also a platform for communication, via its forums, between experts, teachers and students from any relevant field,

enabling the resolution of practical problems through access to required information and existing databases that are linked to the texts. Additionally, Charles University is also sharing expertise with five other countries (Romania, Poland, Czech Republic, France and Belgium) to develop PASDEL courses (PrActising Sustainable Development through E-Learning). These will offer the opportunity to contribute to and expand the knowledge base by learning how to work with the environmental encyclopedia (Enviwiki).

Innovative elements

Innovation in the context: EnviWiki is the only publicly accessible, user-friendly Czech language resource which provides a comprehensive overview of environmental issues, their contexts and how they are interlinked.

Innovation in the delivery methods: the chosen structure and software for the website allow the texts to be the subject of professional discussion and is continuously updated by students, teachers and experts alike. By the end of 2008, classes strictly focusing on EnviWiki will be implemented where students will be able to develop their own work and publish it on the website, after approval by the course tutor on the quality and accuracy of the article.

Innovation at the institutional level: EnviWiki project is supported by the Ministries of Education and the Environment of the Czech Republic.

Innovation in addressing sustainable development: an innovative teaching online textbook that stresses the interdisciplinary character of SD issues by using hyperlinks.

Innovation in forging new partnership and networks: five universities in Prague have already inserted EnviWiki in their teaching methods, allowing for constantly growing interactions between students, teachers and experts who may not otherwise be able to communicate so simply.

Key successes

Between December 2007 and June 2008 the total number of access to all pages of EnviWiki reached 33,397. Students in the universities said that they were happy to have an opportunity to use EnviWiki and most importantly they also felt that by contributing to its updating they become more involved in the process. E-learning projects connected to the website have so far proved very dynamic and inter-personal.

Transferability and sustainability

EnviWiki is designed to be used by a wide audience. The tool is transferable to any sector and allows for the creation of links to translated pages. It has been used as an e-learning environment in the Virtual Campus for Sustainable Europe (VCSE) project. Additionally, dissemination of EnviWiki is ensured through activities of the National Network University Teachers Forum for Environmental Education.

Special Highlights

EnviWiki sets out a concept of knowledge sharing which allows students, teachers and experts alike to contribute and communicate. Students have the possibility to feel more involved by being offered

the chance to publish their own pieces of research and therefore being given the opportunity to make a difference.

EnviWiki is also a modern online 'textbook' adapted for the ever changing nature of SD. It allows for constant updating and knowledge creation.

Further information

Website of the project: <http://www.enviwiki.cz/>

A partnership approach to implementing the UN Decade of ESD (GERMANY)

Key characteristics	
Type of learning	Formal, Non-formal, Informal
Age group	All
Level of implementation	National/Regional/Local
Funding	Funds provided by the Federal Ministry of Education and Research
Time frame	Since 2004 (still on-going)
Leading organisations	German Commission for UNESCO (Germany)

The project

The successful implementation of the UN Decade for ESD and its promotion as a core education model requires the involvement of all stakeholders and the commitment of all partners.

The project defines the overarching scope and objectives of Education for Sustainable Development (ESD) through an Action Plan and created an organisational structure to link several hundred organisations.

Dimensions of sustainable development	
Environmental	Climate change, Reduction of gas emissions, Biodiversity, Energy efficiency, Development of clean technology, Conservation of natural resources, Waste management, Pollution (water, air, soil), Sustainable transport.
Economic	Sustainable consumption, Sustainable production, CSR practices, Urban and local development, Sustainable tourism, Integration of environmental concerns in business decision-making, Sustainable trade.
Social	Health and quality of life, Community cohesion, Social equity, Demography, Management of migration and cultural diversity, Equal opportunities, Flexicurity, Development of human capital and skills.

Approach

The project has a clear partnership approach in which education providers, academics, NGOs, national and regional governments meet to exchange expertise and information, and cooperate in the development of engaging and innovative educational projects.

All types of educational institutions have been targeted, including schools, universities and vocational training providers, as well as non-formal adult education and informal learning.

Innovative elements

Innovation in the context and delivering methods: an ESD internet portal has been set up to facilitate the networking of stakeholders and to create synergies and new partnerships. The portal also provides English-language content to make the participation of international stakeholders possible.

Key successes

The project's key success is its mechanism to facilitate the networking of stakeholders and to maximise cooperation. The partnership approach involves both policy makers and civil society and is seen to be the most effective method to organise and implement large-scale initiatives like the UN Decade for EDS. The implementation of ESD needs political support from both ends of the hierarchy – top and bottom - through consultation and multiple alliances.

The project has attracted lot of attention with extensive press coverage and has been identified at international level as good practice. The level of interest among educational institutions and the number of initiatives have been remarkably high, with applications being received continuously.

Transferability and sustainability

A similar organisational structure and multi-partnership approach could potentially be adopted in other contexts.

Special Highlights

A system for awarding educational projects with the title of 'Official German Project for UN Decade for ESD' has been created. This helps in raising the visibility of successful ESD initiatives, fostering innovation, facilitating mutual learning, as well as providing recognition to practitioners in the field.

Further information

Website of the project: www.bne-portal.de

Transfer-21 (GERMANY)

Key characteristics	
Type of learning	Formal
Age group	12 to 18
Level of implementation	National, regional and local
Funding	N/A
Time frame	July 2004 to July 2008
Leading organisations	Freie Universität Berlin/ Institut für Erziehungswissenschaftliche Zukunftsforschung

The project

Pupils are the citizens of tomorrow. They will have to take important decisions and respond to the challenges of globalisation, climate change, social tensions and poverty around the world. In Germany, programmes for helping pupils to grasp the complexity of sustainable development have been tested in the educational system since 1999 in an effort to increase the quality of educational system across the board. Transfer 21 is both a follow-up of initiatives previously tested and an element of the German national action plan to implement the UN Decade of sustainable development.

Dimensions of sustainable development	
Environmental	Climate change, Energy efficiency, Conservation of natural resources, Waste management, Pollution, Sustainable transport, Global water crisis, Virtual water, Land use, Renewable raw materials, Use of biosphere reserves, Earth carter ?, Sustainable forest management, Genetic engineering.
Economic	Sustainable consumption, CSR practices, Urban and local development, Sustainable tourism, Sustainable trade and Sustainable student companies.
Social	Health, Community cohesion, Social equity, Equal opportunity, Development of human capital skills, Social justice, Human rights, Discrimination, Fair trade, Agenda21, Children`s rights, Sustainable lifestyle, North-south divide, Racism.

Approach

Transfer-21 is based on the pedagogical concept of “Gestaltungskompetenz” (shaping competence), which aims not only to provide learners with theoretical knowledge but also with the appropriate skills to deal with the challenges of SD, to find creative solutions and to take actions that will lead to changes. To this end, the programme is focused on interdisciplinary learning supported by external stakeholders’ involvements (i.e. NGOs) and students’ active participation in the local community.

A set of specific teaching material has also been developed to assist pupils, such as handbooks and brochures, as well as special training programmes and workshops for teachers.

Innovative elements

Innovation in the content: The programme integrates theoretical concepts with practical activities and real-life stories in order to enable pupils to respond to the challenges in a positive and creative way and elaborate new strategies for anticipating problems.

Innovation in the delivery methods: Interdisciplinary learning with active participation in the local community and engagement with NGOs is part of the core strategy of Transfer-21. Connections are also made with a wide variety of subjects in the curricula (e.g. geography, biology, politics, physics, etc.).

Innovation at the institutional level: The approach of Transfer-21 became an important part of the recommendation for EDS adopted by the Kultusministerkonferenz (interregional organ for education).

Innovation in forging new partnership and networks: Transfer-21 fosters networking between stakeholders from different fields and disciplines, bringing a wide range of expertise into the school environment. New working partnerships have been established at local, national and international level, and transnational cooperation was created with Switzerland, Austria and the Netherlands.

Key successes

Transfer-21 is now successfully integrated in compulsory schools and ‘all day schools’ (Ganztagsschulen) as well as in programmes for teachers’ training. To date, more than 100 teachers have been qualified in ESD as part of Transfer-21 programme. The concepts developed under this programme have also become part of the recommendations of the Kultusministerkonferenz (interregional organ on education) concerning ESD. Finally, Transfer-21 has also served to develop quality standards for the education system and has triggered for cooperation with actors outside the education system.

Transferability and sustainability

Transfer 21 has been identified as a good practice nationally and internationally. The sustainability of the project will be ensured through the creation of administrative structures, sustainable networks, further education structures, school networks, and the continuation of the work in similar projects in the regions.

Special Highlights

“Gestaltungskompetenz” is a long term education process. At the heart of this concept is the idea of empowering pupils to think creatively to find solutions to complex problems and adopt pro-active behaviours. To this end, Transfer-21 provides material to equip pupils with both theoretical and practical competences.

Further information

Website of the project: <http://www.transfer-21.de>

Chat of the Worlds (GERMANY)

Key characteristics	
Type of learning	Formal
Age group	12-25
Level of implementation	International, National, Regional, Local
Funding	Federal Ministry for Economic Cooperation and Development (BMZ); with additional funds from Landers
Time frame	
Leading organisations	InWEnt – Capacity Building International, Germany

The project

Chat of the Worlds promotes Education for Sustainable Development (ESD) in a global perspective. It aims to strengthen the problem-solving skills of students and to challenge their long-term attitudes and behaviour towards sustainable development. The project enables students to have first-hand experience on global issues through live chats with representatives and specialists from developing countries.

Dimensions of sustainable development	
Environmental	Climate change, Biodiversity, Energy efficiency, Development of clean technology, Conservation and management of natural resources, Pollution and Sustainable transport.
Economic	Sustainable consumption, Sustainable production, CSR practices, Urban and local development, Sustainable tourism, Integration of environmental concerns in business decision-making and sustainable trade.
Social	Health, Community cohesion, Social equity, Equal opportunities and the Development of human capital and skills.

Approach

Interactive learning is a fundamental aspect of Chat of the Worlds and e-platforms are extensively used by teachers and students for individual and group learning. Internet platforms are also used to foster dialogue through live chats (E-Cooperation platform) between students, experts and different

stakeholders, thus enabling authentic and multi-perspective approaches. Practical activities in school were also organised and topics were integrated in everyday learning.

Innovative elements

Innovation in the context: This project has integrated sustainable development in students' understanding of global issues, by integrating international development and international cooperation into a framework that can be easily understood by students.

Innovation in the delivery methods: The fact that German students could carry out live chats with international experts and representatives from developing countries is very innovative in a learning context.

Innovation in forging new partnership and networks: The project fostered cooperation at different levels: between BMZ and federal state ministries of education, between governmental and non-governmental actors, and between international experts on international development and students.

Key successes

Chat of the Worlds allowed participants to understand complex issues of sustainable development from an international perspective. The personal contact element with experts and different stakeholders made the learning process more engaging and multi-disciplinary, and students were trained to use new communication skills as part of their learning process.

Special Highlights
"Chat der Welten" (Chat of the Worlds) integrates pupils' learning within the framework of international development issues. By using e-learning, German pupils interacted with experts and representatives from developing countries. E-Cooperation enables an authentic dialogue between the various actors.

Transferability and sustainability

The underlining methodology of the project, such as providing teaching with information materials on internet platforms and enabling a direct contact between pupils and stakeholders from developing countries, can be transferred to other countries.

The project is still ongoing and it is expected that it will be replicated.

Further information

Website: <http://www.gc21.de/ibt/de/site/cdw/ibt/xhtml/index.sxhtml>

The Web Village (FINLAND)

Key characteristics	
Type of learning	Vocational
Age group	All ranges
Level of implementation	International/National/Regional/Local
Funding	Ministry of Education
Time frame	Started in 2007
Leading organisations	Finnish National Board of Education

The project

The Committee on agricultural education and training in Finland created a development strategy in 2006 which aimed at securing high-quality educational services for the rapid development of agricultural sector. This was done by examining the educational needs of basic production and other forms of entrepreneurship in farming and nature. Another objective was to ensure existing resources in education, information services and research work together more effectively to meet the needs of changing agricultural production. Simultaneously, a new strategy for sustainable development was developed for the whole education sector, with one of the most important objectives being to ensure that all 34 agricultural vocational education and training institutes (also referred to as 'school farms') receive an external acknowledgement or certificate for their sustainable development activity by 2010.

Dimensions of sustainable development	
Environmental	Biodiversity, Energy efficiency, Conservation and Management of clean resources, Waste Management, Pollution.
Economic	Sustainable consumption, Sustainable production.
Social	Community cohesion, Social equity, Equal opportunities, Development of human capital skills.

Approach

All the agricultural institutes are joined together in a virtual network called the 'Web Village', an open-access web portal developed in cooperation with other organisations, which provides information and learning material about the natural resources sector in a variety of forms such as photos, video clips, puzzles, demonstrations and study trips.

The school farms are intended to be a model of sustainable development for local farmers - the production methods (inputs and outputs) of each of the Finnish school farms, gardens and stables are described on the web, demonstrating how the consumption of nutrients, fertilizers, energy and water can be reduced in everyday activity. The sharing of this information allows users to learn from each other and to promote sustainable development in their farming activities.

Innovative elements

Innovation in the context: the open availability of data on consumption of water, energy, nutrients and fertilizers on the website allows users to have a better understanding of which school farms produce milk, meat and other products with the lowest level of inputs. The model also encourages school farms to showcase their individual strengths and performance using a number of different, innovative tools of their choice, such as simulations and photo materials.

Innovation in the delivery methods: Web Village is based on a model of 'blended learning', a unique concept which uses 'blended' virtual and physical resources and where learning environments are developed both on the web and in real life at the local level. Teachers and students are able to update their institutes' websites in an easy manner.

Innovation in forging new partnership and networks: the model is unique in bringing out the best practices and skills of students and teachers in each agricultural institution. There is also the possibility of other countries joining the Web Village network.

Key successes

Web Village allows expertise to be formed in a 'compact network', and is particularly valuable because its easy-to-use web tools allow openness in sharing and disseminating knowledge. Learning materials and demonstrations are significantly increasing over time, and teachers are encouraged to commit to contributing to the Web Village as much as possible on a continuous basis.

Transferability and sustainability

The project is ongoing, and the information material available on-line can help to inspire other agricultural institutions and school farms across Europe to join the Web Village and share their best practices, many of which are likely to be transferable.

Special Highlights

Web Village is a unique initiative that brings together all the school farms and agricultural institutions in Finland together in an interactive manner, encouraging the dissemination of best practices in farming, which can be easily transferable to other users, namely local farmers.

The web aspect of the initiative allows information to be updated quickly and easily, and for helps promote sustainable development by providing data on production inputs and outputs of all the school farms. This allows users to make comparisons between farms and to understand which methods are most effective in reducing resource consumption and achieving sustainable agriculture practices.

Further information

Website of the project: <http://www.virtuaali.info/>

ORIENTEDD (FRANCE)

Key characteristics	
Type of learning	Non-formal and Informal
Age group	25-30
Level of implementation	European
Funding	Leonardo da Vinci Programme
Time frame	Started in June 2006
Leading organisations	Chambre de Métiers et de l'Artisanat de Vaucluse

The project

ORIENTEDD aimed at guiding SMEs towards a better understanding of the three pillars of sustainable development: economics, social and environment. The objective of the project was to raise awareness of small enterprises on the importance of SD in their sectors and to develop SD skills for both their managers and their employees. A quality label “sustainable enterprise” was created to improve enterprises’ image.

Dimensions of sustainable development	
Environmental	Energy efficiency, Development of clean technology, Conservation and management of natural resources, Waste management, Pollution.
Economic	Sustainable production, CSR practices, Integration of environmental concerns in business decision-making, Sustainable trade.
Social	Health, Community cohesion, Social equity, Equal opportunities, Development of human capital and skills.

Approach

The project started by elaborating a training-support manual of sustainable development for SMEs. During the training sessions, different approaches were used: traditional teaching in groups, group problem solving, videos, and peer-learning. The training sessions were followed by individual sessions in each trained company, and the elaboration of a system for diagnosing problems and solutions. Various initiatives were implemented for promoting and disseminating the project, such as the creation of a website, the set up of a “Local Executive Committees”, the production of CD ROMs, and the organisation of a conference at European level.

Innovative elements

Innovation in the content: ORIENTEDD is organised around concepts which are close to the company's daily functioning. Its content is structured around the life cycle process of the enterprise: it takes into account the input side, the internal process of production and the output side. On each level the issues of sustainable development are addressed.

Innovation in the delivery method: The educational targets are enterprises, and the training package is well-tailored to a business environment, providing for business-friendly flexible tools based on a new training-support manual and an innovative methodology. Particular attention is given to follow-up activities to make sure that the learning experience is translated into real actions.

Innovation in addressing sustainable development: Enterprises are shown how to take a comprehensive approach to SD, in which the three dimensions of social, economical and environmental development are fully integrated.

Innovation in forging new partnerships and networks: During the whole project each partner had contacts with other actors/organisations in its territory which was interested in the project and/or was working in the field. Moreover the partnership exchanged experience with another similar pilot project financed by Leonardo da Vinci programme, called PASDEL.

Key successes

ORIENTEDD has been tested in 15 SMEs in France and in other countries (Germany, Hungary, Italy, Sweden and Switzerland) with a total of 61 SMEs involved. It has contributed to fostering changes in small enterprises regarding SD development in the daily functioning of the companies.

In France, the project has been recognised by the local and regional authorities dealing with sustainable development.

A virtual community platform was also created through the project website. So far, 32 SMEs from France, Germany, Hungary, Italy, Sweden and Switzerland are part of this network. In addition, a European Conference will be organised in September 2008 to highlight the project's achievements and disseminate results. The conference will also represent the opportunity to attract more companies to the initiative.

Transferability and sustainability

Each partner committed itself to ensuring continuation once the project ended. In France for instance, the Chambers of handicraft of Vaucluse and Rhône will integrate the training-support into the craftsmen training programme proposed by the French Chambers of Handicraft. Thus, this new training-support will be regularly proposed to craftsmen in these two regions. Moreover, this experience could be presented to the sustainable development working group of the SMEs federation, in order to share it with the other French Chambers of Handicraft. Finally, the website created by partnership in the Leonardo Virtual Community Platform is now used by numerous projects all over Europe. This will ensure the dissemination of the project in the long term.

Special Highlights

The key element of ORIENTEDD is to provide support adapted to SMEs' needs: short training and direct support within the company. The training has been implemented at European level and tested

in some countries at national regional and local level.

Further information

Website of the project: <http://orienteddd.euproject.org/>

MEdIES – Mediterranean Education Initiative for Environment and Sustainability (GREECE)

Key characteristics	
Type of learning	Formal and Informal
Age group	12-30
Level of implementation	International/National/Regional/Local
Funding	Greek Government, Italian Government, MIO-ESDE Core Funding, Global Water Partnership-Mediterranean, Anna Linch Foundation and private funding
Time frame	Started in 2002 and is ongoing
Leading organisations	Mediterranean Information Office for Environment, Culture and Sustainable Development (MIO-ECSDE)

The project

While SD is becoming a main concern throughout Europe, efforts to mainstream it into education have often been at national level with networking being assigned a secondary role. However, multi-stakeholder approaches are often fundamental to ensuring multi-disciplinary and innovative approaches, encouraging interaction between different countries and methods. The project aims at creating cooperation between actors in different countries to raise awareness on ESD (initially focused on water, waste and cultural and biological diversity) and to promote its integration into formal and non-formal education.

Dimensions of sustainable development	
Environmental	Biodiversity, Conservation of natural resources, Waste management, Pollution.
Economic	Sustainable consumption, Sustainable production.
Social	Health, Development of human capital skills.

Approach

MEdIES serves as a 'cooperation' platform (through the use of the interactive webpage as a communication tool), enhancing multi-stakeholder cooperation across Mediterranean countries, facilitating international networking on ESD and creating the conditions for the development of a methodological framework for ESD networks to be adopted in the region. All activities follow participatory processes, involving all interested partners (students, youth, schools, teachers, local authorities and institutions) as well as interdisciplinary approaches stemming from the interaction of

partners from various related fields (education sector, environment sector, cultural and social sector etc). These activities include primarily the development of Education and Training material, training seminars and conferences and youth residential workshops.

Innovative elements

Innovation in the content: MEdIES works with all topics of sustainable development with a particular focus on key priority issues in the Mediterranean region (i.e. water and waste) and the links between biodiversity and cultural diversity. The latter is particularly innovative as the vehicle for approaching the theme is food (very diverse in the region and playing an important role in defining cultures) and all related dimensions are integrated in the approach: environmental, economical, social and cultural.

Innovation in the delivery methods: participants' increase in self-efficacy is stimulated by engaging in the 'think/feel – reflect – (inter)act' triangle, which also includes drama and role-playing activities, in order to encourage participants to explore their own values and actions. Experience and knowledge sharing are promoted through the use of the interactive webpage which contains ESD documents, educational materials and up-to-date information on ESD topics.

Innovation at the institutional level: All MEdIES materials and publications have been officially approved by the Ministry of Education of Greece and other participating countries.

Innovation in addressing sustainable development: the Network functions on a three-axis communication strategy among the Secretariat, the focal-point groups (in each country) and the individual members of the Network. Additionally, the implementation of all activities is preceded by participatory processes including all relevant stakeholders from the related fields of science.

Innovation in forging new partnership and networks: cooperation and networking among educators, schools, institutions, NGOs and all relevant stakeholders involves all partners throughout the Mediterranean region, North and South, East and West Europe.

Key successes

MEdIES currently accounts for 1800 educators and 39 member organisations throughout the Mediterranean region, which provided support to approximately 700 students realising ESD projects based on MEdIES materials in cooperation with the respective MEdIES national/local partner. This was recognised by all participants as an excellent tool for raising awareness and engaging in the process. Furthermore, interviews with educators revealed that the material developed by MEdIES for their purpose is extremely flexible which facilitates its successful implementation in different countries and cultures.

Transferability and sustainability

The 'pilot' implementation period of MEdIES ended in 2007. The active participation of local and national authorities in all activities is now ensuring that the project is fully operational and is sustainable. Furthermore, a significant number of organisations and Ministries (e.g. Spanish Ministry for the Environment) have integrated this material in their educational programmes and suggest them as background bibliography. In terms of transferability, a methodological framework for the facilitation of ESD networking is now under development in order to be adapted in other regions; so far, also countries beyond the Mediterranean have implemented some of the MEdIES projects (e.g. Caribbean, USA and Canada).

Special Highlights

MEdIES sets out a methodological framework that encourages networking throughout the Mediterranean region to foster interaction and knowledge sharing on ESD among educators, schools, institutions, NGOs and all relevant stakeholders.

MEdIES also provides a communication platform to allow all interested stakeholders easy access to flexible Educational and Training materials which can be adapted and applied to their local context.

Further information

Website of the project: www.medies.net

Sustainable Holidays (ITALY)

Key characteristics	
Type of learning	Informal
Age group	12-35
Level of implementation	National/local
Funding	Participants fees
Time frame	Over 10 years
Leading organisations	Legambiente (Environmental NGO)

The project

Tourism is a very important element of socio-economic development and a fundamental part of citizens' lifestyle. However sustainable holidays are still a niche market. Legambiente aims at promoting sustainable tourism, making people aware of the environmental impact of tourist activities, and increasing the number of people opting for sustainable holidays. The project consists of different but interrelated parts:

Organisation of Sustainable Summer Holidays (for young people under 18 years old). These activities are organised in partnership with Legambiente Education Centres and aim to encourage participants to adopt sustainable behaviour. Sustainable holidays tend to focus around a number of common themes: waste recycling, healthy and organic eating, sustainable consumption, knowledge and respect of local environment and communities.

Organisation of Summer Study and Summer Camps. Participants undertake practical work for the preservation of natural environment (i.e. managing an eco-beach, participating in activities of environmental re-qualification) and at the same time they learn how to conduct a sustainable lifestyle.

Creation of a network of sustainable tourism undertakings. Legambiente awards an 'eco-label' to those hotels, B&Bs, camping, hostels and guest houses that have taken real steps for reducing energy and water consumption, as well as waste production, and promote local food consumption and public transport amongst the tourists.

Dimensions of sustainable development	
Environmental	Climate change, Energy efficiency, Conservation and Management of natural resources, Waste management.
Economic	Sustainable tourism, Sustainable trade, Sustainable consumption.
Social	Community cohesion, Diversity, Social equity.

Approach

Legambiente works in partnership with local municipalities, tourism organisations and boards, and natural parks to maximise synergy and integrate environmental issue in socio-economic development. For Summer Camps and Summer Holidays the association can also extensively rely on the contribution and cooperation of its own regional centres for environmental education.

Innovative elements

Innovation in the context: a two-week full-immersion experience in a rural/mountain/seaside environment, where participants interact with the local community and natural assets and learn to adopt a sustainable lifestyle and behaviour. Participants are also introduced to local food production and consumption (i.e. by visiting local organic farms).

Innovation in the delivery methods: activities are organised in cooperation with local associations and local governments. In the case of Summer Camps, participants make a real contribution by helping in the preservation and conservation of the natural environment.

Innovation in delivering methods: the main principle is 'learning by doing' in an interactive and participatory way. The learning process takes place in an informal and relaxed environment, activities and laboratories are presented as fun and entertaining in order to mainstream the socio-economic and environmental aspects of sustainability in daily life. Participants are encouraged to meet and interact with the local community and to come up with creative solutions to practical problems.

Key successes

There are nearly 250 Summer Camps and Summer Holidays initiatives running every summer with over 4,000 participants in 2007.

Young people and young adults learn that each individual can make a significant contribution to sustainable development by introducing small changes in their daily life.

Transferability and sustainability

Work camps and Summer Holidays have been successfully run for over 12 years.

Special Highlights

It has been estimated that the installation of 'water saving tools' in sustainable tourism undertaking awarded the Legambiente eco-label has resulted in a reduction of over 363,000m³ of water, equal to the daily water consumption of a city of 1.5 million habitants.

Likewise, the installation of energy efficiency light bulbs has led to a saving of 278,415 Kwh equal to the daily consumption of 90,000 people.

Further information

Project website: <http://www.legambienteturismo.it>

ICAM- Development of a tool for assessing students of sustainable development (ITALY)

Key characteristics	
Type of learning	Formal
Age group	12-18
Level of implementation	National
Funding	National
Time frame	2000-2002
Leading organisations	INVALSI (National Institute for Evaluation of Education System)

The project

The project aims at providing teachers with a comprehensive and standardised tool for assessing students of sustainable development. The tool tests an individual's learning development and achievements, as well as a cross-comparison between different classes and schools.

Dimensions of sustainable development	
Environmental	Climate change, Reduction of gas emissions, Biodiversity, Energy efficiency, Conservation of natural resources, Waste management, Pollution (water, air, soil), Sustainable transport.
Economic	Sustainable consumption, urban and local development, sustainable tourism, sustainable trade.
Social	Community cohesion, social equity, management of migration and cultural diversity, development of human capital and skills.

Approach

The evaluation tool was developed by a pool of teachers that worked together for three months. It consists of a theoretical framework for teachers' reference and in a standardised evaluation test for students.

The tool was initially tested on 650 pupils and then revised on the basis of teachers and students' feedback. It was then piloted at a national level on 20,000 pupils.

Innovative elements

Innovation in the context and delivering methods: in Italy the project is unique in providing a tool for the assessment of sustainable development competences. The tool not only assesses students' factual knowledge, but also students' critical thinking and changes in behaviours (for example, a behaviour questionnaire has been developed).

Innovation at the institutional level: the evaluation tool presents the benefit of defining the key interlinking dimensions of sustainable development in an integrated way. Teachers are particularly stimulated to promote changes in students' behaviours.

Key successes

The results of the projects have been presented and discussed at numerous occasions to provide teachers, educators and trainers in sustainable development with practical support for assessing students in an integrated and comprehensive way.

The evaluation tool has been implemented by a national evaluation institute and was rolled out alongside national evaluation tests for literature, mathematics and science.

Transferability and sustainability

The evaluation tool could be easily adopted by other Member States. Adjustments might be necessary to take into consideration the local context, educational needs and characteristics of sustainable development curricula.

Special Highlights

The evaluation tool was inspired by international tests such as those used by the OECD PISA (open-ended questions, statistical sample, etc.), who have the clear advantage of producing standardised results of students learning process and providing comparable data across different educational institutions.

Further information

Website of the project: <http://www.invalsi.it/invalsi/index.php>

EkoSkola (MALTA)

Key characteristics	
Type of learning	Formal
Age group	12-30
Level of implementation	International/National
Funding	Ministry of Education and Culture; Ministry Rural Affairs; WasteServ Malta Ltd (Government-related waste management agency); HSBC (schools obtain their own funding for the activities they run)
Time frame	Started in 2002
Leading organisations	Nature Trust (Malta), Ministry of Education & Culture, Ministry for Rural Affairs

The project

EkoSkola is part of an international programme called 'Eco-Schools' run by the Foundation for Environmental Education (FEE), which involves approximately 5.5 million pupils and students from 44 different countries. It aims at mobilising the participating schools to empower their students to adopt an active role in environmental decision-making and to take action in their school and community, thus helping to implement Local Agenda 21 principles in their surrounding environments.

The programme seeks to develop environmental responsibility by adopting a 'whole school approach' in the design, implementation and monitoring of a School Environmental policy that is integrated in the School's Development Plan. This should ultimately lead to an infusion of sustainable lifestyles in the school's day-to-day functioning so that environmental ethics eventually become an integral part of the school's ethos. Schools which have provided evidence of achieving this objective are awarded the 'Green Flag' – a prestigious eco-label which reflecting the school's commitment.

Dimensions of sustainable development	
Environmental	Climate change, biodiversity, energy efficiency, development of clean technology, Conservation and management of natural resources, Waste management, Sustainable transport, Pollution.
Economic	Sustainable consumption, urban and local development.
Social	Health, Community cohesion, Social equity, Equal opportunities.

Approach

The central approach of this programme is to ensure active student participation in learning and decision making. Although progress and achievement of objectives is school-specific, there are seven elements of the EkoSkola programme which are common to all participating schools:

- Establishing an EkoSkola Committee: this is core to the process and is responsible for organising and directing activities. It consists of stakeholders of the school environment, as well as the involvement of students, which is considered essential;
- Conducting an environmental review: work begins with an environmental audit of the school and the identification of issues which require action by the students;
- Compiling an action plan: information from the review is used to identify priorities and to create an action plan, which sets realistic targets to improve environmental performance;
- Monitoring and Evaluation: Students ensure progress towards targets and any necessary changes to the action plan are made;
- Curriculum work: students undertake a classroom study on SD;
- Informing and involving: schools interact with local authorities, businesses and the wider community when preparing action plans, and classroom displays, school assemblies and press coverage help to inform the stakeholders about progress; and,
- Eco-Code: each school produces its own code, which sets out what the students are striving to achieve.

Innovative elements

Innovation in the content: Although sustainable development is explicitly included in the school curricula, the strength of the programme is in ensuring that sustainable development principles and issues are internalised in the students' lifestyles.

Innovation in the delivery methods: the encouragement of students to contribute towards their school's Environmental Policy has resulted in a significant change in the way students learn and they are more likely to take increased ownership of their learning and have become more open to other forms of learning.

Innovation at the institutional level: EkoSkola has helped educational authorities to formally acknowledge the need to address sustainable development issues in formal education. If the current standpoint is maintained, it is likely that Education for Sustainable Development will be formally included in the national curriculum.

Innovation in forging new partnership and networks: Schools liaise with local businesses and community groups to carry out their activities. The EkoSkola Parliament Session is an annual event which brings together 'young policy makers' participating in the programme, face-to-face with the national policy makers in a positive parliamentary debate, which focuses on ways of improving the quality of life in schools, as well as nationally.

Key successes

A significant change in the attitude of students towards sustainable development has been observed as a result of the initiative. Furthermore, schools appear to have integrated student participation into decision making fore concerning the development of schools, and local councils have gradually developed a more positive attitude towards Local Agenda 21 issues in recent years.

Transferability and sustainability

EkoSkola is likely to be sustainable particularly because it is sensitive to the specific needs and realities of the individual schools, adapting to the various priorities and specificities of the school, such as schools' emphasis on examination results, which has implications for the time available for extra-curricular activities.

Special Highlights

The number of schools participating in the initiative is increasing every year, with the current total being 75. Four schools have been awarded the Green Flag label. The programme has also received acclaim from various sources, including the press, local television, local councils and Government ministries.

Further information

<http://www.ekoskolamalta.com/>

CO2nnect – CO2 on the way to school (NORWAY)

Key characteristics	
Type of learning	Formal/Informal
Age group	12-18 (adults are secondary target group as decision-makers)
Level of implementation	International/European/National/Local
Funding	Comenius programme (Comenius Lifelong Learning network project)
Time frame	To run in schools between March-October 2009; pilot was undertaken in 2007
Leading organisations	Norwegian Directorate of Education; Norwegian University of Life Sciences; University of Bergen

The project

The CO2nnect climate campaign is part of the SUPPORT Comenius Lifelong Learning network, and is a school-based action which also includes wider learning arenas in the community and collaboration with research. The main aim of the campaign is to stimulate pupils (mainly at secondary school level) to play an active role as citizens, on issues related to global warming and climate change. The initiative gives pupils and schools the opportunity to understand and investigate climate issues through cooperation with researchers and local decision-makers, and to contribute information useful to society through a common effort and database.

Dimensions of sustainable development	
Environmental	Climate change, Energy efficiency, Pollution, Sustainable transport
Economic	Sustainable consumption, Urban and local development
Social	Demography, Development of human capital skills

Approach

The pedagogical concept of campaigns such as CO2nnect is that pupils cooperate with researchers and local decision-makers on sustainability issues. Pupils will register their own CO2 emissions on the way to school and using an ICT tool to analyse, compare and discuss the results and then work with local decision-makers to find solutions that can reduce the CO2 emissions. Participating schools are part of a large ICT-facilitated network including thousands of other pupils and schools, research organisations and national partners with vast experience in ESD.

The SUPPORT project (of which CO2nnect is a part), is particularly focused on the following approaches for introducing high-quality Education for Sustainable Development (ESD) in schools:

- Schools collaborate with other schools;
- Schools collaborate with their local communities;
- Schools collaborate with research institutions; and,
- Innovative collaborations are facilitated by ICT tools.

Innovative elements

Innovation in the content: The initiative asks pupils and schools to work with all aspects of the climate and transport issue, and to 'anchor' their work in their own activities and communities. Reflecting about the causes and consequences and searching for viable solutions or improvements ensures that economic and social aspects are fully integrated with natural science aspects and are given equal weight.

Innovation in the delivery methods: particularly innovative is the fact that pupils collect data on their own climate emissions, transport behaviour and attitudes. Pupils enter the information into a shared international database which can be used by researchers. Learning outcomes are likely to be quite different to traditional ones, because pupils and schools are participating and contributing to solutions through their own research and being part of a larger, collaborative network.

Innovation in forging new partnership and networks: the campaign is founded on a network of collaboration among schools, between schools and researchers, and between schools and local decision-makers. ICT is used to facilitate these interactions, which are at the heart of activities.

Key successes

Research shows that these types of initiatives are particularly effective ways of learning, helping pupils to feel 'empowered' to do something about sustainable development as citizens and 'mini-researchers'. There is also an increasing awareness amongst pupils of the complexity of sustainability issues and what they can do as individuals to change the societal systems in which they are a part of.

In the pilot CO2nnect campaign in 2007, meetings took place between schools and local authorities to discuss the local transportation system and to make suggestions for improvements to increase sustainability, which in themselves are considered a significant step in the direction of sustainable development.

Transferability and sustainability

The core principles of ICT-facilitated school-research collaboration, pupil contribution to a common database and action research on local sustainability issues, are all highly transferable and adaptable to other contexts. It may be possible to gradually introduce this type of interaction between local authorities and schools in areas where it has not previously been undertaken, such as parts of Eastern Europe.

Special Highlights

The school-research collaboration campaigns have been well-received in Norway, and are often a part of the National Research Council 'Research Days', as well as the national broadcast company's annual thematic campaigns. The approach has also been present and positively reached in a number of international fora for ESD, and has spawned a project proposal using a similar approach, in the Baltic 21 programme.

Educational Competition: “Second Life of Waste of Electric and Electronic Equipment” (POLAND)

Key characteristics	
Type of learning	Formal
Age group	12-18
Level of implementation	National
Funding	University of Warsaw and private business funds
Time frame	February - December 2008
Leading organisations	University of Warsaw Centre for Environmental Studies; European Recycling Platform Poland

The project

This project aims to increase pupils' awareness about the proper management of waste of electronic and electric equipment (WEEE) and to help fulfil the obligations resulting from the European Directive 2002/96/WE. Pupils are encouraged to undertake team research activities, practical actions around WEEE, as well as to cooperate with local authorities for the collection of WEEE (collection places, mapping).

Dimensions of sustainable development	
Environmental	Waste management.
Economic	Sustainable consumption, Integration of environmental concerns in business decision-making.
Social	Development of human capital and skills.

Development and dynamic of the project

Most practical activities are done in teams. Pupils have to design strategies, plan activities and build institutional partnerships with local stakeholders and the local authority. Their achievements are recorded on various support materials (photos, videos, PowerPoint presentations).

Innovative elements

Innovation in the context: This project is targeted at both pupils and the wider community, in order to promote the proper management of WEEE and increase citizens' awareness.

Innovation in the delivery methods: pupils are encouraged to come up with creative solutions. They also have to cooperate with local stakeholders and local authorities and the success of the project depends on their communication and negotiations skills. The results are reported in electronic reports so as to improve pupils' IT skills.

Innovation in forging new partnership and networks: the business sector, the educational sector, local stakeholders and the local authorities worked together in partnership.

Key successes

Overall 129 schools teams (10 students per team) registered and took part in the project. A campaign has been conducted to promote a better management of WEEE at local level and the collection of WEEE in partnership with the local authorities and an electronic map of all collection points for WEEE in Poland has been created.

Transferability and sustainability

It is expected that the partnerships created between schools, local stakeholders and local authorities will continue to be active.

Special Highlights

The project aims to increase the awareness about WEEE disposal and its environmental impacts by targeting pupils and the wider community in general. The subject is clearly multidisciplinary and combines the three aspects of sustainable development (environmental, economical and social).

Second Chance Programme (ROMANIA)

Key characteristics	
Type of learning	Formal and non-formal
Age group	12-30
Level of implementation	National
Funding	N/A
Time frame	2 years for primary education and 4 years for the lower secondary education.
Leading organisations	The Ministry of Education, Research and Youth – Pre-university Education Management Department, Bucharest, Romania.

The project

SD is often understood in its environmental sense, but in order to ensure that future generations will be able to meet their own needs, the economic and social dimensions of the term are also fundamental. An example of this is the need to ensure that young people living in disadvantaged communities are given the opportunity to progress in an equitable society. “Second chance” aims to help young people who have dropped out of compulsory education to complete the curriculum and receive individually tailored professional training. The ultimate goal is to facilitate their social and professional integration.

Dimensions of sustainable development	
Economic	Sustainable production.
Social	Social equity, Equal opportunities, Development of human capital and skills.

Approach

Local authorities, the Office for Education, the County Office for the Labour force, NGOs and professional associations worked in partnership to create a compulsory curriculum and provide individually tailored professional training that meets the target group's expectations and addresses the socio-economic needs of the communities that they are living in. To this end, they have developed and implemented methodologies adapted to the style of primary and lower-secondary education within the framework of the programme. Training sessions have been organised for school inspectors, school unit's managers and trainers to ensure the appropriate use of the teaching material as well as

the adequate evaluation of the classes participating in the programme. Finally, information campaigns were organised so to reach as wide an audience as possible.

Innovative elements

Innovation in the content: The programme consists of an individually-tailored training course and the recognition of skills previously gained (be they by formal or non-formal ways). This training is linked to the standards required in the curriculum for primary education and the standards of professional training.

Innovation in the delivery methods: The courses were organised in flexible modules, so that pupils could integrate new skills into their own experience. Topics were approached in a functional and practical way (e.g. resolution and investigation procedures). The programme combined the teaching of both generic and specific skills common to most subjects in basic education. The diversity of students (i.e. cultural etc.) is considered a resource in the learning process.

Innovation at the institutional level: The project organises the programme in a very flexible way, whilst providing basic education (which corresponds to compulsory education) in parallel with the provision of professional training leading to a professional qualification equivalent of level 1. Skills previously gained (be it in the formal and non-formal education system) are also recognised, including the recognition of professional skills gained in the workplace or through professional training/programmes for adults.

Innovation in addressing sustainable development: The project focuses on the social and economic dimensions of sustainable development by providing disadvantaged young people, through specific curriculum and individually tailored training, with the opportunity to be reintegrated in the labour market.

Innovation in forging new partnership and networks: The programme encourages the development of social partnerships between schools, economic agents, local authorities, the County Agency for Employment/Labour Force, NGOs and professional associations.

Key successes

The local community was very interested in the programme, considering the high number of applicants stemming from disadvantaged groups. School pupils were satisfied with the methods and teaching materials, and were given a chance to gain a professional qualification. Furthermore, monitoring and assessment tools have been elaborated, such as questionnaires, interviews, and round tables bringing together students, teaching staff, school managers and partners to ensure that the programme evolves with the needs and expectations of the community and pupils.

Transferability and sustainability

The educational approach could be transferred to the mainstream educational system. Curricula based on modules and skills/competency building as well as the assessment of skills previously gained could benefit more pupils.

Special Highlights

“Second chance” addresses the social and economic dimension of sustainable development by focusing on providing disadvantaged pupils who dropped out of school with the alternative opportunity to gain skills and competencies which are formally recognised.

A new curriculum revolving around core skills and based on new teaching materials and methods has been designed with a view to reconcile formal and non-formal education to respond to a need identified within disadvantaged groups.

Further information

Website of the project: <http://www.edu.ro/index.php/articles/c492>

Education for Democratic Citizenship (ROMANIA)

Key characteristics	
Type of learning	Formal and informal
Age group	12-18
Level of implementation	National
Funding	UNICEF Romania
Time frame	Pilot project from 2002 to 2004. Since 2005 it has been running continuously
Leading organisations	Ministry of Education, Research and Youth – Pre-university Education Management Department, Bucharest, Romania

The project

Education for Democratic Citizenship aimed at developing democratic and social competencies and attitudes (tolerance, human rights, democratic values) amongst the youth, by increasing their involvement into the process of decision-making and solving social community problems. The teachers are also a target of the initiative.

Dimensions of sustainable development	
Social	Community cohesion, social equity, equal opportunities, management of migration and cultural diversity. Development of human capital and skills.

Approach

The programme is based on a cross-curricular approach that determines a new education strategy making full use of modern, non-conventional teaching methods and IT equipment. The main activities consist in:

- The elaboration of a new curriculum
- The creation of schools-books for students and methodological guidelines for teachers
- The organisation of extra-curriculum activities complementary to formal teaching
- The organisation of training session for teachers.

Innovative elements

Innovation in the context: The project addresses the issue of children and human rights and links these to other themes such as intercultural education, conflict management, violence, trafficking, democracy, globalisation, entrepreneurship, education etc. These themes are approached in a practical way, through students' critical analyses and debates.

Innovation in the delivery methods: Answers and questions are fostered within a "learning activity", whilst the teacher acts as facilitator. The most common used teaching methods are: cooperative learning, role game/play, problem solving, case study, dilemma game, experiential learning.

Innovation in forging new partnership and networks: The programme exerts a considerable impact on i) the stimulation of the idea and exchange visits among teachers, ii) an increased number of partnership projects with various governmental and non-governmental organizations at local level.

Key successes

A new learning strategy has been developed whilst the school management style has been progressively changed. Teachers are given the opportunity to make full use of their creativity in organising both the learning activities and the extracurricular activities, and schools are able to develop cooperation with the partners outside the school. To date, almost 800 teachers have been trained in EDS.

Partnerships in all phases of the programme have been paramount whilst the involvement of beneficiaries in the process of assessing and improving the programme was crucial.

Transferability and sustainability

The programme has been adopted at national level (i.e. implementation in each of the 42 counties of Romania) and it has inspired the development of many other projects in other schools. It has also encouraged students and teachers to participate in other European projects.

Special Highlights

The programme successfully creates strong links between the formal and non-formal areas of education and contributes to the achievement of a new approach to the educational process. It creates a new teaching system through enhanced relationship between teachers and students and introduces a democratic bottom-up approach to education that can be disseminated at multiple social levels outside the school.

Hidden Treasure (SLOVENIA)

Key characteristics	
Type of learning	Formal
Age group	12-18
Level of implementation	All
Funding	Council for Innovative and Developmental Projects in Education (PCID)
Time frame	2007-2008
Leading organisations	The National Education Institute

The project

Hidden treasure aimed at promoting EDS by facilitating pupils' understanding of the interdependent and interrelated socio-economic and environmental aspects of sustainable development. Pupils are also encouraged to seek innovative and critical thinking in order to have responsible life-styles toward the natural and social environment, as well as toward themselves, other people and future generations.

Dimensions of sustainable development	
Environmental	Biodiversity, Energy efficiency, Waste management, Pollution.
Economic	Sustainable consumption, Urban and local development.
Social	Health, Community cohesion, Social equity, Management of migration and cultural diversity, Equal opportunities, Development of human capital and skills.

Approach

Hidden Treasure makes sure that schools are contributing to the development of ESD at national and European level. This is achieved through the promotion of cross curricular cooperation especially between natural and social science subjects, as well as between culture and arts in addressing sustainable development issues.

The project sets out a specific learning and teaching model based on several activities such as reflecting, gathering information, experiencing, transforming, acquiring theoretical knowledge, testing

new theories, and implementing. This brings added value to the educational process and enables the professional development of teachers.

Innovative elements

Innovation in the content: Schools are able to develop their own specific projects in autonomy as a way to maximise creativity and innovation.

Innovation in the delivery methods: 'thinking groups' have been created to exchange ideas and experiences, and to facilitate the dissemination of innovative approaches into other contexts.

Innovation at the institutional level: Hidden Treasure at the National Education Institute Slovenia is considered one of the most innovative forms for improving the curriculum.

Key successes

The initiative has contributed to improve current educational practices through the creation of quality criteria for schools for developing courses in sustainable development and disseminating the project results in the framework of curricular reform and modernisation of educational activities. The analysis of the past three years shows an increased interest in ESD from kindergartens, primary school and secondary schools.

Transferability and sustainability

The project results have been disseminated through a number of events and there is now an increased interest for this type of curriculum development in Slovenia. Network activities have also been carried out in the framework of the recognised national and international organizations (for instance UNESCO).

Special Highlights

The project supported educational institutions in search of the most practically applicable teaching methods, which enabled the integration of knowledge and action in different areas.

Energy plants for schools (SPAIN)

Key characteristics	
Type of learning	Formal
Age group	12-18
Level of implementation	Regional
Funding	SOUSTENERGY, Fundación Centro de Recursos Ambientales de Navarra (CRANA), Education Department of Navarra
Time frame	Started in 2004 and is ongoing
Leading organisations	Fundación Centro de Recursos Ambientales de Navarra

The project

Mainstreaming SD in education is essential for raising awareness and for promoting participation and creative thinking. Through these processes, students are given an opportunity to become stakeholders in the process of implementing SD and have ownership over the changes and improvements in their school environment. Energy Plants for Schools aims at saving energy and water in schools by involving students in the daily monitoring of energy consumption and encouraging them to find solutions for improving the situation.

Dimensions of sustainable development	
Environmental	Climate change, Energy efficiency, Sustainable transport.

Approach

Four schools have participated in the project and agreed to involve students, teachers and school administration officials in working together to create more environmentally sustainable schools. Not only is SD inserted in the curriculum of the schools, but students are also involved in maintaining a register where the levels of water and energy consumption of their schools are recorded. This allows them to comprehend how much energy was being wasted before and appreciate the extent to which infrastructure changes have contributed to reducing those levels. Interaction within the schools is fostered through 'energy corners' providing a space for news and information on energy saving. Workshops, specific events and the creation of a blog ensure that all stakeholders from participating schools can communicate and exchange good practices.

Innovative elements

Innovation in the content: the inclusion of a register on schools' energy consumption updated by students is an active way to bring the focus on energy waste. As new more sustainable infrastructures are being installed in the schools, the register becomes a tool to appreciate the energy savings being made.

Innovation in the delivery methods: the achievements of the project are discussed during workshops involving students, families, teachers and other school staff. The whole teaching approach is based on participation and encourages involvement from all stakeholders (i.e. families) to create a better learning environment for addressing sustainability.

Innovation at the institutional level: the project is the result of joint efforts between the Department for Education and CRANA which is part of the Department of rural development and the environment.

Innovation in forging new partnership and networks: educational institutions participating in the project meet once a year to exchange good practices. Constant communication however, is ensured by the creation of a blog which provides a platform for information and knowledge exchange for all actors.

Key successes

Through the establishment of a register of energy consumption, students have been directly sensitised to the importance of using energy saving appliances and saving water and energy in their daily activities. Students' families have noted behavioural changes in their children and have, consequently, started changing their own behavioural patterns as a response. Moreover, by installing energy saving infrastructures, schools have equally reduced the amount of energy they were wasting.

Transferability and sustainability

The methodology used to reduce energy consumption in schools is very flexible and leaves other schools willing to join the initiative the freedom to implement it according to their own means and facilities. Resulting behavioural changes are expected to last as students are more exposed to sustainable education environments and encourage their families to take a more sustainable approach at home.

Special Highlights

Energy Plants for Schools created an innovative and participative way to involve all staff and students of participating schools in the process to save energy.

The set up of a register showing the amount of energy being spent by the education institution is a very visible way to demonstrate the importance of saving energy and how much can be achieved by introducing changes in the infrastructures.

Lessons for Sustainable Development (SWEDEN)

Key characteristics	
Type of learning	Formal/informal
Age group	12-18
Level of implementation	International/National
Funding	Forum Syd (primary funding)
Time frame	Started in 2006 for school year; second school year nearing completion
Leading organisations	Global Action Plan (GAP) International, Sweden, and Ukrainian NGO Teachers for Democracy & Partnership

The project

The initiative builds upon GAP's vast experience of Education for Sustainable Development (ESD) in several EU countries, notably Poland, UK, Ireland and Norway, with the aim to develop a school curriculum called 'Lessons for Sustainable Development' for a full school year, which incorporates all three pillars of sustainable development (social, economic and environmental). The other main objective of the project is to have the curriculum introduced in educational authorities in Ukraine.

'Lessons for Sustainable Development' combine 'formal' teaching (i.e. classroom work, teacher training institutes) with 'informal' teaching (i.e. elective programme, summer camp activities).

Dimensions of sustainable development	
Environmental	Energy efficiency, Conservation of natural resources, Waste management, Pollution from households, Sustainable transport.
Economic	Sustainable consumption, urban and local development.
Social	Health, Community cohesion, Equal opportunities and cultural diversity, Development of human capital skills.

Approach

The main activities of the initiative are to develop and adapt a basic curriculum, to further develop the pedagogy for ESD, recruit schools and train teachers, coach teachers, collect and analyse results,

conduct a learning laboratory to extract and synthesise learning, and to report to UNESCO to discuss ways forward. Pupils were to conduct a 'household sustainability audit'; examine their and their families' potential to reduce resource use and reduce their environmental footprint (in waste, energy (travel), water, consumption habits); develop personal and group action plans and implement and evaluate them; explore the possibilities for additional group actions in the school or neighbourhood.

Innovative elements

Innovation in the delivery methods: The pedagogy is unique and developed specifically for ESD, and is successful in producing long-term, sustainable behavioural changes.

Innovation in forging new partnership and networks: The initiative pioneers new avenues for cooperation between NGOs and the state and municipal/local education authorities, in several countries. 'Partnership' was the focus of the learning laboratory conducted in September 2007.

Innovation at the institutional level: The programme has been approved by the Ukrainian Ministry of Education as an optional subject, and in the next two years, may be approved as an obligatory subject.

Key successes

The initiative has led to several successful outcomes. Several schools in Sweden are going to adopt the educational materials and approach experimented in "Lesson for Sustainable Development". Furthermore, the expression 'sustainable development', which was formerly unknown in Ukraine, is increasingly being used especially in educational circles, as a direct result of the programme. Approximately 2,000 schools in Ukraine have been planned for teachers' training in ESD.

It has also been observed the pupils and their families have been able to reach a significant reduction in waste (garbage), energy and water use.

Transferability and sustainability

The initiative is highly transferable. Sustainability and long-term thinking has been integrated into every aspect of the programme, through means such as the involvement of teacher training institutes, systematic work to analyse and outlining success factors, and international networking throughout the process.

Special Highlights

The Dutch government has granted funding for a parallel project in Belarus to start in August 2008.

Further information

<http://www.globalactionplan.com/node/114>

Educating Engineers for Sustainable Development (UK)

Key characteristics	
Type of learning	Formal
Age group	18-25
Level of implementation	National
Funding	Royal Academy of Engineering
Time frame	Started in 2006
Leading organisations	University of Manchester, Royal Academy of Engineering

The project

The project involved the design and implementation of a faculty-wide course/curriculum on sustainable development, initially on a pilot scheme. The curriculum and methodology were based on an understanding of the skills and abilities that students would need to develop for their professional lives in order to initiate and manage change on behalf of society. The (introductory) pilot course unit was developed for 48 students from four participating disciplines: Civil Engineering, Electrical and Electronic Engineering, Mechanical Engineering and Earth, Atmospheric and Environmental Sciences.

Dimensions of sustainable development	
Environmental	Conservation of natural resources, Waste management, Sustainable transport.
Economic	Sustainable consumption, Sustainable trade.
Social	Community cohesion, Social equity, Cultural diversity, Development of human capital skills.

Approach

The organisation of the pilot included a Steering Group, chaired by the Associate Dean for Teaching and Learning, and four advisory groups, who reviewed and advised on the project's working definition of Education for Sustainable Development in science and engineering; the abilities and skills which would need to be developed for the management of activities; appropriate and supportive approaches

for formative and summative assessment of the students' progress and achievement and the design of monitoring the implementation of the pilot course unit.

The educational design was based on the principles of problem based learning (PBL) within a curriculum structured to foster active, contextual, cumulative, integrated, collaborative and reflective learning. The aims of the course unit were to assist in the development of related abilities and skills, as well as enabling knowledge and understanding. Formative and summative assessments were based on the modified essay question (MEQ), group reports, observation of group behaviour and peer appraisal. The sequence of five tasks, each spread over three weeks, was designed to help the students to explore a range of relevant aspects of Sustainable Development and to begin to develop a number of related abilities and skills within the time constraints of the pilot course unit.

Innovative elements

Innovation in the content: the project focused on involving students in solving 'live problems' through case study exercises, which was the core part of the learning process of the course unit. This encouraged them to find solutions at different levels: to identify the mechanisms for driving and implementing change; to learn to predict the short-term and long-term consequences of change, taking into account all stakeholders and; to identify the barriers to change that must be overcome, including social, environmental, technical and financial pressures and restrictions.

Innovation in the delivery methods: although the course was intended to be 2 hours a week over 12 weeks, it was also part of the requirement that the students meet a certain amount of times a week outside school hours. A 'code of conduct' was devised in order to encourage students to behave as 'professionals'. This was to ensure that they would be more prepared to face problems in the early years of their career once they had graduated. The following elements were important in the case studies: wickedness (i.e. 'wicked' problems have no definitive formulation with no well-described set of potential solutions), context, management of change, sustainable development principles, development of professional skills, cumulative learning, topicality and interdisciplinary collaboration.

Innovation in addressing sustainable development: It was important that students absorbed sustainable development principles through the exercises. Elements of these were included in all the exercises:

- Balancing environmental, social and economic consequences;
- Considering impacts of change on different stakeholders;
- Corporate Social Responsibility;
- Life Cycle approach;
- Benchmarking/Assessing sustainability; and,
- Cost/Benefit Analysis.

Furthermore, the tasks were designed to span disciplinary boundaries, so that no students would be unfairly advantaged or disadvantaged because of their discipline. The cohort included environmental scientists who had spent three years learning about environmental issues and management, so it was important that the material was challenging to them whilst also being appropriate to the engineers. It was also important that the course unit did not focus on engineering design or mathematical modelling.

Key successes

The pilot course unit has been monitored and evaluated in a number of ways. Both students and facilitators found the programme very rewarding and there has been evidence of a change in student approaches to learning, as well as in their attitudes to and knowledge of, sustainable development. The approach also has scope for extension in a number of ways: to other universities, a wider range of disciplines within the university and; to a greater range of levels within engineering and science programmes, both as a short unit at postgraduate level and also as a strand running through undergraduate courses.

Transferability and sustainability

The future viability of the course unit is likely to be the most problematic element of the evaluation. In financial terms, it is difficult to separate out the costs of design and evaluation from those of running the course unit. Although other members of the project team have contributed extensively to the design, organisation and assessment of the course unit, this level of support is unlikely to be accorded in the future. Furthermore the approach will need constant review to ensure the relevance of the exercises.

Special Highlights

Ideas from the initiative are not solely confined to education for sustainable development. The core approaches and ideas could prove to be a useful starting point in the redesign of undergraduate programmes in engineering and other subjects. It is also hoped that plans will be developed for a Centre for the Advancement of Education in Engineering in close collaboration with faculties at other Universities, with the initial contribution being innovations that have been successfully tested in the present pilot course unit.

Further information

Website of the project: <http://www.engsc.ac.uk/downloads/scholarart/delphi-consultation.pdf>

Employable Graduates for Responsible Employers (UK)

Key characteristics	
Type of learning	Formal
Age group	25-30
Level of implementation	National
Funding	Higher Education Academy
Time frame	1 May 2006 – 31 July 2007
Leading organisations	StudentForce for Sustainability, Higher Education Academy

The project

The initiative involves researching the links between sustainability and employability in the graduate job market, in relation to higher education teaching and learning. The research primarily focused on gathering evidence for how the career choices of graduates and the recruitment of employers is being influenced by sustainable development and the Corporate Social Responsibility (CSR) agenda of employers.

The potential supply of graduate employees committed to careers with environmentally and socially responsible employers was firstly researched, by identifying the needs and expectations of students and recent graduates. Secondly, the needs and expectations of employers committed to environmental and social responsibility was identified by researching graduate recruitment demands.

Dimensions of sustainable development	
Environmental	All the dimensions
Economic	All the dimensions
Social	All the dimensions

Approach

Information was gathered from three types of stakeholders (students or graduates, university careers staff and employers), via online questionnaires, structured interviews, focus groups and workshops.

Innovative elements

Innovation in the content: The content of the research is of particular interest to Higher Education Institutions (HEIs) who would like to know more about evidence for demand for sustainability literacy before a strategy is undertaken to redesign a curriculum. Project research has gathered evidence on whether there is any emerging demand from employers for environmentally-responsible graduate employee, whether the ethical stance of an employer is of significant consideration to students and graduates when choosing potential employers, and the extent to which the employability agenda in universities is influenced by the sustainable development agenda of employers.

Innovation at the institutional level: the research undertaken in the initiative is attracting attention in the growing debate about the links between employability and sustainability.

Key successes

The research has found that the graduate employability agenda is now more closely linked to the employer sustainability agenda. Mounting evidence has shown that students are more likely to want to work for 'ethical employers' who are environmentally and socially responsible. Students also believe that sustainable development and CSR should be taught more at universities, and expect more of their future employers and their universities than of themselves in terms of social and environmental responsibility.

Employers also feel universities should do more to prepare students for working with employers who are socially and environmentally responsible, and want more interdisciplinarity in universities as a way of teaching about social and environmental responsibility.

Findings have led to a wide range of recommendations in various areas: teaching (e.g. raise awareness amongst academic staff about sustainable development and CSR); advising students; teaching competencies (e.g. promote values education); comparing students; developing curricula; changing university culture and enabling commitments.

Transferability and sustainability

The Higher Education Academy's ESD project is funding projects to take the work of this initiative further. The research project is also cited in ESP in Higher Education arenas when evidence of demand is raised.

Special Highlights

The research project has led to the offering of mini-grants by the Higher Education Academy to explore the links between employability and sustainability in the curriculum and the potential for innovation and development in this area, and is linking sustainability with careers advice and student volunteering.

Further information

Website of the project:

<http://www.heacademy.ac.uk/assets/York/documents/ourwork/tla/sustainability/EmployableGraduates2008.pdf>

**Beyond the Maastricht Communiqué:
developments in the opening up of VET
pathways and the role of VET in labour market
integration**

Consolidated Final Report

Beyond the Maastricht Communiqué: developments in the opening up of VET pathways and the role of VET in labour market integration

Consolidated Final Report

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Executive Summary

Introduction – purpose of the study

This report is concerned with mapping progress against two of the priorities for VET set out at Maastricht in December 2004 as part of the Copenhagen process: opening up pathways and linking VET and higher education; and the role of VET in supporting the labour market and social integration of groups at risk.

In order to do this the report is structured in order to:

- examine the most recent developments in the labour market which are affecting demands on VET systems (Chapter 2)
- develop our understanding of how VET systems are generally configured to respond to these demands and in particular to look at the relationships between those systems, the labour market and employment and social welfare systems (Chapter 3)
- examine the developing role of employers and other social partners in articulating supply and demand for VET (Chapter 4)
- provide an overview of the recent trends in VET participation (Chapter 5)
- analyse the development of VET pathways and links with HE (Chapter 6)
- analyse the role of VET in alleviating disadvantage (Chapter 7).

VET, labour markets and the economy

An analysis of recent and projected changes in European labour markets reveals the following trends:

- The broad structural shift out of manufacturing into services – and high skill services in particular – continues across Europe.
- Growth has been concentrated in high skilled sectors and occupations, but lower skills levels remain in demand. Indeed, elementary occupations will continue to expand, and the need for higher level qualifications (upper secondary qualifications especially) will rise, with serious potential consequences for the low skilled.
- Supply and demand patterns vary and in some countries there is forecast to be an under-supply of tertiary skills (in the Old Member States in Denmark, Germany, Finland and Sweden; and in the New Member States in Hungary, Slovakia, the Czech Republic, Slovenia and Estonia) and in others an

over-supply (in the Old Member States in Spain and Italy; in the New Member States in Latvia, Lithuania, Poland, Cyprus and Malta)

- The skills required in many industries are shifting upwards out of upper secondary education into tertiary level and also into the post-secondary territory in between where industry requires higher levels of practical/technical skills without the full underpinning theory provided at tertiary level.

How are these patterns reflected in patterns of unemployment and employment by educational level?

- Overall, in terms the basic dimension of simple employment prospects, there is an incentive for individuals to progress to higher skill levels.
- However, in most countries in the sample for which data is available VET appears to offer *worse* employment prospects within upper secondary and tertiary levels than general education. This may reflect – and at the very least is not out of kilter with – the labour market trend towards increasing demands for generic skills – either instead of or coupled with occupationally specific ones, and the low value attached to VET in many countries.

What are the implications for VET?

- Generally there is a need for greater flexibility and responsiveness in VET systems as the pace of change is more rapid than in previous generations.
- There is a cross-sectoral need to change the content of VET to better equip people with the types of generic skills now in demand.
- There is a growing demand for skills above upper secondary level although the precise nature of this varies by sector and occupation. New programmes are needed to respond to this demand.
- There is a need in some sectors for a broader grounding in an occupation, to cope with demands for greater flexibility and multi-skilling, supplemented by specialist knowledge, which may need regular updating where the application of technology is developing rapidly. This latter need might be satisfied through short courses.
- In circumstances of future under-supply of tertiary graduates VET systems will have to try to ensure a greater throughput of individuals into the labour market, drawing people into higher educational levels.
- There is a need for more involvement of employers and others at a systemic level to ensure VET has a better balance with labour market needs.

Putting VET systems in context

In order to place recent developments in context, it is important to understand the mutual interdependence between VET systems, the labour market and employment protection systems; and to develop a broad typological framework that groups countries into a number of clusters according to similarities in their institutional arrangements.

In terms of the nature of VET systems we can conclude the following:

The nature and role of VET is contingent on the specific context within which it is located. Its function depends on economic and social conditions and relationships, and on the institutions that derive from and express those conditions and relationships, especially labour market institutions as these play a key role in school-to-work transitions and in the ability of the disadvantaged to access VET.

In relation to the agenda Lisbon, some systems are likely to be already more in tune with the needs of the Lisbon agenda than others, and some are likely to be inherently more flexible and adaptable to changing circumstances. It follows that those systems in most need of reform are likely to be those which are some distance from being able to deliver on Lisbon and have relatively low levels of adaptability and flexibility.

In terms of country clusters, we identify the following:

- **The Nordic countries** characterized by a strong lifelong learning culture and an emphasis on school-based VET and levels of social protection expenditures and universal welfare provision which are at their highest in Europe.
- **Continental systems where VET is highly institutionalized**, where social partner involvement is strong and plays a critical role in stratification prior to full labour market entry.
- **Continental systems where VET is less institutionalized** and company training is more common. There is moderate to strong involvement of employers in IVET and CVT.
- **Mediterranean countries** with VET systems that are mainly school-based and less well developed than other countries, with comparatively low levels of employer input and where labour markets exhibit a number of rigidities¹.
- **Central and Eastern European countries** which in the main inherited a highly centralised and state controlled system from the socialist period but which since the collapse of communism have followed a variety of paths in response to a variety of factors including inward investment, globalisation, the consequences of EU enlargement and domestic politics, to cite just a few.

¹ It should be noted that Malta and Cyprus are not easily categorised as they have distinct historical traditions, not least their connections to the UK which have had some influence on their education and training systems.

- **UK and Ireland** which are distinguished by the minimal nature of institutional regimes governing labour markets and in which education and training systems are characterised by choice and competition with sectorally variable employer involvement.

The developing role of employers and other social partners in VET

An examination of the role of employers and other social partners in VET leads to the following conclusions:

- The involvement of social partners in VET - through consultation, joint statements and collective bargaining – has strengthened universally across Europe during the current decade and has continued to do so in the last few years. In countries with weaker or fewer formal structures involvement is being restructured and/or given more structure and strengthened.
- There has been an influx of new tripartite bodies dealing with VET matters exclusively and/or education and labour market matters in more general terms all across the EU Member States. These bodies, among other factors, have contributed to a more structured and systematic involvement of social partners in all levels of VET, from initial and continuing VET to vocational training provision at tertiary level. However, the involvement of social partners tends to be less prominent and less practical in tertiary level VET than in IVET or CVET.

The main conclusions with regard to the role of employers in the opening up of VET systems are as follows:

- Employers are widely involved in the financing and administration of VET systems and are increasingly involved across all levels in practical measures such as the development of new VET qualifications and the drafting of VET curricula; the recruitment of students; the development of apprenticeship programmes and on-the-job training; and assessment and certification.
- Pressure from employers lies behind the vast majority of developmental activity taking place with respect to the opening up of VET pathways which we discuss in chapter 6.
- Right across Europe there is a trend to increase employer involvement in VET, especially IVET where employer participation in policy development and implementation has often been less prominent than in CVT, and also at tertiary level.

The chief conclusions regarding the role of social partners and NGOs in measures concerning labour market integration are as follows:

- Labour market participation of disadvantaged groups is a growing concern among social partner organisations. Social partners at all levels have made, and continue to make, a considerable effort to ensure access to training becomes the right of all workers. Now the efforts must concentrate more on furthering collective bargaining and promotion of lifelong learning at company level.

- When training and integration policies (aimed at disadvantaged groups) are designed and implemented by the State or other levels of government, the success of the measure can greatly depend on the degree of consultation and participation of other actors, in particular social partners and NGOs.
- NGOs are uniquely placed to reach out to those who are most at risk, while an early involvement of social partners in policy formulation is crucial to ensure coherence of measures and a degree of ownership (or 'buy-in') over a project.

An overview of patterns and trends in VET

An analysis of the patterns and trends in participation in VET revealed the following:

- Participation in upper secondary is the norm for most people. Slightly over half of those participating in upper secondary education are enrolled in vocational tracks.
- There is no evidence of any major shift in this pattern except in the New Member States where VET's share of enrolments has been falling since 2000. VET at this level is now less popular in the new than the old Member States, reversing the position in 2000.
- There are major variations between countries in the proportion of enrolments that are in VET tracks, tending to be highest in the continental countries and the UK and lowest in the Mediterranean countries, states in Central and Eastern Europe and Ireland. Rates in the Nordic countries range from just below to above the EU average.
- Pre-vocational education probably accounts for something of the order of 5-7% of enrolments in any one year across the EU as a whole, although with significant variations between individual countries and in some cases 'offsetting' low rates of enrolment in VET.
- There has been a resurgence in apprenticeships, especially in new Member States and an extension out of their traditional domain in the upper secondary level.
- Post-secondary non-tertiary level is less significant than the upper secondary level in terms of numbers of enrolments. Available data suggest that, depending on the country concerned, it accounts for at most 10% of attainment within the working age population in general.
- However, evidence on enrolments indicates that the significance of PSNT courses is highly variable. This is true whether it is used for progression or labour market entry.
- There is little evidence of significant rises in participation at this level, despite the apparent developing need for qualifications at this level and above. There may be a number of reasons for this: labour market demands might be being accommodated elsewhere in the system (systems vary in the educational level to which certain skills are ascribed depending on the wider contexts);

demand may not yet have been sufficient to trigger noticeable shifts at the level of these data; or the VET system response is lagging behind.

- Enrolments in tertiary education have been rising but the increase has been concentrated in general education with smaller increases in vocational courses. Across the EU approximately 13% of students in tertiary education are enrolled on vocational programmes. This share has been fairly stable since 2000.
- There are some significant differences between countries in terms of the prevalence of occupationally oriented courses at tertiary level. In particular, Old Member States have more than twice the proportion of people enrolled in VET as New Member States. The new Member States at tertiary level do not show the same shift away from vocational provision as at upper secondary level.

In relation to throughputs, the broad structural picture is that countries differ significantly in the extent to which there is strong progression throughout the system:

- Mediterranean countries, continental countries without strong apprenticeship components and Ireland tend to present a polarised picture, with high rates of low attainment but then high rates of progression from levels 3 and 4 into 5 and 6;
- Nordic countries tend to be egalitarian with low rates of early leaving and high levels of progression; the UK and the Netherlands also fall into this category but have rates of early leaving which make them borderline with the former group;
- Central and Eastern European countries and continental countries with apprenticeship systems are characterised by low rates of early leaving with upper secondary level being predominantly used for labour market entry.

Systems that currently have a high proportion of the population passing through tertiary level are no more or less likely to have a high level of vocational courses than those with a low proportion.

In terms of flows out of upper secondary level, structurally it would appear that across the EU around one third of individuals who have at some time attained a level 3 or 4 have subsequently gone on to further study, which means that the other two thirds have gone into employment without achieving a higher level of attainment. There are though strong inter-country variations around this figure.

In terms of the specific issue of the extent to which VET is used as a route into the labour market, on the basis of the little statistical evidence available and study interviews it is clear that in the majority of countries upper secondary VET continues to be used primarily as a pathway directly into employment. However, in most countries the proportion of upper secondary VET graduates who progress into further education, though small, is slowly growing. Only in a very small minority of countries does upper secondary VET predominantly lead to progression to further education.

Technical routes tend to be more popular than lower level routes and are more likely to be used as a route to further study but the evidence suggests that their dominant use is still as a route into the labour market.

Opening up pathways and linking VET and HE

The main conclusions and messages emerging from the comparative analysis of trends in Europe in relation to the opening up of pathways and linking VET and HE are as follows:

General issues

Individuals view pathways as a series of decisions which are not necessarily linear. This needs to be taken into account in the development of VET pathways which need to be more open to individual choice and changes of direction. Member States need to consider how this non-linearity can be accommodated within their own contexts.

Individuals' choice of pathway depends on a variety of both demand side and supply side factors, and involves weighing up the costs and benefits of the options available. Perception plays a key role and critically affects the value attached to VET. Member States need a more systematic and evidence-based understanding of why certain VET routes are more popular than others and the obstacle students' face in taking them

There are now very few structural 'dead ends' within initial VET systems, although progression can still be difficult. The more significant differences between countries probably lie in the extent to which systems are open for people to return later on in life.

Member States now need to focus on encouraging the use of existing pathways and ensuring that pathways are genuinely open by dealing with problems of failure to progress, and by offering effective guidance services to assist individuals to make the right decisions now that greater choice is open to them.

Vocational students can face particular difficulties in accessing tertiary provision (especially general programmes) because of university entrance practices. This seems to be a particular problem where there is not a binary system that differentiates vocational and general education, and where universities are highly autonomous and can set their own entry requirements. Member States should examine the extent to which university entrance requirements *systematically* causes difficulties for vocational students, and then adopt an appropriate policy response, e.g. by providing additional support to ensure a 'level playing field'.

There is an increasing trend towards specific – often highly localised, firm or sector specific – provision to respond to particular needs, and the pursuit of flexibility for individual sectors and locally and regionally needs to continue. However, the full benefits of this can be felt by providing frameworks within which employers, localities and regions have some space to respond to local needs. The development of National Qualification Frameworks will help in this respect. Increased employer involvement is essential to ensure the attractiveness of vocational routes in many countries, especially the New Member States and the Mediterranean countries.

Key trends in the vocational curriculum

Three key trends stand out in relation to the vocational curriculum, applicable to varying degrees to different Member States:

- (i) the reduction of the distinction between vocational and general tracks.
- (ii) broadening vocational programmes so that they avoid the trap of falling into narrow specialisms.
- (iii) increasing the share of vocational curricula dedicated to what is variously termed 'generic learning', 'core skills' etc.

A common pattern of change in the last few years appears to have been:

- The expansion of tertiary provision, often with little regard being paid to the role that VET may play in it, and mainly in enrolments in academic fields
- The development of higher level (technical) vocational provision and post-secondary provision as a tool for further competence development
- A decline in popularity of lower level school-based VET - and in some cases its repositioning as a pre-vocational option (especially for people from socially disadvantaged backgrounds)
- The development of apprenticeships.

One important consequence of these changes is that lower level school-based VET appears to be being squeezed between general, technical and apprenticeship options.

Apprenticeships have been the focus for significant development, being identified as important components of systems. Apprenticeships have sometimes been somewhat separate from education and training but there is a trend towards greater cooperation between ministries and enhanced involvement of social partners that is addressing this issue. New apprenticeships now need to be properly integrated into systems with pathways developed. Member States should ensure the proper integration of apprenticeships with other parts of the education and training system.

Good quality apprenticeships are being seen as providing a more appropriate option for the less academically able since they have the very strong connection to the labour market which lower level school-based VET lacks. Member States should consider whether repositioning lower level VET – with greater general curriculum content - as a pre-vocational option is a viable policy option in their context

Routes from upper secondary VET into general tertiary programmes

Pathways from upper secondary vocational tracks into general provision typically remain a minority choice: most students remain in the vocational or general route they selected when they completed lower secondary school. Many people who do transfer – especially to obtain a much valued upper school leaving certificate – do not necessarily then go on to higher education.

Where there is not strong tracking, recent experience highlights the risks involved in trying to reform upper secondary provision so that it confers a general right to enter university for all students: the challenge can prove too great for many students; and some of these reforms are now being reversed with clearly differentiated vocational, general and apprenticeship routes now being (re-)introduced. Elsewhere, problems of equivalence continue to dog attempts to open up pathways for vocational students because of the difficulty of gaining widespread acceptance of the idea that VET should have the same status as academic education. But attempting to eradicate the distinction does not appear to be the answer.

An important message from recent experiences across Europe is that there is a need for a variety of transparent and viable vocational routes to higher levels – that are distinctive from general provision – that meet the needs of a broad range of talents and pre-dispositions, as well as the needs of employers.

Modularisation offers many advantages in terms of being able to flex programmes and qualifications rapidly in response to the needs of the economy, and deserves to be deployed more widely. In addition, Member States should engage in promotional campaigns to demonstrate the benefits of VET, perhaps by conducting tracer studies and portraying the careers achieved through vocational routes.

Where Member State systems feature strong tracking, additional provision is required to enable vocational students to access general tertiary education. For lower level VET this frequently means bridge courses while for technical routes double qualifying pathways are more common. These remain minority choices, and there are question marks about their value both to individuals, within the context of wider VET policy choices, and in terms of wider economic considerations:

- Bridge courses to general education can cause delays and the failure rate can be high. More integrated approaches and accreditation *en route* that provides 'stepping stones' (often made possible by NQFs) seem to offer advantages over these types of approach which Member States should explore.
- Whilst double qualifying pathways are integrated the evidence suggests they are challenging for students, and there remains a risk of failure if students access more traditional academic environments at tertiary level. Member States where double qualifying pathways exist should consider various ways in which students might be better supported, e.g. through enhanced careers guidance and counselling before choices are made for upper secondary level, and learning support for students from vocational backgrounds in their initial stages at university to reduce early leaving.

Both social equity and economic considerations suggest that these routes should remain open; indeed in rare instances double qualifying routes have been set a participation target. Member States should ensure that they are real pathways through measures of the type described above and that they do not falsely raise students' expectations.

Developments in post-secondary non-tertiary (PSNT) provision

The analysis of PSNT is a challenging task and it is difficult to be certain that like is being compared with like. Countries use the term in different ways depending on the structure of their systems, and an important issue faced by many countries is whether the more advanced VET provision that is being developed is regarded as being advanced enough to sit within tertiary provision. Not all sectors require provision at this level, but there is a need for frameworks which can accommodate individual sector needs.

Member States need to agree a definition of PSNT. The UNESCO definition stresses subject matter over level, whilst an important part of new demand in the labour market seeks training that is more advanced than upper secondary but not at the level of fully-developed long tertiary courses. It may be better to classify as 'short tertiary' those courses whose content is equivalent to tertiary level but not as extensive, with the UNESCO definition more strictly applied to enable inter-country comparisons to be made.

The EQF with its eight levels is the obvious tool to use as it is now established and already providing the template for many national systems. When countries start mapping their systems onto the EQF levels, routes should be properly compared in order to establish the proper prevalence and function of intermediate qualifications.

Despite these problems, it was found that PSNT provision performs three main functions (though this varies depending on the context):

- to enable students to obtain further vocational qualifications which may also open up progression to higher levels
- to facilitate specialisation by those already on vocational tracks
- as a route into the labour market or into tertiary level VET studies for general upper secondary graduates who do not or cannot progress further in the general education system.

PSNT provision appears to be seen as a solution to current labour market demands in countries with less well developed VET systems, and therefore as having a 'gap filling' function, perhaps where vocational routes through systems are poor and/or where vocational tertiary provision comes to be seen as deficient. The growth of PSNT education for competence development has been an accelerating trend in recent years often directly as a response to employer needs.

PSNT provision can provide a comparatively simple solution that avoids what can be the difficult issue of dealing with the views of traditional universities resistant to increased vocational content; indeed PSNT provision has sometimes been absorbed into tertiary infrastructures once it has proved its merit.

Equally, significant issues often surround PSNT provision in terms of its integration into systems and in particular the use of credit transfers and exemptions; these seem to be established normally on a bilateral basis between institutions. Establishing national credit transfer systems should be a priority in order to smooth the relationship with tertiary provision.

Tertiary provision

Tertiary vocational education is well established across Europe: the most widespread developments of recent years have been the inclusion of practical components in curricula to help improve the employability of graduates, the development of new short tertiary vocational courses that can lead either directly into the labour market or to a tertiary bachelor, and the reshaping of existing tertiary vocational programmes according to the bachelor/master structure.

The distinction between vocational and general education is becoming increasingly blurred. Some concerns have been raised about whether these developments lead to too much generalisation of tertiary vocational education or 'downgrade' tertiary academic education and the terms bachelor/master, but it is too early to say which if either of these scenarios will actually transpire and the effects they may have in the labour market. However, there is a significant risk that it will lead to a loss of clarity in the labour market and generate difficulties for employers and individuals in understanding what differentiates an academic from a vocational degree.

Pathways at tertiary level between vocational and general education are generally available across Europe. Practice varies however in the extent to which tertiary VET students are able to transfer easily into general programmes using credits/exemptions without having to re-start in year one, and the provision of bridge courses to fill knowledge gaps. The absence of credit transfer arrangements can lengthen the period in education and delay labour market entry. Students can also find general programmes a challenge after VET courses. But credit transfer and student support practices are mostly institution-specific, and would benefit from government intervention to ensure more systematic approaches are taken. At EU level the nascent ECVET system also offers the prospect that such deficiencies will be addressed.

Short tertiary VET programmes offer a flexible approach to the needs of the labour market. But they need to be fully integrated through well-developed credit transfer and exemption arrangements.

The varied contexts and responses of different Member States

Different groups of countries stand at very different positions in relation to the Lisbon goals economically and employment-wise, and this, along with their different education and training systems, means they have different priorities in relation to pathways.

For the Nordic countries, with relatively high proportions of employment in highly skilled occupations, VET takes a variety of forms within the overall emphasis on providing a sound foundation of general education. Lessons from Sweden seem to point to the risks associated with 'over-generalising' the upper secondary curriculum and policies plan a return to distinctive vocational and general tracks more akin to the Finnish approach. The lifelong learning approach is critical in providing routes back into training later in life.

For countries such as Germany and Austria with well differentiated routes and strong VET systems, permeability is seen as undermining the strong linkages into occupations which enable the system to work. Integral to the effectiveness of the system is the complementary role played by the employment protection and social welfare regimes which act effectively to guarantee a return for the time invested in training. Changing one part of the system implies change in another, and indeed there has been much discussion about the issue of labour market flexibility alongside debates about whether and how to introduce more modular approaches into VET.

In the more market-based systems of the UK and Ireland, and in continental countries with less differentiated systems than Germany and Austria, recent developments have been focused on reducing complexity, trying to establish equivalence between VET and general qualifications and strengthening VET routes, along with trying to improve the input from employers to the development of qualifications.

Of all the country groupings, the Mediterranean and Central and Eastern European countries face the greatest challenges. Three of the four Mediterranean countries in particular – Greece, Spain and Portugal - face the challenge of how to move their economies up the value chain to secure more highly skilled employment, with education and training systems that have under-developed VET, and high rates of early school leaving. Substantial reform has been a feature of these countries to try to address this deficiency, and in particular the development of attractive VET options to reduce early school leaving and of pathways to higher levels are important priorities. Again the question of incentivising training through reforms to employment protection and social welfare arrangements is also important, as currently they lead to many rigidities in the labour market.

For the countries of Central and Eastern Europe, VET would appear to have a potentially important role to play in supporting economic growth, especially given the importance of manufacturing to many countries. Yet its popularity has declined – especially at upper secondary level, whilst it may have held up at tertiary level – and the (re)introduction of apprenticeships has experienced difficulties. With a need to improve attainment at tertiary level, the development of attractive VET options at this level could play an important role. In this context the development of effective pathways is vital. Approaches that encourage progression through an accredited stepwise approach and which are integrated into programmes, rather than being bolt-ons as in the case of some bridge courses, seems to offer potential which should be more widely developed.

The need for more evidence to support policy making

We found little evidence that Member States know much about why people select certain routes over others – e.g. whether it is because of the availability of appropriate curricula to meet the diverse needs of different groups of learners - or the obstacles they face or why students from vocational backgrounds sometimes fail at tertiary level. Still less is known about the extent to which people might return to formal learning later in life. Such information should be a pre-requisite for policy making.

We also found little evidence that Member States were setting targets related to progression out of upper secondary VET and in relation to the labour market. This would require a link to comprehensive and effective skills forecasting; but this is under-developed in most countries (as the work of Cedefop through Skillsnet has demonstrated). Member States need therefore to gather much more effective intelligence than they currently possess.

Finally, much work is needed to understand the relative value of many of the pathways in Member States. ISCED, whilst useful for statistical purposes, has proved to have serious limitations in the context of this study and the need to compare pathways in relation to their attainment levels. EQF and the mapping of national qualifications on to its eight-level structure offer a one-off opportunity to sort out much of the problem. Interpreting the programmes discussed in this chapter, particularly PSNT and tertiary options, according to their learning outcomes will show their real position in relation to the EQF structure and hence relative to each other.

The role of VET in supporting the labour market and social integration of groups at risk

This chapter analyses the role of VET in supporting the labour market and social integration of groups at risk. Overall, the concern is to identify and analyse the ways in which VET systems can better meet the needs of a variety of socially disadvantaged groups. It describes the varied ways in which disadvantage manifests itself and the ways in which skill and training needs are intimately bound up in it, and how these play out in different Member State contexts. It identifies the barriers that different groups at risk face in competence development, and examines the policies that have been implemented and the types of VET that have been developed in order to try to address these issues.

A particular concern is to see how 'mainstream' VET is responding and to identify the extent to which responses are sufficiently open and flexible to cope with, on the one hand, rapid changes in the labour market and, on the other hand, the careers of individuals which, as we discussed in chapter 6, can be highly non-linear and episodic.

Labour market and social disadvantage takes a wide variety of forms and can be viewed from a number of points of view through a range of 'filters', as set out in the Terms of Reference for the study: early school leavers; low skilled workers; the unemployed; immigrants; people with disabilities; older workers; and women. The study focuses primarily on early school leavers, low skilled workers and the unemployed as this directs attention directly onto the question of skill levels and hence the role that VET can play in alleviating disadvantage.

The conclusions drawn from the analysis are as follows:

Social and labour market integration and the role of VET

Disadvantage and exclusion are complex and multi-faceted phenomena in which low skills plays a key role. The needs of 'at risk' groups and the barriers they face are numerous and manifest themselves in different ways and in different combinations for different groups. The geographies of disadvantage are many and varied, not just across Europe but within individual Member States: needs can vary across very small geographical areas.

Some forms of exclusion are more severe than others and this places individuals at different 'distances' from education and training systems. Whilst some disadvantaged individuals' participation in VET is quite easily achieved through comparatively simple, straightforward and inexpensive adjustments to the way VET is delivered (e.g. though minor changes to the time and place of programmes), others require much more intensive and on-going support.

Although VET is clearly central to addressing the problem of low skills, it is not *the* panacea. A substantial body of evidence points to the need for intervention at a very early age. VET's role varies depending on whether it is being used to prevent early school leaving or to address the problem of young people and adults who have only achieved low formal education and training levels. As a preventive measure it can play a central role in tackling the problem of poor motivation and alienation though it needs to be accompanied by supporting measures, including guidance and counselling. To encourage low qualified young people and adults to take up learning again, it is an essential component of more comprehensive policy packages. In relation to specific 'at risk' groups (migrants, disabled people, older workers), VET does not necessarily have a role which is distinctive from the general one it plays in relation to the low skilled; what varies in these contexts are the packages of measures with which VET is incorporated.

Member States need to ensure that VET policy clearly recognises and differentiates between different forms of disadvantage and that policy is suitably adapted to the need of different 'at risk' groups.

The needs of 'at risk' groups

The training needs of 'at risk' groups are not just for occupationally specific training but also – depending on the client group - for training in generic transferable skills in demand in the labour market, soft skills (to meet personal development needs), learning skills and practical job search skills. Indeed, these other needs are often most significant and need to be addressed before or at least at the same time as occupationally specific training is being provided. There is evidence that one of the features of effective practice is the ability to integrate occupationally specific and other training seamlessly through VET – e.g. tackling literacy and numeracy development needs in practical work-based contexts so that it is not seen as a discrete activity called 'learning'

Member States need to ensure that their VET systems are highly flexible and adaptable, are able to offer provision that can be both individualised and localised, and is capable of integration with other, non-VET measures.

Main features of VET to support social and labour market integration

Chapter 6 found that there is a need for a variety of transparent and viable VET routes to cater for diverse needs, and the findings in relation to disadvantage reinforce this conclusion. Chapter 6 also showed that lower level school-based VET is declining in popularity relative to other routes and that it might be better positioned as a pre-vocational option. The analysis of this chapter would suggest that this would be beneficial for people from 'at risk' groups, especially if there are clear progression opportunities into apprenticeships which are appropriate for those alienated from formal, classroom-based education because of their strong linkages with employers.

The broad types of VET that have been developed to address the needs of excluded groups are: slimmed down provision; modularised curricula that allow participants to construct their own individualised pathways at their own time and pace; and alternative forms of provision. Such measures are likely to have the greatest impact on 'marginal non-learners' unless other (non-VET) measures (such as guidance and counselling) are enacted at the same time.

The chief cross-cutting characteristics of effective provision are:

the use of non-classroom based settings, and especially of workplace learning
a strong link to the labour market
the ability to integrate training components that are not occupationally specific
capacity to deliver in a wide variety of locations and times
the offering of progression opportunities and achievable stepping stones.

Although robust evidence with regard to the effectiveness and efficiency of VET interventions to tackle disadvantage is not ubiquitous, the evidence that is available highlights the effectiveness of holistic approaches. These are typically characterised by a number of elements:

- Early identification and tracking of 'at risk' individuals
- Securing the 'buy-in' of individuals, e.g. through action plans
- Community involvement in VET design
- Mediation between excluded communities and VET institutions
- Personalised guidance and pastoral support
- Counselling and mentoring
- Flexible VET delivery
- Adapted and enhanced VET curricula, including measures to enrich the learning experience and motivate participation and to build confidence
- Complementarity with social welfare and labour market regimes
- Close cooperation with other agencies
- The involvement of employers and civil society organisations.

The need for change in VET systems

Whilst VET systems are becoming increasingly open and flexible it is reasonable to ask whether the participation of those at a disadvantage in the labour market is actively encouraged or whether in practice the approach tends to be permissive rather than facilitative. The analysis of 'at risk' groups presented here would indicate that without active measures to enable their involvement, their participation is likely to remain low. Member States should review the extent to which openness and flexibility within their VET systems needs to be supported by active measures to ensure the participation of people from disadvantaged backgrounds.

To achieve an actively open system, and especially to deliver the types of holistic approaches we have just described, systemic changes may be required in the way some VET systems are configured. Some existing trends (the granting of more autonomy at local level and the reform of qualifications frameworks to enable modular approaches to be taken forward) are supportive in this respect. However, typically these measures are being adopted for other reasons and in this context an explicit recognition of how they might be used to support VET's role in relation to social integration would be beneficial. Steps should also be taken to ensure the complementary functioning of VET and labour market and social

welfare systems. Member States should consider whether their VET systems are currently configured to meet the need for holistic approaches.

Regardless of the overall system, tackling the problem of low skills will almost certainly require changes in the way VET is managed and delivered 'on the ground' by VET institutions – e.g. in the way at risk individuals are identified and tracked and the way support services are integrated. Without this, there is a risk that required provision and practice is seen as a 'bolt-on' activity, additional to the mainstream, rather than integral to it.

Such changes pose challenges because they require:

- Sufficient flexibility within national VET frameworks to permit sufficient local discretion without jeopardising the value of qualifications within the labour market
- Effective coordination or partnerships between a variety of agencies. This can be challenging as it requires bringing together agencies with different priorities and cultures across different levels of government
- Adequate funding: tailored support and the provision of intensive one-to-one guidance and counselling of the type that is often needed is expensive
- The development of new roles such as counselling and mentoring which require 'soft' skill sets such as the ability to empathise with the client group, an approachable personality and a non-judgemental attitude. This can be done either through the creation of new posts – which requires resources - or by requiring teaching staff to take on the function as part of their job, which raises questions about how to ensure their proficiency and their suitability for and willingness to take on the task. Done on a national scale, it can run into the issue of skills gaps and shortages.

Role of employers and civil society bodies

Improving social integration requires VET institutions to engage with a wide variety of other partners. Employers have a key role to play. From the evidence we have collected it appears that they tend to be engaged in integration policies through incentives or subsidies; considerable scope remains for them to play a more active role.

Civil society organisations also have an important role to play at the interface between VET providers and 'at risk' groups, providing links into marginalised communities, helping to design provision and perhaps being involved in training delivery. But here too there are challenges stemming from such issues as low levels of resourcing and inexperience in dealing with the public sector. There is a need for capacity building amongst these bodies to enable them to play a full and active part.

Reducing rates of early school leaving

With regard to early school leaving, a range of both preventative and remedial measures are required. It has been suggested that VET can help to bring down rates of early school leaving by providing an attractive alternative to general school-based provision, but VET is not necessarily a universal panacea since its role is highly context specific (as our analysis of Member State differences in chapter 3 implies); as chapters 1-6 show VET caters for a wide variety of target groups offering a wide range of programmes and qualification levels including higher education. In any event it is likely to require complementary changes in social welfare and labour market regimes to ensure that it successfully improves the costs and benefits of staying on in education relative to the option of early exit (either into unemployment or a low skilled job). It has also been suggested that early tracking may entrench social inequality but our analysis in chapter 6 indicates that there are now many options to move between tracks and that the distance between general and vocational curricula is narrowing.

As the same time, the data on early school leaving and research into learning motivations both point to the existence of a 'hard core' of young people who will leave school early almost regardless of the economic circumstances. Certainly in some countries the rate of early school leaving appears intractable, and the experience of some countries is that intensive effort is required to try to tackle it.

Tackling low skills amongst young people and adults

Training plays a key role in active labour market policies (ALMPs) and these have been expanding and developing, not least under the stimulation of the EC which has actively promoted the 'flexicurity' approach.

The overwhelming weight of policy appears to be focused on people when they are unemployed rather than in work, and on the most immediate requirement to get people back into employment as quickly as possible. VET in this context takes the form of short job-related provision, which is often not accredited and which is designed to arm people with the specific skills they need to get a particular job.

This short-term approach ignores the phenomenon of people cycling endlessly between low skilled employment with few if any promotion or development prospects and unemployment. We found few examples of programmes that follow up low-skilled people after they have secured employment and ensure they receive further training with their new employer. Member States should consider how they can better link their policies for the low skilled when in and out of work, and also how credit accumulation and validation systems can be developed to support social integration.

Meeting the needs of specific groups – migrants, older workers, and disabled people – entails the adaptation of the general policy measures for the low skilled which we have been discussing but perhaps more importantly their coupling with other measures, such as language training for migrants, and the adaptation of provision for people with disabilities. Measures are also required to change attitudes to people from disadvantaged communities in order to counter the problem of stereotyping and legislation to combat discrimination.

The Member State context

Member States vary enormously in terms of the particular manifestations of disadvantage and exclusion. There is particular variation in the extent and nature of immigration. This means that both the nature of the problem of exclusion and how it is dealt with show major variations. Both VET systems and social welfare regimes shape the incentives/disincentives that people attach to training, and the use of ALMPs continues to show substantial variation. We found wide variation in the practice of using VET to address social disadvantage which suggests that an individual's chances of being able to access well-developed and individually tailored VET depends upon their country of residence. Good practice needs to be shared between Member States more actively than hitherto.

Looking across the clusters of Member States that we have been using throughout this report, Mediterranean countries appear to face particular challenges: the prevalence of low skills in these countries may be a factor behind their high rates of early school leaving, and suggests that the problem may be especially difficult to address as it is comparatively easy for individuals to exit education early and find employment.

1.0 Introduction

This report is concerned with mapping progress against two of the priorities for VET set out at Maastricht in December 2004 as part of the Copenhagen process: opening up pathways and linking VET and higher education; and the role of VET in supporting the labour market and social integration of groups at risk. In this introductory section we outline the broad policy context for the study, the main methodological issues, and the main parameters of the questions addressed.

1.1 Background to the study: the Copenhagen process and the pursuit of VET fit for knowledge economies

In March 2000, the European Council adopted the Lisbon agenda which committed the European Union to taking steps towards becoming the most competitive and dynamic knowledge-based economy in the world capable of sustainable economic growth with more and better jobs and greater social cohesion by 2010. To achieve this goal, it was recognised that the European economy and social welfare and education systems have to be transformed. These reforms are to be undertaken in each country according to national contexts and traditions and are driven forward by cooperation between Member States at European level through the open method of co-ordination.

The Lisbon goals required a response from all the policy fields covered by the EU. To assist this process a set of new integrated guidelines for jobs and growth¹ were adopted to provide a high level steer to policy based on Lisbon. Some of these are particularly relevant to education and training. Specifically, Member States are called upon to: (a) expand and improve investment in human capital through inclusive education and training policies, reducing early school leavers, efficient lifelong learning strategies; and (b) adapt education and training systems to new competence requirements through raising and ensuring the attractiveness, openness and quality standards of education and training, easing and diversifying access for all, responding to new occupational needs, key competences and future skill requirements.

Within education and training, consideration of the contribution which the EU might make to achieving the Lisbon goals led to the adoption in 2001 of the Communication on *Making a European Area of Lifelong Learning a Reality*². This was a significant step as it made lifelong learning the central concept within education and training's response to Lisbon; effectively it signalled that in the education and training field 'knowledge economy' meant 'learning society'.

¹ These bring together the Broad Economic Policy Guidelines and the Employment Guidelines.

² Making a European Area of Lifelong Learning a Reality, Commission Communication COM(2001) 678 final (November 2001) http://ec.europa.eu/education/policies/lll/life/index_en.html

The year 2001 also saw the adoption of three strategic objectives:

- Increasing the quality and effectiveness of education and training systems
- Facilitating access for all
- Opening up systems to the wider world¹.

These objectives were subsequently operationalised into the Education and Training 2010 work programme which has provided the broad framework for policy development since and also into a set of benchmark indicators against which progress can be measured. In the context of the new integrated guidelines, the European Council has requested that the work programme be implemented in full. Progress against the work programme is reviewed every two years. In 2004 the review called for urgent reforms of Europe's education and training systems². In 2006 the review highlighted that most governments acknowledged that necessary reforms cannot be accomplished within current levels and patterns of investment; that lifelong learning strategies are imbalanced, with a focus on employability and re-engagement; that progress is still needed on the quality and attractiveness of VET; that the European dimension in national systems is growing but insufficient, with the main support for mobility coming from EU programmes; and that there had been too little progress against benchmarks related most closely to social inclusion³. It concluded that there is a need to accelerate the pace of reforms to ensure a more effective contribution to the Lisbon strategy and the strengthening of the European social model, with “significantly more efforts” to reduce early school leaving, increase upper-secondary school completions and develop key competences. It called for reforms to ensure that systems are both efficient and equitable (the *sine qua non* for achieving the Lisbon goals whilst strengthening the European social model), and the mobilisation of actors and resources by means of diverse learning partnerships, with priority given to improving governance through partnerships especially at local and regional levels.

¹ Report from the Education Council to the European Council on “The concrete future objectives of education and training systems.” http://ec.europa.eu/education/policies/2010/doc/rep_fut_obj_en.pdf

² Education and Training 2010: The success of the Lisbon strategy hinges on urgent reforms, 3 March 2004

³ Modernising Education and Training: A Vital Contribution to Prosperity and Social Cohesion in Europe, 2006 Joint Interim Report of the Council and of the Commission on Progress Under the “Education and Training 2010” Work Programme

In parallel with these developments, the Bologna process (initiated in 1999) was further developed to develop the European Higher Education Area and the Copenhagen process was developed in VET. Launched in 2002, the Copenhagen Declaration set out four priorities¹:

- Strengthening the European dimension²
- Transparency, information and guidance
- Recognition of competences and qualifications
- Quality assurance.

In terms of how these should be achieved within the broad context of the Open Method of Coordination, it also established that “measures should be voluntary and principally developed through bottom-up co-operation” and that “initiatives must be focused on the needs of citizens and user organisations”. It was agreed that progress should be reviewed every two years and this study provides input into these review activities.

The first review took place at Maastricht in late 2004 and was supported by the Maastricht study and the accompanying 'synthesis report' undertaken by Cedefop. At Maastricht partners “agreed to strengthen their co-operation with a view to modernising their VET systems in order for Europe to become the most competitive economy and offering all Europeans ... the qualifications and competences they need to be fully integrated into the emerging knowledge-based society, contributing to more and better jobs.”³ Reforms and investments were to be focused in particular on: improving the image and attractiveness of VET in order to increase participation; achieving high levels of quality and innovation in VET systems; linking VET with the labour market requirements of the knowledge economy for high skills and the skills needs of older workers especially; and the needs of low-skilled and disadvantaged groups to improve social cohesion and labour market participation. For the first time, national priorities were agreed, and the structural funds were identified as having a role to play in the development of VET.

The second review took place at Helsinki in 2006 where it was determined that the process should become more focused, with fewer priorities that have better inter-linkages and with VET being developed at all levels as an essential part of lifelong learning with close links to general education. The following priorities were identified: the image, status and attractiveness of VET; the development of common European tools; a more systematic approach to strengthen mutual learning; and the active involvement of all stakeholders. In addition, the Communiqué further developed the role that structural funds ought to play, indicating that they should play a part in supporting VET reforms at national level, working alongside the new lifelong learning programme which ought to be used in a ‘targeted’ way.

¹ “The Copenhagen Declaration” – Declaration of the European Ministers of Vocational Education and Training and the European Commission, convened in Copenhagen on 29 and 30 November 2002 on enhanced European co-operation in vocational education and training http://ec.europa.eu/education/copenhagen/copenhagen_declaration_en.pdf

² with the aim of improving closer co-operation in order to facilitate and promote mobility and the development of inter-institutional co-operation, partnerships and other transnational initiatives, all in order to raise the profile of the European education and training area in an international context so that Europe will be recognised as a world-wide reference for learners.

³ Maastricht Communiqué on the Future Priorities of Enhanced European Co-operation in VET (Review of the Copenhagen Declaration of 30 November 2002)

1.2 Objectives of the study

The objective of this study is to report on two of the priorities agreed at Maastricht:

(i) Opening up of pathways and building vertical flexibility - the establishment of flexible and open frameworks for VET in order to reduce barriers between VET and general education, and increase progression between initial, continuing training and higher education in order to meet the need for higher level VET and provide flexible structures to meet the needs of the emerging knowledge economy.

(ii) The role of VET in the process of social and labour market integration of disadvantaged groups - the further development of VET systems to meet the needs of people or groups at risk of labour market and social disadvantage and exclusion, in particular the low skilled, early school leavers, migrants, persons with disabilities and the unemployed.

In relation to these two priorities the study sets out to:

- provide an in-depth and critical analysis
- assess progress and development since 2004 and analyse future needs
- identify the challenges countries still face in achieving the Lisbon goals specifically by developing and reforming their VET systems
- provoke debate and suggest how to readjust these VET policies and priorities, both at national and European level.

1.2.1 Priority 1 Opening of pathways and vertical flexibilities

A key question with respect to the first priority is how the different EU countries (and competitor countries) are reacting to economic change and are establishing flexible and open frameworks between VET and general education and building in progression routes from VET to HE.

An essential issue to assess is whether the relatively specific skills obtained in VET programmes may place individuals in a more vulnerable position in the labour market than people with general skills due to the increasing obsolescence of specific skills caused by rapid technological change. This may call for an urgent re-consideration of VET and an increasing demand to link vocational and higher education. One of the main goals behind the opening of pathways and the offering of vertical flexibility is to remove “dead ends” in vocational education and training so that VET students can enter tertiary education. This will increase the attractiveness of VET and offer VET students more opportunities in their working life¹.

¹ European Commission 2006, *Communication from the Commission to the Council and to the European Parliament, Efficiency and equity in the European education and training systems*, COM (2006) 481 FINAL; European Commission 2006, *Commission staff working document, accompanying document to the Communication from the Commission to the Council and to the European Parliament, Efficiency and equity in the European education and training systems*, SEC (2006) 1096.

We examine specifically two hypotheses as to how VET might be adapted in line with the Lisbon goals for 2010:

- 1 VET qualifications provided at upper secondary level are becoming insufficient to meet labour market needs. The provision of VET qualifications is moving to post-secondary and higher education level.
- 2 VET qualifications at upper secondary level are still needed but there is also a need to open up pathways to studies in post-secondary and higher education and further education and training throughout life (the lifelong learning perspective). VET at upper secondary, post secondary and tertiary level are therefore complementary. In this scenario, although VET qualifications are broadened to provide real chances of success in higher education, they preserve their true vocational nature to also prepare young people for direct access to skilled jobs in the labour market.

1.2.2 Priority 2 The role of VET in the process of social and labour market integration of disadvantaged groups

The main focus of Priority 2 is the analysis of the role that VET can play in the labour market integration of groups at risk and in particular the low skilled. Education and training as a whole plays a variety of roles with respect to social and labour market issues, but the concern here is specifically with VET and this leads to a particular focus in terms of the disadvantaged groups to be analysed.

VET is, by definition, the part of education and training most directly concerned with the labour market: it enables people to obtain employment by training them for a broad range of qualification levels needed in the economy. For people who are at a disadvantage in the labour market and/or at risk of suffering exclusion, VET's role is to identify and raise/renew existing skills and thus enable them to participate more fully in the labour market and/or to compete for better paid and more secure employment. This is of particular importance given the high number of Europeans who are considered low skilled because they have not attained upper secondary qualification levels. 'Low skilled' should be understood in this context in the broadest sense, not just in terms of occupation-specific skills but in terms of broad skills including life skills, basic literacy and numeracy, and skills for learning.

Addressing these issues requires a focus both on adults (whose attainment levels are typically worse than those of younger people) and on children since the root causes of low skill levels begin early. Family and community background disadvantages children in their school careers, leading to low attainment and in some cases alienation from formal schooling. There can be poor development across the whole gamut of skills which leads to disadvantage and exclusion in adult life, with problems with basic reading, writing and numeracy, poor social skills which affects the ability to participate in mainstream society and in many types of employment and a decreased likelihood of participation in any further education and training after the compulsory phase. The study thus examines those policies targeted at the low skilled both in education and training (measures preventing early school leaving) and in the existing workforce (measures aimed at upskilling/retraining).

Although the prime focus is on the low skilled, attention also needs to be paid to (other) specific sub-groups who suffer from particular disadvantage, e.g. women, older workers, immigrants and people with disabilities. These groups may require specific treatment within policy and practice in order to help them to address specific obstacles.

1.3 Methodological issues

The issues covered by this project are complex, and the presence of very different national contexts in the areas of research adds to this complexity. The various stages of our methodology ensured that both qualitative and quantitative data were collected and analysed, whilst remaining sensitive to national variations. Our emphasis was on a participatory methodology, with consultations in all countries covered by the study and representation of a full range of stakeholders. In our approach we made use of a range of methodological techniques in order to ensure that the objectives of the project were going to be met.

Our methodology included: basic data gathering/literature review, a structured online survey of key stakeholders, in-depth telephone interviews with researchers, social partners and policy-makers, a seminar to review findings and potential policy solutions with an audience drawn from a pool of experts, case studies and country reports.

One of the strengths of the study is its wide-spread geographical coverage of 32 countries (EU-27, Turkey, Croatia, Norway, Iceland and Liechtenstein) in combination with comparisons – where appropriate - with other countries (such as Australia and the USA). This task was a difficult one since, as in every comparative piece of research, information collected at national level is often difficult to compare with a similar piece of information from another country due to differences in education and training systems, labour markets and demographic structures.

With respect to the literature, the information available turned out to be very scattered and in some cases quite limited, although this was naturally a reason for commissioning the study in the first place. Nonetheless it meant that there was also a paucity of theoretical knowledge to underpin the study and thus considerable effort went into building conceptual frames of reference through which we might interpret developments.

Besides the lack of detailed research, we also found that many cross-national studies focused on a small number of countries which were often the same and typically included some combination of the UK, USA, Germany, France and one of the Scandinavian countries. Countries like the Mediterranean countries (Spain, Italy, Portugal and Greece) and the New Member States are rarely discussed in the comparative literature. Thus, in order to fill these gaps we focused as much as possible also on national sources in the original languages.

Undoubtedly, the most problematic issue in the study was data collection and comparison. International data sources, such as Eurostat and OECD, are of questionable reliability at more detailed levels – especially when comparing different tracks, owing to different ways in which countries classify their provision. National data sources are also collected on different bases making comparison difficult. There is also clearly a lack of evidence in many countries with respect to many aspects of VET systems. Collecting the data needed through the surveys and interviews was also difficult because two other surveys had been carried out in the recent past covering similar – though not identical - issues and we encountered significant ‘survey fatigue’ amongst respondents. Despite these difficulties, a wide-range of intelligence was gathered to cover the study topics.

1.4 Structure of the report

The remainder of the report has been structured in order to:

- examine the most recent developments in the labour market which are affecting demands on VET systems (Chapter 2)
- develop our understanding of how VET systems are generally configured to respond to these demands and in particular to look at the relationships between those systems, the labour market and employment and social welfare systems (Chapter 3)
- examine the developing role of employers and other social partners in articulating supply and demand for VET (Chapter 4)
- provide an overview of the recent trends in VET participation (Chapter 5)
- analyse the development of VET pathways and links with HE (Chapter 6)
- analyse the role of VET in alleviating disadvantage (Chapter 7).

2.0 VET, labour markets and the knowledge economy

2.1 Introduction

This chapter provides a broad overview of the key developments and issues that underpin the study. It takes as its starting point a consideration of the knowledge economy and what this means for education and training. It then goes on to look in more detail at how employment patterns have been changing, before focusing on the broad relationships between educational attainment, education type (VET and general education) and employment prospects.

2.2 The knowledge economy, socio-economic change and lifelong learning

The Lisbon agenda and the education and training policies associated with it have at their heart the goal of transforming Europe into a knowledge economy. But what is the knowledge economy? Notwithstanding the Lisbon agenda, the Kok Report and so on, there is in fact little agreement beyond the main outlines as to what a knowledge economy might be and what it might look like when we get there. As an aspirational target and a broad concept it has merit but in terms of being clear, measurable and testable it has yet to ground itself.¹ Instead it is best to regard the knowledge economy as emerging and to root it in current socio-economic trends.

The advent of the knowledge economy – or to be more precise, we should put this in the plural, knowledge *economies*² - entails a wide range of social and economic changes. Under the stimulus of on-going technological breakthroughs, knowledge-based industries are growing, transforming employment opportunities and driving up the demand for new types of skill, predominantly at higher levels. This in turn is bringing about significant social changes. As Giddens³ points out, the class structure and divisions associated with what he more accurately terms the 'knowledge/service economy' are quite different from those of the industrial age, with a much smaller working class, and a much more differentiated middle class. New occupational divisions have come into existence. Importantly, alongside the higher skilled occupations demanding advanced IT qualifications (what Giddens terms the 'Apple Mac' jobs), a substantial proportion of people remain in routine and low skilled service sector jobs in cafes, supermarkets etc (the 'Big Mac' jobs), in which women are strongly represented. At least 50% of the jobs in the knowledge/service economy require a high level of cognitive and/or personal skills, including what he terms 'wired workers', those who use computers much of the day but are not IT specialists.

¹ The Work Foundation has set up a 2 million euro project funded by a range of major partners to examine exactly this issue.

² Just as there has been a wide 'varieties of capitalism' based on differences between countries and their institutions, as we showed in the preceding chapter, so it is reasonable to hypothesise that Europe will be characterised by a multiplicity of knowledge economies which take different forms in different Member State contexts, although these may converge to greater or lesser degrees depending on the success or otherwise of EU policy.

³ Giddens, A. (2007) *Europe in the Global Age*. Cambridge: Polity Press, pp. 61-5

These changes are having important effects on the responses required from our education and training systems, not just in terms of the demand for new and higher levels skills but in terms of what people learn, how, when and where, and the values attached to different forms of learning and indeed to the ability to learn itself. This is embodied of course in the concept of lifelong learning which acts both as a conceptual framework and as a policy goal with at its heart the notion that learning should take place 'from cradle to grave' in order to meet economic and social needs. In essence it has become a universal paradigm - although in the EU context one that acknowledges that it will take different forms in different countries. As an important part of our education and training systems, VET is situated in the midst of these critical developments and understanding how it is responding to some of the most important of them and how it should respond in future years is the chief goal of this study.

2.3 An overview of trends in employment¹

In this section we examine changes in both broad sectoral and occupational structures and the types of skills being demanded by employers. Both have seen major changes in recent years which continue to be important.

2.3.1 Sectoral and occupational changes

Figure 2.1 shows the change in the distribution of employment by sector in the EU15 and seven of the New Member States in the period 1995-2004² and it shows clearly the shift from production into the service sector across the EU. This is significant in terms of qualifications as the service sector in general is characterised by higher proportions of more highly qualified people than in either industry or agriculture³. But even more significantly, the graph shows the growing share of employment being taken by high skilled market service sectors right across Europe. At the same time, low skilled market services have also taken up an increasing share of total employment, as has the health sector, and in the OMS the education sector, in both of which low-skilled employment is not insignificant.

The graph also brings out some key differences between the Old and New Member States that reflect important underlying structural differences in their economies, notably the major contraction in primary production in the NMS and the growth in construction, as these countries have undergone major physical transformations. The composition of the decline in manufacturing also varies between the two groups. Equally, as Alphametrics note⁴, the broad trend towards an increased proportion of the workforce being employed in services and in high-skill service activities in particular has been no greater in the new Member States than in the EU-15 countries and in many cases, smaller, which may reflect the relatively depressed rate of overall employment growth in the former over this period, and is

¹ As this report was being finalised Cedefop produced a set of medium-term forecasts of occupational skill needs in Europe for 2006-15 (Cedefop, 2008, *Future Skill Needs in Europe: Medium-term Forecast, Synthesis Report*). Whilst it was not possible to incorporate the findings fully, it should be pointed out that the broad trends concur with the analysis presented here, and the findings are drawn upon where they help to reinforce or make additional points.

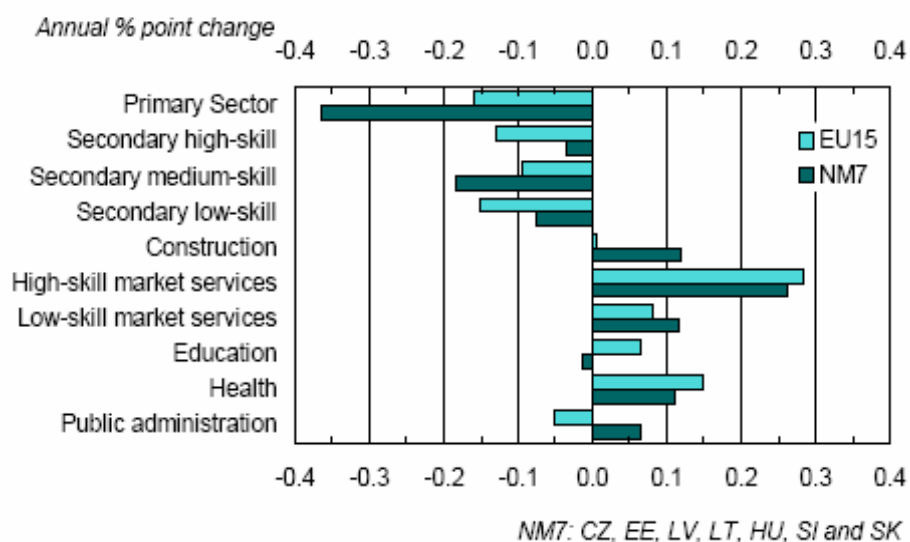
² These data are taken from Alphametrics (2005) *The implications of demographic trends for employment and jobs, Final Report, November 2005*. This study is primarily based on data from the EU Labour Force Survey for the years 1995 to 2004 for the EU15 and for the period 1998-2004 for the New Member States. Data availability meant that only seven of the NMS are included in Figures 2.1 and 2.2: CZ, EE, LV, LT, HU, SI and SK.

³ As noted in Cedefop (2007) *Zooming in on 2010* p 29

⁴ Alphametrics (2005) *The Implications of Demographic Trends for Employment and Jobs, Final Report, p. 15*

likely in itself to have moderated the scale of structural change and which may have implications for future years (i.e., there may be a faster rate of restructuring as growth picks up).

Figure 2.1 Change in the distribution of employment by sector in the EU15 and NM7, 1995 to 2004



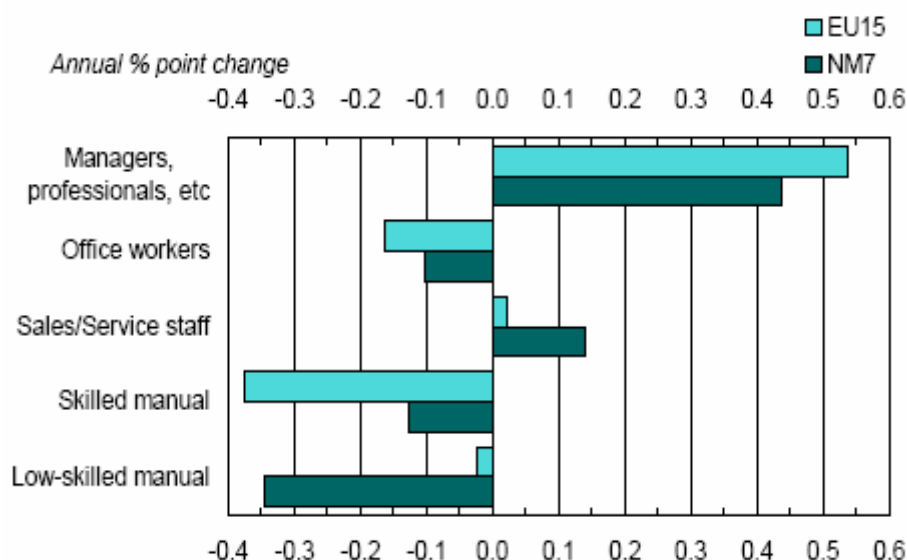
Source: *The implications of demographic trends for employment and jobs, final report, November 2005, alphametrics, p. 15*

It is also possible to examine employment change in terms of occupations. Figure 2.2 shows clearly the increasing share of employment being taken up by managerial, professional and technical occupations requiring higher skills right across the EU. Only amongst sales and service occupations was there also an increase in share, but much less substantially; in all other occupations there was decline in share.

At the same time, it is important to note that over this period there has been an overall expansion in total employment in the EU and this is forecast to continue so that even in occupations with a declining *share* of employment, the numbers of workers being demanded (either through new or replacement demand) is forecast to rise in all occupational groupings¹.

¹ Cedefop (2008) *Future Skill Needs in Europe: Medium-term Forecast, Synthesis Report*

Figure 2.2 Change in the distribution of employment by occupation in the EU15 and NM7, 1995 to 2004



Source: *The implications of demographic trends for employment and jobs, final report, November 2005, Alphametrics, p. 18*

Importantly for our study, when we look at the profiles of the growing occupations in terms of educational background it can be noted that a large proportion of managers, professionals and technicians tend to have followed tertiary level education whilst most sales and service workers have only a basic level of schooling.¹ Office and skilled manual workers tend to have upper secondary qualifications and low skilled manual workers only basic schooling, although it is a very important to note that even occupations such as these that *require* only low skills are often occupied by people with higher levels of qualification. Indeed, this phenomenon has increased. The causes are not well understood but will include individuals taking jobs for which they are over-qualified, and also increases in the skills required for the job². However, on the whole the data indicates that the shake-out in occupations has tended to be greatest amongst those with intermediate skills (although also those in low skilled manual work in the NMS reflecting their different economic position). This pattern

¹ It should be noted that this generalisation masks the fact that there are differences between VET systems in the qualification levels required for similar occupations (the next chapter explores the differences between VET systems in more detail).

² Cedefop (2007) *Zooming in on 2010*, p30

corresponds to the observations made in section 2.2 above. Low skilled employment remains important alongside the newly developing high skilled job opportunities¹.

The composition of the high skilled occupational grouping is important. As noted it comprises managers, professionals and technicians. The former two occupations are clearly mainstays of the service sector and their growth in importance is in some ways simply an expansion in numbers, but technicians have grown at unprecedented rates and reflect the development in science and technology which has led to the creation of both completely new occupations and the upskilling of existing ones. For example, the application of new technologies within manufacturing has led to the creation of wholly new occupations such as food technologists.

Whilst many of the jobs at this level require higher level skills, a significant proportion require levels of practical competence that are typically acquired in post-secondary courses but which do not require the level of theory acquired through tertiary level qualifications. This is leading to new demands upon education and training systems. Competence in these cases might be acquired through courses to develop specialisms that sit after upper secondary level. In other instances the level of underpinning understanding required may be equivalent to that normally obtained through a tertiary level programme but the breadth of knowledge demanded might be satisfied through a short tertiary course. The precise location of such provision – and its classification under the ISCED system - is not clear and varies from country to country. We discuss this further in chapter 6. The point here is that much of the demand in new occupations can be satisfied only after the upper secondary level, either in post-secondary non-tertiary programmes (ISCED 4) or through short courses at tertiary level (ISCED 5)

It should be remembered that these trends highlight where employment is growing and contracting and that labour demand consists both of new jobs and the replacement of existing ones. Thus whilst these data show the broad shifts towards higher skilled sectors and occupations, there is still demand for labour within declining sectors. Indeed, this can be a particular issue for declining sectors which can begin to suffer from acute skills shortages as they become unattractive as employment options, even though they may have viable futures once restructured.

2.3.2 Changes in skill types

Another important feature of recent trends is the emphasis now being placed on generic skills in contrast to technical skills which are occupationally specific (or in some instances job specific). Right across Europe, demand from employers has risen for generic skills and also for broader vocational skills sets that increase workers' flexibility. As we shall see later in chapter 6 this has been reflected in the increasing generic content of vocational courses at all levels and in the continuing trend to reduce the number of vocational qualifications in order to avoid programmes that are too narrowly focused.

A broad shift in the *types of skills* being demanded by employers is widely reported across sectors and occupations and across Europe. What is included in the term 'generic skills' not surprisingly shows complex and subtle distinctions between countries, occupations and sectors, but our researches

¹ Although it is, as the analysis suggests, difficult to draw a strict equivalence between skill levels and qualifications required for an occupation, we broadly take higher level skills as corresponding to qualifications at ISCED levels 5 and 6 (tertiary level); intermediate skills as corresponding to ISCED 3 and 4 (upper secondary and post-secondary non-tertiary); and low skills corresponding to ISCED 0-2/3c (lower secondary maximum).

captured the following list of what might be regarded as 'non-technical' and 'non-occupation specific' skills, attributes and aptitudes:

- Literacy
- Numeracy
- Communication
- Time management
- Team working
- Ability to learn
- Ability to cope with innovation
- Customer service skills
- Creativity
- Problem-solving
- Business awareness
- Self-management
- Language skills.

Such generic skills are being increasingly incorporated as key elements of VET at all levels from upper secondary through to tertiary¹.

2.3.3 The demand for higher level and new skills

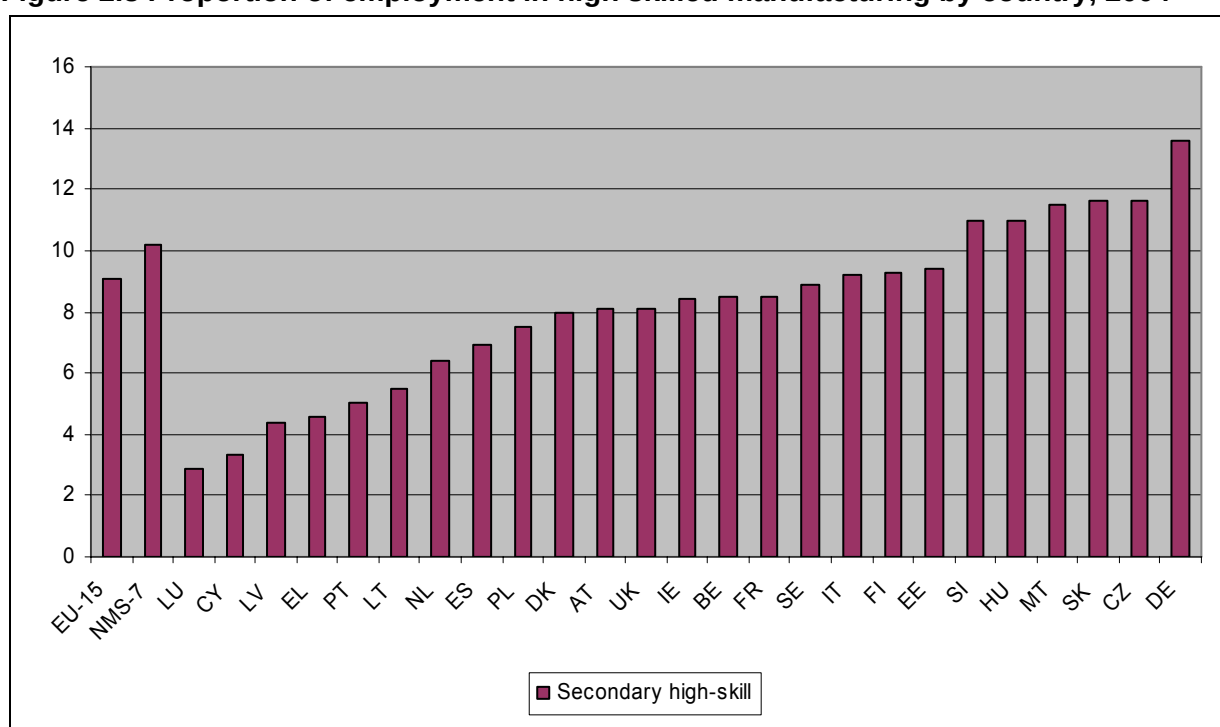
A key question for our study is which sectors and occupations are seeing important shifts in their skills needs. It is clear from the above that we are seeing a number of important shifts in sectoral and occupational structures. Some sectors/occupations are in decline. Others are expanding but the changes they are witnessing in the nature of the tasks they encompass are comparatively modest. A range of sectors and occupations are undergoing significant transformations in their processes, products and services and require significant changes in the skills deployed. These often result from the application of new technologies to existing production and service processes and can take place in both declining and growing sectors. Frequently they involve upskilling and/or multi-skilling, in some cases applied to smaller groups of workers in restructured sectors such as in manufacturing. Yet another group of sectors and occupations are wholly new, and have developed as a result of new technologies and/or the growth of new product markets. Typically there is a substantial need for a high level of skill to support these sectors/occupations.

¹ We should also mention that these needs have been recognised by the EU in its Recommendation (by the Parliament and the Council) that Member States should develop provision of the following eight key competences for all as part of their lifelong learning strategies: communication in the mother tongue; communication in foreign languages; mathematical competence and basic competences in science and technology; digital competence; learning to learn; social and civic competences; sense of initiative and entrepreneurship; and cultural awareness and expression. The Reference Framework of which these competences are part also includes cross-cutting themes, viz: critical thinking; creativity; initiative; problem solving; risk assessment; decision taking; and constructive management of feelings. (Recommendation 2006/962/EC)

These distinctions are important as they indicate the different ways in which economies in Europe are changing and begin to raise questions about the VET response. For our purposes the main area of interest are those sectors and occupations with high level skills needs and in particular those in which the demand for skills is being pushed upwards to higher levels, which in terms of programmes and qualifications is out of the traditional core area for VET at upper secondary level.

Of the categories described above, the most significant in this respect are high-skill market services and high-skill secondary sectors¹ and managers, professionals and technicians. High-skill market services include business and financial services, computer and related services, and research and development; and accounted for 13% of total EU employment in 2004. The high skilled secondary sectors include such industries as electronic engineering, chemicals and pharmaceuticals, and motor vehicles, and accounted for 9% of employment. Figures 2.3 and 2.4 shows how these groups vary in significance across Member States. Noteworthy features are: the low percentage of high skilled employment in both manufacturing and market services in three of the four Mediterranean countries (the exception being more highly industrialized Italy); the very varied prevalence of high skilled manufacturing jobs in Central and Eastern European countries (notably the very high rates in Slovakia, the Czech Republic, Slovenia and Hungary) but which is accompanied by generally low rates of employment in high skilled market services (Poland, Lithuania and Latvia exhibiting low shares for both types of sector); and the fact that most of the old Member States have moderate levels of employment in high skilled manufacturing (the exception being Germany which tops the ranking) but have the highest shares of high skilled market services employment.

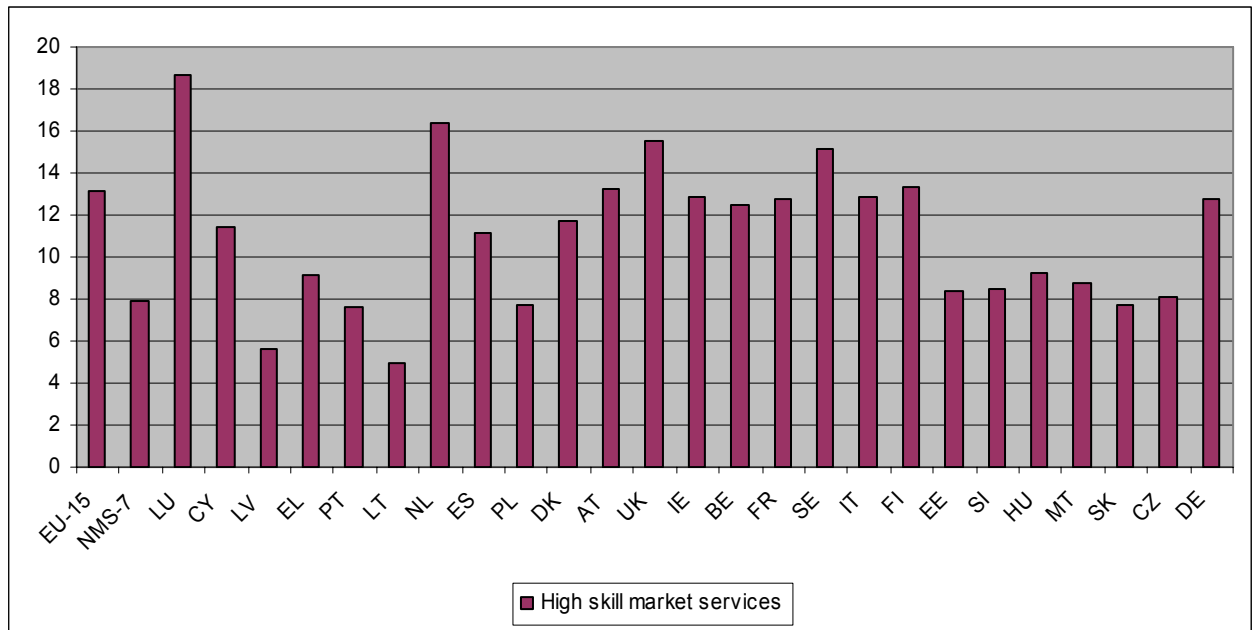
Figure 2.3 Proportion of employment in high skilled manufacturing by country, 2004



Source: Alphametrics (2005) *The implications of demographic trends for employment and jobs, Final Report, November 2005*. Note: NL = 2003

¹ High-skills occur in all sectors of course, but are most significant in these sectors.

Figure 2.4 Proportion of employment in high skilled market services by country, 2004



Source: Alphametrix (2005) *The implications of demographic trends for employment and jobs, Final Report*, November 2005. Note: NL = 2003

Turning to the occupational grouping of managers, professionals and technicians, in 2004 this group accounted for some 39% of the total people in employment in the EU-15 Member States. Interestingly, there is little variation between EU countries in broad occupational structure, the main notable exception being that in Greece, Spain and Portugal a much smaller proportion are employed as managers, professionals or technicians and a much larger share as unskilled manual workers, many of them in agriculture. It is important to reiterate the point that the educational background of managers, professionals and technicians can vary considerably depending on company size and also country. In countries with strong upper secondary VET/apprenticeship systems people in these occupations may well have master craftsman backgrounds.

In the New Member States, the relative number of managers, professionals and technicians, as in the southern countries, is also in most case smaller than in the EU-15, while the relative number of manual workers is larger – skilled workers in some countries (the Czech Republic, Estonia, Hungary, Slovenia and Slovakia), low-skilled workers in others where agriculture is relatively important (Poland and Lithuania in particular).

Looking forwards to what may happen to these high skilled sectors and occupations in the future, forecasts suggest that high skill market services and managers, professional and technicians will be the only areas where employment as a share of total employment will increase significantly (with the possible exception of health), with high skilled manufacturing declining, as shown in the table below.

Table 2.1 Percentage share of total employment in high skilled occupations and sectors, 2004 and 2014

Sector/Occupation				
	2004	2014	2004	2014
Managers, professionals, technicians	39.2	43.7	35.3	39.1
High skill market services	13.1	15.5	7.9	10.4
High skill manufacturing	9.2	8.0	10.2	9.9

Source: Alphametrix (2005) *The Implications of Demographic Trends for Employment and Jobs, Final Report*

In terms of educational levels, the corollary of these structural changes is that the demand for workers with tertiary education is projected to increase across the EU-15 relative to that for those with lower education levels, which is reflected in a projected rise in their share of total employment from 26% of the total to around 29% over the 10 years 2004 to 2014. The share of those with upper secondary education is also projected to rise, but only by a little – by some half a percentage point – while, as a counterpart, the share of jobs taken by those with only basic schooling is projected to fall from 27% to 23%. In the New Member States, the share of jobs going to those with tertiary education is also projected to increase and by around the same amount as in the EU-15, but, in this case, this is reflected

in a reduction in the share of employment of those with upper secondary education as well as those with basic schooling, though more for the latter than the former.

Significantly, as Cedefop¹ points out, qualification requirements are expected to rise in all occupational groups: even in elementary occupations qualifications at upper secondary level (ISCED 3-4) and even higher levels (ISCED 5-6) are forecast to increase, despite the fact that such occupations require mostly simple and routine tasks, and limited personal initiative and judgement. This makes the tackling of issues of low skills and social and labour market integration – which we discuss in chapter 7 – all the more important. As the Cedefop report also points out, there is also much evidence that the changing nature of job requirements will increase the need for formal qualifications in many fields.

How do these estimates of demand compare with estimates of supply? Patterns of projected over and under supply of labour vary substantially between Member States. Amongst the Old Member States, it is in Denmark, Germany, Finland and Sweden that there is likely to be a need to expand the number of people on the labour market with tertiary qualifications. In contrast, in Spain and Italy the need will not be so much to expand the number of university graduates but to make better use of those who are available for work by reducing unemployment rates among graduates. In both countries high rates of tertiary level unemployment may reflect a possible mismatch between the areas of specialisation of those concerned and labour market needs.

In the New Member States the pattern is even more varied. In Latvia, Lithuania, Poland, Cyprus and Malta, it is possible that the demand for graduates may fall short of supply but there are data problems with respect to these countries and so this conclusion needs to be treated with care. By contrast, in Hungary, Slovakia, the Czech Republic, Slovenia and Estonia there is likely to be a need to expand the number of people completing tertiary education in order to fill the jobs being created.

Given such situations of tertiary level under-supply the alphametrics report considers the possibility that people with upper secondary qualifications could fill the gap, given they are far more numerous than people with tertiary education. It concludes: 'This question has to remain open, but given the nature of many of these qualifications and the suitability of the education and training programmes concerned for preparing people for the jobs in question, there has to be doubts about this.' (p.70) One way forward to address such issues is clearly the development of effective pathways from upper secondary to higher education.

Whilst the foregoing analysis provides a broad overview of the changes currently in progress its major drawback is that the data on which it is based (which is typical of the type of data available) is at a high level of generalization and does not paint a detailed picture of the types of new labour market demands that are emerging. Additionally it generalizes levels of education attainment and in particular makes it difficult to place new demands within the structure of education systems. Fortunately illustrative examples can be used to fill in the detail.

¹ Cedefop (2008) *Future Skill Needs in Europe: Medium-term Forecast, Synthesis Report*

The table below illustrates the types of new skills needs that are emerging to support the knowledge economy. It should be noted that the changes vary in terms of their numerical significance (i.e. the numbers of people required on the labour market) since in some sectors the skills needed are highly significant but may be performed by comparatively small numbers of individuals.

Table 2.2 Illustrative examples of new skills developments

Sectors/occupations	Key Developments
Construction	Trend away from towards traditional crafts such as bricklaying, plastering, carpentry, and plumbing towards multi-skilling. Advent of proprietary systems and prefabrication leading to down-skilling in certain occupations. This means students need to have a good general grounding in the skills of construction, supplemented with specialist knowledge. Level of skill needed similar to upper secondary but calls for short courses to regularly update knowledge after initial training.
Engineering	Decline of traditional split between electrical and mechanical engineering with development of mechatronics. Decline of the traditional craft worker and rise of the multi-skilled craft technician. Requires a broader range of skills, some of which may be more advanced than traditionally taught at upper secondary level.
Manufacturing	Application of science and technology to wide variety of products and processes. Emergence of new sub-sectors, e.g. biotechnology and development of existing ones, e.g. food and drink production with new high level skill requirements. Technician level increasingly important.
IT and telecommunications	Growth and development of wholly new sectors and occupations spanning the traditional manufacturing/service divide. High skilled technicians required also able to provide high levels of customer service requiring generic skills
Logistics	Transformation of the transportation sector through application of new technologies to warehousing functions such as 'picking and sorting' and of mobile communications technology to tracking and goods handling. Emergence of the logistics management function requiring high levels of technical expertise at ISCED 4 – 5.

Source: ECOTEC Research & Consulting Ltd

As can be seen the main trends are not simply a question of higher levels of skills – in some cases the need is for a broader grounding complemented with more detailed specialist knowledge. But in some sectors we can see the emergence of demand for practical skills that are typically above those acquired through upper secondary level education and training but without the theoretical knowledge normally provided by tertiary level education and training. We can also see the importance of new occupations in sectors like IT and telecommunications, the blurring of production and service boundaries, and the need for multi-skilling and flexibility in the workforce.

2.4 Relationship of employment to educational level

To what extent are the developments described in the preceding sections reflected in patterns of unemployment and employment by educational level? In this section we examine existing quantitative data to address this question.

2.4.1 Unemployment rates by level of educational attainment¹

Rates of unemployment reflect complex supply and demand patterns and the interplay of long-term structural factors and short-term ones related to economic cycles. Generally speaking, given the nature of the growing demand for higher level skills and the fact that fewer people enter the labour market with higher levels of educational attainment than lower levels, we would anticipate that higher levels of qualification would currently be in strong demand and might therefore lead to lower rates of unemployment. The table below shows that this is indeed the case: there is a clear negative relationship between unemployment and educational achievement.

Table 2.3 Unemployment rate according to educational attainment among population aged 25-64, 2005

Country	Overall unemployment rate	ISCED 0-2/3c	ISCED 3-4	ISCED 5-6	Difference between ISCED 0-2/3c/ and ISCED 3-4 (absolute)	Difference between ISCED 0-2/3c/ and ISCED 3-4 (percent)
Malta	7.3	6.4	1.1	2.5	5.3	582
Slovakia	16.3	48.1	11.8	3.9	36.3	408
Czech Republic	7.9	23.9	6	2.2	17.9	398
Bulgaria	10.1	18	7.7	3.8	10.3	234
Hungary	7.2	13.5	6	2.3	7.5	225
Austria	5.2	8.5	3.9	2.6	4.6	218

¹ To examine the unemployment rate per educational attainment level we have used comparative Eurostat data which covers the period 1998-2006. Due to lack of further specific Eurostat data, we have used OECD data to examine how the unemployment rate differs within a certain educational attainment level by strand (vocational and general programmes).

Country	Overall unemployment rate	ISCED 0-2/3c	ISCED 3-4	ISCED 5-6	Difference between ISCED 0-2/3c/ and ISCED 3-4 (absolute)	Difference between ISCED 0-2/3c/ and ISCED 3-4 (percent)
Germany	9.5	20.5	10.5	5.3	10	195
Belgium	8.4	12.5	6.5	3.9	6	192
United Kingdom	4.8	6.7	3.6	2.2	3.1	186
Ireland	4.3	6	3.3	2	2.7	182
Norway	4.6	5.4	3.2	2.1	2.2	169
France	9.7	11.6	7	5.7	4.6	166
Poland	17.7	24.8	15.7	6	9.1	158
Denmark	4.8	4.9	3.2	3	1.7	153
Latvia	8.9	11.5	7.5	4.8	4	153
Lithuania	8.3	11.4	7.7	3.1	3.7	148
Finland	8.4	10.8	7.3	3.8	3.5	148
Italy	7.7	8.1	5.6	6.1	2.5	145
Luxembourg	4.5	5	3.5	3.2	1.5	143
Netherlands	4.7	5.5	3.9	2.8	1.6	141
Sweden	7.4	7.8	5.6	4.5	2.2	139
EU-15	7.9	9.6	7	4.6	2.6	137
Spain	9.2	9	6.9	5.8	2.1	130
EU-27	8.7	10.4	8.1	4.5	2.3	128
Slovenia	6.5	8.2	6.7	3.2	1.5	122
Cyprus	5.2	5.2	4.4	3.5	0.8	118
Croatia	12.6	12	10.9	5.4	1.1	110
Portugal	7.6	7.9	7.7	6.1	0.2	103
Romania	7.2	6.2	6	2.8	0.2	103
Greece	9.8	7.8	9.5	6.9	-1.7	82
Estonia	7.9	:	8.3	3.7	n.a.	n.a.
Iceland	n.a	n.a	n.a.	n.a.	n.a.	n.a.
Switzerland	n.a	n.a.	n.a.	n.a.	n.a.	n.a.

Source: Eurostat, 2007

Table 2.3 offers an overview of the unemployment rate per country by level of education, and highlight some important aspects. Firstly, they show that in some countries the differential between educational levels is much more substantial than in others. This is notably the case in Central and Eastern Europe (with the exception of Romania and Slovenia) where some rates of unemployment amongst those with the lowest levels of skills are very high, perhaps reflecting the economic restructuring process over the last decade. However, there are also a number of OMS which have strong differentials, notably Austria, Germany, Belgium, Ireland and the UK. Notably, in the Mediterranean OMS the differentials tend to be comparatively low. Secondly, the table shows where unemployment rates for tertiary graduates are high and it is notable that the Mediterranean OMS tend to have high rates.

It is crucial to note that the rates of unemployment tell us nothing about the types of job that individuals might be in and thus whether the labour market in different countries is absorbing the highly qualified into highly skilled occupations or whether they are being absorbed into less skilled positions, although as noted in the previous section in Italy and Spain there is likely to be a skills mis-match.

Having discussed the general trends in relation to educational level, the following section analyses differences in unemployment rates between general and VET-oriented programmes.

2.4.2 Unemployment and employment rates by type of programme: general and VET-oriented compared¹

The key question here is: are there any notable differences in rates of unemployment between people who have been on VET courses and those who have been on more general ones? In general, one might expect that individuals who had undergone VET, being more directly attuned to labour market demands, would be less likely to experience unemployment than their general education counterparts. OECD data enables us to examine this question at upper secondary level and above, as shown in the table below. Unexpectedly, looking at the OECD and EU-19 averages, it would appear that in many cases at both upper secondary and tertiary levels the unemployment rate for VET tends to be *higher* than for general education².

What interpretation should be put on the fact that VET may offer weaker employment prospects than general education? Does it mean that VET is failing in some way? First it should be noted that these data are not without their difficulties since the classification of courses into the different levels (especially in the case of post-secondary non-tertiary) and into VET and general is problematic. In particular, it should be noted that, owing to variations in the way data is collected and the definitions applied at national level, courses classed as 3A (general) may in fact include some VET in some Member States. That notwithstanding, a range of explanations is possible:

- First, unemployment rates reflect supply and demand and hence what the figures indicate is a greater imbalance between supply and demand for people with VET qualifications than general ones. It may be significant that in three of those countries where there are well-established and

¹ The data used in this section derives from OECD and is not directly comparable with the Eurostat data used in the previous section. Unfortunately it does not cover all the countries within the study but nonetheless provides interesting and useful insights into the issues at hand.

² It should be remembered that the data relates to the entire working age population and not just those leaving upper secondary and entering the labour market for the first time.

highly institutionalised linkages from the education and training system into the labour market not least through the dual apprenticeship system (Denmark, Austria and Switzerland), VET offers better employment prospects at upper secondary level than general education.¹ In contrast Spain, Italy, Greece and Slovakia stand out with some unusually high rates of unemployment in certain parts of their VET systems, which might point to potentially more challenging problems than elsewhere.

- Secondly, it could be that general education (outside those countries with a strong institutionalised linkage between VET and the labour market) provides greater insulation against unemployment over an individual's lifetime as VET skills get outdated.
- Thirdly, the patterns could reflect the fact that generic skills are increasingly valued in the knowledge economy.

There are thus a variety of potential reasons to explain the patterns observed and in any one national context any combination of them may be relevant.

Another key issue for the study concerns the post-secondary and tertiary levels since these are levels where labour market demands are strong. With regard to post-secondary non-tertiary education, in 9 out of the 13 European countries for which data is available the unemployment rate is better for this level than for upper secondary level. In other words, it suggests that staying on into education at this level tends to offer better opportunities for employment. If we compare post-secondary non-tertiary with *vocationally oriented* upper secondary the situation is even more pronounced with 9 out of 11 countries having better unemployment rates at post-secondary non-tertiary level. Those countries where the rate of unemployment is worse at post-secondary level are Greece, Italy, Poland, and Ireland. In Greece and Italy particularly high unemployment rates are recorded which raises questions about the value of this route for the individuals concerned (this is a new route in the case of Italy and we discuss it further in chapter 6).

In some countries the data enables a comparison to be made of unemployment rates at post-secondary non-tertiary and tertiary level vocational education (type B). In nine out of 13 countries, the unemployment rate is worse at post-secondary level than tertiary type B, but in four it is better. This suggests that in most cases there is some incentive in terms of likelihood of gaining employment in progressing from post-secondary into tertiary level (for those able to do so), but that in some countries (Finland, Iceland, Luxembourg, Netherlands) this is not the case. Of course, this takes no account of the types of employment or salary levels involved.

¹ Curiously, this does not appear to be the situation in Germany but this may be due to its recent poor economic situation and restructuring.

**Table 2.4 Unemployment rates and highest level of educational attainment (2004)-
population aged 25 to 64 (%)**

		Upper secondary education		Post- secondary non-tertiary education	Tertiary education	
	ISCED 3C Short	ISCED 3C Long/3B	ISCED 3A		Type B	Type A and advanced research programmes
	(3)	(4)	(5)	(6)	(7)	(8)
OECD average		6.4	6.3		4.0	3.8
EU19 average		7.4	6.6		4.6	4.1
Australia	a	3.0	4.6	3.3	3.0	2.8
Austria	a	3.8	5.2	2.5	2.4	3.4
Belgium	a	9.0	6.2	5.4	3.7	4.0
Canada	a	X(5)	6.1	6.1	4.7	4.7
Chile	x(5)	x(5)	7.7	a	11.6	6.5
Czech Republic	a	8.1	4.2	X(8)	x(8)	2.0
Denmark	6.2	4.5	7.6	c	6.0	3.2
Finland	a	a	8.2	4.0	5.4	4.1
France	a	7.3	8.1	X(7)	5.1	6.8
Germany	a	11.9	9.8	6.5	5.8	5.4
Greece	5.6	7.5	9.6	11.5	6.9	6.9
Hungary	a	6.1	3.8	4.7	1.6	1.9
Iceland	0.6	1.9	7.5	1.8	2.3	0.8
Ireland	c	a	3.0	3.4	2.5	1.9
Israel	x(5)	x(5)	10.6	a	7.2	5.6
Italy	13.2	5.2	5.0	10.5	6.1	4.7
Japan 1	m	m	m	m	M	m

		Upper secondary education		Post- secondary non-tertiary education	Tertiary education	
Korea	a	x(5)	3.5	a	3.6	2.6
Luxembourg	5.4	3.0	3.9	2.4	3.0	3.0
Mexico	a	2.8	A	a	3.1	3.0
Netherlands	x(4)	4.2	3.7	3.4	3.8	2.7
New Zealand	a	x(5)	2.3	3.0	1.9	2.6
Norway	a	3.8	4.1	3.0	2.3	2.4
Poland	20.7	a	14.2	14.4	x(8)	6.2
Portugal	x(5)	x(5)	5.7	3.7	x(8)	4.4
Slovak Republic	x(4)	18.8	10.5	a	6.4	4.7
Spain	c	11.0	8.5	c	7.9	7.1
Sweden	a	x(5)	5.8	X(5)	4.7	3.9
Switzerland	c	3.6	5.7	2.3	2.0	2.2
Turkey	a	9.8	10.3	X(8)	x(8)	8.2
United Kingdom	4.0	3.6	2.9	a	2.2	2.3
United States	x(5)	x(5)	5.6	X(5)	4.3	2.9

Notes:

a category not applicable

m data not available

c or *n* too small sample to provide reliable estimates.

x(..) refers to the figure in the same row under column number *x*()

For complete overview of symbols, go to <http://www.oecd.org/dataoecd/44/27/35333193.pdf>

Due to incomplete data, some averages have not been calculated.

Source: Education at a glance, 2006, OECD. See Annex 1 for a description of ISCED-97 levels.

2.5 Conclusions and implications for VET

What can we conclude from this analysis of employment trends and what are the general implications of these developments for the response of VET systems across the EU?

In terms of the nature of employment we can observe that:

- The broad structural shift out of manufacturing into services – and high skill services in particular – continues across Europe with little to differentiate the NMS from the OMS. The rate of overall employment growth in the NMS has been somewhat depressed which may have constrained the rate of restructuring. If this picks up in coming year's demands on the labour market and in turn on VET systems may rise.
- Growth has been concentrated in high skilled sectors and occupations, but lower skills levels remain in demand. Indeed, elementary occupations will continue to expand, and the need for higher level qualifications (upper secondary qualifications especially) will rise, with serious potential consequences for the low skilled.
- Supply and demand patterns vary and in some countries there is forecast to be an under-supply of tertiary skills (in the OMS in Denmark, Germany, Finland and Sweden; and in the NMS in Hungary, Slovakia, the Czech Republic, Slovenia and Estonia) and in others an over-supply (in the OMS in Spain and Italy; in the NMS in Latvia, Lithuania, Poland, Cyprus and Malta)
- The skills required in many industries are shifting upwards out of upper secondary education into tertiary level and also into the post-secondary territory in between where industry requires higher levels of practical/technical skills without the full underpinning theory provided at tertiary level.

How are these patterns reflected in patterns of unemployment and employment by educational level?

- Overall, in terms the basic dimension of simple employment prospects, there is an incentive for individuals to progress to higher skill levels.
- However, in most countries in the sample for which data is available VET appears to offer *worse* employment prospects within upper secondary and tertiary levels than general education. This may reflect – and at the very least is not out of kilter with - the labour market trend towards increasing demands for generic skills – either instead of or coupled with occupationally specific ones, and the low value attached to VET in many countries.

What are the implications for VET?

- Generally there is a need for greater flexibility and responsiveness in VET systems as the pace of change is more rapid than in previous generations.
- There is a cross-sectoral need to change the content of VET to better equip people with the types of generic skills now in demand.
- There is a growing demand for skills above upper secondary level although the precise nature of this varies by sector and occupation. New programmes are needed to respond to this demand.
- There is a need in some sectors for a broader grounding in an occupation, to cope with demands for greater flexibility and multi-skilling, supplemented by specialist knowledge, which may need regular updating where the application of technology is developing rapidly. This latter need might be satisfied through short courses.
- In circumstances of future under-supply of tertiary graduates VET systems will have to try to ensure a greater throughput of individuals into the labour market, drawing people into higher educational levels.
- Finally, there is a need for more involvement of employers and others at a systemic level to ensure VET has a better balance with labour market needs.

Clearly these implications need to be considered in individual country contexts, and it is to a broad examination of the differences in these contexts that we turn in the next chapter.

3.0 Putting VET systems in context

3.1 Introduction

In the previous chapter we examined the main economic trends that are currently placing demands upon VET systems. In this chapter we look at how those VET systems are configured in a general sense to respond before moving - in subsequent chapters - to look at the specific policy responses being made in the two areas of particular concern for the study.

The chapter does two things. First, it draws on existing literature to build a conceptual understanding of the interconnections and mutual interdependencies between (i) education and training systems, (ii) the labour market, and (iii) employment protection and social welfare systems. This is important because without a sound conceptual understanding both of the contexts in which education and training systems are embedded and how they vary across Europe our ability to understand the changes taking place will be constrained. The second thing the chapter does is to construct an analytical framework based on major systemic differences between European countries in their approach to VET. The result of this process is a broad typological framework that groups countries into a number of clusters which are used as an explanatory tool in the remainder of the report.

It should be stressed that of course we acknowledge from the outset that grouping countries into clusters inevitably simplifies what is an extremely complex picture. As we shall see during the course of the report, depending on the issue in question or the data set being analysed, individual countries can be more or less related to a particular grouping, and can at times appear as the exception rather than the rule. However, without an approach of this sort, analysis would remain challenging almost to the point of impossibility within the constraints of the study¹. What the chapter does is to provide a broad framework that helps us to explain and interpret developments throughout the remainder of the report.

3.2 Education and training systems and their relationship with the labour market

Conceptualising the relationship between VET, society and the economy is a complex task and the theoretical literature is not extensive. However, within the last two decades or so it has been given a boost through the development of what has been variously termed 'new institutional economics'² or 'varieties of capitalism'. This school of thought has sought to conceptualise the major differences in the operation of markets between individual countries and assigns a major role to national (and sub-

¹ Indeed, the need for adequate conceptual and analytical frameworks is all the more important in light of the Copenhagen process and also EU enlargement since generalising across 27 countries is a much more challenging proposition than across 15.

² Normally attributed to the work of Douglass C North (e.g. North, D.C. (1990) *Institutions, Institutional Change and Economic Performance*, Cambridge: CUP. See also Esping-Anderson, G. (1990) *Three Worlds of Welfare Capitalism*. Princeton: Princeton University Press; Hall, P.A. and Soskice, D. (eds) (2001) *Varieties of Capitalism: The Institutional Foundations of Comparative Advantage*. Oxford: OUP; Fligstein, N. (2001) *The Architecture of Markets: An Economic Sociology of Twenty-First-Century Capitalist Societies*, Princeton: Princeton University Press

national) institutions, drawing attention in the process to the intrinsic inter-connections between education and training systems and their social and economic contexts.

Within this body of work education systems – and in particular their vocational aspects – are theorised as being intrinsically bound into the structuring of labour markets. Generally two broad types of system tend to feature– occupational and internal labour market systems. The difference between the two lies in the access to skilled labour market positions. In countries dominated by *internal* labour markets (ILMs) newcomers start in entrance jobs and career trajectories thereafter depend considerably on training acquired on-the-job such that there is a relatively high level of training during an individual's working life. The UK and the US are often given as exemplars where these types of systems predominate. In contrast, in *occupational* labour markets (OLMs), there is a strong link between the skills people acquire during VET and the skills required on the labour market. Furthermore, there is a high degree of consistency across firms and even industries in skills acquired. In essence the VET system plays a key role in stratifying individuals into occupations *before* they fully enter the labour market. Germany is frequently invoked as the ideal type.

A number of researchers have attempted to look in more detail at education and training systems and in the process have made refinements to the categories employed. Brown, Green and Lauder¹, for example, bring a welcome complexity to the categories being deployed and identify alongside internal and occupational labour markets, the state guided labour market (Singapore being the exemplar) and the flexible labour market (which they ascribe to the UK, recognising that whilst it has elements of internal labour markets the commitment to a 'job for life' found in Japan is largely absent).

A number of attempts have been made to capture the enormous diversity across Europe. These have looked at different aspects of education and training and have resulted in different clustering of countries, although the degree of consistency between them is striking. Olivier² was an early attempt to encompass the diversity in European VET, noting the role of three groups of factors in accounting for the diversity: the overall education system, the functioning of labour markets, and the pattern of industrial relations.

Aventur, Campo and Möbus³ based their analysis on the involvement of individuals and employers. The research showed that as far as lifelong learning was concerned, the initiative taken by employers and individuals was lowest at the end of the 1990s in Mediterranean countries and highest in Scandinavia, with continental European countries falling somewhere in between. As far as employers' role in IVET and CVT was concerned, this was, again, weakest in the Mediterranean group, but other countries showed a different position. Notable are: Germany and Austria where employers played a 'dominant and institutionalised' role; and the Scandinavian group where in Sweden and Finland employers had a comparatively minor role in IVET (which is school-based) but a strong role in CVT, whereas in Denmark, which operates an apprenticeship system akin to that of Germany and Austria,

¹ Brown, P., Green, A and Lauder, H. (2001) *High Skills: Globalization, Competitiveness and Skill Formation*. Oxford: OUP

² Olivier, B (1998) *Trends and Issues in Vocational Education and Training: A Perspective from Europe*, Paper given to the Seminario sobre Formacion Profesional y Empleo, Mexico 28th September – 1st October 1998, Programa de Cooperacion Iberoamericana para el Diseno de la Formacion Profesional

³ Aventur, F., Campo, C., and Möbus, M. (1999) 'Factors in the Spread of Continuing Training in the European Community,' *Training and Employment*, 35: 1-4

employers had a dominant and institutionalised role in IVET but also a strong role in CVT, perhaps reflecting the importance of the lifelong learning culture and its social partner structures.

Estevez-Abe, Iversen and Soskice¹ identified five groups of countries²: one group, including the UK and Ireland, where VET is classified as 'weak' on account of low rates of participation in VET, and four others where VET is 'widespread and highly institutionalised'. They differentiate between these four groups on the basis of the extent to which training is organised mainly at company or industry level. France and Italy they place in one group on the basis that company training is dominant. In the three remaining groups, some combination of on-the-job and school-based training prevails, with heavy involvement of social partners. They differentiate: apprenticeship systems (Germany, Austria Switzerland); 'vocational school systems' (Sweden, Finland, Norway); and 'mixed' (Belgium, the Netherlands, Denmark). However, they acknowledge that all three of these types combine theoretical, industry-specific and direct workplace training, and that it is difficult to judge the balance between the two. Belgium, the Netherlands and Scandinavian countries (less so Sweden) tend to emphasise school-based training and the provision of non-firm-specific skills more than Germany³ and Austria⁴.

There have also been attempts to cluster EU countries as part of more specifically educational pieces of work. Gangl⁵ in his research on transitions from education systems into work identifies both internal and occupational labour market systems and a third distinct group of Mediterranean countries. His classification is as follows:

- Belgium, France, Ireland and the UK: countries where internal labour market systems predominate with education systems focused on general education with weak ties to specific needs in the labour market and comparatively weak employer involvement
- Austria, Germany, Denmark and the Netherlands: countries where the labour markets are occupationally structured and where the highly developed and institutionalised vocational systems with strong employer involvement play a key role in this structuring
- Greece, Italy, Portugal and Spain: where labour markets are characterised as rigid, both in terms of formal employment protection and career mobility patterns; and where family support is much stronger than elsewhere in Europe, allowing young people to wait until adequate employment can be secured. Interestingly, Spain differs somewhat in having tried to make youth labour markets more flexible by introducing fixed-term contracts. However, to date there has been much less work to understand this group of countries within a theoretical framework.

¹ Estevez-Abe, M., Iversen, T., and Soskice, D., (2001) *Social Protection and the Formation of Skills: A Reinterpretation of the Welfare State* in Hall and Soskice, *ibid*.

² It should be noted that the data they use is mainly from the mid-1990s and therefore now quite dated.

³ Although it should be noted that Germany has recently reformed its VET to allow for more school-based opportunities.

⁴ Austria in fact has both school-based and apprenticeship VET that are approximately equal in terms of shares of participants (around 40% each) with the rest in general education, and so it might be better placed in the 'mixed' category

⁵ Gangl, M. (2001) *European Perspectives on Labour Market Entry: A Matter of Institutional Linkages between Training Systems and Labour Markets?* Prepared as part of the TSER project: Comparative Analysis of Transitions from Education to Work in Europe (CATEWE)

In his work on double statuses in youth transitions (where young people are simultaneously in work and training) Wolbers¹ employs Gangl's typology and finds that in the internal labour market group double status is less common than in the occupational labour market group and that in the Mediterranean grouping 'double status positions ... hardly exist. After initial education, young people ... are either employed in a stable job or outside the labour force, running the risk of long-term economic and social exclusion and depending upon family support' (p.18) A substantial proportion of young people in these countries was in neither education/training nor employment.

Finally Smyth *et al*² adopt the approach of placing countries along a single continuum which embraces the ILM/OLM distinction but recognises that there are also numerous distinctions between countries. At one end of this continuum are countries such as Germany with strong occupational labour markets (OLMs), standardised and track-differentiated education systems, and strong links between education and the labour market (often through apprenticeship systems). At the other end of the continuum are countries dominated by internal labour markets (ILMs), with less standardised and less differentiated education systems, weaker links between education and the labour market and little formal work-based training. They argue that the advantage of their 'single continuum' approach is that it draws attention to the interrelated nature of the dimensions, although they point out that it also 'signals the need for further research and theoretical development' in order to help to explain the consequences of the inter-relations (p.94).

In all these studies, the absence of EU New Member States is notable. This is perhaps not surprising in one sense, given the lag involved in research, but it is still concerning as they scarcely feature at all even at the most general level. Furthermore, in the case of Central and Eastern European countries they ignore the fact that many countries shared a common history before the socialist era. Thus the countries that previously fell within the Austro-Hungarian empire share many common roots which are now re-appearing³; the Austrian, Czech and Slovak education and training systems for example have a common ancestry and indeed some of the key features of the Austrian system had their origins in the Czech Republic.

¹ Wolbers, M. (2001) Learning and Working: Double Status in Youth Transitions within the European Union. Prepared as part of the TSER project: Comparative Analysis of Transitions from Education to Work in Europe (CATEWE)

² Smyth, E. (2001) A Comparative Analysis of Transitions from Education to Work in Europe: Final Report

³ 'Post-enlargement stress', *The Economist*, 10th November 2007, p. 54

A recent exception to the lack of research is Saar, Unt and Kogan¹, who find that 'a uniform classification for post-socialist transition systems is hardly feasible' (p.16) although at present the body of research is quite limited. Their own research finds 'clear distinctions within the group of CEE countries in terms of youth transition to labour market' which stem from 'differences that already existed in their socialist past, the options they have taken during the transformation process, and the progress they have achieved so far.' Specifically they found that:

- Slovenia clearly contrasts with other CEE countries with similar transition patterns to Germany, but with weaker links between the education system and the labour market and greater flexibility in the youth labour market
- Poland and Slovakia are similar in having an education system with low vocational specificity and a youth labour market where new entrants find it hard to compete with those already in employment, although inward investment has led to a strengthening of VET provision in Slovakia in relation for example to the car industry. Nonetheless, generally it remains especially difficult for school leavers with low levels of attainment to enter the labour market.
- Hungary, the Baltic States and the Czech Republic also show similarities in the transition process, although in Hungary and the Baltic States the specificity of the education system is low, whilst in the Czech Republic it is more vocationally oriented (and as just noted the system has much in common with Austria). A particular feature of this cluster is that there is a comparatively low rate of fixed-term contracts amongst labour market entrants.

However, the picture in Central and Eastern Europe is often a fast moving one as governments seek to find ways to adjust to what can be quickly changing circumstances. For example, as shown later in this report, Poland has tried a number of policies with respect to the balance between VET and general education in quite a short period of time. And most CEE countries – along with Cyprus and especially Malta – have been considerably affected by shifting investment patterns, with some, such as Slovakia as we have just noted, being the recipients of significant inward investments which have led to increasing VET provision.

¹ Saar, E., Unt, M. and Kogan, I (2005) Transition from Educational System to Labour Market in the European Union: A Comparison between New and Old Members. Paper presented at the ECSR conference 'Comparative European Studies: Assessing ten years of sociological research : 1995-2005', 25-26 November 2005, Paris, France

Finally, we cannot ignore the important differences that exist in the overall structure of education and training systems. There are different ways of looking at these systems but a helpful summary approach is provided by Kritikos and Ching¹ who distinguish the following types:

- **The highly comprehensive system**

A common core curriculum is applied until the age of 16

Denmark, Estonia, Finland, Poland, Spain, Sweden, UK, Romania, Iceland, Norway, Australia, USA

- **The medium comprehensive system**

A common core curriculum is applied until the age of 15

Cyprus, France, Greece, Ireland, Latvia, Portugal, Slovenia, Japan

- **The low differentiated system**

A particular branch or type of schooling has to be chosen from the age of 14 onwards

Belgium (Flanders), Italy, Lithuania, Bulgaria, Croatia, Canada

- **The medium differentiated system**

A particular branch or type of schooling has to be chosen from the age of 12 onwards

Belgium (Wallonia), Belgium (German community), Luxembourg, Netherlands

- **The highly differentiated system**

A particular branch or type of schooling has to be chosen from the age of 10-11 onwards

Austria², Germany, Slovakia, Czech Republic, Turkey, Malta

In countries with systems that are highly and medium comprehensive and low differentiated, the decision to follow vocational education is postponed for as long as possible, mostly until the age 15-16. Before this age, education consists of a standard general curriculum. In these countries the education system is very often divided into general-oriented basic education in the primary or lower secondary phase, which covers the 12-16 age group, and upper secondary education with different general and vocational tracks for the 16-18 age group. However, a clear distinction between lower and upper secondary levels is not made in every country. For example, in Belgium (Flanders) under the reformed system students proceed within secondary education through three subsequent grades and then select either general or vocational education in grade two (approximately at age 15-16). In medium to highly differentiated countries, students can select to enter vocational education and training around the age of 10-12.

3.3 Employment protection and social welfare systems

Thus far we have looked directly at the relationship between education and training systems and the labour market, but there is another element that also needs to be considered, which the role is played by employment protection and social welfare systems. It is beyond the scope of this study to explore this topic in depth (the literature is considerable) but clearly it is important to consider the ways in which VET interacts with these systems in broad terms and how the structure of this relationship varies between broad sets of countries; it has ramifications for issues such as labour market entry – and re-

¹ Kritikos, E., Ching, C., 2005, *Study on access to education and training, basic skills and early school leavers* (ref DG EAC 38/04), Lot 3: early school leavers, final report, European Commission DGEAC, London: GHK

² Austria in fact has a common core curriculum from 10-14 and is piloting a medium comprehensive approach

entry – and also for social disadvantage. Here we shall trace out some of the main dimensions relevant to the topics in question.

Employment protection systems are designed to protect people in work and can therefore shape the structure of the labour market, the entry of people into particular occupations and the attitudes of individuals towards training. In Germany for example the extensive nature of employment protection legislation in the context of major economic change (such as that described in the previous chapter) is seen as leading to the development of a two-tiered labour market in which one segment of the labour force exists in full-time, protected employment whilst growing numbers of people are finding themselves in an 'unofficial' labour market on short-term contracts that do not benefit from employment legislation. Naturally such structuring is likely to have an effect on attitudes towards and the availability of both initial and continuing training. It shapes the calculation of the costs and benefits of entering the labour market versus staying on in education and also of the differing types of education available. It may increase the value attached to – and competition for – training leading to protected occupations. For those in less well protected, short-term employment training may be scarce. Somewhat ironically, meanwhile, those in protected occupations may not feel the need for further training, leading to low rates of lifelong learning.

Social benefits systems can also have an important effect on the calculus applied to education and labour market choices, most notably where 'benefit traps' are created in which the fiscal incentive for individuals to train and to seek employment is reduced by the level of benefit payments that can be accessed. Attempts to address this issue through 'welfare to work' policies are now commonplace, and can (controversially) include the compulsion of individuals in receipt of benefits to undertake retraining and to accept jobs they might, in other circumstances, be unwilling to take up.

In the European context, the much-vaunted 'flexicurity' approach– developed initially in Denmark, but now adopted as a widely promoted policy solution at EU level – seeks to find a solution to these types of rigidities and dysfunctions. In place of protecting individuals in particular jobs it seeks to protect broad types of employment which opens up labour market flexibility whilst at the same time providing sufficient social security (hence the term)¹.

Looking across Europe, are there any patterns in terms of employment protection and social welfare systems? The same difficulties are of course faced here as in the classification of types of education and training system, but broadly speaking four distinct models can be discerned² - again the lack of coverage of new Member States in this body of literature is as important a gap as it is in the institutional analysis of VET systems as noted above. It should also be noted that attempts are increasingly being made to reduce the rigidities within labour markets, which sit as a corollary to attempts to make education and training systems more open. Nonetheless the distinctions still pertain and the fact that these groupings are congruent with those discussed above is indicative both of the extent to which institutional regimes in different policy fields are interlinked and also testimony to the importance of the

¹ European Commission (2007) *Towards Common Principles of Flexicurity: more and better jobs through flexibility and security*. Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions. Brussels 27.6.2007 COM(2007)359 final

² Sapir, A. (2005) *Globalisation and the Reform of European Social Models*. Bruegel Policy Brief, Issue 2005/01, November 2005.

underlying social and economic fabric in structuring them in the first place. The four groupings are as follows:

- *Mediterranean countries* (Greece, Italy, Portugal and Spain) in which there is very strong employment protection legislation but comparatively low unemployment benefits provision, and in which social spending is concentrated on old-age pensions linked to early retirement and entitlements and status are highly segmented.
- *Continental countries* (Austria, Belgium, France, Germany¹ and Luxembourg) whose employment protection legislation is somewhat less strict than in the Mediterranean countries but which is offset by generous unemployment benefits and again a focus on old-age pensions.
- *Nordic countries* (Denmark, Finland and Sweden, plus the Netherlands) which tend to have still weaker employment protection but which have unemployment benefits that are both generous and comprehensive – indeed they have the highest levels of social protection expenditures and universal welfare provision, with extensive fiscal intervention in labour markets based on a variety of “active” policy instruments.
- *Anglo-Saxon countries* (Ireland and the United Kingdom) whose unemployment benefits are as extensive as continental and Nordic countries but whose distinguishing feature is the very low level of employment protection which makes for a highly flexible labour market. Social assistance takes the form of a 'safety net' of last resort with cash transfers that are primarily oriented to people of working age. Activation measures are an important component of policy, although spending on them is comparatively low (especially in the UK – see section 7.12.2).

3.4 Implications

The implications from this review of the literature are broadly two-fold. First, there are some general implications for our understanding of VET systems, and secondly we can be confident in identifying some broad country clusters as a framework to help us understand what is going on in VET.

In terms of general implications, we can say the following:

1. The nature and role of VET is contingent on the specific context within which it is located. Its function depends on economic and social conditions and relationships, and on the institutions that derive from and express those conditions and relationships. Thus we would expect to see VET playing a very different role where rates of secondary completion and lifelong learning participation are low, compared to where they are high.
2. We would expect VET to have a different function depending on its particular institutional setting – the most important aspects of this being not only the wider education and training

¹ Although some countries have introduced various de-regulation measures to bring more flexibility into the labour market, such as Germany in 2004

system but also the labour market institutions with which VET inter-relates as these play a key role in school-to-work transitions and in the ability of the disadvantaged to access VET. Thus the nature and role of VET pathways will vary as will the role of VET in relation to social exclusion across Member States. As we show throughout this study, this is indeed the case.

3. In relation to Lisbon, some systems are likely to be already more in tune with the needs of the Lisbon agenda than others, and some are likely to be inherently more flexible and adaptable to changing circumstances. It follows that those systems in most need of reform are likely to be those which are some distance from being able to deliver on Lisbon and have relatively low levels of adaptability and flexibility.
4. Finally, linking this analysis back to our findings on labour market demand (chapter 2), it is important to note that different systems may be able to meet new demands in different ways. As we noted, the same occupation can have different entry requirements in different countries, not least depending on the regulatory framework; and individuals in similar occupations in different countries can have followed different pathways, in some cases vocational, in others general (indeed in some countries such as the UK, this may also vary by sector, as in the case of management positions in, say, manufacturing - where people may have vocational backgrounds - compared to the service sector – where they may have followed general routes). Importantly for the question of pathways, this can mean that in some countries needs are met at upper secondary level, whilst in other cases further study is needed, depending on demand in the labour market. The relationship between demand and supply is thus highly complex and mediated by the interplay between a large numbers of complex factors.

In relation to the identification of country clusters, it is clear that although existing literature has identified different clusters for different purposes, it shows a remarkable degree of consistency. Broadly speaking six clusters can be identified. Whilst some countries tend to move between clusters depending on the priority accorded to different variables in the methodology employed, our framework is flexible so we do not regard these countries as exceptions causing difficulties but as worthy of consideration in their own right as they can shed light on the effect that certain factors can have. Denmark and the Netherlands are notable in this respect: they share some of the characteristics of both groups of 'continental' countries. It is also important to note that some countries might be classified under one cluster according to one part of their system but under another cluster according to another part.

The six clusters are:

- **The Nordic countries** characterized by a strong lifelong learning culture; school-based VET is dominant, with comparatively low levels of employer involvement in IVET in Sweden and Finland (though high in Denmark where there is also an apprenticeship system akin to Austria and Germany) but high levels in CVT (in Denmark, Finland and Sweden); levels of social protection expenditures and universal welfare provision are at their highest in Europe.
- **Continental systems where occupational labour markets predominate and VET is highly institutionalized** with a key role in stratification prior to full labour market entry (Germany, Austria and sometimes Denmark) coupled to strong employment protection in the case of Germany and Austria (which in a sense 'guarantees' a return from the large number of years invested in initial training in clearly defined tracks from an early age); rates of labour market participation for older workers are low; and there is strong employer involvement in VET. The existence of well-developed and highly valued 'apprenticeship' routes within these systems is often seen as their defining feature.
- **Continental systems where internal labour markets and company training are more common.** In some respects this is a looser grouping than some of the other clusters, since there is not such a strongly defining characteristic and there are important differences between the 'members' (France, Belgium, Luxembourg and sometimes the Netherlands). Mixed or company-based systems predominate.¹ Parity of esteem is an important issue. France, Belgium and the Netherlands saw the introduction of work experience into vocational courses in the 1990s, and France has its vocational baccalaureate and CAP. This group is similar to the first group of continental countries in respect of social welfare arrangements and employment protection, and also has low rates of labour market participation for older workers. There is moderate to strong involvement of employers in IVET and CVT. In IVET employers' role is institutionalized, though a minority one, in France, Luxembourg and the Netherlands; and has been of relatively little importance in Belgium in the past, though in both Belgium and the Netherlands employer consultation is developing². In CVT France is distinguished from the others by the strong involvement of employers, reflecting the traditional emphasis of the system on company-based training.
- **Mediterranean countries** where labour markets exhibit a number of rigidities³. Employment protection legislation is very strict, unemployment benefits are not extensive and there is heavy reliance on family networks for support. Unlike the continental countries with prominent occupational labour markets, Mediterranean countries do not have strong VET systems to track individuals into occupations from early on. Indeed VET systems have traditionally been mainly school-based and poorly developed compared to other countries. Traditionally there has been a low level of employer involvement in training (both IVET and CVT) and of individual initiative in continuing training, raising the question of whether, as a result, VET is less well tuned to labour market needs than in other countries. All the countries in this group have been described as having 'lagging educational

¹ Estevez-Abe et al. (2001)

² Olivier, *op cit*.

³ It should be noted that Malta and Cyprus are not easily categorised as they have distinct historical traditions, not least their connections to the UK which have had some influence on their education and training systems.

systems, adapted to relatively low-tech industry requirements⁵¹. This combination of factors means that labour market entry for young people is difficult and delayed. Additionally, high youth unemployment and high rates of young people in neither education nor employment are characteristic, as are very low employment rates for people aged over 54 in light of early retirement provisions.

- **Central and Eastern European countries** – Whilst it is acknowledged that there are important differences between the NMS, we treat them as a group here, since in VET terms (as we show in this report) their systems have been subject to greater pressures and they have been subject to the ebb and flow of reform more than the Old Member States. What they have in common is that almost all inherited a highly centralised and state controlled system from the socialist period, with a resemblance to the German or Austrian systems but with later tracking of individuals into general and vocational tracks. Under that regime, there was clear definition of the link between level of education and future job, with the first workplace assigned to young people by state agencies, supported by employers and secured for all school leavers, virtually irrespective of their level of education. With the collapse of the socialist regimes, these countries have followed a variety of paths in response to a variety of factors including inward investment, globalisation, the consequences of EU enlargement and domestic politics, to cite just a few. Some countries have reverted to pre-socialist structures to varying degrees (as noted Austria, the Czech Republic and Slovakia share some key features), whilst there has also been a strong impact on VET from inward investment, notably in the Slovakian motor vehicle industry.
- **UK and Ireland.** UK – and to a lesser extent Ireland – is differentiated time and again in the literature from the rest of Europe, as being more a 'liberal market' economy or having a 'flexible labour market'⁵² than one based on social consensus. The institutional regimes governing labour markets are minimal. There is comparatively little employment protection, and unemployment benefits are used as a 'last resort'. Meshing with these arrangements are education and training systems⁵³ characterised by choice and competition, with an emphasis on general rather than vocational education and with employer involvement in IVET that is weak and voluntary, and shows strong sectoral variation with some sectors such as construction and engineering being well organised but other such as retailing being comparatively poorly organised.

In terms of the structures of the education and training systems within these sets of countries, the following table summarises three important aspects: overall structure (comprehensive or differentiated, as described above), the age of first selection, and the number of types of school or distinct programmes available to 15 year-old students. This brings out clearly some of the important differences between the clusters of countries: the comprehensive, late-differentiation approach characteristic of the Nordic and 'Anglo-Saxon' nations; the differentiated, early tracking characteristic of

⁵¹ Amable, B. (2003: 167) *The Diversity of Modern Capitalism*. Oxford: OUP

⁵² Brown, Green and Lauder (2001) classify the UK in this way, noting that 'the education and training system reflects both the demand for skilled workers in the flexible labour market and the under-lying ethos which makes it different from either occupational or internal labour markets.' (p. 191)

⁵³ There are four increasingly different national education and training systems, one for each of the constituent nations (England, Scotland, Wales and Northern Ireland)

most continental countries and those countries of Central and Eastern Europe that share a common history with Austria; the mixture of approaches in the remaining CEE countries that reflects the diversity of their contexts; and the tendency for the larger Mediterranean countries to have systems that are either comprehensive or only weakly differentiated with tracking at later ages.

Table 3.1 Structures of VET systems across Member States

Countries	'Structure' ⁵⁴	Age of 1 st Selection	No. of types available to pupils aged 15 ⁵⁵
Nordics			
Denmark	Highly comprehensive	16	1
Finland	Highly comprehensive	16	1
Sweden	Highly comprehensive	16	1
Norway	Highly comprehensive	-	-
Mediterranean			
Italy	Low differentiated	14	3
Spain	Highly comprehensive	16	1
Greece	Medium comprehensive	15	2
Portugal	Medium comprehensive	15	3
Cyprus	Medium comprehensive	15	2
Malta	Highly differentiated	16	4
Central and Eastern Europe			
Poland	Highly comprehensive	16	1
Hungary	Highly differentiated	11	3
Lithuania	Low differentiated	14	2
Latvia	Medium comprehensive	16	1
Estonia	Highly comprehensive	16	1
Slovenia	Medium comprehensive	15	4
Czech Republic	Highly differentiated	11	5
Slovakia	Highly differentiated	11	5
Continental			
Germany	Highly differentiated	10	4
Austria	Highly differentiated	10	4
France	Medium comprehensive	15	m
Belgium	Low to medium diff.	12	4

⁵⁴ Based on Kritikos and Ching (2005). See section 3.2 for definitions.

⁵⁵ Number of types of school or district programmes available to 15 year old pupils

M = missing

Countries	'Structure' ⁵⁴	Age of 1 st Selection	No. of types available to pupils aged 15 ⁵⁵
Luxembourg	Medium differentiated	13	4
Netherlands	Medium differentiated	12	4
'Anglo-Saxon'			
UK	Highly comprehensive	16	1
Ireland	Medium comprehensive	15	4

3.5 The performance of different countries

Having established that there are a number of distinct types of education and training system across Europe, are there any notable differences in their general performance i.e. in terms of 'system outputs'? And, stemming from this, what challenges do they face which may have a bearing on the potential role that pathways may perform or on the role that VET has in the alleviation of social disadvantage?

Given our subject matter we have selected three benchmarks for examination: early school leavers, lifelong learning⁵⁶ and completion of the highest level of education, ISCED levels 5 and 6.

Cross-tabulating the benchmarks show that there are some important differences between Member States according to the typology developed above. Figure 3.1 for example, shows clearly that the Nordics (plus the Netherlands and Ireland) have systems which have comparatively low levels of early school leaving *and* high rates of participation in lifelong learning. In contrast, most of the Mediterranean countries (with the exception of Greece on the early school leaving variable) and Bulgaria and Romania perform poorly with respect to both variables – they neither successfully retain people within their systems nor ensure high rates of participation throughout life. However, it should be noted that research indicates that those people who do participate in continuing training in Mediterranean countries tend to do so to a greater intensity (more hours per week) than in many other countries; in other words, less people participate but those that do, do so intensively. This pattern may reflect to some degree the structure of social spending which allows for a high segmentation of entitlements and status, low unemployment benefits and high employment protection which affects the relative costs and benefits of undergoing training.

Continental countries and most of the NMS have low rates of LLL participation but a good record with respect to early school leaving. This would be expected for countries with strong occupational labour markets like Germany and Austria since well developed IVET is believed to offer opportunities for individuals who might in other circumstances leave early, but early tracking feeds stratification in the labour market such that subsequent learning is minimised; and strong employment protection legislation arguably provides a disincentive to continuing training. Most of the NMS are also in this

⁵⁶ We use the benchmark data adopted by the European Commission. It should be noted that this refers to participation rate which does not include training intensity. A Cedefop analysis of LFS LLL ad hoc module 2003 data indicates that training intensity tends to be higher in southern than northern Europe, i.e., fewer people tend to train after IVET in southern countries than in the north, but those who do so tend to do more training (Cedefop unpublished 2007). It will be interesting to see if CVTS3 will show similar patterns.

category, perhaps reflecting both similarities with the structure of German and Austrian systems but also a socialist heritage where education and labour market entry were tightly controlled. The UK is in the almost unique position of having a poor record on early school leaving but high rates of LLL participation, reflecting both its high degree of socio-economic polarisation and the need for upskilling throughout life in the context of a poorly developed IVET system.

Figure 3.1 Member State performance: early school leavers versus participation in lifelong learning (EC benchmark data, 2003)

Better than EU average % early school leavers	<i>DE, AT, FR, BE, EL, LU, CZ, EE, SK, LT, PL, HU, CY, HR</i>	<i>DK, SE, FI, NL, IE, SI, NO</i>
	<i>IT, ES, PT, MT, LV, BG, RO</i>	<i>UK, IS</i>
Worse than EU average	Worse than EU average	Better than EU average
	Participation in lifelong learning	

Given the importance of high skills to knowledge economies, how does performance vary in terms of levels of achievement at ISCED Levels 5 and 6? The proportion of the adult population that has completed this level of education varies widely and is low in the New Member States⁵⁷, the Mediterranean countries (except Spain and Cyprus) and Austria⁵⁸ (Figure 3.2). In some countries, e.g. Austria, Czech Republic and Slovakia, upper secondary attainment levels are high, mostly through VET (as will be shown in chapter 5), reflecting the role that VET plays in preparing people for the labour market through early tracking as discussed above.

Plotting this data set against participation in lifelong learning broadly confirms the fact that participation in education and training tends to be correlated positively with level of educational achievement. With the exception of Slovenia, none of the countries with below average achievement at ISCED 5 & 6 has a

⁵⁷ Although there is also recent evidence of 'academic drift' in the New Member States (see Leney, T. *et al*)

⁵⁸ Note that 5-year school-based VET programmes are ISCED 3A/4A

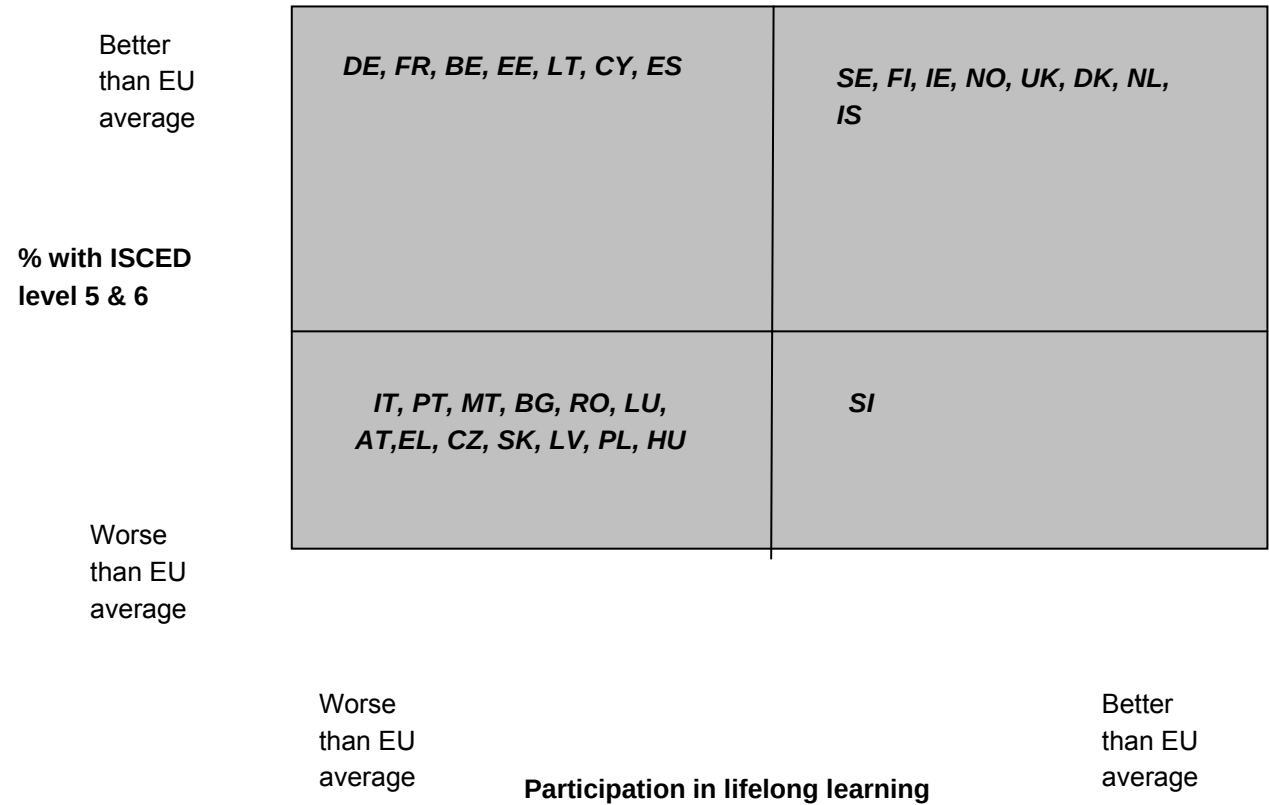
particularly high rate of participation in lifelong learning. However, the chart also shows the importance of specific Member State context as not all countries which have a high level of educational achievement also have high levels of lifelong learning participation: Germany and France are notable in this respect.

It should also be noted from a labour market point of view that different countries train to different levels for the same job⁵⁹. One comparison is between the regulated position in Germany and the unregulated situation in the UK with regard to the construction industry. Although social partners in the UK are taking steps to try to ensure that training standards for construction occupations are improved, it is still not a statutory requirement to hold particular qualifications in order to enter the market as a 'builder', 'plumber' etc. This contrasts with the position in Germany. It is worth noting in this context, however, that the licensing of occupations in the UK is an increasing trend that is making the holding of qualifications in certain occupations a statutory requirement. However, the motivation for this is a health and safety one and not the quality of workmanship per se. Indeed, it is informative to note that where plumbers work with gas (heating engineering) UK law requires them to become a registered gas installer through the passing of a particular qualification (CORGI) because of the risk to life through poor workmanship. Such complexities both within and between countries emphasise again the complexity of the situation and the need for care in comparative analysis. The EU's Directive on the recognition of professional qualifications provides a good illustration of the complexities and challenges involved in attempting to establish equivalences between similar occupations in different countries⁶⁰.

⁵⁹ We have in mind here principally *qualification* levels, although it may also apply to learning outcomes depending on the sector.

⁶⁰ Directive 2005/36/EC of the European Parliament and of the Council of 7 September 2005 on the recognition of professional qualifications. Official Journal L 255/22, 30.9.2005

Figure 3.2 Member State performance: participation in lifelong learning versus the share of the population that has completed ISCED level 5/6 education (EC benchmark data, 2003)



The analysis presented in this chapter raises some important issues in relation to VET and our study topics in the different country clusters.

- In **Mediterranean countries** there tend to be high rates of early school leaving, low participation in lifelong learning, and low ISCED 5&6 attainment (except for Greece, Spain and Cyprus). In the cases of Greece, Portugal and Spain this is in the context of economies that have low levels of employment in high skilled sectors, Italy having higher levels – as discussed in the previous chapter. These Member States thus face the multiple challenges of raising participation and attainment throughout their systems to support the growth of more highly skilled employment. As we also show in chapter 5, these countries also have comparatively poorly developed VET systems with low participation at upper secondary level. There is also not a strong tradition of employer involvement. In this context, there are important questions to ask about developing the VET sector as a whole as a possible means of addressing the multiple challenges faced by these countries.
- At the other end of the spectrum, **Nordic countries** appear to be able to deliver good rates of retention, high rates of lifelong learning participation, and high levels of ISCED 5&6 attainment in line with the widely held view that they have strong lifelong learning cultures. This plays an important role in supporting a comparatively highly skilled economy. VET's role in this context may be relatively less significant – both to date and potentially – than in other Member States, though still important in absolute terms; and the question arises as to whether the balance between general education and VET is appropriate to meet social and economic needs, and the role that VET plays for certain disadvantaged groups.
- On these measures, it is hard to distinguish the two **continental clusters** identified in the section above where we were able to distinguish between those where occupational labour markets predominate and VET is highly institutionalised, and other countries where internal labour markets and company training are more common. Generally both groups of systems appear to deliver low rates of early school leaving but weak participation in later years, coupled to high rates of ISCED 5/6 attainment (with the notable exception of Austria in the latter case). Most of these countries have relatively substantial employment in high skilled sectors, especially market services, with Germany having also a very high proportion of employment in high skilled manufacturing. In these countries VET at upper secondary level is important and in many cases plays a long-established, and important institutionalised role within education and training systems, structuring entry to the labour market. The key question here is whether greater flexibility is needed within VET systems and between VET and general education to respond to needs in the labour market, and how it might be brought about.
- The countries of **Central and Eastern Europe** are less homogenous than the other counties but they tend to have low levels of achievement at ISCED 5/6 (with the exception of Estonia and Latvia); low rates of early school leaving (with the exception of Latvia, Bulgaria and Romania); and low rates

of lifelong learning participation (with the exception of Slovenia). Their economies tend to have low rates of employment in high skilled market service sectors but otherwise show important variations. High skilled manufacturing employment is strong in Slovakia, the Czech Republic, Slovenia and Hungary, reflecting both historical economic structure and recent inward investment from the old Member States. Poland, Lithuania and Latvia meanwhile have comparatively little high skilled employment at all. In terms of the role of VET in the education and training system, the picture is complicated by the fact that the VET sector at upper secondary levels has varied levels of participation, with the Baltic states at one end of the spectrum with low VET participation levels and the Czech Republic and Slovakia at the other end (see chapter 5) where upper secondary VET is an important route into the labour market. As we shall see in chapter 5, VET has declined in popularity at upper secondary level in most of the CEE countries. Key questions are therefore how the decline in VET enrolments can be halted, the role that attractive pathways may play in this and also the role that VET might play in increasing throughputs to higher levels.

- Finally, the **UK** shows evidence of its oft-quoted socio-economic polarisation, with high levels of early school leaving (often since this makes economic sense for individuals within a flexible labour market regime), coupled to high levels of high skills. The share of employment in high skilled market services is the third highest in the EU (Figure 2.4), whilst high skilled manufacturing employment is moderate. High levels of lifelong learning participation are partly indicative of the need for constant skills updating and upgrading within a flexible labour market (which for the higher skilled include internal labour market regimes). Such trends are less evident for Ireland, although the shares of employment in high skilled sectors is similar to the UK. VET in this context is under-valued at initial stages (although views may be changing – see section 6.2.4) but important in contributing to the high participation in lifelong learning later in the lives of individuals. The precise role of VET shows strong sectoral variation, being a market-led system responsive to business needs in which some sectors have a poor view of strongly organised VET. The dominant issue in this context is how to ensure VET can be seen to be offering valued and flexible routes into the labour market comparable to the high status routes of general education.

Given the limitations inherent in any classification of countries, we deploy this framework in a broad-brush and flexible way throughout the report as a tool to make sense of the data gathered. The issues raised by the analysis provide an important backdrop to what follows and will be picked up at various points throughout the remaining sections of this report. It should be noted that most of the classifications that have been drawn upon to generate this framework look mainly at the upper secondary level rather than beyond. As we show later, the development of VET at level 4 is a significant trend not yet fully taken into account in the literature, which necessarily constitutes a 'snapshot' at any one time.

4.0 The developing role of employers and other social partners in VET

In chapter 2 we discussed the changing demand for skills from employers; and in chapter 3 we looked at the broad institutional relationships between VET and the labour market, showing the ways in which these vary between countries. As we noted, employers and other social partners have an important and developing role within these institutional arrangements and hence in the development and delivery of VET. In this chapter we examine this role in greater depth, looking at the ways in which the demands of employers that we discussed in chapter 2 are articulated into VET policy, and providing a critical final piece of context for understanding developments in VET pathways and the role of VET in social integration, which are the subjects of chapters 5-7.

We start by examining the general ways in which employers influence VET activities at European, national, sectoral and regional/local levels, an analysis which shows that the main ways in which they influence VET policies is through social dialogue systems and collective bargaining procedures. We also provide an insight into how individual companies influence VET practices.

The chapter then moves on to look at how employers influence the development of VET systems, shedding light on their role in relation to the issues we will discuss in chapter 6 on the opening up of pathways and the development of links between VET and HE. Finally, we consider the role of social partners and NGOs in policies dealing with labour market integration for low-skilled workers and other vulnerable groups, again providing context for the discussion that will follow in chapter 7 where we deal with the role of VET in the social integration of groups at risk.

The analysis relates to both IVET and CVT unless specified.

4.1 Employers and their involvement in VET policy-making and implementation

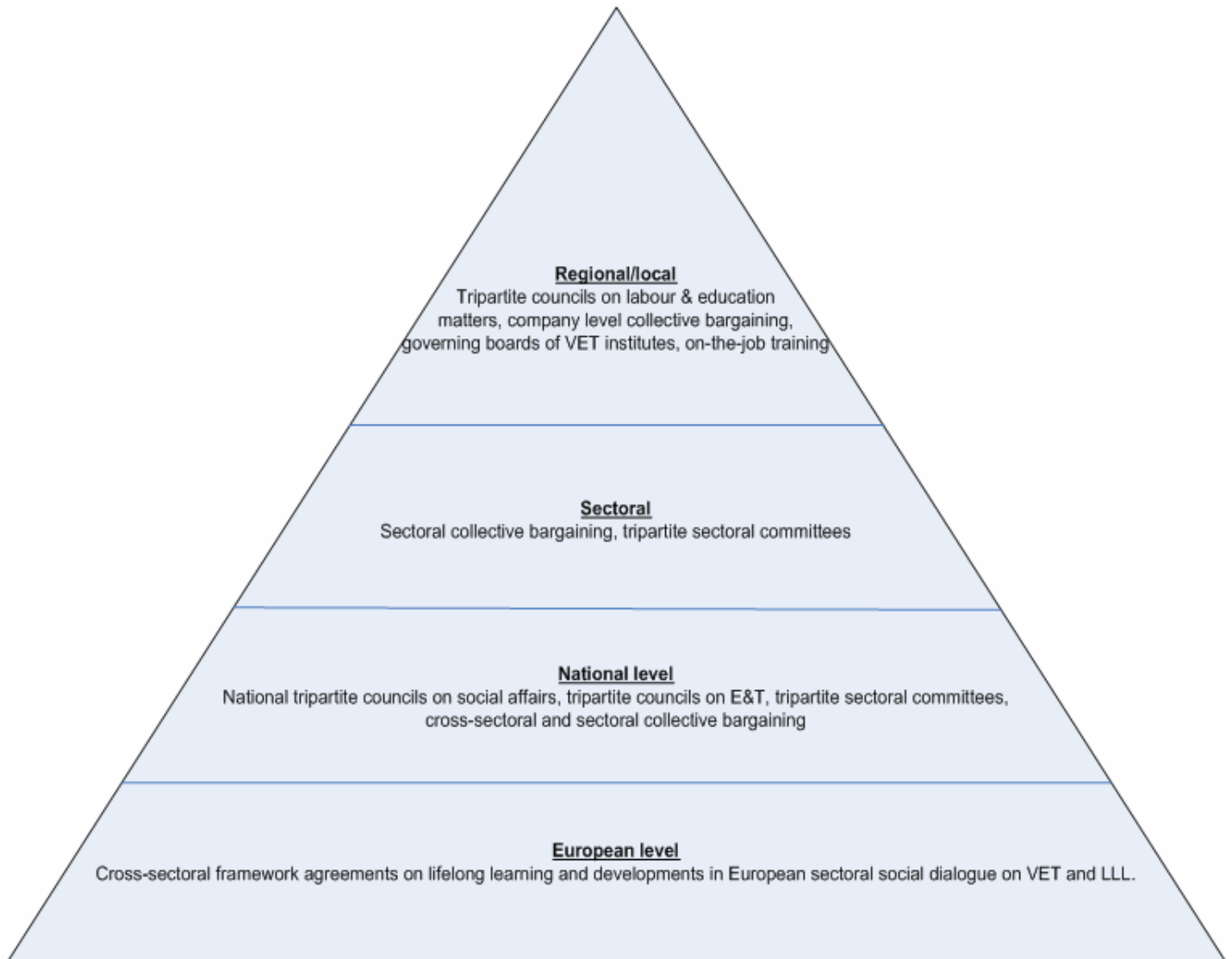
Employers have a vested interest in the quality and standards of VET provided in their national context. Training costs for new staff depend on the extent to which educational systems provide qualifications that prepare workers to perform more or less immediately without any further training. In addition, the supply of qualified new staff is crucial to ensure further growth and ability to adapt to the demands of the global market place. Responsive VET provision and especially CVT also provide security for employees and enhance occupational mobility.

Employers influence VET policies at four different levels: European, national, sectoral and regional/local levels (see the following figure). They are involved in VET policy making and implementation mainly through the involvement of their representative organisations (employers' organisations and confederations at national and European levels) in:

- Tripartite councils on labour, education and training matters at national, regional and local levels;
- Consultation procedures for VET related legislation and policies;

- Tripartite sector committees;
- Collective bargaining at cross-sectoral, sectoral, regional and local levels;
- Cross-sectoral framework agreements on lifelong learning at EU level; and
- European sectoral social dialogue on VET and LLL.

Figure 4.1 The representation of employers in VET policy and implementation



Source: ECOTEC Research & Consulting, 2007

In addition to the involvement of employers in VET through their representative organisations, some individual employers are in a strong and practical position to influence local VET provision. This is possible when individual employers (or their representative organisations) are members of governing bodies and/or consultative committees of individual VET institutes. Indeed, many vocational institutions have advisory committees that give expert advice on the course selection and the general development of vocational education and training in their region. This approach tries to ensure that the local VET provision matches with the local labour market demand. The extent to which employers are able to contribute to the local VET provision is determined by, amongst other things, the extent of decentralisation within individual VET systems.

We will now move on to explore developments in the role of employers (through social partners) in the European VET policy context by analysing developments in European sectoral social dialogue and cross-sectoral European actions on lifelong learning. After setting the scene for the European level developments, we look at the role of social partners in VET policy design and delivery at national, sectoral and regional/local levels. In particular we aim to underline recent developments in this field, and the role of collective agreements.

4.1.1 European level

Employers contribute to VET policies at European level through European social dialogue arrangements. Numerous different EU policy instruments have emphasised the importance of improved governance in achieving the goals of the Lisbon strategy, which includes strong social partnership⁶¹. Indeed, one important element in the EU's approach to labour market governance is the strong involvement of social partner organisations not only in matters directly affecting the employment relationship, but throughout the policy cycle.

One of the EU policy priorities emphasising both the provision of efficient VET *and* the role of social partners in the organisation of vocational training is the concept of 'flexicurity' which we discussed briefly in section 3.3⁶². Responsive VET and lifelong learning are a means of enhancing workers' and companies' flexibility and indirectly they help companies to quickly adapt to new technologies and market demands. At the same time they provide some security to workers by improving their employability and facilitating occupational mobility⁶³.

As a response, if we analyse the role of social partners in VET and competence development of vulnerable groups in the European context, two key developments from the past five years clearly stand out: joint framework actions by UNICE/UEAPME, CEEP and ETUC on lifelong learning and developments in European sectoral social dialogue. These two concerns are explained below.

⁶¹ These policy documents include, amongst others, the European Commission Guidelines for Employment, the report of the Employment Task Force chaired by Wim Kok, the Copenhagen Declaration and the Maastricht Communiqué.

⁶² Flexicurity is defined here as a set of policies that attempts to simultaneously enhance the flexibility of labour markets and employment security.

⁶³ European Commission (2006) *Industrial relations in Europe 2006*

Cross-sectoral actions on lifelong learning

In March 2002, the European social partners adopted a Framework of actions for the lifelong development of competences and qualifications, as a contribution to the implementation of the Lisbon strategy. It was the first of its kind and resulted in the definition of four priorities for actions common to all national social partners and a work plan for future follow-up:

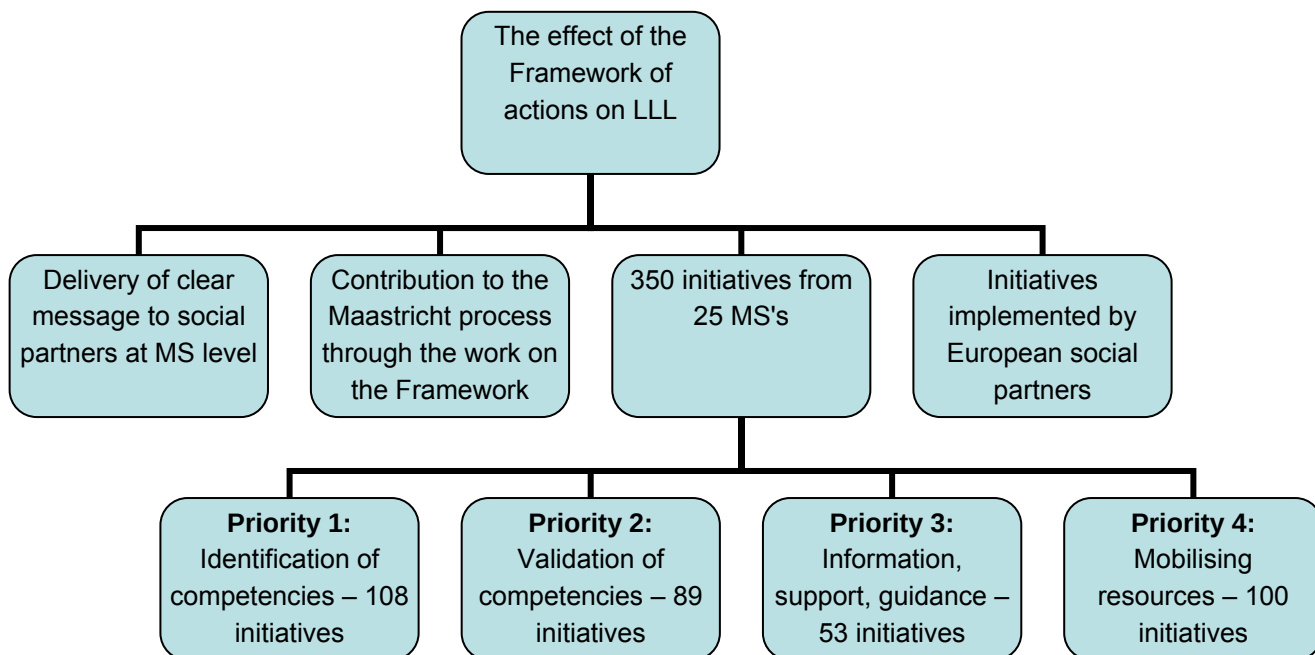
- Priority 1: Identification and anticipation of competencies and qualifications needs.
- Priority 2: Recognition and validation of competencies and qualifications.
- Priority 3: Information, support and guidance.
- Priority 4: Mobilisation of resources.

In order to track the effect of the Framework, the European level social partners have been gathering information on the actions from the different Member States and made these available to the wider public through three different annual reports (2003, 2004 and 2005). The latest report from 2006 includes an evaluation of the impact of their actions on both companies and workers⁶⁴.

This evaluation explained that the Framework has had the merit of delivering a clear message and providing a sense of focus to national social partners, created impetus for change and supported both pre-existing actions and the development of new actions on competence development and VET in the Member States (these effects have been conceptualised in the following figure). In the New Members States it has also encouraged social partners to get involved in national discussions on the reform of lifelong learning systems. For example, in several instances, it has led to the creation or the reform of tripartite committees on education and training as well as (re)launched social dialogue on lifelong learning.

⁶⁴ UNICE/UEAPME, CEEP and ETUC (2006) *Framework of actions for the lifelong development of competencies and qualifications. Evaluation report – 2006*.

Figure 4.2 The effect of the Framework of actions for the lifelong development of competencies and qualifications



Source: ECOTEC Research & Consulting, 2007, on the basis of information from UNICE/UEAPME, CEEP and ETUC (2006) *Framework of actions for the lifelong development of competencies and qualifications. Evaluation report – 2006*.

In addition, the report highlights that over 350 relevant initiatives have been implemented by social partners during the first three years of the Framework programme. They show that the issue of competence development has been intensively debated by social partners and that a variety of tools has been used for actions in all four priority areas. For example, on identification and anticipation of needs (priority 1), social partners reported joint studies and surveys on companies' needs, monitoring of trends, action plans at sectoral levels and developing employer-led sector skills bodies. As regards recognition and validation (priority 2), the report mentions collective agreements including provisions to foster validation in companies, sectoral initiatives to develop occupational standards, further development of competence-based qualifications systems, initiatives to help low-skilled workers, unemployed, older workers and immigrants to step into the qualifications system and efforts to enhance the transparency of those systems. In the field of information, support and guidance (priority 3), social partner actions included awareness raising on training opportunities for workers, consultancy services for companies, and development and review of guidance facilities that offer access to tailored information. Concerning the mobilisation of resources (priority 4), national social partners developed approaches of shared responsibility and co-investment, notably through individual learning accounts or learning vouchers, the pooling of resources and the development of bipartite or tripartite training funds.

Looking at the content of the reported initiatives, it appears that the first concern for social partners has been to better tailor education and training to labour market needs. This is because most projects have come under priorities 1 and 4.

Finally, though the rationale of the Framework was to encourage action at a Member State level, the evaluation highlights that the European level social partners have also been active, for example, by disseminating information about the Framework to relevant authorities and sectoral organisations, and promoting the involvement of the social partners from the new Member States. The evaluation also recorded that through the work on the Framework the European social partners were able to influence the content of the Maastricht Communiqué.

It is, however, worth noting that the above mentioned evaluation is not based on an independent review, but is a collection of 'progress reports' from social partners. The report underlines that social partners *"were asked to assess the work they have done and to select examples of initiatives to illustrate progress made at national, sectoral and company levels... which give an indication of the priorities set in their work"*⁶⁵. Hence, it would seem that neither evaluation criteria were developed nor were standards created to measure 'good practice' as such. In order to assess the real effect of the Framework actions, a more rigorous assessment of the impact of initiatives at a Member State level is recommended, as well as a thorough consideration of deadweight effects and their contribution to national VET systems / priorities. It would indeed seem that many of the initiatives mentioned would have been implemented even without the impetus of the Framework in countries in which social concentration is deeply-rooted in the social system. Having said that it is likely that the Framework, together with other EU level initiatives such as the tripartite Referent national networks on VET, the Phare programme and the projects under the EC budget line for industrial relations and social dialogue, have contributed to the increase in the involvement of social partners in VET in countries where social partnership has been less developed.

Other European studies have come to similar conclusions. For example, the first study looking at the contribution of VET to the Lisbon goal⁶⁶ highlighted that the Framework is an essential instrument in the development of governance models concerning VET (and employment policies), but at the same time stressed that there may not be sufficient interaction between efforts at European social partner level and activities at national / regional levels. This echoed the findings of the European Foundation for the Improvement of Living and Working Conditions⁶⁷ who argued that the model – being based on principles of voluntary dialogue – can mean that the European social dialogue may have little or moderate impact on national systems.

On a positive note it must be concluded that there has been a clear evolution in the type of projects under the Framework between 2002 and 2005. For example, during the first year a significant number of actions were geared towards increasing awareness of the European level priorities at national, sectoral and company levels. However, over the years more and more activities have become concentrated on practical implementation of agreed priorities.

⁶⁵ UNICE/UEAPME, CEEP and ETUC (2006) *Framework of actions for the lifelong development of competencies and Qualifications. Evaluation report – 2006*.

⁶⁶ Leney, T. et al (2004) *Achieving the Lisbon goal: the contribution of VET*. European Commission.

⁶⁷ Hofmann, J et al (ed.) (2002) *Europeanisation of industrial relations in a globalising perspective – literature review*. European Foundation for the Improvement of Living and Working Conditions.

With regards to the future, UNICE/UEPME, CEEP and ETUC declared in their latest Framework programme that the four priorities identified in 2002 remain valid and essential building blocks to improve the functioning of Europe's labour markets. However, interestingly, the latest Work Programme of the European Social partners (2006-2008) identifies that a new framework agreement will be negotiated on *either* lifelong learning or integration of disadvantaged groups into the labour market.

Sector-specific developments at European level

Vocational education and training is evidently not only a priority for cross-sectoral social dialogue, but increasingly also for sectoral social dialogue. Sectoral social partners can develop instruments to improve training systems and provision in a way that is adapted to their field of economic activities⁶⁸. Equally, training and lifelong learning are central to opening up opportunities for young people and disadvantaged segments of the workforce. Therefore many sectoral social dialogue committees (SSDCs) at European level have launched activities of their own in the field of training and lifelong learning. In fact over the past six years vocational training and/or lifelong learning has been among the priorities of more than half of the sectoral social dialogue committees. For example, the electricity SSDC carried out a study in 2002 to identify the future skill needs of their sector and this was followed by a joint statement on lifelong learning in 2003. Finally in 2004, a declaration was adopted encouraging member organisations to develop training plans and increase apprenticeships. The sectoral social partners for the private security sector adopted a code of conduct for the sector in 2003, in which they agreed to promote basic, specialised and continuing VET – and have since developed different training manuals. These are only some of many different activities of different SSDCs on VET and lifelong learning. Others have been summarised in the table below.

Table 4.1 Sectoral Social Dialogue Committee developments in VET since 2001

Sector	Activities on VET
Agriculture	- White paper signed by EFFAT and GEOPA-COPA on vocational training in 2000. - A European agreement signed in 2002 on training in the agricultural sector containing proposals on the organisation of vocational training and validation of skills and work experience.
Banking	- Joint declaration on lifelong learning in the banking sector in 2003. - Decision over key themes (definition of skill needs, validation of competencies, mobilisation of resources for re-training).
Chemical industry	- A joint declaration on education, vocational training and lifelong learning signed by ECEG and EMCEF in 2004 - Working groups set up to analyse the situation relation to skills and training.
Civil aviation	ETF / ACI Europe concluded a joint statement on quality, safety and training in the ground-handling sector in 2005.
Cleaning industry	Two training guides developed in 2000 and 2001.
Commerce	Since 2004, UNI-Europa Commerce and EuroCommerce taking part in a project designing practical training schemes for vocational schools and certifies

⁶⁸ European Commission (2006) *Industrial relations in Europe 2006*.

Sector	Activities on VET
	qualification modules for the retail trade.
Construction	In 2003 the social partners from the construction sector issued a training package aimed at integrating young people through the utilisation of the skills of older employees
Electricity	- The electricity SSDC carried out a study in 2002 to identify the future skill needs of their sector and this was followed by a joint statement on lifelong learning in 2003. - In 2004, a declaration was adopted encouraging member organisations to develop training plans and increase apprenticeships at all levels.
Extractive industry	Joint declarations issued on vocational training and lifelong learning in 2003 and 2004.
Horeca ⁶⁹	Joint guidelines for training and development in 2003/2004.
Inland Waterways	Social partners currently developing an inventory of professional qualifications in the EU in order to enhance mobility within EU.
Personal services	Declaration of the development of professional hairdressing training in Europe in 2005.
Private security	A code of conduct agreed on the sector in 2003, in which the social partners agreed to promote basic, specialised and continuing VET.
Road transport	In March 2006, the sectoral social partners in the road transport sector (ETF and IRU) signed joint recommendations on employment and training in logistics.
Shipbuilding	As part of the 'LeaderSHIP 2015' a dedicated working group was created on qualifications and education in order to exchange good practice, to promote the recognition of qualifications throughout the EU and to support the development of skills.
Tanning and leather	In 2005 a joint working group of experts of education and training was set up with the specific objective of improving the image of the sector to attract young people, raise the level of qualifications and enhance the mobility of workers within the EU and co-operation between national training organisations.
Textiles and clothing	Working on the creation of a European observatory for training and employment.

Source: ECOTEC Research & Consulting, 2007, on the basis of information from the following publications of the European Commission: *Industrial relations in Europe 2006* and *Recent developments in the European Sectoral Social Dialogue*.

⁶⁹ The HORECA sector covers catering, hotels, restaurants, cafés, canteens, short-stay accommodation and similar establishments.

Little evidence is available on the impact of these European sectoral initiatives. The agricultural employers' organisation GEOPA is one of the few organisations that have systematically attempted to assess the effect of the agriculture specific agreement on vocational training⁷⁰. In December 2002, the European level social partners signed an agreement on VET with the aim of raising the skill levels of workers in the sector, recognising on-the-job training and experience, giving workers a right to individual skills assessments and encouraging cross-border recognition of qualifications and diplomas. The analysis of GEOPA found that two years after the agreement, negotiations were taking place in five out of fifteen participating countries on the possibility of transposing the agreement to the national context. They also discovered that whilst the role of social partners in defining training policy varied from country to country, in almost all countries the social partners were strongly involved in the implementation of training policies.

We have now considered the main developments in the context of European social dialogue and VET. We now progress to discuss the role of employers, employees and their representatives in VET policy making and implementation at a Member State level.

4.1.2 Member State level

Existing literature on the role of social partners in VET policy-making and implementation in the EU-15 highlight that social partners have a formal role in VET policy⁷¹. They describe their role to include representation mainly at national level, but in a majority of cases also at sectoral level. They also highlight that the involvement of social partners in VET policy design often also reaches regional and local levels.

The review of the role of social partners in VET policies and practices for this study in 32 countries has illustrated that the involvement of social partners in VET policy-making varies from country to country; the extent and the channels of their involvement are diverse across the Member States. The factors influencing their involvement appear to be deeply rooted in the diversity of VET systems, dialogue arrangements, and traditions of national consultation processes, existence of joint VET & education committees and the attitudes of governments towards social partnership.

One of the most fundamental factors affecting the involvement of social partners in the development of VET policies is the extent of state regulation. In many of the study countries the involvement of social partners in VET policy is defined by national legislation. This is the case, for example, in Belgium, Denmark, Finland, France, Germany and Iceland. As an example, in France, the involvement of the social partners in VET policy making is defined in various articles of the Labour Code, notably Book IX, Article 910-1: "*Vocational training and social advancement form the basis of a concerted policy coordinated chiefly with employers' and employees' organisations.*" In Iceland, the Upper Secondary School Act, No. 80/1996 sets out the policy in vocational training affairs. Chapter IX of the Act makes a detailed provision for the roles and responsibilities of both sides of industry. Legally defined social partner involvement is also an inherent part of the development of VET policy in Germany. The Vocational Training Promotion Law (*Berufsbildungsförderungsgesetz* 1981) regulates the

⁷⁰ European Commission (2006) *Industrial relations in Europe* 2006.

⁷¹ Heideman, W. (2002) '*Current developments within social dialogue in selected European countries in lifelong learning*'. Hans Böckler Stiftung. Winterton, J. (2006) *Social dialogue and vocational training in Europe*. Journal of European Industrial Training.

responsibilities of the bodies involved in determining VET policy at the national level as well as monitoring and evaluating VET. The Vocational Training Law (*Berufsbildungsgesetz* BBiG 1969) defines the responsibilities of the 16 regional state committees for VET (*Ländersausschuesse für Berufsbildung*) and the Chambers (*Berufsbildungsausschuesse der zuständigen Stellen*). The Social Law III (*Sozialgesetzbuch* III, 1997) defines shared responsibility for employment and labour market programmes, including training, continuing training and re-training⁷².

In countries with a tradition of voluntarism (e.g. UK), historically the law has been much less prescriptive concerning social partner involvement in VET policy⁷³. For example, in the Czech Republic the involvement of social partners in VET is voluntary and depends on the initiative of the parties concerned⁷⁴. There are no legal regulations fostering this involvement and the positions provided by the social partners are mostly of a consultative nature. As another example, the Conservative government radically overhauled the British VET system during the 1980s, creating a market-led system in which employers played an increasingly powerful role and in which the unions' formal influence at sector level was reduced⁷⁵. In April 2001, the Labour Government established the Learning and Skills Council (LSC) for England to deliver all post-16 education and training (excluding higher education), and included formal trade union representation both on the national LSC Board and its local offices.

The role at national level

Generally speaking, the co-operation between social partners and governments is an essential element of employment policy, particularly concerning the evaluation of training needs of companies and drawing up training programmes in order to meet these needs better. Hence, almost universally social partners contribute to policy making by taking part in national tripartite councils on economic & social affairs and/or advisory bodies on education & training and VET matters alone. The government can ask for advice directly from the social partners; they can also set up advisory bodies in which the social partners are represented. Social partners are also involved in the preparation of laws, which deal with vocational training. Social partners are usually also represented in the education and training boards of national (vocational) education bodies. Throughout this report we provide ample practical examples of the role of social partners in consultation process for VET policy developments. The following table briefly describes some examples from Sweden on the influence of social partners in the design of VET policies at all different levels, from initial and continuing VET to tertiary VET.

⁷² Ibid.

⁷³ Ibid.

⁷⁴ Cedefop: Refernet (2005/6) THEMATIC OVERVIEW: The vocational education and training (VET) system of the Czech Republic available from Internet: . http://www.trainingvillage.gr/etv/Information_resources/NationalVet/Thematic/ , http://libserver.cedefop.europa.eu/F/?func=find-c&ccl_term=wti=overview+refernet+2006 [cited 23.04.08]

⁷⁵ Ibid.

Example – Some examples of the influence of social partners in the design of VET at different levels, Sweden

Sweden has a long tradition of close cooperation between social partners on one side and VET providers and policy-makers from the field of education on the other. The collaboration dates back to the 1930s. Today employer and employee representatives are involved in all aspects of VET, including curriculum development, work-based training and certification.

Social partner consultation on the development of VET is seen as an important tool for quality assurance, both at central and local levels. Examples of consultation are provided below:

- **IVET** - for the revision of curricula for upper secondary schools, the social partners took part in a reference group that evaluated all the current upper secondary study programmes.
- **CVET** - With regards to continuing vocational education and training, AVET in particular, the courses are a result of close collaboration between enterprises, social partners and various course providers (higher education, upper secondary schools, municipal adult education and companies). This is because AVET was designed primarily to meet the needs of employers.
- **Tertiary VET** - Employer and employee representatives have been involved in the development of learning outcomes for the new degree structure in higher education (particularly in vocationally orientated degrees), following the agreements made for the Bologna process.

Source: ECOTEC Research & Consulting, 2007

The role at sectoral level

In many countries, such as Belgium, Denmark, Finland, social partners are also represented in sector-specific committees. As an example, the Danish National Trade Committees, which have an equal social partner representation, define the content for specific sector VET programmes. In Belgium in recent years, sectoral development funds and institutes have evolved from training orientated bodies to think-tanks where sectoral know-how and expertise are increasingly bundled together. In Spain, the sectoral social partners monitor CVET provisions in their respective sectors through participation in the Sectoral Peer Commissions for Continuing Training (FC)⁷⁶. In France, the sectoral social partners can dictate funding volume and prioritise certain types of training or courses (e.g. favour apprenticeship over alternance, give preference for training to the low-skilled)⁷⁷.

Employers, their representatives and unions have also developed a wide range of strategies to deal with sector specific skill gaps and shortages. In the UK, the Skills for Business network aims to boost the productivity and profitability of the country by identifying and tackling skills gaps and shortages on a sector by sector basis. The Skills for Business network is made up of 25 Sector Skills Councils (SSCs) - each one is an employer-led, independent organisation. The Sector Skills Development Agency (SSDA) underpins the network and is responsible for funding, supporting and monitoring the SSCs. The SSDA

⁷⁶ Cedefop: Refernet (2005/2006) THEMATIC OVERVIEW: The Spanish vocational education and training (VET) system. http://www.trainingvillage.gr/etv/Information_resources/NationalVet/Thematic/, http://libserver.cedefop.europa.eu/F/?func=find-c&ccl_term=wti=overview+refernet+2006 [cited 23.04.08]

⁷⁷ These agreements apply to enterprises belonging to signatory employers' associations so are not necessarily generalised throughout the sector. Winterton, J. (2006) *Social dialogue and vocational training in Europe*. Journal of European Industrial Training.

and the 25 SSCs also work to improve learning supply including apprenticeships, higher education and National Occupational Standards (NOS) for each of the sectors covered.

Internationally, a similar sectoral approach to addressing skills and training needs has been taken in Australia. In June 2006, the Australian Government launched a new commitment to increasing the provision of VET in the country in order to address skills needs⁷⁸. The approach will include the development of new, industry-based training models initially in industry areas such as manufacturing, printing, retail motor, retail baking and plumbing. Preceding this move, in February 2006 the Council of Australian Governments (COAG) held a meeting which aimed to address issues of a targeted response to skills issues in regions, training quality, workforce mobility and training system flexibility and responsiveness. Following the meeting, an announcement was made that employers and industry would be able to fully utilise vocational and technical education to assist in addressing its current and future skills needs.

The table below explains the role of the Expert Group on Future Skills Needs (EGFSN) in Ireland, which was set up in 1997. While the Group has a specific sectoral focus on the enterprise sector, the Group collates employment, skills and training data on all sectors. Furthermore, the sectors included in the term “enterprise” are wide-ranging, from ICT to engineering. Much in the same vein as the SSCs in the UK and the new initiatives in Australia, the EGFSN aims to tackle sectoral gaps through addressing specific training needs and labour supply issues.

Example - Expert Group on Future Skills Needs, Ireland

The Expert Group on Future Skills Needs (EGFSN) was established in 1997. The Group is composed of representatives of business, employees, education, Government departments and State agencies. The Group’s mandate provides that it will act as the central national resource on skills and labour supply for the enterprise sector. All Government requests for specific analysis fall to the Group. Specifically, this means that the Group carry out systematic and detailed analyses in order to:

- Advise Government on skills and labour supply issues for the enterprise sector;
- Advise Government on projected requirements and make recommendations on the steps required to address identified needs;
- Regularly follow up with the bodies responsible for implementing these recommendations, to facilitate and assess progress on implementation;
- Consider strategic issues in developing partnerships between business and the education and continuous training sectors, in meeting the skills needs of business.

The National Training Advisory Committee was merged with the Expert Group in Jan 2004 and the Group’s mandate was further expanded to incorporate the responsibilities formerly held by the NTAC:

- To advise the Minister for Enterprise Trade and Employment on the overall strategy for enterprise training in Ireland;
- To identify best practice on enterprise training and its application to public policy;
- To advise the Minister for Enterprise Trade and Employment on the priority training needs of the enterprise sector, with a view to raising the skills of people in employment;
- To advise the Minister for Enterprise, Trade and Employment on the relevant aspects of the National Training Fund, as set out in Section 7 of the National Training Fund Act, 2000.

Source: <http://www.skillsireland.ie/about/index.html>

⁷⁸ <http://www.dest.gov.au/Ministers/Media/Hardgrave/2006/06/H003300606.asp>

The role at local / regional level

Social partners in many countries are also represented in local and regional committees that deal with VET matters exclusively, or VET is one of the key topics in their remit of work. For example, in Denmark, local training committees, which include social partner representatives, act as advisory bodies to vocational schools in order to be in a position to adapt curricula to the needs of local enterprises. In Austria, both the Regional Vocational Training Advisory Councils and the tripartite governing bodies for apprenticeship training (which are responsible for assuring the suitability of businesses for apprenticeships) have social partner members. In Spain, Autonomous Vocational Training Councils are tripartite regional bodies in which social partners help to draft Autonomous Vocational Training Programmes.

4.1.3 The growing role of social partners in VET

The preceding sections have described the structures through which employers and other social partners are involved in VET. But is the role of these groups growing or contracting? Overall, it is clear that the general trend is towards more widespread and deeper involvement. For example, a study sponsored by the European Trade Union Confederation (ETUC) found that since the late eighties continuing and further training has become 'a central focus of social dialogue'⁷⁹. And the study emphasised that in the current decade the role of trade unions has moved from participation in strategic discussions on training to practical implementation. More recently, the Cedefop survey on the nature and extent of social dialogue over VET across Europe concluded that in all the study countries (11 EU Member States and 2 EEA countries) social partners are involved in implementation of VET policy actions.

This trend is apparent both in countries with strong traditions of social concentration and in countries with developing governance systems in relation to social partnership. The countries where social partners have for a long time been represented in tripartite social and economic councils and the boards of VET authorities, and where bipartite bargaining is widely used have seen particular developments in relation to the role of social partners in the implementation of initial and continuing VET. By way of example, the involvement of the Finnish social partners in the implementation of VET policies has increased in recent years. This has occurred with the expansion of the competence-based examination system that is based on tripartite collaboration at national, regional and local levels. The tripartite qualification committees (consisting of representatives of employers, employees, VET providers, teachers and students of the field concerned), appointed by the National Board of Education, define the competence-based examinations. At local and regional level it is their role to decide on the arrangement, assessment and supervision of practical skill demonstrations and to award appropriate certificates. The role of social partners has also strengthened through an increase in practical, work-placed training, especially in IVET but also in other segments of the education system.

Similar developments are apparent in those Old Member States that have less of a tradition of strong, structured employer involvement (see chapter 3). A recent development (from early 2007) puts further emphasis on the role of the social partners in Greece – which is one of the old Member States where

⁷⁹ Heideman, W. (2002) 'Current developments within social dialogue in selected European countries in lifelong learning'. Hans Böckler Stiftung

vocational training has traditionally been the responsibility of public authorities, thus social dialogue has played little role in vocational training. In the future, however, social partners will become involved in defining 65 job profiles in a multitude of economic sectors, including commerce and tourism, to ensure a better linkage between the labour market and the education system. The social partners have taken the initiative to coordinate their input in designing the job profiles as a way of ensuring consistent quality throughout these professions. These profiles will subsequently be accredited and training institutions will then be expected to adapt their curricula in accordance with these job profiles.

The importance of social dialogue in Italian training policy was recently reinforced in the *Patto per l'Italia - Contratto per il Lavoro*, signed by the Government and Social Partners⁸⁰ in July 2002, that included measures to increase employment, through measures such as investing in human capital. The social partners intend to give particular attention to lifelong learning of adults, seen as a key measure to increase the employment rate. The Article 118 of Law 388/00 has also recognised the central role of social partners in the construction of the system of continuing education, establishing the Multi-Sectoral Funds agreements (Fondimpresa, elaborate d on above) signed by the social partners, in industry, agriculture, crafts and the service sector. The Law 289/02 made resources available to these Funds that can finance individual, sectoral or territorial training plans.

In the New Member States employers and social partners are in general terms less actively involved in VET policies, delivery in particular. This is a result of, among other matters, weak social dialogue, poor organisational and financial capacity of social partners, limited investments by employers on training, government attitude to social partnership, the lack of attractiveness of VET courses and the financial and political priority given to general and tertiary education in these countries. At tertiary level an additional factor can be universities' reluctance to relinquish their ability to define their curricula independently. The representatives from Bulgaria highlighted that the independence of universities in defining their curricula is one of the key barriers preventing cooperation between education institutes at tertiary level and social partners.

Indeed, most new Member States are characterised by the low involvement of enterprises in financing education, and VET schools are experiencing difficulties in cooperating with businesses on work-based learning and practical internships⁸¹. Besides, in general terms the apprenticeship systems are very underdeveloped in the NMS in comparison to the situation in the EU-15⁸².

However, major developments have also been witnessed in the new Member States with regards to the role of social partnership in VET. For example, training funds that feature compulsory business contributions have been set up recently in Hungary, Cyprus, Slovenia and Poland (see table below). Special taxation on businesses is also under consideration in Latvia. In the Czech Republic, an educational fund has been initiated in the government's Council of Economic and Social Agreement (CESA), with contributions based upon a percentage of the wages. These funds are primarily aimed at

⁸⁰ With the exclusion of Cgil, the Italian General Confederation of Labour.

⁸¹ Masson, J-R (2006) Financing vocational education and training in the EU new member states and candidate countries: Recent trends and challenges. European Training Foundation.

⁸² Ibid.

IVET and CVET⁸³. Public-private partnerships are being developed in Turkey to increase practical training for students.

The role of employers in funding VET in the New Member States	
CY	Companies get involved in supporting VET by sharing between 51 and 55% of the tuition costs. In the area of training, the Human Resource Development Authority (HRDA) supports non-formal learning by providing incentives to employers, training institutions and persons in employment to promote initial and continuous training. The HRDA's (Human Resource Development Authority) policy and schemes for funding non-formal learning provide added motivation to engage private investment by following a policy of co-financing training activities and projects initiated by enterprises and private training institutions. This policy has contributed to rapid increase of training provision, in terms of number and training facilities. HRDA aims to continue to stimulate private investment with the active support of the social partners. It should be also noted that a levy, currently set at 0.5% of the payroll of all private enterprises and semi-government organisations, is channelled to the fund from which HRDA finances its activities.
SL	Slovenia has created a training fund in the craft sector through a contribution of 1% on the payroll.
PL	In Poland, a training fund was created in 2004 after an agreement between the state and the social partners, according to which the training fund would be financed by employers' voluntary contributions of at least 0.25% of the payroll in 2004, increasing to 1% and becoming compulsory in 2008. In addition, state support would be made available in the first years through reimbursement of 50% of the training
HU	In Hungary enterprises make a contribution to the funding of initial VET in the school system and the provision of CVT for employees through a tax of 1.5% of wage costs. The tax levied on enterprises finances the Development and Training subfund of the Labour Market Fund. The tax is referred to as the 'vocational training contribution'. Up to one-third of the tax (0.2% until 1999, 0.5% now) can be spent by companies on CVT for their own employees, but only on training programmes included in the National Vocational Qualification Register. This condition is fulfilled through prior agreement given by the County Training Committee. Up to 75% of the tax can be contributed directly to vocational schools, for the organisation of practical training for students, or to cover the costs of training in money or in kind, or by providing direct financing. Since 2001, direct support can also be given to higher education institutions. In 2000 the vocational training contribution amounted to an estimated HUF 43.3 billion (€173 million). The contribution from the Development and Training Fund to initial VET was estimated to be approximately €150 million or 0.3% of GDP, i.e. nearly one-third of the total estimated expenditure on initial VET. Therefore, only €23 million were available for CVT for their employees, 13.6% compared to a theoretical one-third.

Source: ECOTEC Research & Consulting, 2007 and Masson, J-R (2006) *Financing vocational education and training in the EU new member states and candidate countries: Recent trends and challenges*. European Training Foundation.

⁸³ Ibid.

The issue of social partner engagement in VET has also been a part of several legislative changes. For example, the recently amended Education System Act in Poland provides the Minister of National Education and Sport with a power to conclude agreements with employer organisations with a view of improving the quality of vocational education and training. In September 2006 a draft law was accepted by the Lithuanian social partners to form a Tripartite Council of the Republic of Lithuania (LRTT). This law is aimed at increasing the influence of social partners in:

- the formation of vocational training;
- initiating the development of new qualifications and professional standards;
- participation in the evaluation of vocational training programmes;
- the provision of vocational guidance; and
- contribution to the organisation of practical vocational training.

Over the past few years social partners have become increasingly involved in the design and provision of vocational education in Latvia too. In 2000 the Vocational Education and Employment Tripartite Cooperation Sub-Council (PINTSA) was established. The goal of PINTSA is to involve employer organisations and trade unions in the formation of vocational education strategy and policy implementation. This has been followed by local governments that aim to actively involve social partners in their vocational education policies and programmes. The social partners have a particularly important role in advising how to meet the requirements of the labour market and how to prevent social exclusion.

Recently the Vocational Education Council - with participation of related public and private sector organisations - was established in Turkey to give advice to the Ministry of National Education on the planning, development and evaluation of the VET system. In addition, the Law 4702 of 2001 extended the participation to additional public institutions and to the social partners and allows foundations to establish non-profit post-secondary vocational schools.

The role of social partnerships in VET has also been a topic of several national, EU and international initiatives in the New Member States. One of the most prominent national examples is from the Ministry of National Education and Sport from Poland to improve collaboration between VET schools, employers and social partners (see below).

Example – improved collaboration between VET schools and social partners, Poland

In 2002/2004, the Ministry of National Education and Sport launched an initiative aimed to provide a common ground for cooperation between vocational schools and social partners in order to improve the quality of vocational training. Since 2002, ten agreements have been signed with employer organisations and other non-governmental organisations in order to promote cooperation between schools and employers in VET, mainly practical training. The agreements covered such thematic areas as:

- creating networks of enterprises where pupils could receive practical training;
- improving the standards of vocational placements by establishing (in cooperation with employers or employers' sectoral organisations) standards for such placements in individual occupations;
- participation of employers in organising additional non-formal activities for pupils of the final years of secondary schools offering vocational training, which would increase their employability after they leave school;
- offering further training for the teaching staff by employers.

If we look at the results of these agreements we can see that they make the cooperation between schools and employers easier and allow pupils more often to gain practical training using modern technologies and equipment. In the school year 2004/2005, as compared to 2003/2004, the number of pupils undergoing practical training or placement in enterprises rose in almost all regions.

Apart from agreements with national employers' organisations, educational superintendents conclude agreements with regional and local employers' organisations, creating a network of enterprises offering practical training for pupils and trainees from the region. During last year the number of such enterprises increased from 6,332 to 12,082.

Moreover, some educational authorities and schools undertook cooperation with employers' organisations exceeding the existing agreements e.g. involving employers in organisation of vocational competitions and tournaments, obtaining some financial support for schools or engaging employers in examinations confirming vocational qualifications.

Source: ECOTEC Research & Consulting, 2007

The Czech Republic has seen a range of different developments since the late nineties. Social partners have been represented in so-called "branch groups" that are involved in development of national curricula for IVET and tertiary VET. More recently, the 'Social partnership in VET' project – funded by the Dutch government and implemented by Dutch social partners – has given a 'push' for developments in relation to the role of social partners in VET in the Czech Republic (see table below). These developments refer, for example, to the establishment of a new tripartite policy group on VET and changes in the work of branch/sectoral groups

Example – Social partnership in VET, Czech Republic

A two-year “Social partnership in VET” project financed by Dutch government and implemented just before the country’s entry into the EU, aimed at strengthening the influence of Czech social partners in VET, especially in the area of development of qualifications. Issues around vocational education and training were not traditionally discussed in the Czech tripartite forum on education as VET was the responsibility of the National Institute of Technical and Vocational Education (NUOV), and NUOV was seen as an extension of the Ministry of Education, Youth and Sports.

In the framework of the project, three sectoral pilots were carried out in the food industry, electronics and commerce. The general objectives of these pilots were to increase co-operation with social partners at national and regional levels in the field of curriculum development, to update teaching documents, and to identify skill needs and trends in individual professions.

The evaluation of the project highlighted the sectoral pilots as the most successful feature. They developed models of organised dialogue between social partners and training providers, models for network building and models of social dialogue on the issue of professional qualifications and curricula.

One of the most important outcomes of the project was showing ways to achieve effective and meaningful social dialogue as a variety of social partners were involved at different levels in activities linked to education and training. Improved communication and cooperation between education authorities and (tri and bi partite) sectoral groups in the field of VET was another successful outcome. However, it was also stressed that the extent and mechanisms of an effective partnership yet remain to be clearly delimited.

The project also gave a 'push' for a number of different developments on this field. NUOV is now actively promoting social dialogue at different levels and also uses the national tripartite forum to put forward proposals on the development of VET. This was in particular manifested through a new follow-up project, Cross, which NUOV used as a tool mainstream results and experiences. The Cross project was another co-operation between NUOV and the Dutch sectoral social partners (food industry and trade) in 2004-2005.

In addition, some of the project's positive effects have also been reflected in the New Education Act, more specifically in relation to the role of social partners in vocational education and training. They, however, still highlight the necessity to continue this work and the need to embed the principles of social dialogue in VET in legislation.

The impact of the Social Partnership in VET is also manifested to some extent through the establishment of a new tripartite policy group for VET at national level, set up in summer 2005. This is a part of wider changes to the system of co-operation and social dialogue that the Ministry of Education is trying to implement across the sectors. This new policy group enables sectoral/branch groups to be better linked to strategic developments at national level as the policy group subordinates the work of sectoral forums. In addition, new arrangements have allowed development of tripartite working groups that can support sectoral groups in addressing specific challenges or developments in the field or on the European level. Another change has been a reduction in the number of fields – sub-sectors – from 800 to 200 in an effort to focus the work and aims of sectoral groups.

Finally, the latest NAP stated that 'an area of key significance is the creation of a transparent national system of qualifications and professional profiles, which is being formed in association with social partners'. This again highlights the increasing role of social partners in the process for vocational education and training

Sources: ECOTEC Research & Consulting, 2005 (Weber, Nevala & Nelissen: A Study on Policies Involving Social Partners in the Integration of People at a Disadvantage in the Labour Market) and VAPRO-OVP and NUOV: Social partnership in vocational education in the Czech Republic. The Final Report.

Finally, sectoral dialogue is being developed in countries like Hungary. From 2003, the Phare Twinning project on 'Strengthening the autonomous social dialogue' has promoted the establishment of sectoral dialogue committees in Hungary. By 2004, fifteen sectoral and eight sub-sectoral committees were established. One of the activities of these sectoral committees is to look at requirements in initial and continuing VET.

4.1.4 The role of collective agreements in VET

After examining the role of social partners in the design and delivery of VET in general terms, consideration needs to be given to the important – and increasing – role played by collective agreements on VET.

Vocational training was a relatively minor issue in collective bargaining in most EU countries up until the late 1980s⁸⁴. At the end of the eighties, upskilling and flexibility of workers became key factors in company competitiveness, and CVT was seen as an area in which the interests of employers and of workers could converge. Thus, CVT spread gradually in companies and this paved the way for negotiation and cooperation on this issue between employers, workers and their respective organisations⁸⁵; CVT and lifelong learning started to feature as a qualitative element in collective bargaining. Collective bargaining focused on the establishment of institutional, normative and financial frameworks that regulate and stimulate training in companies.

In the early nineties, public employment policies began to dedicate increasing importance to lifelong learning. This was also, in many cases, a stimulus to the participation of the social partners. In the late 1990s, lifelong learning increasingly became a priority area in policy making, and its role in collective bargaining started to grow.

Indeed, a review of collective agreements dealing with VET as a part of this study clearly illustrates that collective bargaining increasingly deals with vocational education and training, access to training and lifelong learning. This finding is also supported by other existing literature⁸⁶. The major objective of collective bargaining in relation to training has been to establish a regulatory framework that promotes training in companies and institutionalises the role of the social partners. Other main topics in negotiations are related to:

- funding - establishing an obligatory contribution by companies and formulae for co-funding by workers;
- management - promoting the bipartite or tripartite management of the resources devoted to continuing training; *and*

⁸⁴ European Foundation for the Improvement of Living and Working Conditions (2002) *Lifelong learning and collective bargaining*.

⁸⁵ Caprile, M. & Llorens, C. (1998) *Collective bargaining and continuing vocational training in Europe*. European Foundation for the Improvement of Living and Working Conditions.

⁸⁶ E.g. Caprile, M. & Llorens, C. (1998) *Collective bargaining and continuing vocational training in Europe*, European Foundation for the Improvement of Living and Working Conditions; European Foundation for the Improvement of Living and Working Conditions (2002) *Lifelong learning and collective bargaining*; Janssen, R. & Galgóczi, B. (2004) *Collective Bargaining in Europe 2003/2004*. European Trade Union Institute.

- participation - introducing mechanisms for the participation of workers' representatives in company training plans⁸⁷.

In countries where the lifelong learning system is based on agreements between employers' organisations and trade unions, the influence of bargaining is greatest. This is the case for example in France, which is one of the pioneering countries in this respect. Other countries where collective bargaining plays a major role in defining vocational education and training policies are, for example, Belgium, the Netherlands and Spain, but examples of the influence of collective agreements on VET can be found from all the Old Member States.

In the New Member States, collective agreements still tend to focus on basic issues such as pay and working time, and there is some way to go to develop a framework for qualitative measures (such as initial and continuing VET and lifelong learning). Qualitative aspects of recent bargaining rounds in the NMS seem to focus on gender equality (e.g. CZ, HU, LT, SK, BG, RO). Agreements on VET and lifelong learning are generally speaking, in their infancy, but some examples can be found. An example that can be mentioned is the Development and Training Fund for VET from Hungary (as discussed in the previous section) that collects its resources through obligatory training contributions paid by companies⁸⁸. In the Czech Republic, most collective agreements lay down employers' obligations to provide training, especially in circumstances where employees are being made redundant. Evidence, nevertheless, suggests that these provisions are rarely put into practice by employers⁸⁹. In Poland, NSZZ Solidarnosc and the Confederation of Polish Employers (KPP) contribute to the conclusion of collective agreements involving professional education and competences⁹⁰.

No separate agreements on training have been concluded in countries like Bulgaria, at any level of collective bargaining⁹¹. In Bulgaria, some branch/sectoral agreements, as well as enterprise-level ones contain clauses on training, but they represent individual cases rather than well-established practical experience. In the Slovak Republic the latest amendments to the labour code provide new definitions for paid time-off, concerning also paid leave for training. Traditionally the issue of leave for training purposes has been the subject of collective agreements, thus it is expected that the role of collective bargaining will increase in this area. Finally, there is also the case of Slovenia where a national collective agreement concluded arrangements on study leave (including exam leave).

After this general overview we move on to look at examples from national, sectoral and enterprise levels.

⁸⁷ European Foundation for the Improvement of Living and Working Conditions (2002) *Lifelong learning and collective bargaining*.

⁸⁸ Janssen, R. & Galgóczi, B. (2004) *Collective Bargaining in Europe 2003/2004*. European Trade Union Institute.

⁸⁹ Čornejová, H. & Fassman, M. (2004) *Collective bargaining in Europe, 2003/2004: Czech Republic*.

⁹⁰ Masson, J-R (2006) *Financing vocational education and training in the EU new member states and candidate countries: Recent trends and challenges*. European Training Foundation.

⁹¹ Tomev, L. et al (2004) *Collective bargaining in Europe 2003/2004: Bulgaria*.

National / inter-sectoral bargaining

Recent examples of national level bargaining influencing vocational education and training can be found in Belgium, Finland, France, Ireland, Italy, Norway and Portugal. France has one of the most developed systems of bargaining in relation to VET. In 1970, all the main employers' organisations and trade union confederations signed a central intersectoral agreement on continuing training, which became law one year later⁹². This institutionalised a range of matters⁹³ and today vocational training is regulated through interaction between government legislation and agreements signed by social partners. For example, the inter-sectoral agreement of 2003 concluded by the social partners grants individual workers the right to training for twenty hours a year⁹⁴. The agreement also introduced a new form of training contract for young workers and increased the financial resources available to the social partners.

In Finland, training used to be the responsibility of the state with the participation of the social partners at different levels. However, in 1997, the Trade Union Confederation (*Suomen Ammattiliittojen Keskusjärjestö*, SAK) and the Confederation of Finnish Industry and Employers (at the time known as *Teollisuuden ja Työnantajain Keskusliitto*, TT) formed a bipartite general collective agreement, which included a chapter concerning vocational training. Also, the 2001-2002 income's policy agreement signed in December 2000, which concerns some 90% of Finnish employees, includes provisions regarding lifelong learning. As an example, the agreement included a proposal from social partners to establish a national council on knowledge and competencies. As a result, the government appointed a tripartite Council for Labour Affairs and Education (*Työ- ja koulutusasiain neuvosto*) in 2004. The aim of the council is to create a comprehensive strategy for training, workforce development and employment.

In Italy, VET has traditionally been a feature of national level bargaining, but according to the EIRO representatives from Italy, their impact on sectoral-level and company-level bargaining has been relatively minor⁹⁵. However, the year 2003 saw some developments in this field, as discussed below.

⁹² Caprile, M. & Llorens, C. (1998) *Collective bargaining and continuing vocational training in Europe*. for the Improvement of Living and Working Conditions.

⁹³ The right of all wage earners to continuing training during working hours; the obligation on all companies to finance continuing training through a wage levy; and the joint management of these financial resources by the social partners through bipartite sectoral organisations.

⁹⁴ Janssen, R. & Galgóczi, B. (2004) *Collective Bargaining in Europe 2003/2004*. European Trade Union Institute.

⁹⁵ European Foundation for the Improvement of Living and Working Conditions (2002) *Lifelong learning and collective bargaining*.

In Norway, there are agreements at national, sectoral and company level that deal with lifelong learning. In Portugal, traditionally VET has not been a feature of collective bargaining as it is the responsibility of public authorities. However, the recent tripartite negotiations have resulted in intersectoral agreements on employment, the labour market, education and training. Among other things, they seek to overcome weaknesses in VET and to introduce active and integrated policies to combat unemployment.

In the inter-sectoral agreement of 1999/2000 the Belgian social partners set themselves a target of spending 1.9 per cent of the wage bill on training (this is the average of the three neighbouring countries France, the Netherlands and Germany). This target, however, has not been met⁹⁶.

Ireland has had a series of three-year 'national partnership agreements' covering a range of economic and social policy issues since 1987. These agreements have been negotiated by the government and the social partners and they provide overall policy objectives in a range of areas including vocational training. They do not have any legal standing but are nevertheless important in guiding policy development. Such agreements have included, for example, policies in relation to apprenticeship, the needs of early school leavers, persons with disabilities and long-term unemployed people⁹⁷.

Sectoral bargaining

Sectoral bargaining plays an important role in vocational education and training in countries such as Austria, Belgium, Denmark, Germany and the Netherlands. In the case of Denmark, sectoral agreements started to play a greater role in continuing training in the second half of the nineties. These agreements helped to generalise the right of employees to training; set up a system to collect employers' financial contributions to supplement state funding; and set up bipartite organisations to promote and manage continuing training.

Today, CVET is among the top 5 issues in the agenda of collective bargaining in Denmark⁹⁸. Some of the specific issues that are subjects of collective bargaining include⁹⁹:

- The organisation and administration of training courses (hours per week, size of classes relative to the cost of courses, the programme of courses etc.).
- Provisions to ensure that SMEs can also benefit from available training courses.
- Elaboration of the way in which the funds are spent each year.
- Gender-related differences in low-skilled employment.
- Integration of immigrants.
- Identification of those who have the greatest need for training.

⁹⁶ Vervecken, J. & Rosvelds, S. (2004) *Collective bargaining in Europe, 2003/2004*: Belgium.

⁹⁷ Fox, R. & McGinn, K. (2000) *The financing of vocational education and training in Ireland*. Cedefop.

⁹⁸ European Foundation for the Improvement of Living and Working Conditions (2002) Lifelong learning and collective bargaining.

⁹⁹ Ibid.

In Belgium, France and the Netherlands the social partners have developed sector-specific education and development funds. The following box describes the influence of national and sectoral collective bargaining in Belgium.

Example – Sectoral development institutes, Belgium

The VET education is often – but not exclusively - organised through sectoral development institutes (*vormingsinstituten*) in Belgium. The sectoral development funds are funded through collective labour agreements (CAO's). The Interprofessional Agreement of 18 November 1988 was seen as the catalyst for the expansion of the sectoral development funds and institutes in Belgium. In this Agreement it was decided that employers within a specific sector should yearly contribute a certain percentage of their total wage spending to a sectoral development fund, used for the employment and education of groups at risk (unless the employer already organises other initiatives on sector or company level to integrate/employ risk groups like ethnic minorities, elderly, young people, etc.). Since that date, in most sectors agreements have been signed with respect to the employment and education of groups at risk (over 500 development CAO's during the first 10 years).

In the 1999-2000 inter-occupational agreement, the social partners reaffirmed their pledge to increase payments to fund continuing training and bring Belgium's contributions in line with the average of its three bordering countries (DE, FR & NL).

The development funds are jointly managed by employer federations and trade unions which are involved in the sector-specific CAO. Consequently, different employer federations and trade unions manage different sectoral development funds, based on their specific sector orientation. Today there are approximately 20 different sectoral development funds in existence in Belgium.

Traditionally, the sectoral development funds focused on jobseekers, but increasingly the focus is shifting to employees working in the sector, particularly those at risk of being made redundant. In addition, focus is also increasingly put on students through cooperation with different education networks and on employers through the offering of advice, instruments, etc.

In recent years the sectoral development funds and institutes have evolved from training orientated bodies to think-tanks where sectoral know-how and expertise are increasingly bundled together.

Source: ECOTEC Research & Consulting, 2006 (Nelissen, E. & Nevala, A. (2006) An exhaustive analysis of employment trends in all sectors related to sea or using sea resources, report to the European Commission DG Fisheries and Maritime Affairs, Case study: Belgium

In Austria, the remuneration for apprentices (part of IVET) is generally decided on the basis of collective agreements¹⁰⁰. In Germany, many sectoral agreements include provisions concerning the funding of continuing VET, and works councils often make proposals for paid leave (*Bildungsurlaub*) for training¹⁰¹.

¹⁰⁰ European Foundation for the Improvement of Living and Working Conditions (2002) *Lifelong learning and collective bargaining*.

¹⁰¹ Winterton, J. (2006) *Social dialogue and vocational training in Europe*. *Journal of European Industrial Training*.

Company-level bargaining

The role of collective agreements in promoting VET at local level is emphasised in several countries, irrespective of the degree of state regulation of VET. In Spain, the Third Tripartite Continuing Training Agreement, signed in December 2000, defined the conditions under which companies could obtain government support for implementing CVET, one provision requiring that the training plan is approved by the legal representatives of the workers in the company. In Portugal, integrated training plans are developed from the training plans of individual companies, which are presented to the public authorities for funding. In some cases workers or their representatives are involved in defining the training plan, with a negotiated collective agreement.

Arguably the most important social partner led innovation focused on increasing the take-up of learning opportunities has come out of the UK, where statutory support for social dialogue is absent. Between 1998 and 2000, TUC Learning Services developed the idea of Union Learning Representatives, active union members, normally lay officials, who provide advice, guidance and support to colleagues in activities related to learning and may negotiate with employers or providers to increase access to learning opportunities. The Employment Act 2002 provided statutory backing for learning representatives, a development that may be of pivotal importance for improving trade union effectiveness in influencing VET and lifelong learning opportunities in the workplace.

There are also a significant number of company agreements in Germany that deal with lifelong learning / VET, but sectoral level bargaining remains important. Company level agreements are also seen frequently in Italy and Norway, regulating different aspects to the agreements at sectoral or national level¹⁰².

4.2 The role of employers in the development of VET systems

The preceding section examined the principal generic ways in which employers and other social partners are involved in VET policy-making. This provides a critical context for understanding how the demands of employers which we discussed in chapter 2 are articulated into policy. At the same time, the main focus of this study are two specific issues: the opening up of VET pathways and the development of greater connectivity between VET and HE; and the role of VET in the labour market and social integration of groups at risk. In the last two sections of this chapter we turn to a consideration of the role employers are playing in these developments in light of the structures and arrangements we have just discussed.

In relation to the role of employers in the first set of developments (opening up pathways and linking VET and HE), it is important to note that employers play a number of general roles in relation to VET systems in terms of finance and administration. In many countries, **employers contribute to the financing of VET** and social partners are involved in creating arrangements for funding of VET. Levy-grant arrangements are a common means of financing VET in the Old Member States and the social partners are involved in so far as employers make contributions to funds via the levy and claim grants in

¹⁰² European Foundation for the Improvement of Living and Working Conditions (2002) *Lifelong learning and collective bargaining*.

relation to training. This is the case for example in Denmark, Italy, Greece and France. By way of example, all companies in Denmark are liable for contributions in proportion to the number of full-time employees and receive funding when employees take part in VET. Initial VET is funded via the Employers' Reimbursement Scheme (*Arbejdsgivernes Elevrefusion* – AER), while continuing VET is funded through the Labour Market Institution of Financing of Education and Training (*Arbejdsmarkedetsuddannelsernes finansieringsfond* – AUF). Both the Learning and Skills Councils in England and the National Council for Education and Training for Wales have a statutory duty to encourage employers to participate in the provision of post-16 education and training, and to contribute financially.

Sectoral training funds (STFs) – managed by social partners, often in collaboration with government – have an important role to play in improving the quantity and quality of both public and private training.¹⁰³ The chief role played by STFs is to stimulate training activities amongst both individual and groups of employers, most often acting as intermediaries between enterprises and training suppliers. STFs are usually based on compulsory training levies (ranging from 0.1 to 2.5%) which are subsequently redistributed within an industry through grants to support the purchase of training. Such financial support is also supplemented with a range of other activities including support to prepare company training plans and the assessment of training needs. One of the key advantages of STFs is in helping to reconcile the individual needs of companies with the collective interest of a sector, helping to address the 'poaching' problem which can lead to underinvestment in training. Another important aspect of their work is in opening up opportunities for people from disadvantaged backgrounds to find employment. One of the main obstacles to their successful operation is what can be a heavy burden in administering levy schemes. Employers can also perceive levies as an additional tax burden and it can be difficult for all firms to benefit, e.g. SMEs who face particular general problems in undertaking training. STFs have also faced the criticism that they restrict inter-sector mobility and focus too heavily on employers' rather than employees' needs (although some countries get round the latter problem by allowing individual employees to request support for training-related activities).

In some countries, employers' associations have a role in **administering the system** and on occasion the unions are also involved. In Germany, the social partners decide (through tripartite arrangements) on the funding of training schemes, including apprenticeships, run by the Employment Service at national, regional and local level. In France the social partners may be involved in administering apprenticeship tax (collection and allocation at the discretion of the enterprises) and establish collection agencies for the mandatory corporate financial contribution which finances training for young people benefiting from alternance work contracts. Enterprises pay taxes to help finance continuing VET and the social partners have created Accredited Joint Collection Bodies, authorised to collect and administer these levies. Collective agreements entitle them to increase the legal minimum payment.

The Spanish social partners have jointly managed and negotiated public funds devoted to training employees in Spanish companies since 1992. Half of these funds have traditionally come from the vocational training contributions of employers and employees, with the remainder provided by the European Social Fund, which co-finance this type of initiative for Spain, and the direct contributions of

¹⁰³ Cedefop (forthcoming) *Social partners and sectoral training funds: mobilising resources, sharing costs and responsibilities*. Briefing Note 3/2008. See also Cedefop (forthcoming) *Sectoral Training Funds in Europe*

the state budget through the National Employment Institute (*Instituto Nacional de Empleo*, INEM)¹⁰⁴. Regarding the funding of lifelong learning in Finland there is an obligatory financial contribution by companies to a fund managed by the social partners which finances individual educational leave in conjunction with state aid¹⁰⁵. In Italy there has been a clearly tendency to increase the involvement of the social partners in managing funds for continuing training, as can be demonstrated by the example on Cross-industry Funds below¹⁰⁶.

Example - Cross-Industry Funds for CVET, Italy

The year 2003 saw a rush to join the Cross-Industry Funds for continuing VET, established jointly by social partners. They cover over 300,000 firms with a total of 4 million employees.

The Funds draw on the 0.3 per cent of social contributions earmarked for CVET to fund training programmes and top-up courses for employees. The Funds also enable social partners to play a growing role in the supply of VET by being able to contribute to training selection in different regions.

Source: D'Aloia, G. & Olini, G. (2004) *Collective Bargaining in Europe, 2003/2004: Italy*.

Aside from these general roles in administering and financing VET systems, employers also play a number of more specific functions in relation to VET¹⁰⁷, i.e.:

- the development of new VET qualifications;
- drafting of VET curricula;
- recruitment of students;
- development of apprenticeship programmes;
- developing on-the-job training; and
- assessment and certification.

Looking at each of these briefly in turn, we start by noting that social partners play a considerable role in **developing VET curricula and new qualifications**. As an example, the Belgian social partners are responsible for the design (defining objectives, target groups and trends), implementation and monitoring of VET policies. In Denmark, the Minister of Education determines the guidelines for each VET programme based on the recommendations of the social partners. The social partners exert a direct influence in laying down the curricular “framework” for VET programmes at national, sectoral and local levels. This takes place via the Advisory Council on VET (*Erhvervsuddannelsesrådet* – EUR), the National Trade Committees (*Faglige udvalg*), the National Training Council (*Uddannelsesrådet for arbejdsmarkedsuddannelserne*) and the Continuing Training Committees (*Efteruddannelsesudvalg*). Via Local Training Committees (*Lokale uddannelsesudvalg*), the social partners are able to “colour” the local curriculum according to local labour market needs.

¹⁰⁴ ILO: Third National Agreement on Continuing Training – Spain.

¹⁰⁵ European Foundation for the Improvement of Living and Working Conditions (2002) *Lifelong learning and collective bargaining*.

¹⁰⁶ Cedefop; Allulli, G. et al (2001) *The financing of vocational education and training in Italy*.

¹⁰⁷ Winterton, J. (2006) *Social dialogue and vocational training in Europe*. Journal of European Industrial Training.

In France, the social partners can propose new curricula and qualifications under the auspices of the joint advisory boards, the various higher education commissions and the sectoral Joint National Employment Boards.

Companies may also influence the VET system by developing their own VET qualifications. For example in Germany companies are free to go beyond the requirements for VET qualifications and large companies frequently do so, creating additional qualifications to meet their own needs and supplementing national qualifications. However, by law young people (less than 18 years) must be trained for state recognised qualifications only, ensuring their wider employability.

With regards to the **recruitment of VET students**, in Finland, the social partners are involved in recruitment in those vocational training institutions owned by the sector, but otherwise the national student selection system proposes students to the vocational training institutions, who make the final decision on recruitment. In German companies with more than five employees, the social partners are involved in the interview and selection process for apprentices and trainees.

Social partners particularly in the Old Member States tend to be involved in the **development of apprentice schemes**. In Austria, new apprenticeship occupations are designed by the social partners at national level, but this involves consultation and cooperation with the relevant institutions at regional and sectoral level. The system for balancing particular sectoral or regional interests within the Chambers is prescribed by law.

Employers and social partners also play an active role in **the development of work-based learning**. In this context a clear division must be made between work-based learning and workplace learning. Work-based learning is a more formalised process resulting in recognition in the form of a qualification, academic or otherwise. This distinction is vital as the role which employers will play in the two is vastly different: in work-based learning they become the providers of VET, often in partnership with other education providers such as universities, while in workplace learning their role is passive.

In the UK, the provision of VET through work-based learning (WBL) is put high on the policy agenda. Work-based qualifications include the Modern Apprenticeship, Advanced Modern Apprenticeship, NVQ, professional body qualifications, and Foundation degree¹⁰⁸. Although there is yet to be a full investigation in to the extent of work-based learning across the tertiary sector¹⁰⁹ in the UK, many academic courses in both further and higher education include significant, and sometimes extensive, periods of 'field' practice, work placement and vocational training in an effort to develop particular attributes and acquire the necessary competencies (in scope, level and range) specific to a job role and employment sector. At the same time in-house training and development programmes are increasing¹¹⁰.

¹⁰⁸ <http://www.f-a-c-e.org.uk/workbased.htm>

¹⁰⁹ Reeve, F and Gallacher, J. 2005, *Employer-university 'partnerships': a key problem for work-based learning programmes?* Journal of Education and Work, Vol. 18 No. 2, June 2005, pp. 219-223

¹¹⁰ However, Reeve and Gallacher argue that despite considerable encouragement, and some real funding, for WBL development in recent years, the extent of provision remains limited.

It is often the case that on-the-job training is delivered in partnership with education providers. The Enterprise in Higher Education Initiative (EHE Initiative) (see table below) provides a good example of an early work-based learning programme in the UK which encouraged the involvement of employers in higher education. While the EHE Initiative did actively encourage the involvement of employers, evaluation research shows this was the less successful part of the programme. The following table also illustrates another initiative from the UK focusing on involving employers and social partners in skills academies.

Example - the role of employers, HE institutes and social partners in skills academies, UK
The Enterprise in Higher Education Initiative (EHE) The EHE programme was funded by the UK Education Department and ran from 1987 to 1996. The initiative funded a variety of projects within 56 institutions (with contracts worth £1 million each running over five years). A key aim was to establish the concept of 'enterprise' within universities and respond to criticisms of the sector, which suggested that it was not producing the types of graduates that employers needed. Included among the projects were examples of work-based learning for employees. Within this initiative the concept of partnership was promoted as a strong theme. A 1997 dissemination report (by Hawkins and Winter) suggested that the involvement of employers as 'stakeholders' was central to the EHE initiative. In this report, the 'key' to the development of successful partnerships was identified as making sure the mutual benefits of partnership are explicit. However, in an evaluation of the programme, Burniston et al (1999) suggest that partnership has been a problematic concept: 'Partnerships with employers were not fully developed and were not embedded as clearly as other types of work; issues as to how to work with employers remain unresolved'. Hawkins and Winter also note that while 'effective partnership' is seen as crucial, it is also difficult to achieve. They go on to suggest that: 'it is noticeable that most of the employer links are, by their nature marginal'. Skills academies In the White Paper, '<i>Skills: Getting on in business, getting on at work</i>' published in 2005, the UK Government announced one of its latest initiatives to boost workers' skills levels: <i>Skills Academies</i>. To provide various industries with skilled and entrepreneurial employees, the 12 Skills Academies will be established in partnership with employers and the Sector Skills Councils by 2008. Each academy will be designed for a different sector of industry or business. In the words of the White Paper, they will become 'national centres of excellence for the post-16 sector working closely with schools and colleges.' In early November 2005 it was announced that four industries in UK manufacturing - construction, food and drink, and financial services - were to get a major boost through National Skills Academies (NSA) to be open by September 2006. They stand to benefit from a share of up to EUR 56 million of investment from both the government and industry.

Sources: *The Enterprise in Higher Education Initiative (EHE)* - Reeve, F and Gallacher, J. 2005, *Employer-university 'partnerships': a key problem for work-based learning programmes?* *Journal of Education and Work*, Vol. 18 No. 2, June 2005, pp. 219-223

Skills academies - Cedefop (2006). *Developments in vocational education and training at EU-level in the member states and in acceding and candidate countries, July 2005 to March 2006* (p.24)

In the sphere of Austrian higher education and tertiary VET, many universities and *Fachhochschulen* request the opinion of social partners on their course programmes, even though they are under no obligation to do so. They may also be engaged in the delivery of *Fachhochschule* degree courses.

Provision of practical vocational training is less widespread in companies in most New Member States¹¹¹. However, evidence for example from Slovenia and Bulgaria shows that larger companies and multinationals are increasingly developing their own training courses¹¹².

The involvement of social partners in **assessment and certification** at local (and regional) levels has increased in recent years in a number of study countries, especially with the expansion of initiatives to validate informal and non-formal learning and increases in practical, work-placed training. This, however, mainly applies to IVET and CVET and; to a lesser extent to the VET provision at tertiary level.

Against this background of involvement in VET policy and implementation, what can we say about the role of employers in the types of developments which we will chart in detail in chapter 6? There are a number of aspects to their involvement in the changes taking place which we shall now sketch out.

First of all, it is clear that behind the vast majority of developmental activity taking place we can detect pressure from employers. Employers are demanding more flexible training regimes which can support their need for continual updating of workforce skills in the face of technological changes, the increasing speed of product and service life-cycles and globalisation. This is especially so with respect to CVT. Within IVET they are demanding provision with higher generic skills and theoretical content to provide them with the workers they require, which appears to be a significant force behind, for example, the declining popularity of lower level school-based VET which has been criticised in some countries for being too short and superficial and not providing sufficient general education (see section 6.4.10).

At the same time, not all the developments are necessarily driven principally by employers. Workers themselves can drive change, not just through the workplace and their own social partner organisations, but also through the political process. More open pathways between VET and general education – especially within IVET – are arguably of greater direct benefit to individuals than employers (double qualifying pathways might be an example here, see section 6.4.11.1), although it can also be argued that such systemic flexibility brings wider social and economic benefits in the long run from which whole economies benefit. Much depends on particular national circumstances, and indeed the business community can be amongst the most active proponents of greater openness between vocational and general tracks. In Germany, for example, the Confederation of German Employers' Associations (the BDA) has described the existing boundaries between vocational training and tertiary education as an unacceptable waste of talent and resources.

Other policy reforms appear to be driven by employers through the organised mechanisms of social dialogue but run into problems during implementation. Apprenticeships – which have seen a widespread renaissance in many countries (see section 6.4.12) - provide an interesting example of this: whilst their development has typically been the result of social dialogue and in response to criticisms of

¹¹¹ Masson, J-R (2006) *Financing vocational education and training in the EU new member states and candidate countries: Recent trends and challenges*. European Training Foundation.

¹¹² Tomev, L. et al (2004) *Collective bargaining in Europe, 2003/2004*: Bulgaria.

school-based VET, it has often been difficult to secure sufficient places for apprentices with employers themselves. The reasons behind this phenomenon vary but may involve difficulties in articulating the needs of employers where social dialogue is weakly developed and a lack of capacity amongst employers 'on the ground' to respond to training opportunities when they are provided. As we mention elsewhere in this chapter, New Member States especially suffer from the problem of poorly developed social dialogue infrastructures.

In other instances the developments we analyse in chapter 6 are the consequence of employer action to fill gaps in provision where the response of VET systems lags behind the market or where employers perceive obstacles that they need to circumvent. Some of the provision now being developed at what is termed post-secondary non-tertiary level constitutes such gap filling where employers need new provision to meet their needs for new skills and which can be used to avoid having to negotiate provision with universities that can be resistant to increasing the vocational content of programmes (section 6.5).

Finally, we can detect right across Europe a general trend to increase employer involvement in VET, especially IVET where their participation in policy development and implementation has often been less prominent than in CVT, and also at tertiary level, although as we shall see in chapter 6 there is some resistance to this latter development from some universities.

4.3 The role of employers in labour market integration policies

In the final section of this chapter we turn to consider the role of employers in the development of the type of policies which we shall explore in detail in chapter 7 when we consider the role of VET in the social and labour market integration of groups at risk.

Participation of all levels of government, private enterprises and civil society in policies dealing with social and labour market inclusion is at the heart of EU policies for economic development and social inclusion. The direct involvement of NGOs - representing the interests of those who are unemployed or experiencing poverty, exclusion or inequalities - in the development, delivery and monitoring of policies and programmes is crucial to ensuring the design of more focussed and relevant actions¹¹³. The low-skilled and other vulnerable groups are not necessarily among the core constituency for social partner organisations as they are usually the groups excluded from the labour market. Nevertheless, for both parties lifelong learning and upskilling of both active and inactive parts of the labour force are of growing importance. Employers on one side have a natural interest in the supply of skilled labour. Labour shortages can lead to skill gaps and encourage wages to be driven up, affecting productivity and profit margins. For the trade union movement, their engagement in devising policies and practices to overcome barriers to labour market participation has traditionally been a part of their wider ideological agenda emphasising solidarity and integration.

In this section we come to analyse in greater detail the role of social partners and non-governmental organisations (NGOs) in policies dealing with competence development and labour market integration of low-skilled workers and other vulnerable groups. It is, nevertheless, important to acknowledge that

¹¹³ European Commission (2006) *A more cohesive society for a stronger Europe*.

the previous section has already provided numerous illustrations of the influence of social partners in initial and continuing VET.

In this section we start by considering factors affecting the level of involvement of both social partners and NGOs in such measures before moving onto examine the benefits of partnership approaches. At the end of the chapter we discuss the differences in the approaches of employers and unions.

4.3.1 Factors affecting the involvement of social partners and NGOs.

Currently the role of NGOs in policies concerning disadvantaged groups varies from country to country. In countries such as the UK and Germany the welfare systems rely on semi-public and non-governmental institutions, while traditionally their role has been more limited in the Nordic countries (partly due to the nature of the Nordic welfare state). The role of NGOs in social and economic affairs has grown over the past two decades in countries, which have seen the broad transition from a planned economy to a market-driven one.

Both external and internal factors affect the level of social partner involvement in measures relating to competence development and integration of vulnerable groups¹¹⁴.

External factors relate to the overall economic situation as well as the policy environment. For example, the labour market situation of a country plays an important role in the level of engagement of social partners in the integration of vulnerable groups. In times of economic slow-down and in situations where the supply of skilled labour is plentiful, employers have less economic motivation to seek to upskill and integrate disadvantaged groups. Currently, demographic change and sector-specific skill shortages are generating incentives for social partners to increase their involvement in policies and projects dealing with training aimed at the low-skilled and other vulnerable groups.

Political pressures may also motivate social partners to become more engaged in policy debates dealing with lifelong learning and the design and implementation of actions to tackle the poor employment situation of low-skilled employees. For example, in Denmark, the Netherlands and Spain the political situation has pressed the social partners, and other stakeholders, to pay particular attention to education and training of immigrants. At the same time, some countries display a situation where a change in the political climate towards social partner involvement is required in order to enable social partners to play a more substantial role in education and training – in addition to the need to strengthen the capacity of the social partners.

Partly external, but classified here as an internal factor because it links to the history, culture and traditions of social partner organisations themselves, is the level of social partner involvement in tripartite decision-making and their perceived role as opinion and policy formers, as well as the means used to control the labour market framework through collective bargaining. As an example, Germany has a tradition of tripartite consultations regarding key legislative and policy proposals, and social partner organisations therefore regularly comment on legislative changes and policy initiatives affecting the labour market position of disadvantaged groups. On the other hand, especially in the New Member

¹¹⁴ Based on the work of ECOTEC Research & Consulting, 2005 (Weber, Nevala & Nelissen), commissioned by the European Commission *A Study on Policies Involving Social Partners in the Integration of People at a Disadvantage in the Labour Market*

States the moderately recent nature of the development of social partner organisations means that their involvement in policy measures for the low-skilled is weaker than in countries with established social partnership structures. According to a study by ECOTEC on the role of social partners in policies dealing with the integration of vulnerable groups the situation has been further complicated (in some of the former socialist countries) by a lack of understanding of the reasons why such involvement may be beneficial¹¹⁵. The study found indications that the view of some social partner organisations in these countries is that labour market integration should be solved by legislation, policies and processes rather than through collective bargaining – although training needs of employees sometimes feature in agreements.

As already discussed in the previous section, two other decisive factors relating to the involvement of social partner organisations in training and integration measures are collective bargaining practices and organisational strength and capacity. Where organisational structures are weak and capacity limited, the social partners have to prioritise their role to wage bargaining. Besides, employer organisations in particular tend to argue that the greater the local flexibility available in terms of wage setting, the more able individual employers are to provide employment opportunities for disadvantaged groups. This point is largely rejected by many trade unions, but such generalisation must not gloss over the reality of the many different methods of wage setting operating in different countries and sectors in the European Union. The precise impact of these different practices on the labour market situation of disadvantaged groups has been insufficiently explored in labour market research to date.

4.3.2 Training as one of many interventions required for successful labour market integration

The case studies for this report have illustrated how different approaches are required to address the diverse needs of different target groups. For example, the case study on the Integrated Roma Employment programme from Hungary (see chapter 7), demonstrated that training programmes must take into consideration personal, social and health related difficulties experienced by the participants before moving on to helping individuals to access vocational education and training. In fact, in the case of the Integrated Roma Employment programme, social and community integration facilitated access to VET for those individuals who were facing multiple barriers to labour market integration, and NGOs and social partners played an important role in this process.

Hence, it is essential to acknowledge that both supply and demand side measures are necessary to successfully (re-)integrate excluded groups into the labour market, and create sustainable employment for low-skilled employees. This means, for example, the combination of improvements in the skills profile of job seekers with awareness raising campaigns (e.g. to promote the benefits of a diverse workforce) and financial incentives for employers.

¹¹⁵ Ibid.

4.3.3 Benefits of partnership approaches

There are several fundamental benefits for involving NGOs in policies that deal with competence development of the low-skilled and other groups that are at a disadvantage in the labour market:

- Firstly, NGOs have a particular ability to reach out to those who are most at risk of social and economic exclusion and who have most to gain from training.
- Secondly, the involvement of organisations representing the interests of vulnerable groups can ensure that particular workforce development requirements of the target groups are taken appropriately into account in the strategic development of initiatives. As illustrated by the case study example from Hungary (see chapter 6, Integrated Roma Employment programme), the involvement of the representatives of the target group in the project planning and implementation ensured that the project activities took into consideration the particular barriers experienced by the target group.
- Thirdly, in terms of the role of NGOs in delivering training measures, NGOs are acknowledged as having a 'comparative advantage' by being able to provide services that are flexible, responsive and accessible.
- Fourthly, NGOs can fulfil an important 'democratic' function – as they promote greater participation of diverse groups and interests, thus they endorse an inclusive approach to competence development and training.

Social partners in labour market integration disadvantaged groups provided evidence that social partners are engaged in a diverse range of measures dealing with training and social integration of vulnerable groups. They also have the capability of social partners to develop and deliver successful training and integration programmes on their own, as well as to play a substantial role in programmes developed on the basis of a wider partnership. In fact when policies are designed and implemented by the State or other levels of government, the success of the measure can greatly depend on the degree of consultation and participation of other actors, in particular social partners. An early involvement of social partners in policy formulation is crucial to ensure coherence of measures and a degree of ownership (or 'buy-in') over a project.

A high level of social partner involvement in the conception and implementation stages of active labour market measures also has great potential to facilitate creation of a vital and more meaningful employer involvement. Experiences, for example, from Germany (see table below) show that employer-based work experience is crucial to increase trainees' sense of responsibility, occupational and social skills and therefore improve their employment opportunities post-vocational training.

Example – the benefit of involving employers in training programmes for disabled young people, Germany

Vocational training centres (BBWs) are aimed at young disabled people who cannot access training in the dual system and are too severely disabled to work in local vocational rehabilitation centres. There are currently 52 such BBWs located throughout Germany which provide training for 160 recognised qualifications and offer 13,000 training placements annually within their own training centres.

Trainees at BBWs also have to access periods of targeted work experience with selected employers. This element of work experience is to be given increasing relevance in the future through a greater linkage of vocational education in training centres with employer based placements. The desire to create these linkages is based on the results of a study by the Federal Institute of Vocational Training (*Bundesinstitut für Berufsbildung*), which showed that employer-based work experience was crucial to increase trainees' sense of responsibility, occupational and social skills and therefore improve their employment opportunities post-vocational training.

Source: ECOTEC Research & Consulting (Weber, Nevala & Nelissen) (2005) A Study on Policies Involving Social Partners in the Integration of People at a Disadvantage in the Labour Market. European Commission.

The Noste programme from Finland (as shown in chapter 6) illustrated that while low-qualified workers may lack the motivation to participate in training due to a range of financial, infrastructural, psychological and personal barriers, the involvement of trade union representatives – who acted as mentors/learning agents between the participants, training providers and companies – proved instrumental in motivating the hardest-to-reach groups to reconcile with the idea of learning and to participate in training.

Approaches and initiatives taking into consideration the needs of employers can increase the trust of the business community towards training or integration-related policies and programmes. Social partner organisations can also act at company (and sectoral) level to implement training, recruitment, anti-discrimination and awareness raising initiatives. Social partner involvement can also help the project partners in finding an adequate balance between targeted measures and the policy framework.

Exchange of information, among social partners at all levels, can encourage mutual learning. This can enhance the transferability of the most effective training policies and practices, and allow the key stakeholders to learn lessons from experiences and identify policy elements transferable to their own context.

Having said that, it is essential to seek permanent solutions in some of the New Member States to financing participation of social partners in different tripartite forums dealing with training and integration. Evidence is available to demonstrate that for example in the Czech Republic some social partners have felt the limited resources available to compensate costs, especially travel costs, have hindered the participation of trade union representatives on activities concerning the development of VET¹¹⁶. On the other hand, European Commission funding, ESF, PHARE and EQUAL have already helped to build the capacity of social partners to get more involved in the delivery side of integration programmes.

¹¹⁶ Ibid.

The trend in trade union density is clearly downward across Europe¹¹⁷. This is affecting the power and capacity of some unions to take part in policies concerning training. As a result, unions throughout Europe are introducing reforms to confront this recruiting and organising challenge¹¹⁸. One of the strategies for many unions has been to enlarge the membership in specific target groups, mainly women, ethnic minorities, young people and temporary workers¹¹⁹. Besides, the social movement unionism in some countries tries to *"transcend the shop floor and is more focussed on community-based activism and campaigning about local employment problems, green issues, social exclusion and other similar concerns"*¹²⁰.

The differences in the strength and involvement of social partner organisations from Old and New Member States in training measures is also evident from an analysis of recent initiatives; the training initiatives from the EU-15 have social partners at the core of the strategies, while in the New Member States their role tends to be limited to consultation. For example, the Finnish Noste programme (see the case study) was initiated by social partners and subsequently designed, delivered and monitored by a wide partnership consisting of social partners, providers and public stakeholders. It is also easy to find numerous other examples from the Old Member States of similar initiatives. As an example, the Austrian Chamber of Labour recently introduced its own 'learning voucher' as a way of encouraging continuing training. The Flemish social partners recently introduced a similar voucher. Both examples are provided below.

¹¹⁷ European Commission (2006) *Industrial relations in Europe 2006*.

¹¹⁸ Frege, C. & Kelly, J (2004) *Varieties of unionism: strategies for union revitalisation in globalising economy*. Oxford University Press.

¹¹⁹ European Commission (2006) *Industrial relations in Europe 2006*.

¹²⁰ European Commission (2006) *Industrial relations in Europe 2006*. p 29

Examples – social partner initiatives to encourage continuing training in EU-15 countries	
AT	Learning voucher of the Chamber of Labour In 2002 the Chamber of Labour (the legal representation of all Austrian workers and employees with obligatory membership) launched a new initiative, the "AK Bildungsgutschein" (Learning Voucher of the Chamber of Labour) in all nine Austrian Länder. Every member of the chamber of Labour can order a learning voucher worth € 100 (in some Länder members on parental leave receive € 150). The voucher can be used for specific courses at selected training providers. Since its introduction, 80,000 vouchers have been distributed and used across the country (figures from June 2003). These results motivated the Viennese Chamber of Labour to enlarge the programme by autumn 2003. Since spring 2003 the Chamber of Labour Austria is a member of the "e-lap"-network ("European Learning Account Partners"). Evaluation of this system has shown that the motivation strategy has paid off: whilst 18 % of respondents had participated in a course on the basis of a training voucher, 45 % of this group indicated that they would not have undertaken this training without the voucher system. A new and surprising finding emerging from the study is the sustainability effect triggered by the training vouchers: 71 % of respondents replied that they definitely intended to participate in a further course. The Austrian experience shows that a combination of unbureaucratic access, financial support and a wide range of training provision are needed to make training vouchers efficient tools in combating educational exclusion, inequality and social disadvantage.¹²¹
BE	Regional collective agreement on training vouchers In 2003, the social partners in the Flanders region of Belgium signed a regional agreement as a move to bolster the competence of regional institutions in the area of collective bargaining. Under this regional agreement, any worker employed by a firm in Flanders may purchase a training cheque worth up to €250 (part-financed by regional authorities) in order to receive professional training from a recognised VET provider or to purchase learning materials.

Sources: BE - Vervecken, J. & Rosvelds, S. (2004) *Collective bargaining in Europe, 2003/2004: Belgium*.

AT - ECOTEC Research & Consulting, 2005 (Weber, Nevala & Nelissen) commissioned by the European Commission: *A Study on Policies Involving Social Partners in the Integration of People at a Disadvantage in the Labour Market*

¹²¹ It should be noted that learning vouchers are not focused exclusively on people from disadvantaged backgrounds. See the work of Cedefop: <http://www.trainingvillage.gr/etv/news/default.asp?idnews=3098>; and specifically http://www.trainingvillage.gr/etv/upload/etvnews/news/3098-att1-1-fritz_bauer.ppt

At the same time, the most recent initiatives from some of the New Member States focus on creating structures to encourage individual employers to fund continuing training, as opposed to having social partner organisations at the heart of these strategies. Examples of such initiatives from Bulgaria and Romania are shown below. The training initiative from Slovenia, Programme 5000, has social partners represented in the project co-ordination group.

Examples –initiatives from NMS to encourage continuing training	
BG	Helping employers to fund vocational qualifications for their employees The recent Employment Promotion Act provides for a financial incentive scheme for employers to maintain or enhance the vocational qualifications of their employees. The amount of funding is determined on an annual basis by the National Employment Action Plan. Employers who receive state funds for training are obliged to retain the trained employees for at least six months after the training is finished. In 2003 the number of employed persons who participated in state-funded training was 16,064, compared to just 554 in the previous year. This scheme has not yet been fully exploited because of its relatively recent introduction and the fact that employers' awareness of this opportunity is still low.
SL	Programme 5000 In Slovenia, the ministries of education and labour, in cooperation with social partners, have started to implement an interesting co-financing initiative entitled Programme 5000. Programme 5000 is under the competence of the Ministry of Labour, Family and Social Affairs and the Ministry of Education, Science and Sports; operationally and administratively it is implemented by the Employment Service of Slovenia (ESS). However, all the main stakeholders (Ministry for Finance, Ministry for the Economy, Chamber of Commerce and Industry, Craft Chamber, Centre for Vocational Training of the Republic of Slovenia, and Slovenian Institute for Adult Education) also participate. The government has appointed a special project group composed of the main stakeholders, which takes care of the organisation, monitoring and external control of the programme's implementation. In its first few years, Programme 5000 targeted long-term unemployed young adults aged up to 26 years who had not completed initial vocational or technical education or who had formal qualifications not in demand in the labour market. In the last few years, the programme has been extended to other target groups (e.g. the long-term unemployed older than 40 years). In the first year (1998/99), the programme was limited to secondary education; in later years tertiary education was also included. The government's ambition is to increase the yearly enrolment of new participants from 5,000 unemployed at the outset to as many as 8,000 unemployed in the 2003/04 school year.
RO	Helping employers to fund continuing training One of the most recent initiatives is the Law 107/2004 amending Law 76/2002 on unemployment compensation and stimulation of the labour force. Employers who provide CVET for their employees through accredited programmes (delivered by authorised service providers), can recover 50% of their training programme costs annually from the Unemployment Fund, provided that at least 20% of personnel participate in such training.

Source: Masson, J-R (2006) Financing vocational education and training in the EU new member states and candidate countries: Recent trends and challenges. European Training Foundation.

The examples that have been provided above and throughout this report clearly illustrate the benefits for involving social partners and NGOs in training measures aimed at low-skilled workers and other disadvantaged groups. It must, however, be acknowledged that the integration and training initiatives implemented by social partner organisations or NGOs alone can not be expected to provide solutions to the labour market problems in cases where national policy and institutional barriers (e.g. 'benefits traps') hinder the effectiveness of labour market interventions. Indeed, the legislative framework, collective bargaining structures and social policies can support – or hinder – the effectiveness of interventions of NGOs and social partners. This re-enforces the benefit of partnership approaches to measures dealing with vulnerable groups. In fact, an integration process is a continuous, two-way process and should be seen as a shared responsibility between key public, economic and social actors

It is, nevertheless, vital to acknowledge that in many cases employer and trade union organisations have different approaches to what they perceive to be the best way to integration, and indeed the role played by social partner organisations in this process.

Generally employers' organisations advocate a more "voluntary" approach with fewer legal requirements and quota obligations and instead more support for employers keen to recruit disadvantaged groups. It is argued that too many legal requirements act to the detriment of vulnerable groups in the labour market as they are seen to make employers wary of offering insertion opportunities to individuals from such "risk groups".

The trade unions are *generally* keen to see stronger legislative provision, including greater powers to enforce the formulation and implementation of workplace integration agreements. However, not all unions are universally supportive of all legislative provisions, such as quotas, although they often believe some form of obligation should be imposed on employers when voluntary systems do not work. Most unions also actively lobby for the provision of more training for employees and promote adoption of equal opportunity policies. The availability of skilled labour is critical for employers; therefore they are also supportive of the development of training measures. In fact, training and gender equality programmes and measures aimed at low skilled workers tend to be some of the top priorities for social partners in Europe¹²².

¹²² European Commission (2006) *Industrial relations in Europe 2006*. UNICE/UEAPME, CEEP and ETUC (2006) *Framework of actions for the lifelong development of competencies and qualifications. 2004 and 2005 reports and the evaluation report of 2006*. ECOTEC Research & Consulting, 2005 (Weber, Nevala & Nelissen) commissioned by the European Commission: *A Study on Policies Involving Social Partners in the Integration of People at a Disadvantage in the Labour Market*

4.4 Conclusions

The key conclusions to be drawn from this chapter with regard to the role of social partners in VET are as follows:

- Social partners are significantly engaged in both the design and delivery of VET in the Member States with a strong tradition of social concertation. In the new Member States, where social dialogue is weaker and employers less motivated to fund training, social partners are less actively engaged in VET. However, the involvement of social partners in VET - through consultation, joint statements and collective bargaining – has strengthened universally across Europe during the current decade and has continued to do so in the last few years. In countries with weaker or fewer formal structures involvement is being restructured and/or given more structure and strengthened.
- The practical involvement of social partners in the delivery of VET has increased, for example, with the growth of initiatives on validation of informal and non-formal learning, increase in work-place training and the development of sectoral funds to finance VET.
- The current decade has seen an influx of new tripartite bodies dealing with VET matters exclusively and/or education and labour market matters in more general terms all across the EU Member States. These bodies, among other factors, have contributed to a more structured and systematic involvement of social partners in all levels of VET, from initial and continuing VET to vocational training provision at tertiary level. However, the involvement of social partners tends to be less prominent and less practical in tertiary level VET than in IVET or CVET. A majority of initiatives highlighted in this report and other relevant literature deal with the role of social partners initial or continuing VET.
- In recent years, a growing number of national, sectoral and company level agreements have been signed, which concern either equality in access to, or funding, management or availability of, VET. This trend is discernable across Europe both in countries with a tradition of strong social dialogue and in countries with weaker industrial relations processes. Collective agreements dealing with VET have a tendency to focus on initial and continuing VET; tertiary VET is a topic of collective agreements more rarely.
- The European social partners at inter-sectoral and sectoral levels have reached a number of joint opinions promoting the role of the social partners in the development of vocational education and training in the Member States.
- The role of social partners in VET depends, above all, on the financial and organisational strength of social partner organisations and the characteristics of the industrial relations system of each country. There are also important differences in the education and training systems that influence the configuration of the VET system and its relation to social dialogue. Other factors influencing the role of social partners in VET include traditions of national consultation processes, the existence of joint VET & education committees and the attitudes of governments towards social partnership.

The main conclusions with regard to the role of employers in the development of VET systems, and which are relevant to chapter 6, are as follows:

- Employers are widely involved in the financing and administration of VET systems and are increasingly involved across all levels in practical measures such as the development of new VET qualifications and the drafting of VET curricula; the recruitment of students; the development of apprenticeship programmes and on-the-job training; and assessment and certification.
- Pressure from employers lies behind the vast majority of developmental activity taking place with respect to the opening up of VET pathways which we discuss in chapter 6. Employers are demanding more flexible training regimes which can support their need for continual updating of workforce skills especially in the field of CVT, whilst within IVET their demands focus in such areas as higher generic and theoretical content which in some countries is a factor behind, for example, the decline in popularity of lower level school-based VET.
- Although employers may be the key drivers behind policy reforms this does not prevent problems arising during implementation. Apprenticeships, for example, whilst the focus for much development, can encounter difficulties in trying to secure sufficient participation from employers 'on the ground'. Although the reasons for this vary they may involve difficulties in articulating the needs of employers where social dialogue is weakly developed and a lack of capacity amongst employers.
- Some developments arise from employer action to fill gaps in provision where the response of VET systems lags behind the market or where employers perceive there to be obstacles that they need to circumvent. A good example of this is provided by some post-secondary non-tertiary provision which is being developed by employers to meet their needs for new skills and which avoids having to negotiate provision with universities that can be resistant to increased vocational content of higher education programmes.
- Right across Europe there is a trend to increase employer involvement in VET, especially IVET where employer participation in policy development and implementation has often been less prominent than in CVT, and also at tertiary level.

The chief conclusions regarding the role of social partners and NGOs in measures concerning labour market integration – and which therefore link to the thematic material to be presented in chapter 7 - are as follows:

- Labour market participation of disadvantaged groups is a growing concern among social partner organisations. Training and lifelong learning are central to opening up opportunities for young people and disadvantaged sectors of the workforce. Consequently, social partners at all levels have made, and continue to make, a considerable effort to ensure access to training becomes the right of all workers. Now the efforts must concentrate more on furthering collective bargaining and promotion of lifelong learning at company level.
- When training and integration policies (aimed at disadvantaged groups) are designed and implemented by the State or other levels of government, the success of the measure can greatly depend on the degree of consultation and participation of other actors, in particular social partners and NGOs. In fact, the development of successful, genuine partnership involves engaging target communities and partners in the decision-making processes. NGOs are uniquely placed to reach out to those who are most at risk, while an early involvement of social partners in policy formulation is crucial to ensure coherence of measures and a degree of ownership (or 'buy-in') over a project.
- Training and integration measures aimed at low-skilled workers and other vulnerable groups must always take into consideration the complexities of their needs; individuals may face multiple disadvantages, and both demand and supply side measures are often required to achieve (re)integration.

5.0 An overview of patterns and trends in VET

5.1 Introduction

The preceding chapters have set the broad context for the study, identifying and discussing the main demand-side pressures on VET systems, developing a framework to understand the nature of VET systems and how they are configured to respond to these demands, and finally examining the changing roles of employers and other social partners. It is now time to look at what has been happening to VET in recent years through a review of what available data sources can tell us about patterns and trends in participation and attainment.

In the following sections we look at trends since 2000¹²³. The analysis looks at trends in relation to three main levels: upper secondary; what is termed post-secondary non-tertiary (PSNT) education; and the tertiary level. We take these levels to correspond to ISCED in the conventional manner as follows (although as we discuss below there are difficulties around the use of the term 'post-secondary non-tertiary', especially across countries):

- upper secondary – ISCED level 3
- post-secondary non-tertiary – ISCED level 4
- tertiary – ISCED levels 5 & 6.

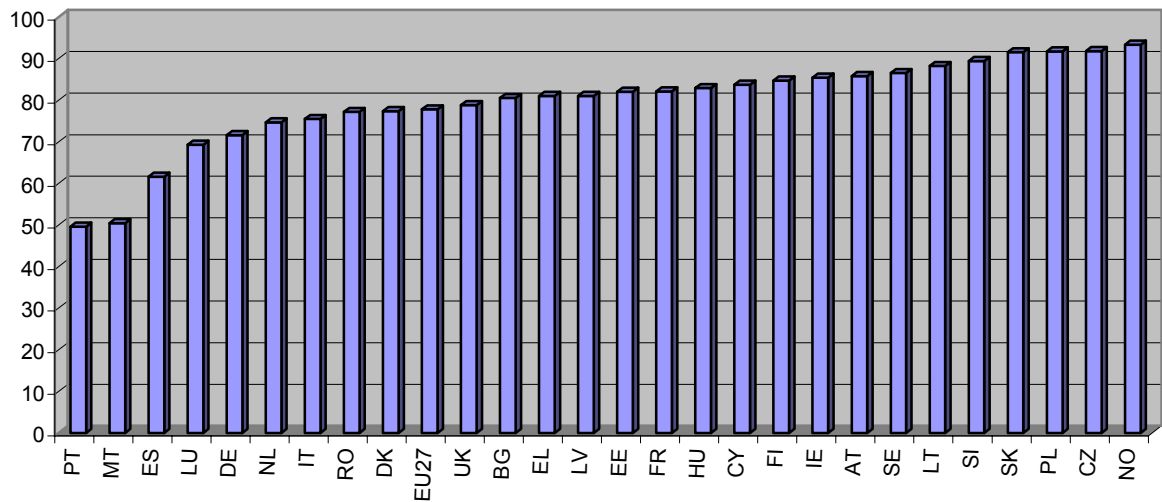
5.2 Upper secondary level

Participation in upper secondary education is the norm for most people and in 2006 77.8% of the EU's 20-24 year olds completed it (Figure 5.1). This rate is increasing, up from 76.6% in 2000. There are of course differences between countries but there is some evidence that the gap between countries is decreasing as the lowest performers catch up with the highest¹²⁴: certainly this is suggested by comparing current completion rates with the highest levels of attainment in the adult population, where the inter-country variation is much greater. Nonetheless the data set shows a comparatively smooth rate of decrease from 92% (Czech Republic) at the top end to 69% (Luxembourg), after which there is a sharp fall to Spain, Malta and Portugal. Seventeen of the 27 Member States have rates between 80 and 92%.

¹²³ Data prior to 2000 appears to be inconsistent with data after 2000 and therefore the reliability of longer term temporal comparisons would be doubtful.

¹²⁴ It arguably becomes harder for the 'top performing' countries to progress as they start to have to deal with the small minority of the population (perhaps of the order of 10-15% of a year group) which appears to form a 'hard core' that is resistant to attempts to tackle issues such as early school leaving and under-achievement.

Figure 5.1 Percentage of 20-24 year olds who have successfully completed at least upper secondary education (2006)



Across Europe as a whole, participation data suggest that slightly over half of those participating in upper secondary education have been enrolled in vocational tracks and that this proportion was fairly stable between 2000 and 2003 (Table 5.1). However, it is also notable that within the New Member States VET's share of enrolments consistently fell over this period, which accords with the generally accepted picture for these countries. This also means that VET at this level is now less popular in the new than the old Member States, reversing the position in 2000.

Table 5.1 Percentage of people enrolled at upper secondary level who are in VET

Years	2000	2001	2002	2003
EU-25	55	55	57	56
EU-15	54	55	57	56
NMS10	59	58	56	52

Source: Eurostat

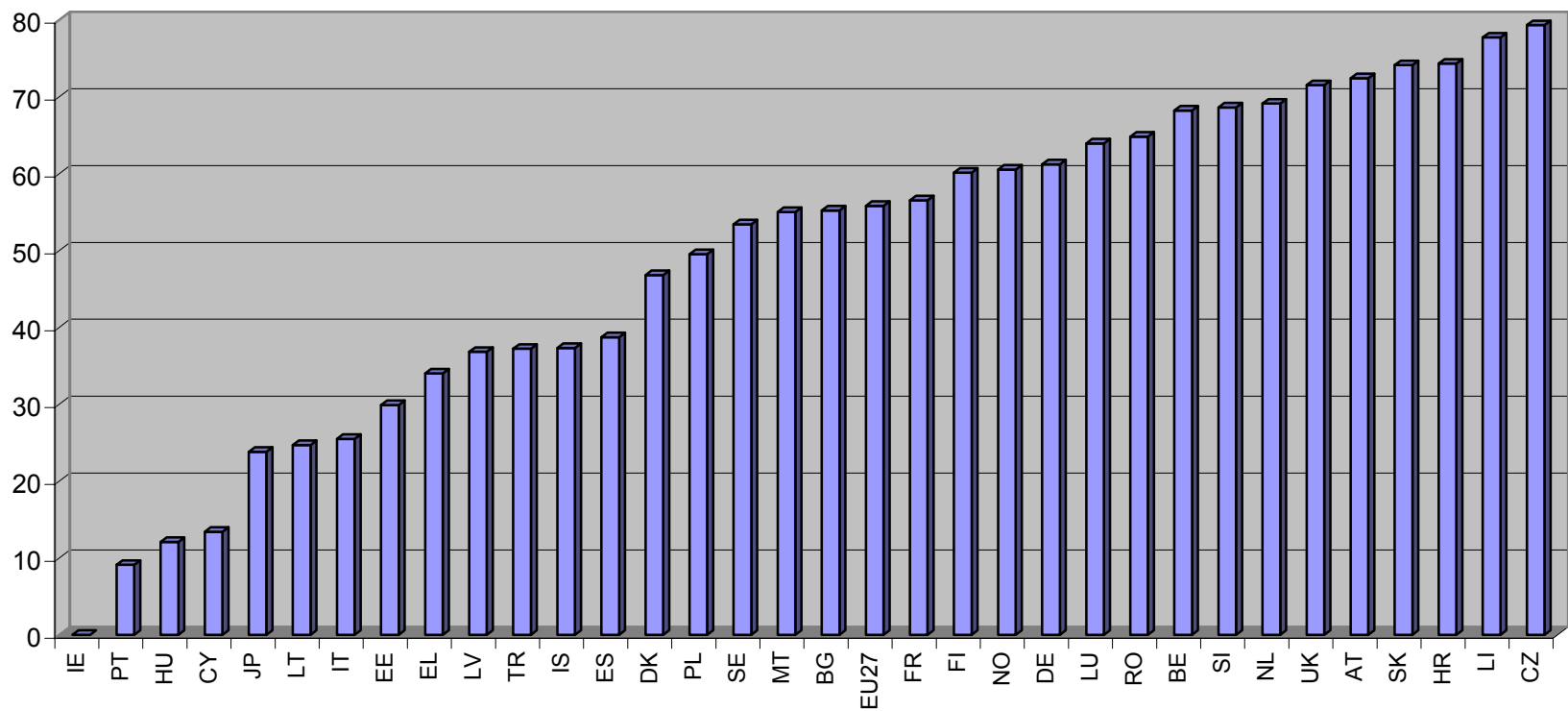
The variation between countries in the proportion of enrolments in VET is considerable (Figure 5.2). The new Member States, the Mediterranean countries and Ireland tend to have low proportions in VET (although in the case of Ireland and Italy there is a significant pre-vocational track, as shown below). The proportion tends to be higher in continental countries and the UK. Countries with strong or developing apprenticeship systems have high participation rates, e.g. Austria, Germany, the Czech Republic, Luxembourg¹²⁵, and the Netherlands¹²⁶. Amongst the Nordic countries, the proportion of people in VET is either just below to somewhat above the EU average.

The pattern of low VET participation in Greece, Spain and Portugal accords with problems that VET experiences with its image in these countries (and in Spain and Portugal this is coupled with a comparatively small proportion of the school population who stay on, which means that the numbers of individuals on VET is further reduced and hence the numbers likely to be entering the labour market with VET qualifications will be small). Further, whilst these countries maintain a common core curriculum until the age of 15 or 16 they do not then manage to achieve high VET participation rates after the compulsory phase, unlike the Nordic countries, which also have a common core curriculum throughout the compulsory phase.

¹²⁵ Eurydice, Cedefop (2003) *Structures of education, vocational training and adult education systems in Europe*, Luxembourg

¹²⁶ HBO Council, Association of Hogescholen, *Education system in the Netherlands*

Figure 5.2 Percentage of all upper secondary level pupils in vocational programmes (2004)



In terms of changes over time, Figure 5.3 highlights that the declining numbers in the new Member States which we have just noted often comes on top of a comparatively low base in terms of the proportion of people in VET. In contrast, the Mediterranean countries show an increasing proportion of people in VET from their low base. The UK and the countries in the continental cluster show a varied pattern of change over time on top of their above average proportions of VET enrolments. There is no consistent pattern in the Nordic group.

Figure 5.3 % of upper secondary level pupils enrolled in VET in 2004, and change since 2000

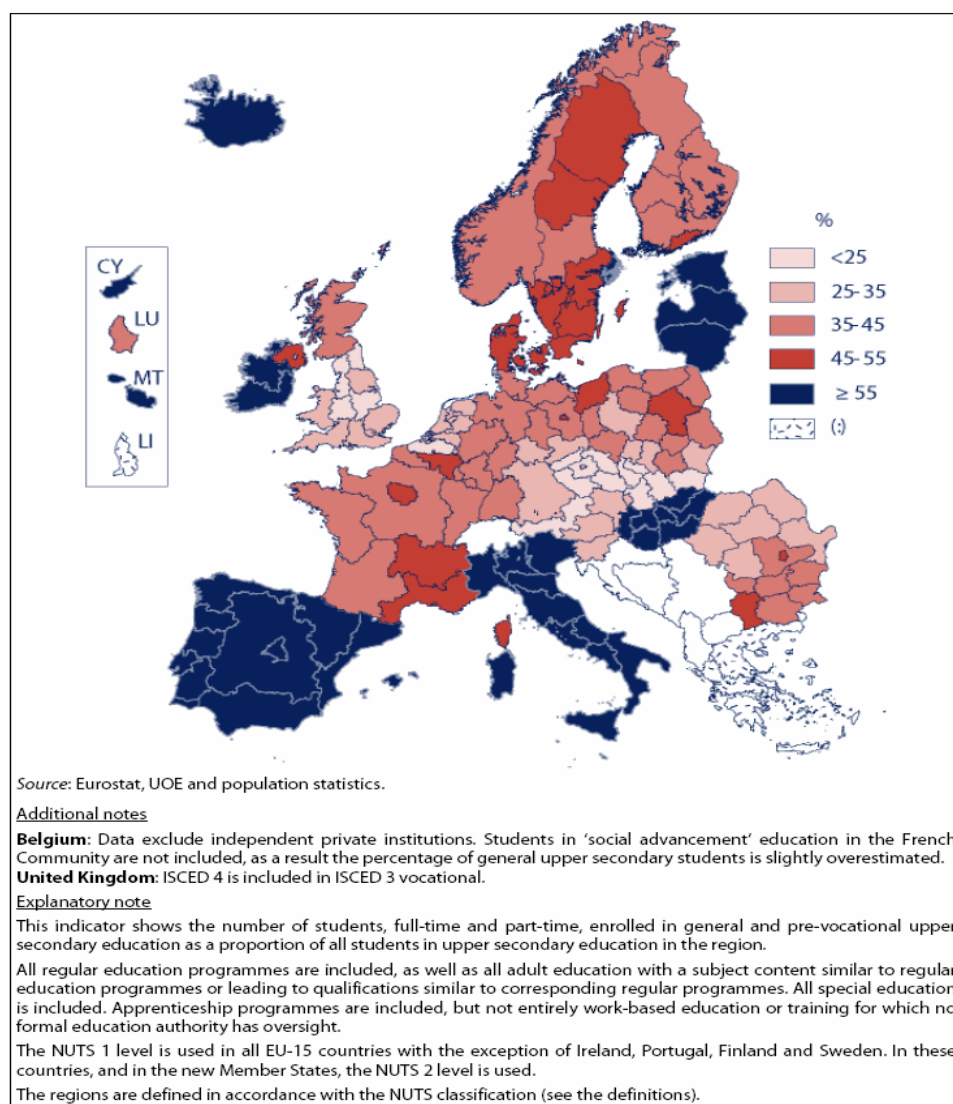
Change 2000-2004	Increasing	<i>Italy</i> <i>Hungary</i> <i>Malta</i> <i>Sweden</i> <i>Greece</i> <i>Spain</i> <i>Portugal</i>	<i>Belgium</i> <i>Netherlands</i> <i>Austria</i> <i>Romania</i> <i>Finland</i> <i>UK</i> <i>Luxembourg</i>	
	Decreasing	<i>Bulgaria</i> <i>Denmark</i> <i>Cyprus</i> <i>Estonia</i> <i>Latvia</i> <i>Lithuania</i> <i>Poland</i>	<i>Czech Republic</i> <i>Germany</i> <i>France</i> <i>Slovenia</i> <i>Slovakia</i>	
		Below EU average	55.8%	On or above EU average
		2004 position		

Sources: Eurostat

In countries where sub-national tiers of government have competences within the education and training field, there can be important variations in enrolment patterns within Member States, as Figure 5.4 indicates¹²⁷. This figure also brings out the effect of the common history shared by the cluster of regions that covers South-East Germany, Austria, Slovenia, the Czech Republic, Slovakia and parts of Poland.

¹²⁷ Although the data on which this figure is based are a little dated, and some countries have changed their relative position as comparison with the preceding table indicates, they nonetheless highlight an important general point.

Figure 5.4 % of upper secondary students (ISCED 3) following general education programmes by NUTS level, 2000/2001



Source: Eurydice: http://oraprod.eurydice.org/portal/page?_pageid=217,163759&_dad=portal&_schema=PORTAL

With regard to pre-vocational education, whilst there are problems with data reliability it appears that it probably accounts for something of the order of 5-7% of enrolments in any one year across the EU as a whole, although with significant variations between individual countries¹²⁸. In several countries participation rates in pre-vocational education appears to be significant and to 'offset' the low proportion of students recorded as enrolled on VET: Hungary (37% in 2003), Ireland (28% in 2003), Italy (38% in 2003).

Available data can also shed some light on the take-up of vocational education that offers a combination of school and work-based elements¹²⁹. In 2003 the OECD average for upper secondary students following a combination of school and work-based learning was 15.1%. In many countries no combination is offered or participation is limited, whilst in others it is significant, i.e. Australia (64.2% of upper secondary students following a combination)¹³⁰, Switzerland (58.9%), Denmark (53.3%), Germany (49%), Slovakia (38.9%), Austria (34.7%) and the Czech Republic (27.2%). These countries all have in common that they have relatively average to high enrolment rates in upper secondary vocational education; some of them also, not surprisingly, have strong apprenticeship systems.

Finally, before we leave this section on upper secondary VET, it is important to comment on trends within apprenticeships. The following chapter will show how apprenticeships are – generally speaking – being re-energised as a valuable route. At this point we note that data from a number of countries indicates the substantial extent to which it is being expanded. Three examples illustrate this well. In Hungary, the share of students in apprenticeships increased almost five fold between 2000 and 2005, from 6,616 to 32,117 students. In France plans are being implemented to increase the number of apprenticeships by 40% between 2005 and 2009 (from 360 000 to 500 000), through simplifying conditions, by making it more difficult to break an apprenticeship contract, and by increasing complementary financing, amongst other measures. Finally, in the UK the number of apprenticeships has grown from 75,000 to 240,000 in the last ten years, accompanied by an expansion of the occupations covered so that they now cover areas such as computer game testing, broadcasting, film and video, hospitality and catering, with new schemes coming along all the time; it is planned to increase the number by a further 90,000 by 2013.

¹²⁸ Own calculation based on Eurostat data on graduations from upper secondary level. Data is inconsistently categorised at country level and is sometimes categorised under VET and sometimes general education. The figure given is thus a sub-set of the other categories used.

¹²⁹ The OECD data makes only this simple distinction and does not allow for other cases, e.g. where school-based VET includes mandatory work-based elements

¹³⁰ In Australia all VET upper secondary students follow a combination of school- and work-based learning

5.3 Post-secondary non-tertiary education (PSNT)

As we have noted, one of the key features of recent trends in the labour market is the emergence of demand for workers skilled to a level between upper secondary and tertiary levels, often taking the form of a demand for high levels of occupation-specific skills coupled to increased levels of underpinning theoretical knowledge¹³¹. Mapping this pattern of skills demand onto the education system is not an easy task but some of the demand is for skills that require additional training after upper secondary level but at a level which does not match the theoretical content normally expected of tertiary provision either in breadth and/or depth. There is a measure of fit therefore with the level of provision termed 'post-secondary non-tertiary' (PSNT) although it is by no means exact, and indeed there are definitional issues with how the educational world defines PSNT.

UNESCO defines PSNT programmes as those which broaden the knowledge of participants who have already completed a programme at level 3, but which are not necessarily significantly more advanced than programmes at that level. The definition thus includes pre-degree foundation courses or short vocational programmes which individuals might take if they have completed upper secondary level but not in courses that confer eligibility to enter tertiary provision. However, in practice the definitions used vary and there is currently no international agreement: what some countries classify as PSNT others classify as upper secondary (e.g. in Slovakia and the USA) or tertiary (e.g. in Sweden). This renders inter-country comparison problematic.

Despite this difficulty, it is nonetheless possible to get an impression of the prevalence of PSNT as an attainment level within the general population from those countries where PSNT is identified as a separate category. As the highest level of attainment in the 25-64 year-old population¹³² PSNT is at its highest at 10% in New Zealand and Ireland, closely followed by Switzerland (7%), Greece (8%), Germany and Luxembourg (both 6%). Countries where the level is lower are Poland and the Netherlands (both 4%), Norway and Iceland (both 3%), Hungary (2%), Portugal and Italy (both 1%).

Clearly, compared to qualification at upper secondary level, PSNT is less significant within the general population, although of course this largely reflects initial attainment levels which can date back up to 40 years; it will not therefore reflect any recent increases that might have taken place. Unfortunately datasets are not sufficiently reliable to attempt to assess whether there has been a shift in this respect in the last few years, not least because individual countries have sometimes changed the definitions they apply.

However, the graduation data available¹³³ does provide some indicative illustrations of PSNT patterns. Looking first at graduation from vocational PSNT programmes as a whole, we can determine a proxy measure of the relative importance of this type of provision by expressing the numbers of individuals involved as a percentage of people enrolled on upper secondary programmes, as shown in Table 5.2. We should stress that these data should be used only to obtain an indication of the relative scale of PSNT. It should also be remembered that the figures may reflect adults using the provision as well as

¹³¹ Although as we have also noted, there is also an element of qualification inflation in current trends with some individuals entering the labour market over-qualified for the jobs on offer.

¹³² Data for 2004 from OECD *Education at a Glance*

¹³³ From Eurostat

those who have progressed immediately from upper secondary (this may explain the figures in excess of 100). It can be seen that the significance of PSNT provision appears to vary widely. Although these data are available over time, their reliability is suspect but they do not indicate a substantial increase in provision.

Table 5.2 Students graduating from PSNT vocational programmes as a percentage of upper secondary graduates¹³⁴ in selected Member States (2004)

Country	Students graduating from vocational programmes as % of upper secondary graduates
Austria	44
Belgium	31
Czech Republic	30
Estonia	101
Germany	21
Hungary	131
Italy	18
Latvia	31
Lithuania	38
Poland	24
Romania	13
Switzerland	20

Source: Eurostat. Note: 2003 data used in the case of AT

¹³⁴ PSNT figures for 2004 as a percentage of upper secondary figures for the preceding year, 2003

We can also break down data for some countries in order to examine the split between the main categories of provision: more theoretically oriented programmes that prepare for tertiary academic education; more vocationally oriented ones that prepare for entry to vocational tertiary provision; and finally vocational provision that prepares for labour market entry and which tends to comprise courses of shorter duration than the preceding two categories (Table 5.3). Again this shows that PSNT is used in highly varied ways, in some cases exclusively for progression to tertiary VET, in others exclusively for labour market entry, and in some cases for a mix of purposes.

Table 5.3 Breakdown of PSNT graduates according to principle orientation of programme for selected Member States

	% of PSNT level students on ...		
Country	More theoretically oriented courses preparing for entry to tertiary academic education (4A) ¹³⁵	More vocationally oriented courses preparing for entry to tertiary vocational education (4B)	More vocationally oriented courses preparing for labour market entry (4C)
Austria	90	10	0
Belgium	40	15	45
Estonia	0	0	100
Germany	67	33	0
Italy	0	0	100
Lithuania	0	100	0
Poland	0	0	100
Romania	0	100	0
Switzerland	28	72	0

Source: Eurostat

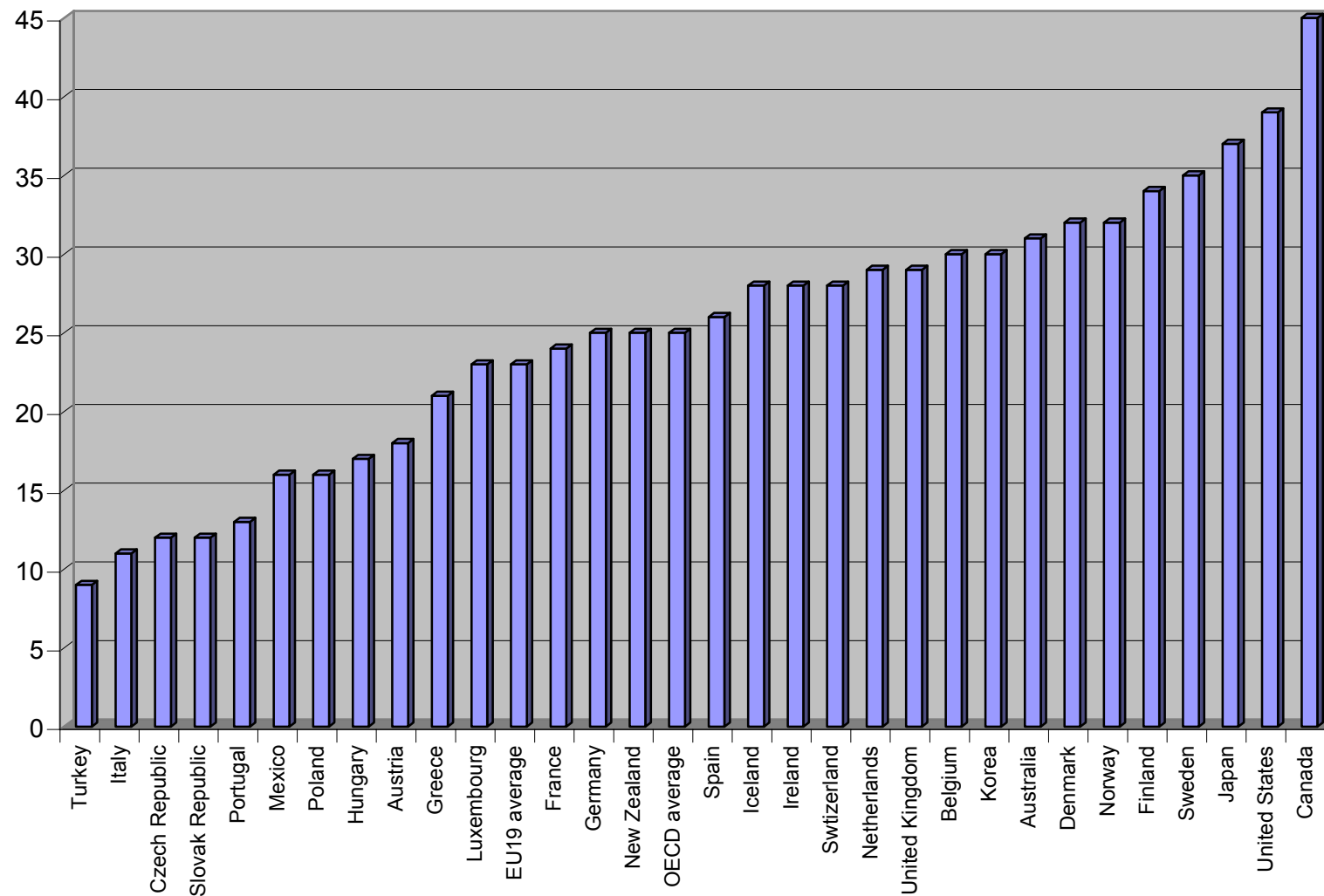
5.4 Tertiary education

Compared to PSNT education, relatively robust data is available with regard to tertiary education, enabling fairly reliable international comparisons to be made. Indeed, it is possible also to look with reliability not just at the EU countries but also at the EU's competitor countries. OECD data¹³⁶ indicates that as a whole the EU lags behind the OECD average for the proportion of the 25-to-64-year old population that has attained tertiary level: in 2004 the OECD average was 25% and the EU19 average 23%. Figure 5.5 shows the enormous variation that exists across countries.

¹³⁵ As we have discussed elsewhere, 4A type provision might also allow for labour market entry

¹³⁶ OECD, *Education at a Glance*, 2006

Figure 5.5 Percentage of the population (aged 25-64) that has attained tertiary education (2004)



Source: OECD

Over time across the OECD countries, entry rates into tertiary education have been rising but the increase has been concentrated in general education with smaller increases in vocational courses. Table 5.4 indicates that across the OECD over half of the relevant age cohort now enters general courses whereas around one in six enters vocational provision.

Table 5.4 Entry rates into tertiary education of new entrants in the OECD (sum of net entry rates for each programme destination¹³⁷), expressed as a percentage of total age cohort

OECD	2000	2002	2003
Type 5A	45%	51%	53%
Type 5B	15%	16%	16%

Source: Own compilation from OECD Education at a glance, editions 2000, 2002, 2004 and 2005

Having looked at the general patterns in tertiary enrolments, what can we say about the nature of tertiary courses and the difference between more general/academic provision on the one hand and vocational provision on the other? Addressing this question is no easy task. Whilst available datasets¹³⁸ seek to differentiate between theoretical programmes (called type 5A) and vocational-oriented ones (type 5B), in reality we face the same type of difficulty in categorisation that we came up against in relation to PSNT education¹³⁹. In particular, some type 5A provision is likely to include some vocational provision. Furthermore, although traditionally the more academic programmes were typically offered by universities whilst vocationally oriented ones were usually offered by tertiary VET institutes (colleges, etc.), in recent years this boundary has become increasingly blurred with universities increasingly offering more vocationally oriented programmes and vice versa (an issue further discussed in chapter 6). We can nonetheless make a number of useful observations from the data.

First of all, we should note that most general/academic programmes range from three years to five years or more, and are increasingly divided into Bachelor and Master programmes¹⁴⁰. In contrast, more vocationally oriented programmes are typically of shorter duration than general/academic ones (usually two to three years) and are less likely to be divided into a Bachelor/Master structure. Both types of programmes can be offered by a very diverse set of institutes.

Secondly, we can see from the tables below that across the EU approximately 13% of students in tertiary education are enrolled on vocationally oriented programmes and that this proportion has been fairly stable since 2000.

¹³⁷ Net entry rates represent the proportion of people in a synthetic age-cohort who enter tertiary education, irrespective of changes in population size and of differences between countries in the typical entry age. The net entry rate of a specific age is obtained by dividing the number of first-time entrants of that age to each type of tertiary education by the total population in the age group. The sum of net entry rates is calculated by adding the rates for each year of age.

¹³⁸ From both Eurostat and OECD

¹³⁹ An example illustrates the difficulty. In the Netherlands the majority of tertiary vocational programmes are categorised as type A. However, 63% of enrolments are in tertiary VET institutes rather than universities, which compares to a type B figure of 37% in school year 2004/2005. (Jaarboek onderwijs in cijfers 2006, 2005, centraal bureau voor de statistiek)

¹⁴⁰ This is due in large measure to the Bologna process which is seeking to bring all degree-level courses onto a common basis.

Table 5.5 Percentage of tertiary level students enrolled in vocationally oriented programmes

	2000	2001	2002	2003	2004
EU-25	14%	14%	14%	15%	13%
EU-15	16%	16%	16%	17%	15%
NMS10	6%	6%	6%	7%	7%

Source: Based on Eurostat, December 2006

Thirdly, although there are likely to be differences between countries in terms of how courses are categorised, the data hints at the possibility of there being some significant differences between countries in terms of the prevalence of occupationally oriented courses, as the table below indicates. Interestingly, there is little discernible patterning corresponding to our clusters: VET availability at tertiary level appears to be due to factors not captured in the mix of factors taken into account within our clusters. In other words, we do not have a situation where particular clusters are likely to be delivering larger proportions of people onto the labour market with VET qualifications than others. However, this is perhaps what might be expected given that tertiary education tends to operate under a different institutional regime to VET and is bound less strongly into a relationship with the labour market. Generally higher education institutions enjoy greater autonomy than VET establishments and are less an instrument of government labour market and employment policy.

This said, there is a notable difference between old and new Member States in respect of the prevalence of tertiary VET courses. As Table 5.6 shows, the old Member States have more than twice the proportion of people enrolled in VET.

Table 5.6 Percentage of tertiary enrolments¹⁴¹ in occupationally oriented (type B) programmes in 2004 by country

	< 10% participation rate in tertiary type B	Between 10% to 30% participation rate in tertiary type B	>30% participation rate in tertiary type B
EU-15	Finland Sweden Italy Portugal Netherlands**	Austria Denmark Germany Spain UK	Belgium (Wallonia and Flanders) Greece Ireland Luxembourg*
New EU member states	Hungary Poland Slovakia Bulgaria Romania	Czech Republic Latvia Lithuania Malta	Cyprus Estonia Slovenia
Non-EU member states	Iceland Norway Albania Macedonia	Turkey Switzerland USA Japan	Croatia

Source: Based on data from Eurostat, December 2006 and OECD Education at a Glance 2005, table C2.1

* 2002, ** 2003

These features contrast with the situation noted above where in most of the new Member States vocational upper secondary education is strong and where there is comparatively little difference between the old and new Member States in the proportion of students in the different streams. Indeed it is only recently that VET enrolments have become less popular in the new than the old Member States. Similarly, we do not appear to have seen a shift *out* of vocationally oriented provision at tertiary level which was a prominent feature of the upper secondary level in the new Member States (see Table 5.1 above).

These features suggest the emergence of an interesting and potentially significant duality with regard to the status and value accorded to VET at different educational levels in some of the new Member States. Whilst VET at the higher level has maintained its position, and is presumably valued to the same extent as before, at upper secondary level its popularity has fallen away quite dramatically. We might reasonably have expected a shift in popularity – if it were consistent across society and across the labour market – to have taken place to the same degree and at the same time at different levels. Clearly this has not been the case. In terms of the numbers of people flowing onto the labour market

¹⁴¹ ISCED level 5

this is a much more important issue at upper secondary than tertiary level since participation at tertiary level tends to be low compared to the old Member States.

It remains to be seen whether the decline in popularity of vocational courses at upper secondary level feeds through into a decline at tertiary level but traditionally in most of the new Member States (with the exception of Estonia and Lithuania) the levels of throughput to tertiary level are below the EU average¹⁴², so it may not have a substantial effect, and unfortunately we do not have data on actual throughputs from one type of course to another.

5.5 Throughputs

Thus far we have looked at each educational level in turn. This has indicated the relative volumes of VET and general education enrolments and recent changes over time. However, it is necessarily a rather static analysis and it is important that it is augmented with an examination of the flows of people through the different levels. Unfortunately, no comprehensive international dataset exists which would enable us to do this in detail. However, it is possible to paint a broad structural picture of some of the important inter-country differences that exist and also to use data from a selection of individual countries where flows data is available to shed light on current trends and patterns in relation to the issue of whether the upper secondary tier acts mainly as a route to the labour market or into further education.

5.5.1 The broad structural picture

To begin with the broad structural perspective, it is possible to use existing data on levels of attainment within the general population to obtain a notional measure of 'system throughputs'. Whilst these data are designed to show the levels of education within national populations, it is possible to use them as a proxy measure of throughput. Overall, these data indicate that in 2006 in the EU 30% of 25-64 year olds had achieved level 2 at most, 47% level 3 or 4, and 23% had progressed to qualify at levels 5 or 6¹⁴³. At the same time, we can assume that the 23% who had attained levels 5 or 6 had also at some point passed through level 3 or 4. In other words, 70% of the total population¹⁴⁴ had at some time attained levels 3 or 4 and of these about one third had subsequently gone on to complete a tertiary level course. Although this is not a genuine measure of throughput, and does not tell us about the numbers *currently* flowing through the system(s) it does nonetheless provide a helpful *indication* of the extent to which people have either left education and training after upper secondary level or gone on to succeed at further study. Whilst care has to be taken in interpretation, it does nonetheless provide an indication of the broad structural differences between education and training systems¹⁴⁵.

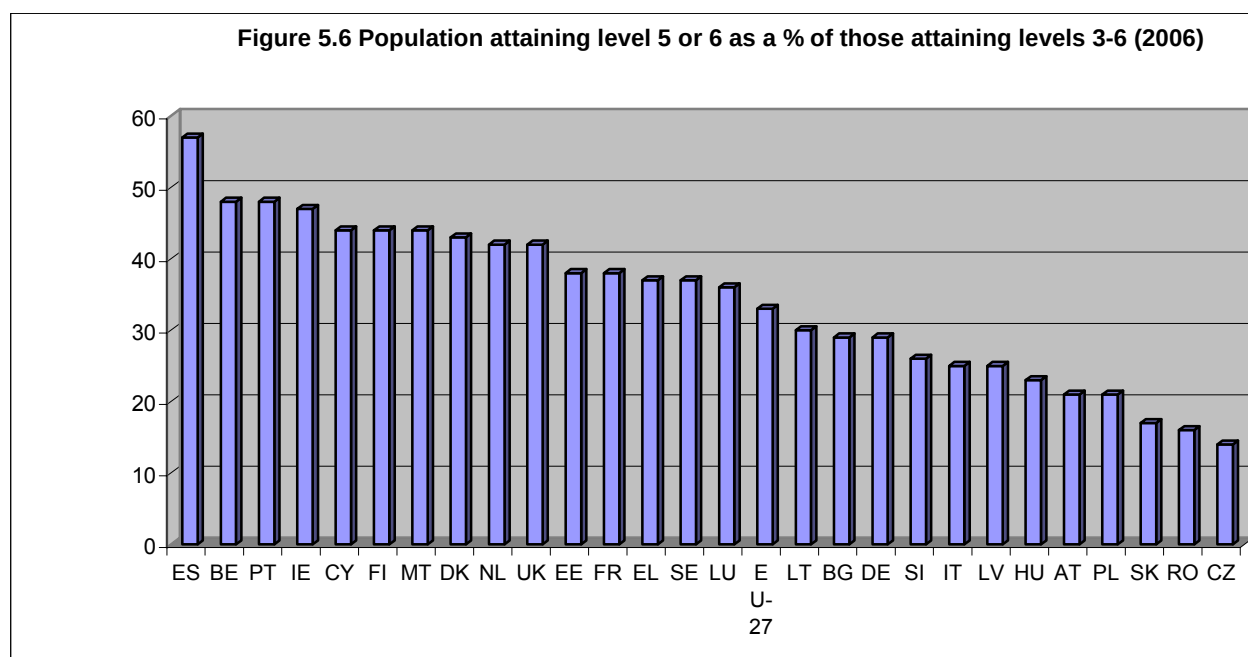
¹⁴² As inferred from rates of attainment in the population in general, as discussed in the subsequent section.

¹⁴³ The lowest category includes courses classed as 3c short and the medium category 3a, 3b, 3c long and 4.

¹⁴⁴ Comprised of the 47% whose highest level of attainment was level 3 or 4 plus the 23% whose highest level of attainment was level 5 or 6

¹⁴⁵ Clearly the approach does not enable us to say anything about differences between systems in the extent to which people achieve higher qualifications later in life by *returning* to education and training or the extent to which people might initially progress to higher levels but then leave early. Nor does it allow for recent changes, e.g. in staying on rates, which have been marked in some countries, e.g. Ireland and which are discussed further in chapter 7 where we deal with early school leaving.

Applying this methodology to individual countries highlights the extent of the large differences that exist across the EU in the degree to which people progress to higher levels of qualification from levels 3 and 4, as shown in Figure 5.6. At one end of the spectrum sits Spain where more than half of those who attained level 3 or 4 subsequently went on to complete level 5 or 6; at the other end sits the Czech Republic where only 14% of level 3 or 4 graduates subsequently go on to higher levels of education and training. In other words, this gives a useful proxy indicator of the extent to which levels 3 and 4 are used to enter the labour market or as a route into further education and training. It is clear that in no country other than Spain has more than half of the upper secondary population gone on to tertiary level, which emphasises that traditionally upper secondary has tended to be used mainly for labour market entry (see below for further discussion).



Source: Eurostat, LFS

Whilst these differences are important in their own right, to get a more complete overview of the differences in throughputs between systems, we also need to consider not just the proportion of people who move from 'medium' levels to 'higher' ones, but also the proportion of people who achieve only level 2 at most – a measure perhaps of the extent to which people are 'left behind' by education and training systems. This clearly places in context the figures on throughputs from medium to high levels as it provides an indication of the share of the population that is, in a sense, 'available' for progression beyond upper secondary by virtue of still being in the education system. This is important to understand as, for example, there will be countries that have a high relative rate of progression from medium to high levels but where comparatively large numbers of people have already left the system *before reaching* upper secondary level.

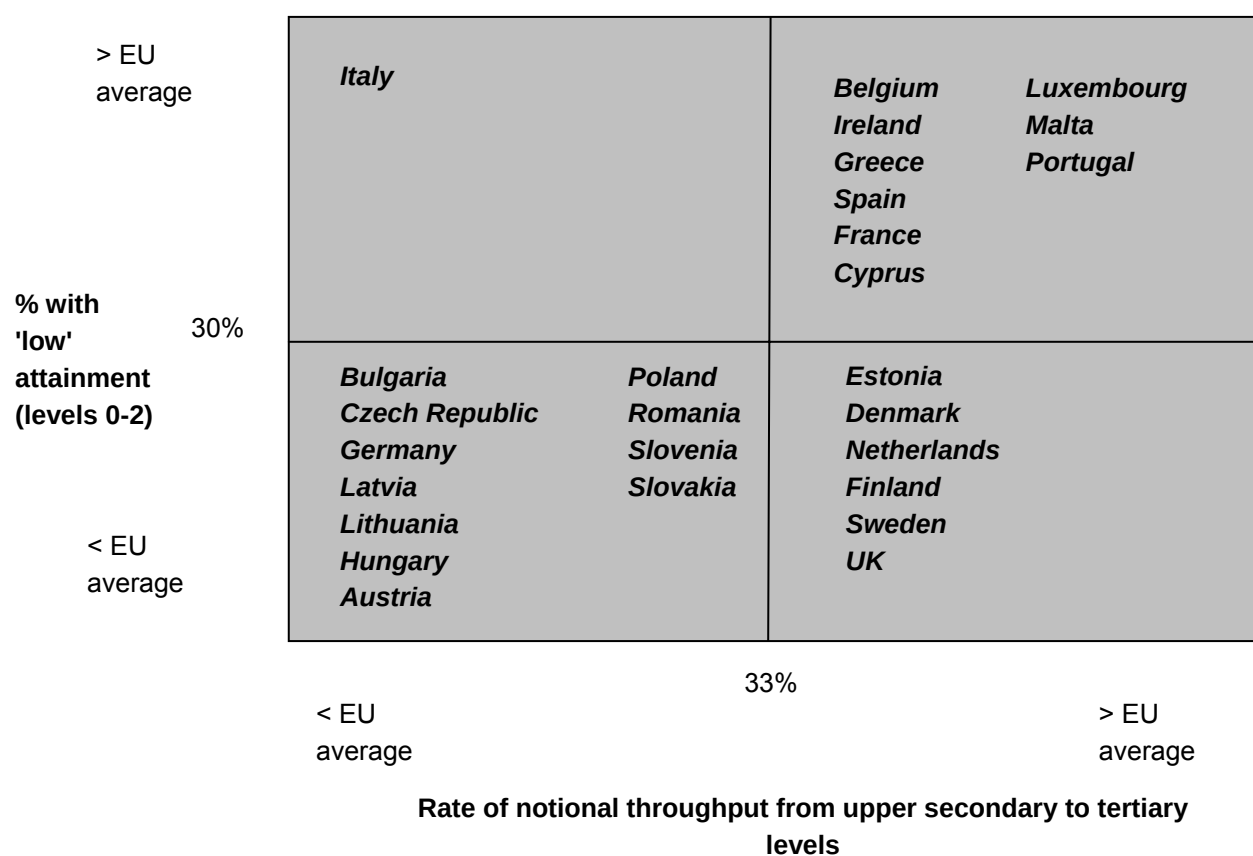
Figure 5.7 cross-tabulates our proxy throughputs data from Figure 5.6 with the percentage of people whose highest level of attainment is levels 0 to 2. This does indeed highlight some important differences and furthermore shows a strong fit with the country clusters identified in chapter 3. Countries whose systems feature strong progression through all levels, i.e. where relatively few leave after the end of lower secondary level and where there is strong use of levels 3 and 4 for progression to tertiary level are the Nordics, Estonia and also the UK and the Netherlands; although the latter two have levels of low attainment that are close to the EU average, and this separates them somewhat from the former grouping. These are also countries (with the exception of Estonia) that have a rate of participation in lifelong learning that is above the EU average. This may, of course, account in part for the apparent high level of 'throughput' – i.e. people leave the system after level 3 or 4 but then achieve a tertiary qualification later on in life. But equally lifelong learning participation tends to increase with level of education and so it is not possible to know the direction of the causality.

In contrast, the countries of Central and Eastern Europe all have system structures that have been characterised by low levels of poor attainment combined with strong use of levels 3 and 4 for labour market entry¹⁴⁶. Austria and Germany also show these characteristics and one would indeed expect this from strong apprenticeship systems (which of course are also a feature in the Czech Republic and Slovakia).

The Mediterranean countries have all had high rates of low attainment but coupled to high rates of progression from levels 3 and 4 (except in the case of Italy which has historically had a low rate of progression). In other words, in these systems the proportion of people reaching levels 3 and 4 has been comparatively low but once people have done so they have tended to stay in the system to tertiary level. This polarisation is also true of the continental countries without major apprenticeship systems and Ireland.

¹⁴⁶ We make the assumption that low rates of progression from levels 3 and 4 to tertiary implies that these levels are used mainly as a route into employment.

Figure 5.7 The broad structure of flows through education systems in Europe, by country (2006)



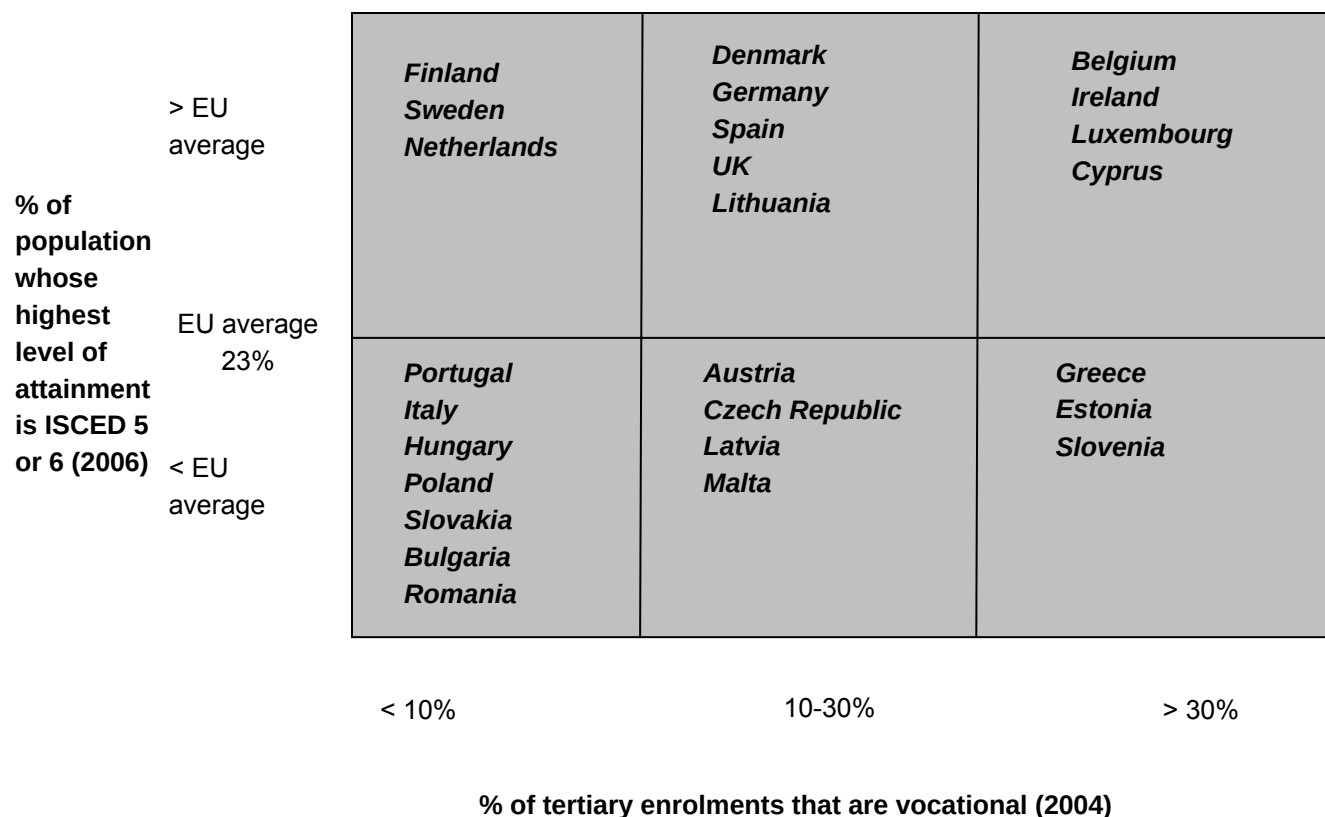
Note: Based on educational attainment of the adult population (aged 25 – 64), 2006

Source: Eurostat LFS

The final step in examining throughputs is to examine the outflow of graduates from the tertiary level. Although this is not a prime focus of this study, it is germane to the labour market issues discussed in chapter 2. In particular, an important question is the extent to which people entering the labour market after tertiary level do so in possession of qualifications that are occupationally oriented. Figure 5.8 below combines our 'structural' data on the proportion of people with high level qualifications with recent data on the percentage of tertiary enrolments that are vocational. This gives a general indication of the differences between countries in the numbers of people flowing onto the labour market with tertiary level qualifications that are explicitly occupationally oriented¹⁴⁷. In Belgium, Luxembourg, Ireland and Cyprus there are relatively high proportions of individuals on the labour market who have completed tertiary courses classed as vocational, whilst in Portugal, Italy, Hungary, Poland, Slovakia, Bulgaria and Romania there are comparatively few. As might be expected, given what we said above regarding the institutional regime within which higher education sits, there is little discernible patterning corresponding to our clusters.

¹⁴⁷ Although as we have already noted important caveats surround the reliability of the classification of tertiary provision into 'general' and 'vocational'

Figure 5.8 Levels of tertiary attainment and VET enrolment compared by country



Sources: Eurostat (LFS) and OECD Education at a Glance

5.5.2 The role of upper secondary VET – examples from individual countries

The preceding section has shown that upper secondary education in general tends to be used mainly as a route into employment but it has also indicated the significant extent to which countries vary in this regard. We are also interested, however, in establishing the extent to which the VET route specifically is used as a means of progression or as direct labour market entry. On the basis of the little statistical evidence available and the study interviews it is clear that in the majority of countries upper secondary VET continues to be used mainly as a pathway directly into employment (see Table 5.7). This tends to be true of both lower level vocational routes and higher level technical ones, although there is usually a clear difference between the two: the vast majority of graduates from vocational routes tend to flow into the labour market whilst a higher proportion of technical graduates stay on in education. In France for example roughly twice as many individuals (as a proportion of graduates) from technical baccalauréat programmes enter university as from the vocational baccalauréat route. In the Czech Republic approximately 35% of people with a vocational qualification choose to follow a follow-up programme which enables them to flow further into tertiary education (if they wish); this compares with approximately 50% of VET graduates who are also in possession of a general *maturita* qualification

who proceed into further study. At the same time, in most countries the proportion of upper secondary VET graduates who progress into further education, although small, is slowly growing.

Table 5.7 Examples of rates of progression from upper secondary into further education

Examples of rates of progression into higher levels of education in countries where upper secondary VET is used principally as a direct route into the labour market
Bulgaria - 3.7% of upper secondary VET students in 2005 proceeded into tertiary VET, increasing from 2.4 % in 2001 ¹⁴⁸ .
Estonia - 10.8% of upper secondary/post-secondary non-tertiary VET students chose to proceed to higher education in 2003
France – 15% of vocational baccalauréat holders typically enter university ¹⁴⁹
Spain – 7% of upper secondary VET graduates preceded into programmes at PSNT level in 2001 (of whom 25% subsequently went into tertiary academic education in 2001/02) and 4% proceeded into general upper secondary education) ¹⁵⁰ .
Sweden – 11% of upper secondary VET students currently proceed to higher education
UK – Approximately 80% of applicants to higher education institutes have traditional academically oriented qualifications

Only in a very small minority of countries are the proportions of upper secondary VET graduates who flow into further education (either post-secondary non-tertiary or tertiary education) substantially higher than the figures discussed thus far. One of those countries is Austria where figures are available to show that approximately 49% of upper secondary VET students (of secondary technical and vocational colleges – BHS ISCED 3A/4A) enter tertiary education, of which about two thirds enter more academically oriented universities and one third tertiary VET (at *Fachhochschulen*).

The Netherlands is one of the few countries where statistical data indicates that secondary VET is mainly used as a preparatory pathway into further education – and indeed where data is available to enable a more detailed examination of pathways. A large majority (82% in 2000¹⁵¹) of secondary VET graduates (VMBO) flow into post-secondary non-tertiary VET education (MBO). Then, subsequently also a considerable majority (63% in 2005¹⁵²) of post-secondary non-tertiary VET students decide to

¹⁴⁸ Bulgarian National Statistical Institute, 2007

¹⁴⁹ Gendron (2002) *The French vocational baccalaureat diploma: space of a plural transition for the youth in vocational training*, European Journal, No 25 p.27-33 Jan-Apr 2002

¹⁵⁰ Las Cifras de la Educación en España, Edición 2006 Actualizada, curso 2004-2005 Ministerio de Educación y Ciencia, <http://www.mec.es/mecd/jsp/plantilla.jsp?id=314&area=estadisticas>

¹⁵¹ De doorstroom agenda in the praktijk, August 2002, Dutch Ministry of Education, Culture and Science

¹⁵² Onderzoeksverslag duurzaamheid en versterking doorstroom mbo-hbo, potons tussen twee bewegende oevers, September 2006, LICA

progress further into tertiary VET (HBO). The latter percentage increased considerably in the period 2001-2005 from 52% to 63%. As a result, the number of students following tertiary VET (HBO) with a post-secondary non-tertiary VET qualification increased from 24% to 27%¹⁵³. A minority of tertiary VET graduates flow further into tertiary academic education (17% in 2001). This percentage also shows an increase in the period 1997-2001 from 10% to 17%¹⁵⁴. It is estimated that 1 out of every 5 lower secondary VET graduate (VMBO) moves into tertiary VET (HBO) and 1 out of 10 lower secondary VET graduates achieves a tertiary VET diploma (HBO)¹⁵⁵.

5.6 Conclusions

The conclusions to be drawn from this chapter are as follows:

Participation in upper secondary is the norm for most people. Weakest performing countries are catching up with the top performers. Slightly over half of those participating in upper secondary education are enrolled in vocational tracks. There is no evidence of any major shift in this pattern except in the New Member States where VET's share of enrolments has been falling since 2000. VET at this level is now less popular in the new than the old Member States, reversing the position in 2000.

There are major variations between countries in the proportion of enrolments that are in VET tracks, tending to be highest in the continental countries and the UK and lowest in the Mediterranean countries, states in Central and Eastern Europe and Ireland. Rates in the Nordic countries range from just below to above the EU average.

Pre-vocational education probably accounts for something of the order of 5-7% of enrolments in any one year across the EU as a whole, although with significant variations between individual countries and in some cases 'offsetting' low rates of enrolment in VET.

There has been a resurgence in apprenticeships, especially in new Member States and an extension out of their traditional domain in the upper secondary level (discussed further in the next chapter).

Attempts to assess the significance of the PSNT level are dogged by issues of data reliability but it is clear that the PSNT level is less significant than the upper secondary level in terms of numbers of enrolments. Available data suggest that, depending on the country concerned, it accounts for at most 10% of attainment within the working age population in general. However, evidence on enrolments indicates that the significance of PSNT courses is highly variable. This is also true of whether it is used for progression or labour market entry. There is little evidence of significant rises in participation at this level, despite the apparent developing need for qualifications at this level and above which we discussed in chapter 2. There may be a number of reasons for this: labour market demands might be being accommodated elsewhere in the system (systems vary in the educational level to which certain skills are ascribed depending on the wider contexts discussed in chapter 3);

¹⁵³ Ibid.

¹⁵⁴ Ramaekers, G., June 2002, *Een opleiding in het HBO is niet altijd eindonderwijs*, in Monitor, edition 20 nr 2.

¹⁵⁵ Onderzoeksverslag duurzaamheid en versterking doorstroom mbo-hbo, potons tussen twee bewegende oevers, September 2006, LICA

demand may not yet have been sufficient to trigger noticeable shifts at the level of these data; or the VET system response is lagging behind.

Enrolments in tertiary education have been rising but the increase has been concentrated in general education with smaller increases in vocational courses. Across the EU approximately 13% of students in tertiary education are enrolled on vocational programmes. This share has been fairly stable since 2000.

There are some significant differences between countries in terms of the prevalence of occupationally oriented courses at tertiary level. In particular, old Member States have more than twice the proportion of people enrolled in VET as new Member States. At the same time, the new Member States at tertiary level do not show the same shift away from vocational provision as we have seen at upper secondary level which points to the emergence of an interesting duality.

In relation to throughputs, the broad structural picture we have been able to present shows that countries differ significantly in the extent to which there is strong progression throughout the system:

- Mediterranean countries, continental countries without strong apprenticeship components and Ireland tend to present a polarised picture, with high rates of low attainment but then high rates of progression from levels 3 and 4 into 5 and 6;
- Nordic countries tend to be egalitarian with low rates of early leaving and high levels of progression; the UK and the Netherlands also fall into this category but have rates of early leaving which make them borderline with the former group;
- Central and Eastern European countries and continental countries with apprenticeship systems are characterised by low rates of early leaving with upper secondary level being predominantly used for labour market entry.¹⁵⁶

Finally, an important issue to consider is the prevalence of individuals exiting the tertiary level who possess qualifications categorised as vocational. Data indicates that systems that currently have a high proportion of the population passing through tertiary level are no more or less likely to have a high level of vocational courses than those with a low proportion. Also, there is no relationship between this factor and country clusters.

In terms of flows out of upper secondary level, structurally it would appear that across the EU around one third of individuals who have at some time attained a level 3 or 4 have subsequently gone on to further study, which means that the other two thirds have gone into employment without achieving a higher level of attainment. There are though strong inter-country variations around this figure.

¹⁵⁶ Note that the data on which this analysis is based is, as we have mentioned, of the level of attainment of the entire working age population and therefore differs for example from the data conventionally used to measure 'early school leaving' and which is reported in section 7.6 (see Figure 7.2). Some countries, such as Ireland, have substantially reduced their rates of early school leaving in recent years.

In terms of the specific issue of the extent to which VET is used as a route into the labour market, on the basis of the little statistical evidence available and study interviews it is clear that in the majority of countries upper secondary VET continues to be used primarily as a pathway directly into employment. However, in most countries the proportion of upper secondary VET graduates who progress into further education, though small, is slowly growing. Only in a very small minority of countries does upper secondary VET predominantly lead to progression to further education.

Technical routes tend to be more popular than lower level routes – as we discuss further in the next chapter - and are more likely to be used as a route to further study but the evidence suggests that their dominant use is still as a route into the labour market.

6.0 Opening up pathways and linking VET and HE

6.1 Introduction: understanding developments in VET

In this chapter we turn to the question of the extent to which VET pathways are being opened up and linkages being made between VET and higher education. In order to understand and analyse the changes taking place we need to be clear as to the rationales being employed for intervention and the different ways in which these are translated into action – the different tools available to policy makers. We also need to take into account the ways in which education and training systems are structured into different levels as this is central to understanding the changes taking place in the development of pathways. In this opening section we look at both of these issues in turn before showing how they have been used to structure our approach to the issues to be addressed.

Perhaps somewhat inevitably the focus of this chapter is predominantly on initial vocational education and training (IVET) since this is where pathways tend to be most clearly defined and where policies to open up systems have been especially strongly focused. It should therefore be assumed that the discussion concerns IVET unless reference is made specifically to continuing vocational training (CVT).

6.1.1 The rationale for reform within Member States

Based on our research, it is clear that there are various types of objectives behind current VET reforms within Member States, and that typically multiple and inter-linked goals are brought into play for any one policy action, not always in the clear manner. For the purposes of the study it is useful to organise them into a threefold hierarchy of:

- (1) the primary social and economic policy goals that are driving reforms
- (2) the specific objectives being pursued in the VET field, and
- (3) the operational objectives and associated policy instruments being deployed to achieve the specific objectives and high level social and economic goals¹⁵⁷.

Primary goals of VET reform

At the highest level, the primary goals concern the relationship between VET systems and the social and economic contexts within which they are embedded. As we saw in chapter 2 there are a number of important developments taking place to which VET has to respond as an essential contributor to the emergent knowledge economy. Broadly speaking these are:

- to support the demand for higher level vocational skills in the labour market by improving the flow of people with higher level vocational qualifications

¹⁵⁷ This is a well-established approach used to help to understand the rationale or 'intervention logics' behind programmes and is widely used within the EU (see for example, 'Evaluating EU Activities: A practical guide for the Commission services', European Commission, Directorate General for the Budget, July 2004)

- to support the demand for generic skills and for a flexible workforce whose occupation-specific vocational skills are underpinned by a solid base of general education by increasing the content of general education within VET curricula
- to increase the flexibility of VET systems in order to cope with the rapid re-skilling needed in knowledge economies characterised by fast-changing production shifts in response to changing consumer demand and rapid global shifts in investment patterns
- to tackle the problem of re-skilling of adults (and especially older workers who are an essential resource in the context of an ageing workforce) by improving rates of Continuing Vocational Training
- to reduce the proportion of people entering the labour market who have low skills and few or no qualifications as a consequence of early departure from the education system through the (re) development of VET which appears to be able to stem the tide of early school leaving
- to improve the social and economic position of disadvantaged groups who might find VET a preferable option to more 'traditional' methods of school-based education, e.g. low-skilled older workers and low-skilled women returners, the long-term unemployed and low-skilled migrants.

It is important to note that these goals vary in the extent to which they are principally socially or economically motivated; and we have ordered them above to reflect their main orientation, with the most strongly economic goals being at the top and the most strongly social at the bottom. At the same time, we should point out that we are applying rather narrow definitions of social and economic here in the sense of the immediate rationale, and we acknowledge that economic development ultimately feeds through into social well-being. The goal in relation to older workers is notable because it clearly meets both economic aims – the need for more labour – and social ones – the need to ensure older workers are skilled and can stay in the labour market and do not become a social burden. Nonetheless, the goals vary in terms of their principle drivers and this affects the policy instruments deployed. We should also acknowledge that employers also find solutions to their recruitment problems outside the VET system of course, e.g. through the use of migrant labour, which has an important impact on people's VET choices in some countries – notably in Central and Eastern Europe - especially owing to the (perceived) effects it has on wage rates and employment prospects.

Specific objectives and operational tools

These primary goals of VET reform are being addressed through the following specific objectives:

- the development of progression routes from initial VET to HE;
- the establishment of open and flexible frameworks between VET and general education; and
- the introduction of VET or VET-oriented programmes at post-secondary/tertiary level aimed at better preparing entrants for the labour market

How these specific objectives are operationalised depends on the nature of the VET system (and its associated employment and welfare systems) which we discussed in chapter 3, and we refer back to the country clusters we identified there where relevant throughout this chapter.

But what are the broad ways in which these are operationalised? Our review of the literature suggests that there are a number of 'ideal type' approaches which are useful as a frame of reference. These are shown in Table 6.1. Broadly speaking the tools available to engineer these changes are:

- curriculum adjustment, through adapting existing courses or developing new ones
- making organisation changes, such as breaking the link between provider and provision, or developing cooperation and co-location between establishments, or establishing wholly new organisational arrangements
- undertaking qualification reform and introducing credit systems, including the introduction of qualification frameworks, and the introduction of mechanisms for the validation of non-formal and informal learning¹⁵⁸.

Quite clearly some approaches are more appropriate to some countries' VET systems than others, whilst the scale of effort required can vary substantially.

Table 6.1 Ideal type approaches to pathway creation and the building of vertical flexibilities

Ideal type approaches to pathway creation and the building of vertical flexibilities
Opening up progression opportunities within the vocational track This model reinforces the role of academic and vocational education as separate systems. Vocational education is considered to be valuable due to its link with employers and vocational content. The focus is mostly put on reforming vocational tracks, not academic ones. Reforms under this model include the strengthening, lengthening or aligning of the vocational track more closely with employer needs. This model is according to Raffe most applicable in Germany, Austria, Denmark, Netherlands and Switzerland - countries which pursue particularly curricular adaptation rather than organisational adaptation. It also applies to countries where the emphasis in pathway reforms is put on the flexibility and progression within a vocational track rather than crossing over and on opening up vocational opportunities all the way through to tertiary level.
Mutual enrichment of vocational and general education This model seeks to facilitate "mutual enrichment" and cooperation between vocational and general education, while at the same time preserving their distinctive character. This model is particularly applicable to Finland and Norway¹⁵⁹. Under this ideal type pathway development takes place using in particular credit transfer systems or other collaboration methods.

¹⁵⁸ Developed from Raffe, D. (2003) *Pathways linking education and work: a review of concepts, research and policy debates*. Journal of Youth Studies, Vol. 6, No. 1, 2003; Raffe, D. *Bringing academic education and vocational training closer together*. ESRC Research Project on the introduction of a unified system, working paper 5.

¹⁵⁹ Leonardo project on strategies for post-16 education in Europe

Ideal type approaches to pathway creation and the building of vertical flexibilities

Building bridges between vocational and general education

This model attempts to build bridges between vocational and general education. Academic and vocational tracks are not transformed or replaced, but a new intermediate link is created between them. The intermediate link can be established through a bridge course or an intermediate track but it can also be established through an organisational change. Countries where this model is applicable are France, England, USA and Japan¹⁶⁰.

Integrating or unifying vocational and general education

In this model both systems lose their distinct identity as the vocational and general education elements are blended. According to Raffe, instead of dividing the education system into general and vocational tracks, it becomes more organised around a hierarchy of programmes and institutions. The place of academic and vocational education varies across different variants of this scenario. Raffe identifies this model to be particularly applicable in Sweden, Australia, New Zealand and Scotland.

Source: ECOTEC literature review

In the following sections, these models provide the backdrop to help us understand developments in Europe but also generate some important questions to consider: in what circumstances have the approaches been adopted, how prevalent have they been and what are the obstacles to their successful execution?

6.1.2 The structure of education and training systems and the position of VET

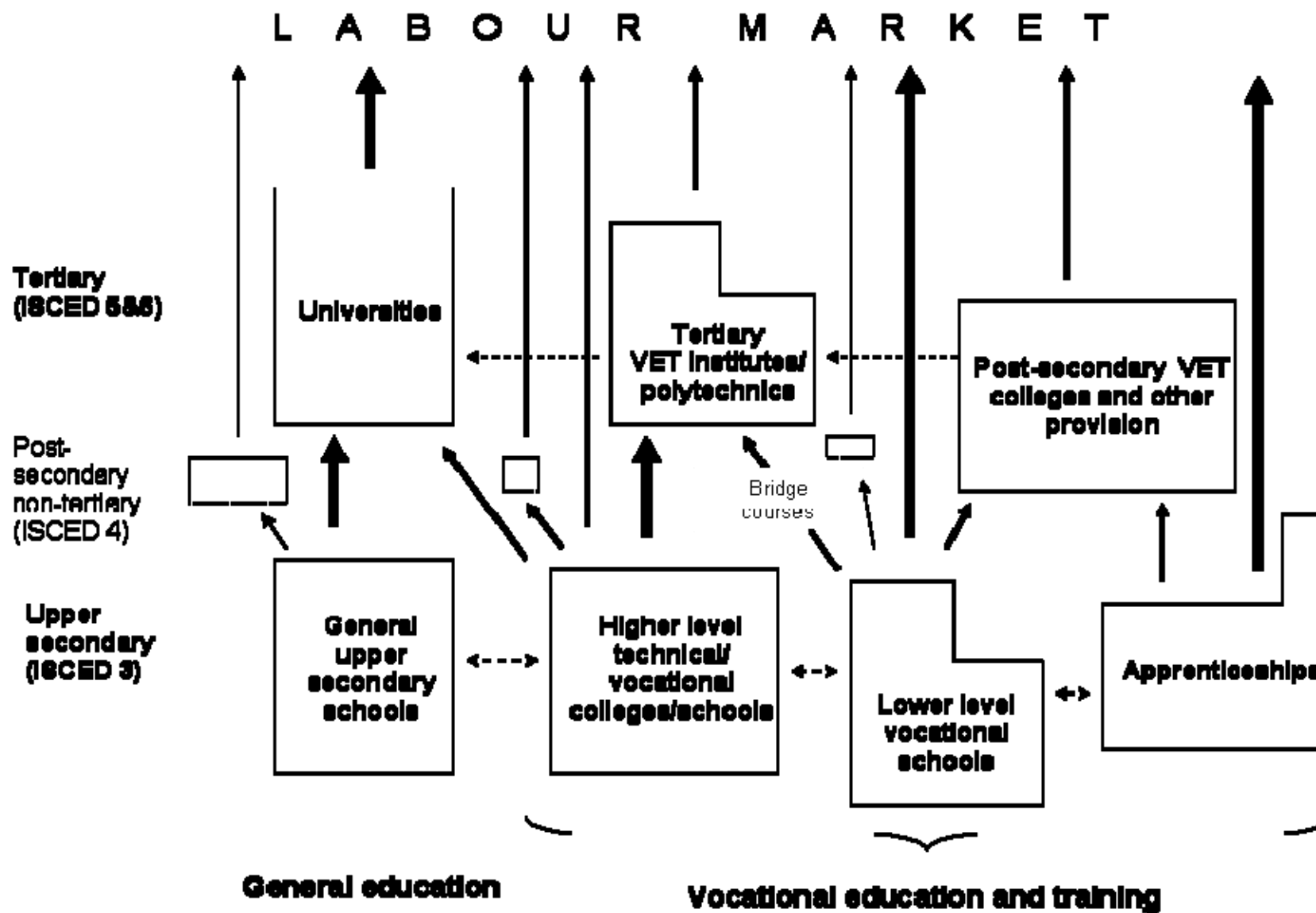
Having considered the drivers behind reforms in the field of VET pathways, we now need to consider the way in which different levels of the education and training system have been affected by such developments. There are, of course, as many education and training systems as there are states within the EU, but some level of generalisation is possible and indeed necessary in order to begin to understand the developments that have been taking place. We will set the scene for the levels from upper secondary through to tertiary levels, remembering that 10 out of the 27 EU Member States track their students from before the age of 15.¹⁶¹

Generally upper secondary education is divided into a number of basic blocks: an academic stream designed with progression to university in mind and then vocational options consisting of various configurations of school-based and work-based or apprenticeship tracks (Figure 6.1 provides a generalised representation of the main VET options and pathways in European systems). As we saw in the previous chapter, the upper secondary level remains a route primarily for labour market entry in most countries, although this appears to be changing slowly. There are also significant differences between countries with upper secondary being used mainly for progression in a small minority and the vocational route becoming markedly less popular within New Member States in the last few years.

¹⁶⁰ Ibid.

¹⁶¹ Pre-vocational education is also increasingly being offered but this is typically seen as a means of tackling early school leaving and of meeting the needs of students who under-achieve in traditional academic school environments. For these reasons we deal with it in the chapter on the role of VET in labour market and social integration.

Figure 6.1 Generalised representation of VET options and pathways within European education and training systems



Focusing on the vocational elements, school-based vocational education normally comprises courses of varying duration and different degrees of practical content leading to varying levels of qualification, the most common distinction being between lower level vocational programmes and higher level 'technical' ones. Sometimes, these are divided into different types of establishment, such as secondary technical and vocational colleges on the one hand which offer progression opportunities to tertiary level, and secondary technical and vocational schools on the other which are intended more for labour market entry. In other countries, these options are available within the same establishments.

Two of the key differences between technical and more basic vocational provision are (i) the duration of programmes, typically being two to three years for lower level courses and up to four years for technical routes; and (ii) the proportion of the curriculum devoted to practical elements, this being higher in the vocational than technical provision. Some examples illustrate the latter point well. In Poland the practical training in basic vocational schools consumes around 50% of all hours envisaged for vocational subjects, whilst in technical secondary schools this proportion varies from 10% to 38%. In Slovakia the 'study branch' of VET (ISCED 3A) in secondary specialised/technical schools has 55% to 58% of the instruction time devoted to VET of which 25 to 30% is practical training. Meanwhile, the 'training branch' of VET (ISCED 3C) available in secondary vocational schools comprises 60 to 80% of VET subjects out of which 50% is practical training.

In some cases there is a strong work-based element in school-based VET, as in the Czech Republic, which does not have a separate apprenticeship route as in Germany for example, and in Austria where all upper secondary VET students follow a combination of school- and work-based provision.

As just indicated, in some countries – in fact a comparatively small number – the vocational/technical distinction is not institutionalised within separate establishments and indeed the distinction in terms of programmes is generally less pronounced. This is particularly characteristic of Nordic countries. In Sweden and Finland, for example, all upper secondary vocational programmes are of three years' duration; and whilst in Finland there are both general and vocational establishments, in Sweden and Norway there is only one type of upper secondary establishment which offers both general and vocational programmes. In Sweden 85% of the upper secondary VET curriculum is school-based and 15% work-based.

Separate from the school-based track are apprenticeships which involve contracts with employers to offer training in the workplace which is combined with off-the-job training in schools or specific centres. Most countries offer some form of variant on this model, though not all – it is lacking in Spain for example. Apprenticeships are undergoing a resurgence and now appear to be seen as important alternative tracks even in those countries that previously pursued policies of trying to reduce the differentiation between VET and general education as in Sweden (as we discuss below).

With respect to the tertiary level, the previous chapter showed that vocational enrolments have not benefited substantially from the recent expansion in higher education and that general courses are typically 7 or 8 times more popular with no signs as yet of a change in this ratio. Indeed, it might be argued that the focus of most recent tertiary level policy has tended to be on expansion with comparatively little regard being paid to the role VET might play in this. Tertiary VET is typically delivered through a mix of both specific vocational establishments (e.g. colleges, polytechnics or higher education institutions) and also universities offering some vocational elements within courses or whole

programmes, though they may be termed 'professional' - although in some countries there is no strong distinction between different types of establishment in terms of whether they are vocational or academic (the UK for example merged vocational polytechnics with universities in the early 1990s). Some countries have much better developed vocational options at tertiary level than others. An important theme of recent developments - as we discuss later - is the breaking down of the divide between vocational and academic establishments as they both begin to impinge on one another's territory. Higher level VET institutions may offer their own professional qualifications – of varying durations - or bachelor degrees, although, as we shall see below, the application of the Bologna-driven common three cycle structure for higher education provision is bringing higher level VET qualifications closer to academic ones.

Typically systems are structured so that progression is possible – and indeed intended – from certain types of upper secondary provision into corresponding provision at tertiary level. Thus, higher level technical and vocational colleges/schools may have a direct route into tertiary level VET establishments, whilst students from lower level vocational schools may have to take bridge courses first. Progression into general tertiary provision is often restricted to those who have obtained requisite qualifications – either through technical colleges/schools or bridge courses in the case of people from lower level VET. Routes from apprenticeships into tertiary provision are generally not as clear or well developed, although there are important developments in this area of provision.

Between upper secondary and tertiary levels, a growing number of options exist for individuals to take further courses, at what is termed 'post-secondary non-tertiary' level. But grasping an understanding of these developments and how they fit into systems is challenging because their position within current education and training systems is typically quite ambiguous. This ambiguity stems partly from the variations in the way the term is used from country to country and also because PSNT provision is normally not equated with or does not have a dedicated provider, except in certain cases such as Greece. Indeed, post-secondary non-tertiary education can be offered by many different parties: universities, tertiary VET institutes, secondary schools, adult education institutes and social partners. However, understanding the patterns and trends of provision at this 'post-secondary non-tertiary' level is important for as we have seen in chapter 2 the post-secondary level is the focus for some of the new demands in the labour market, although we also need to re-emphasise that whilst demand may be new it is not necessarily substantial.

Broadly speaking PSNT offers both opportunities for further competence development (not just immediately after initial VET but potentially at any time during an individual's career) and also routes into tertiary education¹⁶². The short duration of programmes can be attractive to learners; most courses

¹⁶² UNESCO defines programmes at this level as having the function of broadening the knowledge of participants who have already completed a programme at level 3, whilst not necessarily being significantly more advanced than programmes at that level. Typical examples are programmes designed to prepare students for studies at level 5 who, although having completed ISCED level 3, did not follow a curriculum which would allow entry to level 5, i.e. pre-degree foundation courses or short vocational programmes. In other words, in a sense what is stressed in this definition is the *subject matter* of the course or programme more than its level insofar as post-secondary is defined as taking place *after* secondary level, but is not necessarily more challenging. On this basis, many of the 'bridge courses' that we describe later that enable students who have completed upper secondary VET courses to progress into tertiary general programmes would fall under the PSNT category since they are not necessarily more advanced but their content is different, i.e. general.

last one or two years. People are thus offered the opportunity to up-skill without the need to study for a long period at perhaps too advanced a level.

Whilst PSNT offers opportunities for both vocational and general upper secondary students to raise their skills levels, it tends to have different functions for the two groups. For vocational students, it offers the chance to specialise further in their vocational studies, and in most of the literature and in our interviews it is seen in particular as offering a chance for further study without entering long courses in tertiary education, although the data presented above seems to suggest that in fact most individuals take PSNT courses that provide a route into tertiary education.

With regard to general upper secondary graduates, the participation of this group tends to be underplayed in the literature, since mostly PSNT is regarded as a progression route for vocational students. However, our research suggests that PSNT can also provide an important opportunity for general upper secondary graduates to improve their employability by acquiring practical skills that are valued in the labour market – either before progressing further into tertiary education or straight into the labour market. It can also be used by upper secondary general graduates as an alternative means of progression if they fail to pass university entrance exams.

Generally our analysis shows that systems are generally structured to permit horizontal transference from vocational to general education (and vice versa) and also vertical progression for VET students, either onwards to higher levels of VET or into academic streams, although this does not mean it is easy or straightforward of course; it normally assumes that requisite qualifications are obtained or entrance examinations passed. In this sense systems are largely permissive without necessarily being enabling or explicitly encouraging. Indeed, as we shall see, in general it is not the norm for people to use pathways to step out of established routes; the numbers of individuals using such 'alternatives' is quite small. Nonetheless, it is an important finding of the study that there are few structural 'dead ends' within systems, even those that are relatively complex such as the German system. Indeed, much recent activity within the Old Member States, which have long established systems, has been in the order of 'good housekeeping', 'tidying up' systems to ensure that pathways are open across the system. Most of the development here has been to introduce greater flexibility through new provision. Arguably the most substantial reforms have been taking place in countries which had particular structural issues to deal with, such as the main Mediterranean countries, which have undertaken some significant reforms to modernise their entire VET systems to better meet economic needs, and those New Member States dealing with significant economic restructuring, social change and associated political fluctuations.

6.1.3 Issues arising

Looking across this broad VET terrain a number of issues have emerged during the course of analysis that supplement and add detail to those we set out in chapter 1. In some senses these are the more detailed issues that sit behind the broader topics and which enable them to be addressed properly.

It general is clear that there is a number of what might be termed 'structural' developments in train which are widely seen as being the chief tools through which greater permeability can be built into systems. These comprise the three related measures of qualifications frameworks, credit transfer and accumulation systems and validation of non-formal and informal learning. Such measures are often providing the frameworks within which specific VET reforms are being carried through, and in particular offer the opportunity for modularisation of curricula which enables students to mix VET and general education. In the sections below we look at what such major systemic developments can mean for VET and VET pathways.

Looking in more detail at the different pathways there are a number of particular issues and trends that warrant attention.

First, whilst our focus is on the upper secondary level and above, we cannot ignore what happens in preceding stages. In systems where individuals are tracked before the compulsory school leaving age, lower secondary education clearly plays a critical role in preparing people to take-up VET options after the compulsory phase. In these instances, an important issue from a pathways perspective – and one that is often overlooked - is the extent to which people can switch 'horizontally' between tracks and how this is facilitated. Where students are not tracked before the end of compulsory schooling, there is an increasing trend to seek ways to open up vocational opportunities or vocational preparation options at lower secondary level.

For upper secondary level students there are on-going debates about the type of curriculum to offer them and whether it is better to enable a mixing of vocational and academic curricula or to adhere to stricter tracking regimes. Important issues surround how to bring vocational and general education closer together and the consequences this has for progression.

Related to this we can observe that pathways to higher level opportunities are built into most systems for people following more advanced technical programmes. For this group the more interesting issues are the ease with which they can gain access to general academic tertiary education, and how successful they are when they arrive. This question also raises some important issues about the extent to which such routes are used and should be encouraged, which brings attention to the tensions that can exist between social equity and economic objectives (which is explored further in the section below on learner choice).

From the other end of the spectrum, there are also issues around the extent to which people from general upper secondary backgrounds subsequently go into VET rather than general post-secondary or tertiary education. More vocational options are being established for them, not least at the PSNT level, as we have just noted.

For individuals on lower level vocational tracks and apprenticeships the issue of the openness of the system to further progression is an important one. For people on school-based tracks the provision of

bridge courses is important but there are questions about how easy and straightforward (or not) it may be to progress and about the risks related to the difficulties that seem to exist in many countries in subsequently trying to enter tertiary education. This in turn raises issues about the costs – both for the individual and the economy - of failure and of delayed entry to the labour market.

With regard to apprenticeships, we saw in the previous chapter that generally they are the locus for some significant developments. In some cases they are being re-energised as viable options at upper secondary level whilst in others they are being pushed up and out from their normal 'home' within the upper secondary level, with some important developments taking place.

In the following sections we examine these developments in detail before we return to the broader subjects raised in the preceding chapters regarding labour market demands. First, however, we need to examine briefly the context in terms of how individuals make decisions and the factors that shape the choices they make. Importantly this takes us into a discussion of the issue of the value of VET and VET attractiveness before we consider how VET systems have been changing.

6.2 The context: how individuals make decisions about their learning and the factors shaping their choices

6.2.1 The non-linearity of pathways

Before we examine in what way policy makers in different countries are tackling the issue of flexibility it is important to examine how students make the decision to follow a certain pathway and progress through education.

The take-up of a certain pathway is ultimately the individual choice of a student, but one constrained to greater or lesser degrees by on the one hand demand side factors such as family and peer pressure, and on the other hand supply side factors such as the availability of types of provision and pathways etc. to which we turn in greater detail in a moment. However, before doing so there is a critical observation to make: namely that an important characteristic of pathways is their non-linearity. Harris and Rainey's research¹⁶³, although undertaken in the specific context of Australia, which has most in common with the 'market-based' system of the UK rather than most systems in the rest of Europe, nonetheless sheds light on the extent to which students can perceive pathways as a series of personal choices, a fragmented and discontinuous journey with possibilities to change direction and choose different options; in their studies students defined their "pathways" variously as stepping stones, zigzags, crooked paths, hops, skips, jumps and cobblestones. Different researchers have investigated this non-linearity and referred to it as "swirling"¹⁶⁴ and "shuffle"¹⁶⁵. Harris and Rainey themselves derived a five-fold typology of pathways, shown in the box below.

¹⁶³ Harris R., Rainey L. (undated) Crazy paving? Learning pathways between and within VET and higher education.

Australia: Hawke Research Institute - Centre for Research in Education, Equity and Work, University of South Australia

¹⁶⁴ de los Santos and Wright (2002) cited in Harris & Rainey

¹⁶⁵ Maxwell, *et al.* (2002) cited in Harris & Rainey

Harris & Rainey's five-fold typology of learning pathways based on student choice

Erratic/interest-chaser: this student chooses a certain pathway out of interest which causes an erratic "searching" pattern in their choice of pathways.

Linear/developer: this student follows a consistent overall direction in his or her learning career (even though course choices may seem disparate).

Merging/combiner: this student explores diverse interests and then chooses to draw these experiences together in a more focused direction.

Tangential/ forced learner: this student is forced into a certain pathway due to a certain job requirement, health reasons or other "forces".

Parallel/ two-tracker: this student either tries to improve her/his chance of earning an income while studying by following a parallel education track or they try to become educated in an alternative career for when their current one might not be possible (another career 'up the sleeve').

Source: Harris R., Rainey L. (undated) Crazy paving? Learning pathways between and within VET and higher education. Australia: Hawke Research Institute - Centre for Research in Education, Equity and Work, University of South Australia

Naturally, pathway choice and the actual pathways followed depends as much on the supply side as the demand side, i.e. on the nature of the pathways available in any system, and as we have already seen these can vary significantly across Europe. The importance of this insight for this study is the extent to which – where systems and cultures place the emphasis on individual freedom to choose – the pathways students choose to follow are anything but straightforward. For policy this highlights the importance of opening systems up to remove obstacles to progression. Equally it should be noted that there is a lack of empirical research into the actual paths students follow and the rationales for their approaches, which would enable comparisons to be made between the effects of different types of education and training system.

6.2.2 How do individuals choose pathways?

Accepting that the pathways actually followed by individuals can often be highly non-linear, the questions that we turn to next are: how do individuals make their choices and what are the factors that affect them? The issue of choice is key as it frames all subsequent considerations.

Individuals face various points at which the structure of the education and training system through which they are passing requires them to make a choice. In essence, this involves selecting between programmes that lead to labour market entry and/or to further study, and selecting between vocational

and general tracks. Following Hillmert and Jacob¹ we assume that individuals select the pathway with the highest subjective utility for them from among all possible alternatives. Essentially this is a question of the relative costs and benefits of each of the options available – and the extent to whether these are considered on a short-term or a long-term (even lifetime) basis². We thus need to consider the factors affecting labour market entry as well as those that are intrinsic to education and training systems.

In talking about 'costs and benefits' it is important to emphasise that – given what we have said about the context of VET systems in chapter 3 – we do not see this as a matter of necessarily accurate calculation on the part of some idealised 'economic man'³ but as a matter of inter-woven economic and socio-cultural considerations that bring in issues around the culture of work and the social values ascribed to it. Studies have revealed the extent to which these can vary between socio-economic groups and lead to different values being ascribed to different sorts of education for social as well as economic reasons⁴. This can give rise to misperceptions of the real economic returns to different types of work and to decisions about the best type of education and training pathway to take which are apparently 'irrational' but which 'make sense' socially to the individuals concerned. This is a particularly important issue for questions of social disadvantage and exclusion where the values of communities that might be considered to be marginalised can be – almost by definition – different from 'mainstream' society⁵. The role of family and peer groups in influencing decisions about life choices is widely acknowledged and has an especially important bearing in this respect (the issue of social integration is discussed further in chapter 7).

In weighing up the relative costs and benefits of different routes, individuals are affected by a variety of different economic and labour market issues: interest for the subject/occupation, danger of losing current job position, improving status and/or income situation, abilities, etc. It should be noted that parental influence can be especially significant in the broad decision to follow a VET or general education pathway.

One of the most important factors influencing the student's decision to choose a particular study path is their motivation. According to both McGivney and Titus⁶, many people display a reluctance to learn formally. If all barriers would be removed for them (no tuition fee, no travel time, etc.), they would still

¹ Hillmert S. and Jacob M. (2003) *Social Inequality in Higher Education: Is Vocational Training a Pathway Leading to or Away From University?* European Sociological Review, Vol. 19, No 3, p.319-334

² There is of course a body of literature which seeks to deal with the returns to education but here we only have the space to acknowledge it and to note that it raises a variety of complex issues about how returns are calculated.

³ As is often presupposed in many neo-classical economic discussions of this topic.

⁴ Although as Haschka notes the role of values, attitudes and perceptions of learning and education have been given little attention in studies of adult non-participation in education and training. We find this to be equally true of studies of pathways where the focus in relation to obstacles tends to be on institutional factors. See Haschka A. (2005). *Breaking barriers? Austria's adult education and training system in a comparative perspective*. Comparative and International Education. Working Paper Series no.18. Sweden: Institute of International Education, Stockholm University

⁵ Though the term 'social exclusion' is not a universally accepted term – see for example Giddens, A. (2007) *Europe in the Global Age*, pp 64-5.

⁶ Both in Gorard S. et al (2006) *Review of widening participation research: addressing the barriers to participation in higher education*, a report to HEFCE by the University of York, Higher Education Academy and Institute for Access Studies, UK: York

not want to learn. In contrast, other students have such a large motivation to follow a certain pathway – be it vocational or general – that they cannot be influenced in any way to follow a different pathway. These students simply choose their learning pathway out of mere interest without rationalising their decision on the basis of employment and earnings prospects.

Another type of student focuses – besides personal interests and other factors – primarily on finding the “fastest” route into employment and earning a salary. This may be out of financial necessity or simply because the student dislikes studying. After basic/compulsory education this type of student often chooses to follow upper secondary vocational education as this type of education offers a direct and fast entry into the labour market – often in combination with work-based learning. The interest of these students to proceed to further education is low no matter what policy measures are taken to motivate them to continue and thus their take-up of progression pathways will continue to remain low as long as there are employment prospects for upper secondary VET graduates to enter the labour market directly. These can be important factors in consigning people to low skilled occupations.

Students do not necessarily opt for the “fastest” route into employment and earning a wage but can instead focus on the “best available” route with the best employment prospects and the prospect of the highest life-time earnings. The sector of employment will be important here: for example the choice between working in the public and private sectors may be based on individual preferences unrelated to pay but equally may try to trade off monetary factors such as differences in pay structures, pension rights etc. For some students this route could be “vocational education”, while for others it could be for “general education”, depending on their abilities and preferences. However, the research into earnings is not completely clear cut: it cannot be assumed that opting for early labour market entry means an individual is making a mistake in opting for an immediate income instead of the prospect of better returns in the future: it depends on the extent to which staying on increases earnings power sufficiently to offset the earnings foregone in these first years over someone's lifetime, and this will vary depending on context. For example, the German system offers guarantees to earnings through employment protection legislation which do not exist in the UK, which makes the weighting of factors in the choice of pathways very different. Equally, the perception of what the 'best available' route is will vary across Europe depending on the specific context; and evidence on whether it is better to take a vocational or a general route or the extent to which it is financially more advantageous to stay on as opposed to exiting early into the labour market is complex.

Sometimes students first choose to follow vocational education and then subsequently flow into academic education – even though they are already eligible for academic education. Büchel and Helberger¹ imply in their research (focusing on Germany only) that particularly low-achievers and risk-averse school-leavers who already hold a qualification which offers direct access to academic education, might prefer to first follow vocational education as an “insurance strategy” and then subsequently try to proceed into academic education (some courses at post-secondary non-tertiary level fulfil this function – see section 6.5 below). However, Lewin *et al*² argue that instead it might be the case that these school leavers try to compensate an anticipated lack of practical elements in university by first following vocational education. Whatever the reason, it is interesting to note that it is indeed the

¹ Cited in Hillmert S. and Jacob M. (2003) *Social Inequality in Higher Education: Is Vocational Training a Pathway Leading to or Away From University?* European Sociological Review, Vol. 19, No 3, p.319-334

² Ibid.

case in Germany that a growing number of students who are already eligible to enter university (Abitur holders) choose to first follow an apprenticeship before entering tertiary education. Hillmert and Jacob¹ mention how the proportion of this group increased from 16% to 33% between 1976 and 1996. In addition, they also state that the proportion of students who enter Germany universities who previously completed vocational education (pre-dominantly in the form of an apprenticeship) increased also significantly from 13% in 1983 to 29% in 1991. These data seem to indicate that in Germany apprenticeships are often seen by students as a preparatory route into further education, especially in the study field of monetary economics and banking.

Ryan² argues that so many students throughout Europe still opt for general studies at upper secondary level – instead of vocational studies – because employment and earning prospects increase by level of attainment. In many EU-countries vocational studies are generally strongly embedded in upper secondary education but to a lesser extent at post-secondary non-tertiary and tertiary level. Upper secondary VET is very often primarily focused on an early exit from schooling into the labour market (as currently is the case in Belgium). A related example from our own researches concerns the introduction of 'professional' qualifications at tertiary level by the Flemish Ministry of Education. Until recently Flemish students who had successfully finished a professional bachelor needed to follow an academic master if they wished to progress in education. Students who for example studied social work needed to continue in sociology. However, it was found that these students actually preferred to continue within their specific mostly more practical-oriented study field instead of switching to more theoretical content. Therefore, the Flemish Ministry of Education decided to introduce three years ago new professional master courses – offered by universities and higher education institutes – which are more practical in nature in for example study fields like nursing, tourism and social work. Students who have done a professional bachelor or an academic bachelor (in a related study field) can now choose to follow this “professional” master. Current figures of the Flemish Ministry of Education show that approximately 700 to 800 students have registered to follow these courses since its introduction. Its success will or will not show in the subsequent years.

Ryan's theory and the practical example above implies that if more post-secondary non-tertiary and tertiary VET education would be available, students might opt increasingly to follow upper secondary VET instead of upper secondary general education, and upper secondary VET students might increasingly flow into post-secondary non-tertiary education. The question is whether this theory is valid. Other factors are also at play, for example the fact that vocational education in some countries continues to have a persistent negative stigma (integrally linked to its value in the labour market as discussed in chapter 3) which might deter some students from choosing a vocational education. In addition, it might be that upper secondary VET graduates still prefer to enter straight into the labour market instead of continuing in education – even though the opportunity exists. Finally, the extent to which individuals accurately assess employment prospects is a moot point: as shown in our chapter on labour market demand the likelihood of unemployment can be higher from VET courses than from

¹ Ibid.

² Ryan P. (2001). *The school-to-work transition: a cross-national perspective*. Journal of Economic Literature, Vol. XXXIX, p.34-92

general ones but this does not prevent the perception of VET as the best route into the labour market, although much will depend on the complexities of sectoral and local labour market structures.

In conclusion, we can state that the combination of contextual factors, preferences and barriers leads to a decision by the individual student which may seem sometimes not the most straight forward route, but actually seems for the involved student the most rational decision after weighting all these different factors. In relation to the labour market, the research reviewed is also an important reminder that even with the most perfect match between VET and labour market needs there is still an important role for subjective individual decision making. This also means that perceptions of opportunity and value can also have a key role to play and can be socially and culturally mediated. The corollary of this is that for certain social groups attitudes to education and training and to VET can play an important factor in take-up, which in turn is potentially important in VET's role with respect to disadvantaged groups (points to which we return in chapter 7).

6.2.3 Barriers influencing the existence and the take-up rate of pathways

Having considered how individuals make their choices, we turn in this section to the factors that affect their choices, which we frame in terms of the barriers that may be encountered. In framing the discussion in this way, it should be noted that we do not intend to imply that, but for these barriers, progression to further study would be, in some sense, the 'obvious' or 'natural' choice; as we have just shown, decision-making is a complex process that involves trying to determine the relative costs and benefits of different options, and weighing up numerous factors, many of which are difficult to compare. Thus, people often choose, for example, to enter the labour market after upper secondary level for positive reasons, not because they are unable to progress any further.

Also, in using an approach that seeks to identify the different factors involved in this process, we should stress that the factors are not just – as they so often are - inter-twined; more fundamentally than that, we should guard against one of the main dangers in 'de-constructing' the learning decision-making process in this way: that we underplay the fact that the value attached to education and training is socially constructed and played out in the labour market. Indeed, the argument of chapter 3 has shown that there is, of course, an immensely important inter-play between broad attitudes to the value of different forms of education and training and institutional frameworks to the point where it is possible to suggest that a country's institutions embody and reflect (i.e. 'institutionalise') those values. We return to these issues below when we turn to the discussion of the value of VET.

What are the principle barriers then that can constrain choice of pathway? In addressing this question it is helpful to distinguish between both demand-side and supply-side factors¹ and to bring into the

¹ We use as a starting point Gorard *et al's* (2006) threefold classification of barriers but considerably extend it, for example, to include other labour market institutions and employers. Gorard *et al's* typology is also used by other academics, for example Haschka, A. (2005) to distinguish barriers to participation in adult education and training. See Gorard S. *et al* (2006) *Review of widening participation research: addressing the barriers to participation in higher education*, a report to HEFCE by the University of York, Higher Education Academy and Institute for Access Studies, UK: York; and Haschka A. (2005). *Breaking barriers? Austria's adult education and training system in a comparative perspective*. Comparative and International Education. Working Paper Series no.18. Sweden: Institute of International Education, Stockholm University

equation employers alongside students, since their perspectives and circumstances have an important role in structuring opportunities for individuals to pursue pathways.

On the demand side we identify two types of barriers. Picking up on our observations above about the important role played by perceptions, we can identify 'dispositional' barriers which are the values, attitudes and perceptions of the student. These involve an individual's motivation and attitudes to learning and different types of employment. They might be seen, in a sense, as 'structural' factors since they can be correlated with different socio-economic positions. Overlying but also affecting them is the second type of barrier - 'situational' barriers which are somewhat more contingent rather than structural and arise from the personal circumstances of the student, such as direct and indirect costs, loss or lack of time, physical distance from the education institute, abilities etc. Quite clearly there can be a close interaction between these demand-side factors and the availability of suitable learning opportunities or poor previous educational experiences on the supply side. We also need to take into account employer's perceptions of VET and situational barriers which clearly have a key bearing on provision.

Supply-side or institutional barriers are intrinsic to education and training systems, and also, taking into account the conclusions of chapter 3, to other institutions affecting the labour market, namely employment protection and social welfare systems. Key factors in education and training that affect choices are admission procedures, timing and scale of provision, and general lack of institutional flexibility. These barriers, very often, make it difficult, financially draining and time consuming for students to move from VET to general education and vice versa. Employment protection systems protect those in work and as such can affect how the employed view the need for further training (perhaps negatively where there is strong employment protection, hence low rates of lifelong learning in many countries within the continental cluster of countries) and also how those trying to enter employment weigh up the pros and cons of remaining in education for as long as possible (as is typical of the Mediterranean cluster of countries where employment protection is strong but where there is not the same strongly structured relationship between VET and the labour market as in those continental countries with strong apprenticeship systems). Social benefits systems shape the financial calculation of the advantages of work vis-à-vis benefits, and may or may not require individuals to train as a condition of receiving benefits.

Table 6.2 provides a summary of the main barriers which we discuss in the following sections. Different countries face different combinations of these institutional obstacles and are thus likely to seek different solutions to them. In the next sections we will discuss what solutions are offered to overcome these barriers in different countries.

Table 6.2 Summary overview of main barriers to existence and take-up of pathways

DEMAND SIDE (amongst individuals and employers)		SUPPLY SIDE (intrinsic to education and training and associated labour market systems)
Dispositional barriers	Situational barriers	Institutional barriers
Lack of confidence and familiarity	Time constraints	Institutionalisation of certain types of provision in certain types of provider
Lack of motivation	Physical constraints	Institutional resistance
Negative image of VET	Inadequate qualifications	Differences in teaching and methods
Little information/awareness about own competences	Abilities	Lack of funding
Traditional/incorrect perceptions	Inadequate resources	Lack of support and guidance
Fear on the part of employers that well trained workers will be 'poached' by other firms		Lack of transparency
		Lack of coherence and integration of qualifications
		Lack of recognition of partial qualifications
		Lack of recognition of prior and non-formal and informal learning
		Separation of responsibility for education and certain types of training (e.g. apprenticeships) between different ministries (e.g. education and labour)
		Disincentives to participation in education and training caused by employment protection and social welfare systems

Source: ECOTEC literature review

6.2.4 Demand-side factors

Dispositional barriers are barriers created by the values, attitudes and perceptions to learning and education, which a person has come to develop in the course of his or her life-time. Haschka (2005) asserts that dispositional barriers have so far gained only very little attention in research on adult non-participation in education and training. Our research indicates that this also seems to be the case with respect to pathways/routes through the education system. Many studies dealing with the creation of routes/pathways from vocational education to general education and vice versa seem to focus particularly on institutional barriers.

Cultural factors especially play an important role with respect to why certain routes/pathways from vocational education to general education and vice versa are not taken up. The socialisation within a culture, a society, within family, school and work strongly determine the positive, negative or neutral perception of pathways. This is clearly a highly complex matter. A *Eurobarometer* survey in 2004 asked a sample of the general public which type of education – vocational or general – they would recommend to young people on completion of compulsory or secondary education. The responses by Member State are shown in Table 6.3 (ranked in descending order according to the vocational training/apprenticeship percentages) and the results are intriguing. A number of features are noteworthy. First, the larger Mediterranean countries tend to cluster towards the upper end of the distribution which seems to contradict the notion that VET is not well regarded in these countries, but of course we do not have a time series on these data to enable us to see whether views have changed over time, and these are the views not of young people themselves of course but adults who would advise them. Secondly, many of the new Member States exhibit very low support for VET options, which accords with figures reviewed in chapter 5 which indicated a fall in popularity for VET at upper secondary level. Thirdly, the notable feature of the responses from Austria and Germany – countries where the VET track is highly regarded – is that the most popular response was that it depends on the individual; this may reflect the fact that another feature of these systems is the existence of a comparatively large number of well-defined routes. Finally, it is notable that the UK tops the list (with France), again apparently contradicting the widely held view that VET has a poor reputation in this country. The Nordic countries seem to follow no clear pattern.

Table 6.3 What citizens would recommend to a young person finishing compulsory or secondary education (% of respondents by Member State)

	Vocational training or apprenticeship	General or academic studies	It depends on the person (spontaneous response)
FR	57	17	26
UK	57	26	16
NL	56	20	23
FI	48	29	21
EL	45	37	16
ES	44	30	24
IT	41	29	26
EU25	39	32	26
EE	38	34	27
PT	38	41	16
HU	37	21	39
AT	28	19	46
IE	28	22	47
SE	28	43	28
LU	27	34	38
PL	27	62	9
DK	26	27	46
BE	26	36	36
MT	26	47	23

	Vocational training or apprenticeship	General or academic studies	It depends on the person (spontaneous response)
DE	25	34	40
CY	20	53	24
LT	18	73	3
CZ	16	42	40
LV	15	56	28
SK	13	60	25
SI	11	53	35

Source: Special Eurobarometer 216, 'Vocational Training', 2004¹

Dispositional barriers, as Haschka² acknowledges, have a strong influence on situational and institutional barriers; indeed, the extent to which situational and institutional barriers actually exist is heavily determined by the dispositional barriers in place.

A dispositional barrier for students to move from vocational to general education can be related to a lack of confidence and familiarity with general education. Students with a VET background often perceive the teaching method and curriculum of general education to be a challenge. As a result many are hesitant to transfer from vocational education to general education, fearing they will be faced with too many challenges.

This perception might not be completely wrong. Due to the very different nature of vocational education as opposed to general education, vocational students may not be – in practice – well acquainted with the teaching methods and curricula of general education. But this also applies to general students wanting to move to vocational education. Interestingly, the second case is not much explored in academic literature and policy papers. This is probably due to the fact that vocational education is in many countries still perceived as being of lower quality than general education, with lower esteem and suitable for the more average student or students with learning problems while general education is perceived for the very capable student.

Unfortunately, in some countries this status distinction is reinforced by being institutionalised within the education and training system. For example, in Malta at secondary level a distinction is made between three education “levels”: more academic education for high achievers (Junior lyceum), general education for medium achievers (Secondary schools) and vocational education for lower achievers (school for very low achievers). In Hungary, entry into vocational education at vocational schools is unrestricted to ensure anyone – including those with the lowest capabilities – can enter education, while entry into general education at grammar schools and a mix of general with vocational education at

¹ European Commission, Directorate General Press and Communication, *Eurobarometer on Vocational Training, 2005*. Eurobarometer 216. available from Cedefop's European Training Village: http://www.trainingvillage.gr/etv/upload/etvnews/news/1659-att1-2-special_eurobarometer_216_-_vocational_training_-_report_august_2005.pdf [cited 22.04.08]

² Haschka A. (2005). *Breaking barriers? Austria's adult education and training system in a comparative perspective*. Comparative and International Education. Working Paper Series no.18. Sweden: Institute of International Education, Stockholm University

secondary vocational schools is more restricted. Entry is offered depending on the pupil's grades and sometimes students even need to pass an entrance exam. As a result of this organisational division, in both countries vocational education is considered to be a "dumping ground" for low achievers (which might not necessarily be true). This can also lead to what has been termed a 'cascade' effect (reported for example in Belgium and Iceland¹) in which students try to achieve the highest level possible, and if they do not succeed switch "downward" to more vocational-oriented track(s).

Another dispositional barrier leading to a low take up rate of pathways can simply be the fact that the existing pathways are not in line with student demands and expectations. Policy makers can see an urgent need for reform and the need to increase pathway options, but it is the population of participants who ultimately has to see value in and make use of them. The interest and preferences of the students play a crucial role.

Finally, in relation to dispositional barriers, as we have noted, employers' views are as important in the VET field as those of students. In particular, the value which employers attach to qualifications can be crucial in the labour market, and this can derive from a variety of sources, though primarily 'bottom-line' economic ones. Lessons from the UK are informative in this respect. The UK has a principally market-based VET system, and in this context the sectoral variation in the value attached to different types of qualifications is thrown into stark relief. Thus, the retailing sector which in the last two decades has come to be dominated by large national retailers has resisted attempts to develop sectoral qualifications or even to reach agreement on common accreditation of their in-house training since they perceive there to be little or no economic benefit from doing so, partly because their in-house training schemes are well known and some well regarded within the trade – helping to support an 'internal labour market' within the sector. Indeed, employers see potential disbenefits from common qualifications which might encourage greater labour turnover and 'poaching' between employers. At the same time, this position is clearly not of benefit to employees who would prefer to have more transparent and therefore more easily portable qualifications. This is also a salutary reminder that employer and employee interests do not always coincide and also that such problems can be resolved sometimes only through national state intervention or social partnership should the institutional framework permit, as it does in most of Europe. Nonetheless such tensions remain inherent throughout the market capitalist systems of the EU.

Turning to situational barriers, we noted above that these factors are more contingent than the dispositional factors and relate to individuals' positions and involve such things as time constraints and physical distance from facilities. There is a strong intersection between these factors and institutional arrangements, e.g., both time distance issues can be offset by action on the supply side. Indeed arguably they are more appropriately dealt with in a discussion of supply-side constraints, so it is to those that we now turn.

¹ Study interviews

6.2.5 Supply-side factors

We are particularly interested in examining what institutional barriers exist with respect to students moving from vocational education to general education and vice versa. Some of these barriers are currently addressed by policy makers or diminished through other developments. Sometimes also a combination ensures the barrier slowly disappears.

Perhaps the most strategic factors that can be obstacles to the development of pathways between different types of provision is where responsibilities are divided between different government ministries and where there are variations in the effectiveness of institutions that bring social partners together. Such issues are germane to Member State across our country clusters to varying degrees, but they have been particularly important issues – and the focus of reforming activity – within the Mediterranean cluster in recent years. Thus in Portugal in 2004/05 education and training were integrated within the Ministry of Education with a view to opening up new opportunities for movement between different educational routes. And in Greece various measures have been implemented to improve the levels of cooperation and coordination between the Ministries of Education and Religious Affairs on the one hand and the Ministry of Employment on the other, both of which are involved in VET in various ways; and to enhance the connection of training to employment. These actions have also involved bringing together ministries with other relevant government agencies and bodies.

At the same time, it should also be noted that the UK has an institutional framework, especially for involving social partners, that is comparatively unstable, a function partly of the general lack of structured involvement of social partners within government policy-making, which is almost unique within Europe. For example, the organisational framework for involving employers in VET has been reformed a number of times in the last 20 years, with the last reform being the establishment of Sector Skills Councils, which are designed to be driven by employers themselves and as a result of which the network continues to develop in response to employers needs although within the overall policy aim of having a network that provides complete sectoral coverage.

Below the level of government, one of the most common barriers to the existence of pathways between vocational education and general education is the phenomenon of institutionalisation. In most EU countries and outside, vocational-oriented and general-oriented (academic) schools and institutes were historically established as separate institutions with their own identity, administration, culture and degree types, causing a paucity of cooperation and a low interest in the creation of pathways. As shown in our discussion of education systems, such deliberate separation can be deeply embedded in countries' economic and social systems, fulfilling a function of stratifying individuals prior to entry into strongly occupationally structured and highly regulated labour markets, as those continental countries (e.g. Germany and Austria) where apprenticeship systems were also key to the overall structure. Elsewhere, such separation had the more general function of ensuring an industry-led specialised skills development role for the vocational and training sector and a more general role for academic education. In both cases, this separation led to low transfer rates of vocational students to general education (and vice versa). This should not necessarily be conceived as a “failure” of the education and training systems. Instead, the low transfer rates show the success of the differentiating policy, which means the separation was well understood by the students. However, in countries where vocational education and training and general education are not so clearly differentiated one would expect higher transfer rates, especially in countries where vocational education and training is perceived as short cycle higher

education and a step towards higher education. Evidence from Europe on this is lacking but it has been found to be the case in several US states¹.

What is interesting to note is the fact that low transfer rates do not only exist due to a conscious decision to separate vocational from general education. Low transfer rates can also exist within educational tracks (either vocational or general). For example, in many EU-countries students already encounter many problems when they want to transfer their credits from one university to another. This is often caused by the high degree of self-government of universities leading to the establishment of institution-specific rules and procedures.

A further institutional obstacle which has been mentioned regularly in our interviews with academic experts and educational policy makers and survey results is the lack of willingness of stakeholders to create pathways. Many strongly embedded institutions in particularly in academic (higher) education have long resisted and in some continue to resist the opening up of pathways, in order to protect their position. Many of these institutes have the power to obstruct or reduce reform implementation due to their relative autonomy, although the extent of this varies between countries.

Another institutional obstacle towards the creation of more pathways concerns a lack of resources (funding). The development of pathways or progression routes can require radical reform, especially when it involves a far-reaching restructuring of qualifications or organisational structure. For this, resources need to be made available. Especially where resources are already constrained this can mean that many reforms start in a limited way with the prospect of being broadened over time.

The above-mentioned institutional elements all obstruct the development of pathways. However, sometimes even when pathways have been developed, the take-up rate of these pathways can remain low due to for instance a lack of advice and counselling for students. In many countries pathways may actually exist, but may not be in use by students because they lack advice, counselling and transparent information on their options. Students often are not aware of the courses needed to transfer or how they can request credit transfers/exemptions. For example, in the Netherlands, it is reported that even though the government tries to stimulate the take-up rate of pathways, many post-secondary non-tertiary VET graduates lack advice and support to progress to tertiary VET which withholds them to take up the opportunity². Gorard *et al*³ observe in their UK study that many learners are disappointed by the lack of help available in choosing a course and staying on it. They also conclude that very often educational institutes are too focused on offering advice and guidance to specific age groups, neglecting people outside them. And when schools offer advice, there is a risk it is biased towards academic routes as vocational education is still primarily perceived as being for low achievers⁴.

It is therefore important that policy makers first examine these issues before they reorganise the existing education and training system and create new pathways. It sometimes might simply be

¹ Moodie G. (2003) VET-Higher Education transfers and the structure of tertiary education, Australia: Griffith University

² Based on interview with representative of employer organisation VNO-NCW

³ Gorard S. *et al* (2006) *Review of widening participation research: addressing the barriers to participation in higher education*, a report to HEFCE by the University of York, Higher Education Academy and Institute for Access Studies, UK: York

⁴ Williams R. *et al* (2006). An investigation of vocational progression pathways for young people and adults in building crafts and hospitality COVEs, a London case study, in assignment of the Learning and Skills Development Agency

sufficient to increase or adapt the offer of advice and counselling services for students who wish to continue with their studies and who wish to progress from one type of education to another or from one education institute to another.

Advice and counselling can be offered in the shape of a “service point” to students to gain transparent information, advice and support. The positive side-effect of offering a service point to students is the fact that these services could also possibly function as “contact points” with other institutes to co-operate on the organisation of pathways. Most EU countries and countries worldwide have such a service point in place, but literature on its role in creating pathways and increasing the take-up rate of pathways is very limited.

Another institutional barrier causing a possible low-take up rate of pathways is the existence of too many methods and initiatives running parallel to one another. Simply “too many” pathways can have a detrimental effect. The creation of too many pathways can lead to uncertainty and indecision among students as they struggle to make meaning of a sometimes seemingly endless array of possibilities¹. This is a long-standing problem recognised by many countries. For example, writing in 1999, Bertrand noted the trend for the number of specialised VET streams to be reduced over time: in Germany from 900 in 1945 to 377 by 1990; from 300 in 1945 to 80 in Denmark by 1991; Finland and Sweden have established around just 20 basic groups, and in Norway the 12 vocational programmes available at upper secondary level have just undergone further agglomeration to make just nine programmes available from the 2006/07 school year. In England & Wales, with its more or less ‘open market’ in qualifications, the plethora of pathways was identified as a major problem during the 1980s, being dubbed an ‘alphabet soup’²; from 2008 onwards the government intends to replace the current existing 3,500 vocational qualifications with (currently) 14 Specialised Diplomas covering vocational subjects tuned to the needs of a modern economy³ and spanning both lower and upper secondary education (ages 14 to 19).

A multiplicity of pathways and qualifications can also lead to problems for educational providers. This is a particular problem in some countries, especially in the specific UK context⁴, where students can follow so many different pathways that when they want to enter tertiary education, the tertiary institute has trouble tracking what the student has learned, what subject they can continue with and whether tertiary level is appropriate⁵.

¹ Harris R. and Rainey L. (undated) *Crazy paving? Learning pathways between and within VET and higher education*. Australia: Hawke Research Institute - Centre for Research in Education, Equity and Work, University of South Australia

² Quoted in Bennett, R.J. and McCoshan, A. (1993) *Enterprise and Human Resource Development: Local Capacity Building* London: Paul Chapman

³ The 14 Diplomas are: engineering, health and social care, ICT, creative and media, construction and the built environment, land-based and environment, manufacturing, hair and beauty, business administration and finance, hospitality and catering, public services, sport and leisure, retail, travel and tourism.

⁴ See Chapter 3

⁵ Expert Seminar, Brussels, February 2007

6.2.6 The value of VET: 'status', 'image' and 'attractiveness'

The preceding sections have drawn attention on the one hand to the fact that learners weigh up the costs and benefits of different types of provision and pathways and on the other hand to the important roles played by disposition and institutional factors and their interplay in structuring the choices available and the decisions made. The consequence of this interplay is the assignment of value to different choices. For individuals there are of course multiple dimensions to this process. But in the round, the logic of this argument has ramifications for an important issue which runs throughout the discussion of pathways, which is the question of the status, image and attractiveness of VET versus general education. This is of course a key issue for Europe: the goal of improving the attractiveness of VET was at the heart of the priorities set at Maastricht and were reiterated at Helsinki where countries were called upon to 'pay more attention' to the 'image, status and attractiveness' of VET.

In light of the foregoing discussion, we can argue that there are two broad sets of factors that contribute to attractiveness. First there are contingent factors which make VET provision more or less attractive to an individual at the point at which they are making their decision to take up a particular programme or course. Such factors include the pedagogical techniques used, location, timing, the nature of extra-curricular and pastoral support available etc.

More fundamentally however there is the structural question of image and status which ultimately concerns the value attached to different types of knowledge and hence to different types of education. The difficulties with the low status of VET in many European countries is linked to the fact that just as VET institutions are socially constructed, as we showed in chapter 3, so too the value assigned to VET – and hence its image and status - is also deeply embedded in social and economic structures. Like VET systems themselves, VET's status varies in complex ways across Europe. It is challenging in the extreme to try to capture this complexity and it is an under-researched area¹. There are not simply differences between countries but also over time, within countries, between social groups, across economic sectors etc. Such patterns are clearly beyond the scope of this study to examine in depth.

The point to emphasise here, which flows from the previous section, is that the value ascribed to VET is subject to the perceptions of both individuals and employers within the labour market, and can override issues of contingent 'attractiveness'. Even VET which is highly attractive in terms of its mode of delivery etc can lack value and hence 'currency' in the labour market². This is not to say that contingent factors are not important, as they can make a considerable difference to the extent of uptake of programmes that have value in the labour market to individuals in particular circumstances, especially, as we shall see in chapter 7, to disadvantaged groups within the low skilled. But fundamentally VET must be perceived to have value in the labour market and it is this which underpins its status and

¹ What little research there is tends to focus on the same small set of countries, typically Germany and the UK in Europe, the US and Japan outside. The result is that whilst these countries have a comparatively large and growing literature and provide 'ideal types' to support general theory building other countries that are less easily fit into theories (most of Europe) are ignored.

² An ECOTEC study on the attitudes of stakeholders towards the value of vocational qualifications (VQs) found currency, validity and progression to be the most important properties of vocational qualifications in the UK and concluded that characteristics such as transparency, reliability and flexibility were no guarantee that a VQ would have currency in the marketplace. See ECOTEC (2006) *The attitudes of stakeholders towards the value of vocational qualifications for different uses*. A Report for the Learning & Skills Council National Office, Coventry, England.

image. Where VET is highly valued it will tend to be highly developed (though of course where perceptions are shifting it will take time for VET systems to adjust accordingly, as might be happening in many Mediterranean countries and the UK given what we learnt from the *Eurobarometer* findings presented in Table 6.3). And, more than that, where certain forms of VET are highly valued (such as apprenticeships) they will also tend to be highly developed. Where VET does not have a positive perception, it can become part of a 'vicious circle': its low status can mean it tends to be used by individuals as a 'last resort' if they cannot get into general education, which in turn contributes to poor perceptions in the labour market, with employers attaching low value to VET qualifications.

This perspective in terms of value raises important questions for the development of policy. What are the perceived costs and benefits to staying in education and training as opposed to entering the labour market? What is the perceived value attached to general over vocational qualifications? To what extent should progression out of VET into general education be actively encouraged from an economic point of view as opposed to being simply possible (and not necessarily easy) from an equal opportunity one? In the next section we will seek to show what light is shed on these issues by current data and debates within Member States.

6.3 Key structural developments

During our research, the majority of the policy makers we interviewed emphasised the importance of key two key structural developments in underpinning current developments in the area of VET pathways: the development of National Qualification Frameworks and credit transfer and accumulation systems; and the validation of non-formal and informal learning. Indeed many ascribed to them a central role since it was believed that reforms that treated educational levels separately was insufficient and that these structural reforms enabled them to tackle the opening up of pathways across whole education and training systems and offer the potential for greater flexibility for both students and education providers. These developments are important for IVET and CVT alike. Indeed the opening up of the opportunity for modularisation is likely to increase the attractiveness of CVT for many adults and validation provides a potential route back into learning.

6.3.1 National qualification frameworks and credit transfer and accumulation systems

From our research it becomes clear that policy makers across the whole of Europe acknowledge the fact that particularly the lack of coherence and integration of qualifications causes in many countries problems for students to transfer easily within and between general and vocational education. As a consequence, throughout Europe and outside, countries are increasingly implementing or discussing national qualifications frameworks (NQF) and credit transfer systems. A central catalyst in this trend has been the development of the European Qualifications Framework (EFQ) and the European Credit Transfer and Accumulation System (ECTS) through the Bologna process¹.

The EQF was adopted by the European Parliament in October 2007 (and adopted by the Education Council on 14.2.08), and is seen as providing a link between the Bologna process in HE and the Copenhagen process in VET. It is regarded as central to making it easier for people to move between HE and VET. EQF is based on learning outcomes rather than inputs and makes it easier to match

¹ For further discussion of the role of Bologna see the section below on tertiary developments.

qualifications with labour market needs, and to validate non-formal and informal learning. Member States have the target of relating their NQFs to the EQF by 2010 and for their qualifications to contain a reference to the EQF by 2012.

Related to the EQF is the development of the European Credit Transfer and Accumulation System. Originally launched in 1989, the ECTS was originally designed to enable the transfer of credits from one programme to another; as an element of the Bologna process it has been extended to embrace accumulation. ECTS has been established as the general basis for national credit systems. Inspired by the success of ECTS in HE, a parallel system is being developed for VET through the Copenhagen process, the consultation phase having been completed in 2007.

The EQF has had a widespread impact in the development of qualification systems. Coles (2006), amongst others, mentions the large influence of the architecture of the EQF on a number of nascent NQFs, many of which use the 8 level structure of the EQF. The obstacles to overcome during the set up of the EQF are multiple: mutual distrust, fractured education systems, the complexity of the task, timescale, costs and the diversity and number of stakeholders. A specific challenge is the divide between vocational education and training and higher education.

Generally speaking, the qualifications systems that have been developed are governed either nationally or regionally and are usually either directly or indirectly developed and monitored by the government. Established frameworks differ considerably by country, but overall they can be characterised as having four key aims¹:

- To establish national standards of knowledge, skills and wider competences.
- To promote the quality of education and training provision.
- To provide a system of coordination and for comparing qualifications by relating qualifications to each other.
- To promote and maintain procedures for access to learning, transfer of learning and progression in learning.

The last two aims are tightly related to the issue of pathways within VET and from VET to other types of education. When set up correctly, a national qualification framework can facilitate the easy transfer of credits between vocational and academic education systems, and also allow for more simplified recognition of prior learning.

Beside the facilitation of pathways, there are a number of other related benefits arising from the implementation of a qualifications framework. Qualifications frameworks are seen as levers of change, for example if there is a desire to make the qualifications system more demand-led as opposed to supply-side driven, it is possible that the development of a NQF becomes a means to this end. By favouring enterprise and employee interests over those of providing institutions in the design and management of an NQF, the demand side is strengthened. NQFs can require from providers the definition of levels of learning, the specification of qualification types and make other demands on the

¹ Coles, M, 2006, *A review of international and national developments in the use of qualifications frameworks: a report prepared for the European Training Foundation.*

bodies which define, deliver and award qualifications. Through these means and others NQFs can have a deep penetration into the workings of the qualification system. Reform for a wide range of purposes becomes possible as a result of this penetration, for example improving the identification of skills/qualification needs, changing the influence of stakeholders, raising standards, improving quality, improving participation in learning, improving efficiency and changing practice in education and training delivery. Above all, in relation to the rapidly changing economic circumstances of the sort we chartered in chapter 2, qualifications frameworks and associated credit transfer systems can vastly shorten the response times of VET systems, and enable the accreditation of a wide range of different types of provision. A good example of this is provided by the English system in which the recently launched Qualifications Credit Framework enables company training schemes to achieve national recognition and effectively to act as qualification awarding bodies: three companies have already secured recognition for courses including the fast-food chain McDonalds for its course in basic shifts management (ISCED 3), and the airline Flybe for courses for cabin crews, engineers and call centre staff, some of which will reach degree level¹. The main potential drawback of such an approach is that qualifications might be too narrow, being designed for the needs of an individual company, but this will depend on the way in which the framework is constructed.

Qualifications frameworks are used to increase transparency of qualifications systems and especially to show the relationships between different (types of) qualifications. However as stated above the effects of introducing a NQF can have wider effects, for example they can change the way institutions are organised and operate, they can play a part in quality assurance procedures and facilitate credit transfer arrangements. Appreciating and using these broader effects of NQF development requires a systemic view of the ways qualifications are organised and operate; the interdependencies of the component parts of qualifications systems need to be understood. A linear approach to policy is likely to prove simplistic.

There are also multiple problems and drawbacks linked to the setting up of national qualifications frameworks. Firstly, they are not easy to develop, nor are they in themselves a solution to all problems that a country may experience with establishing pathways. And when established, they will need continuous further development and adaptation to changing environments. Last but not least, it also appears that the divide between higher education and vocational education is difficult to overcome when establishing a NQF, not least because the development of credit transfer in VET has lagged behind that in HE, reflecting the general differences between the sectors in trans-national cooperation². Where national qualification frameworks have been set up, the tendency is often to develop separate frameworks for vocational education and training and higher education (as in Denmark³, Italy and the Netherlands) or to set up regional variations of combined models (as in the United Kingdom)⁴.

As we show below, the introduction of qualifications frameworks and credit transfer has had important ramifications for VET, not least in facilitating modularisation of curricula.

¹ *McDonald's serves up 'Diplomas'*, BBC News website, 28th January 2008

² The Copenhagen process began three years after Bologna; and VET institutes have only recently started to catch up with their HE counterparts in terms of trans-national cooperation.

³ Still in discussion

⁴ Deane, C. and Watters, E. (2004). Irish Presidency Conference, Towards 2010, common themes and approaches across higher education and vocational education and training in Europe.

6.3.2 Validation of non-formal and informal learning

The second major structural development affecting the growth of pathways is the introduction of processes for the validation of non-formal and informal learning to enable people to (re-)enter the education and training system and proceed to higher levels of education. Clearly this is a potentially highly significant development in relation to CVT.

There are four basic approaches to validation¹:

1. Validation of non-formal and informal learning through the access to formal examinations.
2. Access to the formal education system if entry criteria are met through prior learning.
3. Individual competence assessment to shorten vocational training.
4. Making non-formal and informal learning an integral part of formal training.

In the first approach, students are given access to take part in formal examinations to receive a qualification. This is done in Germany, Austria, Norway, Lithuania, Czech Republic and Finland. Then, in the second approach, students are offered access to post secondary and/or tertiary courses to prospective students who lack the necessary formal certificates but can demonstrate that they have gained equivalent competences elsewhere. This is possible in Finland, Norway and Czech Republic. Under the third option, a prospective student can undergo a competence assessment before taking up vocational training. Relevant competences acquired elsewhere are then accredited which can lead to a shortened duration of the training course. This is for example possible in Denmark. Under the fourth approach, the validation of non-formal and informal learning has become an integral part of the formal education and training system. This is for example the case in Sweden and Malta. In Malta, the University of Malta has set up a system that allows students to gain credit points for volunteering and have these counted towards the final degree.

Member States can be categorized into three broad clusters according to the extent to which validation processes have been implemented:

1. High - Denmark, Sweden, Finland, Netherlands and France.
2. Medium - UK, Italy, Ireland, Norway, Germany and Austria.
3. Low - Luxembourg, Liechtenstein, and all the New Member States. These countries most often have a legal framework under development or in place, but this is very often still in the pilot phase.

It is probably true to say that the differences between countries in the extent to which systems enable people to return to education and training later in life through validation methods is probably greater than the extent to which systems are open in the initial phases.

¹ ECOTEC (2005). *A European inventory on validation of non-formal and informal learning. A report to DGEAC of the European Commission*

6.4 Trends at (upper) secondary level

6.4.1 Introduction

In this section we examine the large number of pathway-related issues in the secondary tier. Our main focus is on upper secondary provision, but we begin with a brief examination of some of the important changes taking place in the lower secondary level. Before we do that, however, there are a number of general issues that need to be considered in order to set the scene.

6.4.2 The trend towards increased general content of vocational curricula

Arguably the most significant overall trend affecting upper secondary VET at the current time is the increasing proportion of vocational curricula allocated to general education. There is evidence for this across all types of VET across all types of Member State. In extremis, this trend has led to the abolition of the distinction between vocational and general tracks or the introduction of a common curriculum for all upper secondary students. But in these cases it is highly significant that in nearly every instance the reforms have eventually had to be reversed. Thus in Slovenia the vocational and general tracks which had existed in parallel and which were not fully comparable were replaced with a unified system in the 1980s on the basis that they had accentuated social differences, and that a centrally planned system would efficiently allocate individuals to training linked to occupations. However, in the event standards of both general education and practical training declined, the close linkage between training and occupations never materialised, employers became increasingly dissatisfied and universities had to introduce entry examinations to try to maintain the standard of undergraduates. In the 1990s a new structure was introduced for the upper secondary level comprising the (fairly common) structure of general, technical and lower level vocational routes. Today, a major driving force for developing VET is to ensure the adequate provision of a sound generic basis for all students. Thus many VET courses now offer in their first year more generic vocational courses and only in the last year is there a possibility for the student to make a choice from a range of more vocationally specific elective modules. In Sweden also, as we discuss below, the introduction of a common core curriculum for all VET students is now being reversed, having led to a number of problems for vocationally oriented students in dealing with more academic course content insufficiently tied in to practical examples. Here the challenge is to ensure that the different vocational, general and apprenticeships that are to be introduced will have similar status.

Taken to extremes, then, policies that seek to minimise the distinctions between general and vocational tracks appear to have met with significant problems – in contexts as different as post-communist central Europe and liberal democratic lifelong-learning oriented Sweden. What they have in common is not making sufficient provision of viable vocational options for students of different predispositions and abilities. In essence, they 'over-generalised' the upper secondary curriculum, and did not leave enough different types of routes through the system.

In contrast to these more radical policy choices, what we see more generally across Europe is a clear trend to increase the general content within vocational curricula. Two examples from the Czech Republic and Italy illustrate well the types of changes taking place. In the Czech Republic vocational education includes the general subjects of language training, social sciences, natural sciences, aesthetics and physical education and in recent years languages, ICT, project education and communication skills have increased in importance. In Italy, technical and vocational colleges have had

their strong professional orientation reduced and their programmes gradually modified to focus more on cultural subjects and less on practical work, reducing the previously strong difference between general and vocational routes. From the 2007/08 academic year it will be possible for students to switch between tracks from the age of 15; passing the state examination will confer eligibility to progress to tertiary level (with the addition of a one-year preparatory course for vocational students).

6.4.3 Accessing higher levels of education from upper secondary

As we noted above, whilst there are as many education and training systems as there are countries, each with its own distinctive features, we can broadly distinguish between lower level vocational education, technical programmes and apprenticeships. For the purpose of charting recent developments in pathways to higher education, this is a helpful distinction to make since whilst lower level vocational routes and apprenticeships have traditionally been intended for labour market access, technical programmes have generally been designed to enable both labour market access and progression to further education. It should also be noted that whilst higher level courses are overwhelmingly designed to be taken immediately (or certainly comparatively soon) after completion of the corresponding lower level course, others have been designed specifically to open up the possibility to return to higher level education at any point in someone's career (as an adult), e.g. through the accreditation of skills and knowledge acquired in the workplace¹. In this respect it is important to note that there is usually no obstacle within the system to prevent adults returning to education provided they have the requisite qualifications – obstacles are more likely to lie outside the education and training system, e.g. financial ones. As we shall see in the following sections there is evidence of developments across all of these pathways, but at this point there are a number of general issues that require discussion regarding access to higher education which apply across the board.

6.4.3.1 *The availability of routes to tertiary level*

In almost all countries eligibility to access tertiary level education in some form (vocational or general) is integrated into at least one upper secondary route. In most countries successful completion of VET at upper secondary level opens up eligibility to progress into VET studies at tertiary level (as in Germany and Switzerland where graduates of Berufsmittelschule are eligible to progress into Universities or Applied Sciences (Fachhochschulen)²; although in some countries (e.g. Norway, the Netherlands and Greece) this is not the case and further PSNT courses are necessary. In contrast, options to enter general tertiary education from upper secondary VET are – perhaps inevitably – more complex and have arguably been the focus of most recent attention. At the same time, as we shall see below, the routes available typically depend on the level of VET taken at upper secondary level: whilst technical routes typically and increasingly include means whereby eligibility to enter universities is automatically conferred, routes from lower level VET tend to be more complicated.

6.4.3.2 *Accessing general university education*

Throughout Europe access to tertiary academic education is controlled through the requirement to pass certain specified academically oriented examinations, which in many countries takes the form of a general upper secondary leaving certificate (known by a variety of names, e.g. the Abitur in Germany, maturita in the Czech Republic, matura in Poland). VET routes do not typically lead to the awarding of

¹ See, for example, Knudsen, Haug and Kirstein (1999) *Project report, trends in learning structures in higher education*, Confederation of European Union Rectors' Conferences and the Association of European Universities (CRE)

² And in some Federal States to Professional Academies (*Berufsakademien*)

such requisite qualifications and so countries have developed various means by which to open up access to higher educations. One method is to introduce an equivalence between VET programmes and general ones, as in the case of France's baccalaureat. Another method, especially where an upper secondary school leaving certificate is required, is to introduce follow-up or bridge courses which provide individuals who have successfully completed their upper secondary VET courses with the grounding they need to pass these more demanding general examinations. We review these approaches in the following sections. At this point, it should be emphasised that the introduction of such methods has often stimulated much lively debate. In most countries, general upper secondary examinations are seen as the ultimate prize, valued above all others and perceived to provide the route to an academic university education, socially valued knowledge and ultimately high status (if not necessarily high wage) employment¹. In many debates about the role and status of VET as opposed to general education, as in the UK and Germany for example, academic upper secondary courses have been fiercely defended, with notions of 'equivalence' sometimes being attacked for 'watering down' the value of existing general qualifications and leading to confusion amongst the general public; in the UK Advanced-level courses are often referred to by their proponents as the 'gold standard'.

¹ We emphasise that this is often the *perception* which is not necessarily the same as the reality.

6.4.3.3 *The important role played by university entrance examinations*

In most countries, obtaining the right type of qualification through a VET route confers automatic eligibility to enter university. However, in practice this does not necessarily mean that progression may take place since in many EU countries, upper secondary graduates (both general and VET-oriented) need to pass university entrance examinations first.

Most commonly entrance examinations only need to be passed when they concern entry into tertiary academic education (as in Portugal and Hungary). However, in some countries passing an exam is also required for entry into tertiary VET education, as in Greece where upper secondary VET graduates must take part in the entrance exam for tertiary VET at technical education institutes (TEI). In Croatia, entry requirements are even stricter: the entrance exam is obligatory for any upper secondary graduate who would like to enter post-secondary non-tertiary education.

Entrance exams tend to be set by individual tertiary institutes (academic and VET) and often are not formally part of education and training systems in the sense that they are not required by law. Tertiary institutes are often also free to impose any other specific admission requirements such as speciality tests or interviews, etc. Indeed, entrance requirements can be subject-specific, as can the provision of preparatory courses. Therefore, entry requirements can differ substantially by institute within one country, and even within institutes¹. In France, for example, access to the Grandes Ecoles and IUTs is very selective and much more difficult than access to the bulk of universities. Furthermore, ease of access can depend on supply and demand within individual courses and the effect this has on competition and how high universities 'set the bar' for entrance: it is likely to be easier to enter less popular university courses than those which are over-subscribed, all else being equal².

Given that entrance requirements are a hurdle for all applicants (those with general as well as vocational backgrounds), the key question here is whether VET students tend to be systematically disadvantaged in such contexts. This is a question that will be borne in mind as we review developments in more detail in the following sections.

6.4.4 *Developments in VET at lower secondary level*

Pre-VET programmes have a tendency to be identified with policies to assist students from socially disadvantaged backgrounds and hence we deal with them mainly in the next chapter. However, an important aspect to the development of VET pathways in recent years has been the development of new provision within the compulsory phase to prepare students better for the taking of vocational options in upper secondary level and these should be noted as an essential part of the picture that is going to be described in the remainder of the chapter.

¹ In some cases, this involves the taking of preparatory courses which are often subject-specific. The disadvantage of such courses can be their status within qualification frameworks. It is not always clear that they lead to acknowledged qualifications. In Ireland for example discussions are currently on-going whether to include these courses in the Irish National Qualifications Framework.

² Although entrance examinations are normally used to control the quality of university intake, they can also provide an alternative route in for people without requisite qualifications – an issue discussed below

Measures currently in train range from major reforms of vocational qualifications that extend vocational pathways down into the lower secondary level, through improvements to existing vocational courses to better prepare students for upper secondary courses, to the provision of careers guidance and counselling that is better linked to the needs of the labour market. The box below illustrates the range of measures currently being implemented in a wide variety of different contexts.

Illustrative examples of developments in VET at lower secondary level

England and Wales

Specialised Diplomas are being introduced for students from 14-19, offering a new set of vocational pathways from lower into upper secondary levels, the policy goals being to establish a valued alternative to traditional (and more academic) General Certificates of Secondary Education (obtained at the end of the compulsory phase) and Advanced level qualifications (obtained at the end of the upper secondary level), and to rationalise the large number of vocational qualifications (which currently number 3,500). Fourteen vocational Diplomas are already planned with the first five scheduled to commence in 2008. Students will be able to achieve different levels of Diploma depending on how long they study and the grades they obtain. It is intended that the highest level (3) will be equivalent to 3 Advanced levels, a minimum requirement for eligibility to apply to enter university.

Czech Republic

Curricula adjustments have been possible following the new School Act (passed in 2004) and aim to offer a “progression route” from VET provision at (compulsory) secondary level into upper secondary level and to the labour market. Examples of changes include an increase in the general component of vocational courses and introduction of teaching subjects related to the labour market, e.g. entrepreneurial skills, ICT skills, new subjects such as “introduction to the world of work” or “career path selection”.

Germany

While the most common entry route into VET is prior attendance of an upper secondary school, a small proportion of pupils uses the pathway provided by the Basic Vocational Training Year (Berufsgrundbildungsjahr) to transfer from lower secondary general education (Secondary General School) to VET. This institutional pathway has mainly been set up to tackle the problem of General School leavers insufficiently educated to take up a training course under the dual system. It may also be counted as the first year of training if pupils proceed into further VET.

Sweden

The National Agency for Education, in cooperation with the National Labour Market Board, has been asked by the government to develop information for students in compulsory schools about employment opportunities and the conditions for getting a job in different occupations. The aim is to increase students' awareness of the labour market before they choose either an academically or vocationally orientated upper secondary programme.

6.4.4.1 *Options to switch tracks during secondary education*

The option to switch tracks 'horizontally' is often overlooked in discussions of educational pathways where the emphasis tends to be on vertical progression but it merits inclusion: especially in systems where students are tracked during the compulsory phase, facilitating movements from vocational to general provision – and vice versa – is an important flexibility to build into systems to enable individuals to reconsider the most suitable type of education and to accommodate the emergence of new talents later on in educational careers.

One of the ways of doing this is to include a time-bound “period of reflection” within secondary education. It is particularly important where students need to choose relatively early on between either a general or a vocational education track. This period of reflection is offered in combination with a relatively general vocational curriculum in the first one or two years to ease the switch for vocational students to general education (and vice versa) if they wish to switch. They can be offered at lower as well as at upper secondary levels. During the reflection period students can evaluate their choice for either general or vocational education and decide to change, without causing any delay in their progression. In addition, the period of reflection is sometimes used in combination with the possibility of a repeat year or the use of an intermediate qualification. Unfortunately, we cannot assess the proportion of students who change during a period of reflection because this data is not readily available. Below we identify examples from a range of countries.

In our research we have come across the option of a period of reflection in a small number of EU countries (Hungary, Belgium, Italy, Liechtenstein, Greece) and Turkey, all of which have early tracking systems (except Greece where tracking takes place from the age of 15). The development of this period of reflection has been of a recent date in Italy and Turkey.

In Hungary and Belgium the period of reflection lasts the first two years. It is interesting to note that in Belgium this switch mostly involves a change in one direction: from general to vocational education. Interviewees referred to this as the “cascade effect” meaning that students try to achieve the highest level as possible, and if they do not succeed switch “downward” to more vocational-oriented track(s). In Italy the introduction of a “period of reflection” has coincided with the recent introduction of a more general education curriculum within vocational education (to begin in the 2007/2008 academic year). In Liechtenstein they combine the period of reflection with the possibility to repeat a year. Students who follow lower secondary vocational education (*realschule*) (12-15 age group) can transfer without delay to gymnasium after the first, second and third school year. After the fourth year, transfer is only possible if the student repeats a year. In Greece, upper secondary vocational students can flow into the second grade of general upper secondary education (*lyceum*) after the first cycle of two years. This transfer is formalised through a diploma which offers eligibility to switch to general secondary education without delay. Also in Turkey such a “period of reflection” was been introduced in 2002 through an EU pilot programme. They have established this by making the curriculum of the first year in vocational education (in vocational and technical high schools) at upper secondary level (9th grade at age 14) more general. This enables students – if they wish- to switch relatively easily after the 9th grade.

6.4.5 Modularising the curriculum

One of the most important consequences for VET of the development of qualifications frameworks and credit transfer systems is that it opens up the possibility to modularise the curriculum. Modularisation involves breaking curricula into component modules which may then be selected by students to build up courses leading to given qualifications. Modularisation greatly increases the flexibility of systems and can make it easier to open up pathways both in IVET and CVT. It is a priority in many policy plans and documents in Member States.

Modularisation takes a variety of forms and permits students different degrees of freedom in module selection to build up their learning pathway, depending on the nature of the system and the social values that underpin them. They are generally structured to ensure that students achieve a balance between general and vocational modules which has been agreed through the types of mechanisms involving social partners that we discussed in chapter 4. The stage at which students are permitted a choice of modules varies from country to country.

Generally speaking the form of modularisation implemented is likely to vary depending on the strength of the distinction between vocational and general tracks. Where the distinction is weak modularisation is more likely to cover most or all of the curriculum, enabling students to mix (with varying levels of freedom) vocational and general modules; indeed in some cases it is being used as a means to reduce the distinction between vocational and academic tracks. In Sweden, for example, the principle of individual choice within a lifelong learning framework is a strong one and systems enable students to gain credit for their modules and to transfer them easily between VET and general education and vice versa. Students can change careers and move from one programme to another and take their credits with them; it is up to the individual school to decide what additional courses are required, if any.

Where the vocational/general distinction is strong a modular approach is more likely to be applied to certain stages or parts of the VET curriculum. In Austria, Germany and Switzerland, for instance, modularisation consists of broader training in the first stages and then the selection of more specialised training later on based on the Berufskonzept approach. Clearly in such contexts, modularisation increases flexibility but does not require the same wholesale overhaul of education and training systems as in modularisation of the entire curriculum. Indeed in some cases it can only be applied to individual tracks and therefore does not help movement between them. In the Czech Republic, for example, legislative barriers meant modular curricula could only be implemented as part of existing educational pathways, and it is only now that a national system of qualifications is being developed that the prospect of overcoming this obstacle is emerging.

In order to demonstrate the large variety of different ways in which modular approaches are used, a number of examples have been drawn together in the box below. However, we give more detailed consideration to developments in Scotland and Australia to show how extensive modularisation can be implemented, and the potential benefits and pitfalls.

Illustrative examples of the wide range of modular approaches being implemented across Europe

In **England and Wales** modules are an important component of new Specialised Diplomas. Students will be able to select which level of Diploma suits them best: level 1 (equivalent to 4-5 GCSEs at grades D to G); level 2 (equivalent to 5-6 GCSEs at grades A* to C), level 3 (equivalent to 3 A-levels); and each Diploma will have three core components²⁰³:

- Principal learning (students develop knowledge, understanding, skills and attitudes relevant to a sector (or sectors) and the opportunity to apply these to work roles or situations in realistic contexts);
- Additional/specialist learning (students choose from a range of options endorsed by employers); and
- Generic learning (students develop and apply the skills and knowledge necessary for learning, employment and personal development).

In **Spain** upper secondary vocational education (*Formación Profesional Específica de Grado Medio*) is structured into different titles classified into 22 vocational sectors; each title consists of modules with both a theoretical and practical content. They may either be associated with a unit of proficiency (the most specific modules) or transversal and basic ones (intended to develop basic transversal skills for vocational proficiency in each title). All titles include a module concerned with “training and guidance in the labour market” and another on “training in work centres”.

In **Germany** modular approaches have been adopted in relation to the craft trades with two new levels (the intermediate skill level and the Meister-plus level) being added to the traditional pathway to Meister status. A modular approach to upgrading qualifications training ensures that credit transferability between intermediate skill level and Meister qualifications can occur. In 2003 the government signalled its intention to extend the modular approaches adopted in the craft trades to other areas.

The advantages of modularisation are generally seen to be that they enable students and industry sectors to construct their own courses based on packages of modules that are tailored to their *specific needs*, and also to achieve an appropriate balance between vocational and general content. Courses can also be built quickly from existent banks of modules in response to rapid changes in technologies and/or work practices. Different programmes can use the same general modules bundled with different combinations of vocational elements. Modularisation within the context of an NQF can also help to raise the status of vocational compared to general modules. It can also offer the possibility to gain credit for the modules followed, building up to whole qualifications at the pace of the learner; thus also bringing together initial and adult learning, enabling people to return to learning later in life at various points. It also enables students who would like to change programmes to validate their learning up to a given point, potentially at any level.

²⁰³ Qualifications and Curriculum Authority, The diploma. Retrieved June 2007: http://www.qca.org.uk/downloads/qca-07-3084_The_Diploma_web.pdf

The disadvantages of modularisation include the fact that it can raise the possibility of confusion on the part of individuals and employers as regards the content of courses, if it leads to the development of too many programmes. More seriously, in those systems that have a strong link from VET into the labour market (as in Germany), it can be seen as threatening to undermine the coherence of training and hence the associated integrity of occupations which are based on long-established packages of training. Where system-wide modularisation is envisaged the scale of the reforms required, with the attendant consequences for resource etc., can represent a considerable institutional obstacle.

These benefits and drawbacks are well illustrated with two examples, from Australia and Scotland.

In Australia general upper secondary students are offered the chance to take up vocational education courses in their curriculum through the set up of industry-based units of competency. Upper secondary schools across Australia are increasingly offering industry-based units of competency which allow students to combine general and vocational studies and to gain practical business and industry experience. Industry-based training can help an upper secondary student to gain a dual qualification as the training contributes to both the Senior Secondary Certificate of Education (general education) and Certificate I-IV qualifications (vocational education). In 2003, 95% of Australian high schools offered their students the opportunity to incorporate VET within their Senior Secondary Certificate of Education (SSCE), prompting around 50% of the senior students to undertake VET as part of their 11 and 12 year experience. All of these students have gained industry relevant skills; many of them will also have completed a VET qualification, separate from, yet counting towards their SSCE²⁰⁴.

In Scotland the Higher Still reform and later on the introduction of the Scottish Credit and Qualifications Framework (SCQF) have furnished an opportunity to introduce a modular curriculum and is worth considering in some detail. Prior to the Higher Still reform in 1999, upper secondary education encompassed three main types of courses: short single-subject academic courses (Highers, the main qualification for university, and Certificate of Sixth Year Studies (CSYS); vocational national certificate modules sometimes grouped as General Scottish Vocational Qualifications (GSVQs); and occupational Scottish Vocational Qualifications (SVQs).

In Scottish schools, VET modules had a low status so most students attempted Highers, but these were demanding and failure rates were high. Most students combined Highers and modules, but this led to problems as many of the courses had very different principles of curriculum design and were taught and assessed in very different ways. In addition, in some subjects modules were used to bridge to Highers in the following years, but with other subjects this was not possible. Moreover there was concern that the one-year Highers courses did not reach a sufficient level of attainment for higher education, and critics alleged that the modular curriculum lacked coherence. In FE colleges the modules had higher status but their currency in the labour market was variable, and assessment had caused some difficulties. Finally, there was a growing demand from employers' organisations that all young people should acquire 'core skills'.

²⁰⁴ Source: AQF website www.aqf.edu.au; Hobsons Guides website, retrieved 2006: <http://www.thegoodguides.com.au/site>

To address all these issues, the Higher Still reform was introduced in 1999 and implemented over a five year period. It replaced all Scottish qualifications with a 'unified system' of National Qualifications. The system does not make a distinction between general and vocational subjects, which have formally equal status, and are available at all levels; hence it ensures that a student no longer has to choose between an academic Higher that is too demanding and a vocational module that lacks status. Instead they have the choice to take up a lower-level course (Intermediate 1 or 2) which allows progression to Highers in the future. They can also take just one module or combine a large number of modules from different subjects. They can interrupt their learning and rejoin the modular system at any time with modules already passed still being recognized (Pilz, 2002). The new Higher (and Advanced Higher) courses in addition include a range of vocational subjects which were previously not available.

The 12 levels within the SCQF indicate the complexity of learning, and the volume of learning undertaken to achieve the qualification. The positioning of two or more qualifications or programmes at the same level only indicates that they are broadly comparable in terms of the general level of outcome: it does not indicate that they have the same purpose, content or outcomes nor demonstrate equivalence of qualifications. This means that decisions on credit are still often taken unilaterally by individual institutions²⁰⁵.

6.4.6 Introducing a common general core curriculum for all VET students

There are many examples of core curricula, especially now that general elements have tended to have been expanded in VET courses, but the particular circumstances of the example from Sweden were that a common core curriculum based on general subjects was applied at upper secondary level to all students including those on VET programmes, in a context where there was only one basic type of VET track (of three years' duration). With a lack of alternative VET options, this led to problems for those VET students with a lack of aptitude for and interest in general courses. Sweden thus offers a number of informative and useful lessons as regards the difficulties of increasing the general educational content of vocational provision at upper secondary level.

Although separate VET and academic establishments had been abolished in Sweden in the 1970s, separate VET and general programmes were maintained²⁰⁶. However, in the 1990s it was decided that a common core curriculum of eight academic subjects²⁰⁷ would be introduced for all students, accompanied by a lengthening of all VET courses to three years' duration. Naturally this meant an increase in the proportion of the curriculum of vocational programmes dedicated to the general subjects. The intention was that this would meet individuals' and employers' needs for higher levels of general education and also enable all upper secondary students to progress into higher education and not just those on academic programmes.

²⁰⁵ Osborne M. and McLaurin I. (2006). *A probability matching approach to further education/ higher education transition in Scotland*, Springer

²⁰⁶ Some 14 out of 17 programmes were vocationally oriented.

²⁰⁷ English, art, physical education and health, mathematics, general science, social studies, religion and Swedish.

Unfortunately, the reforms ran into a number of difficulties²⁰⁸. There was insufficient integration of theoretical and practical subjects, with little 'colouring' of academic subjects with practical examples with which to engage vocational students. As a consequence there were motivational problems among vocationally oriented students, many of whom left without a complete set of grades or who performed less well in the core subjects than their counterparts on academic programmes. Progression into tertiary education on the part of VET students therefore continued to lag behind academic students, on account of VET students' poorer performance in the core subjects, a situation exacerbated by the fact that Swedish universities are able to set their own entry demands many of which favour students who follow more general/academic education²⁰⁹. Thus the latest figures indicate that approximately 63 per cent of students from academic upper secondary programmes proceed to higher education, while only 11 per cent of students following vocational streams do.

In order to address these issues, the government elected in 2006 proposed to reform upper secondary education in order to bring about a better fit with the needs of the labour market. Three alternative orientations are to be offered:

- an academic preparatory programme leading to general eligibility for university studies;
- a vocational preparatory programme leading to a vocational certificate which will demonstrate that students have achieved all educational objectives; and
- apprenticeship training leading to an apprenticeship certificate, with the same knowledge and competence targets as school-based vocational courses.

Whilst VET students will no longer have automatic eligibility to enter HE, it will still be possible through further study after upper secondary level. A key goal is to ensure that the VET programmes are of high quality and therefore perceived to be as attractive as the general ones that are oriented to progression into HE. A number of steps are planned to ensure this including the development of better linkages to working life and compulsory collaboration between municipalities and social partners in all matters that concern IVET. In addition, the government intends to develop labour market information for students that explains employment opportunities and the conditions for getting a job in different occupations, with the aim of increasing students' awareness of the labour market before they choose either an academically or vocationally orientated upper secondary programme.

The plans have stimulated much debate. Whilst they may increase the completion rates of VET students (since they will no longer have to follow as many theoretical subjects as before) and they may better meet the needs of the labour market, students will clearly not develop as thorough an understanding of the core academic subjects as before.

²⁰⁸ Based on Raffe, Arnman and Bergdahl in Raffe (undated) and interviews with the Swedish Ministry of Education and social partners. See Raffe D. (undated) Working Paper 5 – Bringing academic education and vocational training closer together. ESRC research project on the Introduction of a Unified System.

²⁰⁹ This is by no means an unusual situation in other countries either, as discussed above.

6.4.7 Maintaining distinct tracks but seeking equivalence

One of the most interesting and informative example of a policy attempt to establish equivalence between vocational and general routes is the French vocational baccalauréat, which was introduced in 1985 to create a strong link and a sense of equality with the academic and technical baccalauréats already in place. Before it was introduced, vocational education was perceived quite negatively. At the same time, there was a growing need amongst employers for highly qualified production and maintenance workers with qualifications between those of advanced technicians who hold advanced technical certificates (BTS) or technical university diplomas (DUT) and qualified workers who hold a CAP or BEP (lower vocational diplomas). It was hoped that the introduction of the vocational baccalauréat would address both of these issues by lengthening vocational study by two additional years, placing it on the same academic rank as the other baccalauréats, and conferring eligibility to access university. For Gendron (2002) the use of the term 'baccalauréat' has been essential since it acts 'as a filter and remains the academic reference for getting a job.'

How successful has this approach been? From Gendron²¹⁰ it becomes clear that many students of the vocational baccalauréat are satisfied with the training and feel that it offered them a real chance to build a way forward. Gendron mentions that the vocational baccalauréat leads to a favourable situation in the labour market with rapid job entry (better than for BEP and CAP holders). However, also voices are raised that it is still looked upon differently from the general education track. And Gendron mentions that even though job entry has been rapid, the work activities and job mobility have not measured up to expectations. She mentions the fact that many vocational baccalauréat holders do not easily progress in their jobs and end up in jobs other than the reference jobs designated. This suggests that it may have been less successful than intended given it was established in response to employer demands. Using common terminology may not be sufficient in itself therefore to improve the status of vocational education which is, after all, socially embedded (as discussed in chapter 3). Furthermore, while the vocational baccalauréat was primarily designed to lead directly into an occupation (the technical baccalauréat being seen more as a progression route into tertiary education), graduates were also given the option to enter university but only some 15% do. Even though this figure is low, questions are nonetheless being asked about the wisdom of opening up university access to everyone with a baccalauréat: whilst democratic, there have been problems with early leaving amongst vocational students (an issue which is emerging as a common theme across Europe and to which we return below).

6.4.8 The development of local and regional flexibility

Most education and training systems involve some form of balance between central (federal) state and local or regional authorities. However, there is widespread evidence that building in local and regional flexibilities into VET systems (both IVET and CVT) is increasingly being seen as an important means of increasing the responsiveness of VET systems, especially to the needs of employers. Measures typically involve legislation to establish clear roles for local and regional authorities with educational competence and social partners in the development and maintenance of VET curricula. This can involve delineating the proportion of the curriculum over which different tiers of government have

²¹⁰ Gendron B. (2002) *The French vocational baccalaureat diploma: space of a plural transition for the youth in vocational training*: European Journal, No 25 p.27-33 Jan-Apr 2002

control. In Slovenia for example, since 2002, 80% of the curriculum has been agreed nationally, the remaining being determined locally or regionally in an effort to encourage schools to work with local enterprises to develop new curricula adjusted to the needs of local labour markets. It can also involve central government in requiring other tiers of administration to involve a wider set of partners in curriculum development. For instance, in Sweden all municipalities in future will have to involve social partners in local consultations on VET programmes with the aim of improving quality and relevance. Indeed, depending on the structure of government and the extent of decentralisation, in some countries it is at the local/regional level – rather than the national - that social partners are viewed as having the most influential role to play. In Slovakia social partners can play an important role at regional level in influencing vocational and technical schools; some regional tri-partite councils are active in this respect. Naturally this leads to the development of geographical variation in both policy and practice, which can be quite substantial in highly decentralised systems. Thus in Germany the *Berufsakademien* (professional academies) which provide higher level apprenticeship programmes exist only in some Federal States, having grown organically from the dual system with the commitment of social partners to establish the public-private partnerships on which they are mainly built.

There are of course perennial issues concerning the most appropriate balance between national and local/regional responsibilities in VET (as in every other branch of the public sector). In some cases there is a high degree of autonomy for local schools and the central state seeks to impose norms or standards in order to deliver on national policy agendas. In the Czech Republic for example each school has certain freedom to develop its own *maturita* examination; the Czech Training Fund is currently trying to establish more national standards, with some pilot projects in train. The UK VET system is highly decentralised with the main providers of VET – the further education colleges – having significant powers in terms of the subjects they cover and the curricula delivered. Whilst this local flexibility is often lauded as being an important means of achieving responsiveness within the system, the government has sort various ways to encourage all colleges to engage with employers in the same ways and to the same levels as the most engaged.

6.4.9 The development of collaboration between establishments

Another method to link general and vocational education is through collaboration between individual establishments. In some countries such inter-establishment collaboration is an established means of enhancing the curriculum, sharing resources, spreading costs etc but the extent to which linking or integrating vocational and general curricula is part of this is moot; clearly it is only one sub-set of such activity. Owing to these characteristics evidence is hard to pin down as to how commonplace such inter-establishment collaboration is. However, it can play an important role in both IVET and CVT.

Since most inter-establishment cooperation is organised bilaterally between institutes it is not in the full sense of the term 'systemic'. However, some systems are more conducive to collaboration than others, and indeed national legislation may encourage it. The prevalence of collaboration will depend on the right combination of facilitating factors such as whether general and vocational provision is divided between specific establishments, the rigidity of national frameworks, and the extent of decentralisation and hence of local establishment autonomy within VET systems. Where there is strong decentralisation within systems, collaboration needs to be supported and guided to ensure pathways are opened up efficiently and effectively.

In the UK the government has long encouraged collaboration as a means of increasing student choice; national frameworks are comparatively weak, there is considerable local autonomy in the system and upper secondary provision is made by both schools (predominantly providing general education) and Further Education Colleges (mainly vocational). In 2002 the government introduced the Increased Flexibility Programme in England to require FE colleges and training providers to work together with schools to offer General Certificates of Secondary Education in vocational subjects, along with vocational qualifications in order to improve vocational learning opportunities for 14-16 year olds. It should be pointed out that whilst the UK system is designed to meet local needs, collaboration is highly variable and adds to the complexities within an already complex system of pathways and qualifications

In contrast, where national frameworks are strong and perhaps designed to structure entry into the labour market, as in Germany, the system may be less facilitative of collaboration, even though the vocational/general divide is structured into separate establishments (see chapter 3).

Whatever the system context, the nature and depth of integration depends on the institutions involved, but can range from simple sharing of resources to the offering of courses jointly and the development of modular course structures.

Examples of collaboration are provided in the box below:

Illustrative examples of inter-establishment collaboration
• In Norway, linkages are encouraged through the fact that the majority of upper secondary schools consists of combined schools, offering both general and vocational education programmes. In addition, the creation of linkages is further enhanced after a reform which combined the training of vocational and general subject teachers (Volanen, 1999; Raffe). • In Finland upper secondary vocational and general schools remain separate but students are offered a chance to follow modular courses at both schools when particular schools decide to cooperate. This development is supported through the fact that Finnish upper-secondary general schools are non-graded²¹¹ and vocational schools are modular (Sahlberg, 2006). • In Estonia upper secondary general and vocational schools - in close proximity to each other - sometimes prepare classes together to ensure that their students are offered a diversified choice in subjects.

²¹¹ In non-graded general upper secondary schools students follow course-based education and are not bound by time and age group, but rather study according to their own pace and interest. It was introduced in Finland in 1982 and was spread nationally in the 1990s. According to the World Bank this is a unique structure world-wide, and only China has recently shown interest in restructuring their education system in a similar manner (Sahlberg P. (2006) *Raising the bar: how Finland responds to the twin challenge of secondary education?* Profesorado. Revista de currículum y formación del profesorado, 10, 1 (2006)

6.4.10 Developments in lower level school-based vocational education and other routes not granting automatic eligibility to enter tertiary education

Systems frequently provide a number of options for students to follow vocational courses of different durations at lower levels. These courses are typically shorter than technical routes, and there are differences between individual systems, but a typical pattern would be for lower level courses to comprise two or three year courses whilst technical routes require up to four years to complete. Whilst technical routes normally offer the chance automatically for progression (normally to tertiary vocational courses, rather than academic ones – see below) this is not so with lower level vocational programmes where additional preparation is required. There are of course exceptions to this pattern, notably the French example which we have just discussed where vocational and technical routes have an equivalence under the baccalauréat system; and the Finnish system where upper secondary VET courses are of three years' duration.

Although patterns vary between countries and generalisation is difficult due to a lack of comprehensive data, the available evidence suggests that in systems that offer different levels of vocational education within the upper secondary tier, lower level school-based vocational routes appear to attract fewer students than technical routes and the trend in recent years has tended to be a further decline in popularity. For example, in Poland only about 17% of lower secondary graduates choose basic vocational schools, the remainder selecting schools leading to the matura (44% choosing general schools). In Austria, VET schools are less popular than both VET colleges and apprenticeship routes: absorbing around 26% of general education school (*Hauptschule*) graduates (compared to 27% going into VET colleges and 30% into the apprenticeship route) and just 7% of higher general school graduates. In the Czech Republic, enrolments in vocational schools fell from 45% of all upper secondary enrolments in 1995 to 35% in 2005 (gymnazia enrolments rising from 15 to 19% in the same period).

Explanations for this downward trend are broadly consistent across the EU, being accentuated in certain cases by particular circumstances. Generally, lower level vocational routes are seen as being too short and superficial, as not providing individuals with a broad or general enough grounding, as not delivering the academic/technical qualities demanded by employers, and yet at the same time often suffering from deficiencies in terms of the quality of the practical training on offer too. In the New Member States, they have also been associated with occupations that have suffered from high unemployment and more recently occupations where wage rates have been driven down through immigration of workers from neighbouring countries and further afield, e.g. Russia and Ukraine, a situation which has contributed to their unpopularity. Interestingly data from the Czech Republic shows that graduates of vocational routes are less likely to end up being employed in the occupations they were trained for than their counterparts who graduated from technical schools: 40% end up in different fields compared to 25% from technical routes.

As a consequence of these factors, courses at this level are subject to the same trend towards a higher general component in the curriculum as elsewhere. For example, in Slovakia, vocational schools are gradually offering more general 'study branches' to respond to demands related to the restructuring of the economy; and one of the foci of reforms in 2005 is to broaden curriculum profiles of study branches and to involve employers in more and better ways. Countries are also seeking to involve employers more in provision in order to improve the quality of the practical training components. In Slovakia,

where good quality practical training cannot be offered in vocational schools, 'centres' or 'workplaces' of practical training have been set up. The latter are offered by enterprises to meet their own needs and therefore handle only small numbers of people. Another alternative is to acquire or refine skills at 'centres of professional practice' which can be affiliated to or independent of schools.

6.4.10.1 *Pathways enabling students to progress from VET into higher levels of general education*

For students whose upper secondary course does not confer eligibility to enter tertiary education (typically those from lower level (non-technical) school-based VET courses) bridge courses are widely available across Europe to facilitate entry. (They may also be called “follow-up courses”, “preparatory courses or years” or “additional years”). They are particularly used to provide a route into *academic* tertiary education²¹² and where the upper secondary school leaving certificate controls entry to universities they provide an opportunity to obtain it. Typically they require up to two years' study and may be provided in technical and general schools rather than the lower level vocational schools. The box below provides examples.

Illustrative examples of bridge courses
• In Belgium, upper secondary vocational students (ESP/BSO) can choose to graduate after the sixth year with a vocational certificate. If they choose to follow an additional seventh year they can either gain a more specialised vocational qualification or they can gain - by following a course of “general development” - an upper secondary qualification which grants them access to tertiary education. • In the Czech Republic and Slovakia, graduates with a vocational qualification from a secondary vocational school can gain entrance into tertiary education by following a two-year programme (follow-up study) at post-secondary non-tertiary level (ISCED 4A) in order to pass the upper secondary general maturita exam. • In Norway all vocational students follow two years on a school-based vocational course before deciding to take either a bridging course into more general study or an apprenticeship route. Whilst curricula vary in different training paths in terms of practical training and trade-specific theory, all upper secondary IVET curricula taught during the initial two years at school contain general theory similar to the curricula in the general education path which is designed to make it easier to switch streams. The bridge course (<i>teoretisk påbygging</i>) is theoretical in nature and takes 6-12 months to complete. • In Slovenia students within vocational (upper) secondary education (3 years' duration, leading to a vocational certificate) can choose to follow a 1-year “general” education course to pass the general “matura” examination which opens a pathway to tertiary academic education.

²¹² Bridge courses are placed at very different ISCED levels in different countries. In some countries, they have been placed at upper secondary level, while elsewhere they are placed in post-secondary non-tertiary education or even at tertiary VET level. As noted above, the UNESCO definitions would tend to place these courses at PSNT level.

Many of these types of pathways have been available for some time. The example of the *Berufsreifeprüfung* (BRP) in Austria is probably the most well-known example of an examination offering upper secondary VET graduates from non-technical routes²¹³ eligibility to enter tertiary academic education (and post secondary and tertiary VET education). Before its introduction in 1997, progression was possible but more complicated or limited to specific fields of study. Through the BRP graduates of apprenticeship training (dual system) and of full-time school-based vocational schools (*Berufsbildende mittlere Schulen*) of at least three years' duration can qualify to enter university level education by passing this examination which consists of four exam modules (which can be taken step by step): German, mathematics, one modern foreign language, and a specialisation from vocational practice (i.e. it gives employed people the opportunity to validate practical knowledge acquired in employment). In principle, the BRP can be taken without attendance of a specific programme preparing for the examination. The BRP can also be taken upon completion of specific courses either offered by schools or recognized by the Federal Ministry of Education, Science and Culture, which are offered by adult learning institutions outside the mainstream education system. Over the lifetime of the BRP, some 62% of participants have come from an apprenticeship, with a further 30% coming from 3-year VET school. In terms of destinations, 58% have entered university, 23% enrolled in a vocationally oriented *Fachhochschule*, and 16% chosen a VET pathway to attend a college or academy²¹⁴ (post-secondary non-tertiary level).

The evidence points to bridge courses becoming more common in recent years. For example, in Poland since the academic year 2004/2005 it has been possible for graduates of basic vocational education to attend a three-year supplementary course (at a supplementary technical school) or a two-year supplementary course (at a supplementary lyceum) to pass the matura exam to gain entry to higher education. In Estonia, the 2006/07 academic year saw the introduction of an additional study year in general subjects for upper secondary VET students which increases their chances of passing the required state examinations (*riigieksamitunnistus*) to gain entry into higher education, both VET and academic. Still, such pathways are not universally available. In the Czech Republic the follow-up course was available only on a part-time basis up to 1989 but has been developed substantially since then, a process which has included the addition of curricula to develop business expertise and ICT to attract more students.

In terms of how popular these routes are, data with which to shed light on this question are unfortunately elusive, but given the flows through what might be regarded as 'normal' routes the numbers are likely to be very small; for instance, in the Czech Republic, around one third of people who receive a vocational certificate take the follow-up course leading to the matura examination. It is also not possible to say in general whether these routes are becoming more popular, although this would be expected given the trend towards increasing the general component of vocational courses; for example, the Ministry of Education in Flanders has recently noticed a small increase in the number of students who try to finish successfully the additional "general development" course in order to progress into further education.

²¹³ And who are not therefore able to follow a double qualifying pathway of the sort we describe in the next section.

²¹⁴ Most *Akademien* have been or are in the process of being transferred into *Fachhochschulen* or *pädagogische Hochschule*, i.e. tertiary level

How successful are students who pursue this route? Again, there is a dearth of metrics which enable this to be quantified. However, in the Czech Republic, about 80% of individuals successfully complete the course. Interestingly most students in this case do not progress to tertiary education but enter the labour market in middle level technical and business occupations or occupations such as heads of production departments, although this outcome is probably partly a consequence of the fact that the *maturita* is generally recognised by employers as a vocational qualification, and the curriculum is structured to provide both vocational (55%) and general (45%) components, although the vocational component contains much theory and places emphasis on intellectual rather than manual skills, especially organisational and management skills, business and ICT expertise.

Furthermore, the situation in the Czech Republic and Slovakia provides an effective illustration of the problems students from VET backgrounds can face. In these countries students who have successfully completed the required bridge course leading to the upper secondary general *maturita* examination which makes them eligible for tertiary entry have poor rates of success in university entrance examinations compared to general education students. They also indicate that they are more successful in relation to entering tertiary VET (professional school programme) than academic universities. In this sense, their general bridge course is not completely 'compensating' for their vocational background. Furthermore, it is also clear that if they do succeed in entering an academic university, their drop out rate is considerably higher than that of upper secondary general education graduates. It is believed that deficiencies in vocational students' theoretical education are largely behind these problems. It is also notable, however, that their chances of dropping out even from tertiary VET remains relatively high.

These examples illustrate therefore that whilst bridge courses open up the possibility for further advancement in education, they come with some risks. The student delays entry to the labour market, by as much as two years, which can mean they are entering in their early twenties. There is a risk of failing to pass a final examination that is tuned to the aptitudes and abilities of general students, and sometimes delivered in a more academic environment such as technical or general schools rather than the vocational schools from which the students have come. After that, there are the further risks of not being able to get into a university or, once there, staying on the course, owing to the demands of university entrance requirements (as described above in section 6.4.3) and the requirements of university curricula²¹⁵.

At the same time, as we stressed above, early leaving is not necessarily about failure but involves a weighing up of pros and cons of the choices available, which critically includes conditions in the labour market as well as those intrinsic to education and training. In some cases, the lure of the labour market may outweigh the perceived benefits from staying on or conversely compound the effects of disbenefits such as the school-based orientation of tertiary provision which can be a difficulty for many VET students. In less regulated occupations students may acquire just enough further knowledge and skills from the first part of more advanced courses to enable them to exit early, giving them an improved position in the labour market. This is a particular problem in some sectors in the UK (which is generally highly unregulated compared to most other EU countries), such as the building trades, where there is a

²¹⁵ This helps to explain the magnitude of the difficulties encountered in the Swedish reforms described above: in that case it was not simply part of a cohort of upper secondary students who were on tracks that might open up the prospect of university entrance but the entire student body.

high rate of early leaving from 2-3 year upper secondary courses for precisely this reason: in a buoyant housing market it is possible for un- or partially qualified students to obtain employment, though this contributes to long-standing issues of poor quality which the industry is taking steps to address.

Nonetheless, an important factor for bridge courses is that rather than being integrated with vocational courses, they are 'add-ons'; because of this may be less attractive than vocational routes that confer automatic eligibility. Indeed, in some cases students face a choice between taking a general bridge course or a higher level VET qualification which does not lead to tertiary level. In Latvia for example, students who have followed a three year vocational course can then take an additional *general* course of up to two years in order to access tertiary level (students of four year courses can obtain a double qualification, see below). But they can also choose instead to take an extra vocational qualification which improves their position in the labour market but does not confer tertiary level access (an option also open to graduates of two year courses).

Such arrangements seem to be less attractive than offering vocational courses in which the option to progress is built-in. It is thus interesting that in Estonia, whilst, as we have just noted, an extra general year has just been introduced for VET students, the Higher Education Strategy for 2006-2015 indicates that a pilot project is going to be introduced to provide access for upper secondary VET graduates to tertiary education without the need to pass the state exams.

6.4.11 Developments in 'technical' and other routes conferring eligibility to enter tertiary education

Higher level technical routes that are vocationally oriented are typically of longer duration than lower level pathways, and are normally designed to enable progression to further study. Most often, success on such pathways grants an automatic eligibility to begin vocational study at tertiary level. In some countries such routes do not exist and students need to take further PSNT courses first; in some cases this is a general requirement, as in the case of for example Norway, the Netherlands and Greece, whilst in others it depends on the subject field and (individual) university entrance requirements which may dictate the certification of certain specialist knowledge. We consider such provision in our discussion of PSNT provision later on in this chapter.

Entry to academic study at university is another matter. Where an equivalence has been established between vocational and general routes (as in France) or where a modular approach is in place which enables students to mix certain combinations of vocational and general provision (as in Scotland), the general right to enter any type of tertiary provision is sometimes a feature of the system, although this may naturally depend on the subjects studied, and further study through short specialist courses to pick up requisite knowledge may be required²¹⁶. Furthermore, the issue of equivalence is frequently hotly contested. As we have noted already, vocational provision in England is about to undergo a major change with the rolling introduction from 2008 of 14 vocational Specialised Diplomas for the 14-19 age group, which it is intended by the government will confer eligibility to enter university (there being no marked distinction between vocational and academic provision at tertiary level). A previous review of 14-19 provision had recommended that over-arching Diplomas be introduced to replace separate

²¹⁶ Clearly, where there is not a strong distinction between vocational and academic education at tertiary level, upper secondary qualification is more likely to confer a general right of access. Note that the *right* of access does not necessarily mean that the actual process for VET students to move into general education is easy, as we have already emphasised.

general and vocational qualifications, but this was rejected by the government as it would have meant the end of the highly valued (strongly academic) Advanced level (A-level) qualifications. So the Specialised Diplomas will exist alongside A-levels, prompting fears in some quarters that they will simply create a two-tier system, with Diplomas being taken as a last resort. At the time of writing, a significant number of universities have cast doubt on whether they will accept the highest level of Diploma as having sufficiently equipped students with the skills and knowledge they need to succeed at tertiary entry²¹⁷. Meanwhile, the government has announced the introduction of three Specialised Diplomas in academic subjects – science, languages and humanities – effectively adopting a twin track policy of strengthening Diplomas whilst indicating that 'gold standard' A-levels are not in jeopardy. In the comparatively unusual 'market' conditions that prevail in the UK context (see chapter 3), the government has effectively determined that competition will dictate the success of otherwise of the Diplomas. As the Secretary of State recently commented: "If Diplomas are successfully introduced and are delivering the mix that employers and universities value, they could become the qualification of choice for young people. But, because GCSEs and A-levels are long established and valued qualifications that should not be decided by any pre-emptive government decision but by the demands of young people, schools and colleges." ²¹⁸

In contrast to this situation, in those countries where there are separate vocational and general tracks at upper secondary level (which is normally accompanied by separate vocational and general provision at tertiary level) and where there is no equivalence between the tracks, the question of progression to academic level faces different issues. In Germany and Switzerland, for example, pathways from upper secondary VET into tertiary VET are well developed but it is more difficult for upper secondary VET graduates to obtain eligibility to enter academic universities. Countries have adopted different policy solutions to this issue. In Slovenia, for example, students of the four year technical secondary education programme can progress to academic tertiary education if they pass the poklicna exam and one additional subject. However, an increasingly common mechanism is the double qualifying pathway which – as its name suggests - enables students to attain both a vocational and a general qualification at the end of their upper secondary education, without the need for additional study. We examine this route in detail below. However, before we do so there are a number of more general remarks that need to be made about recent trends in technical routes.

As noted in the preceding section, higher level technical routes have tended to maintain or enhance their popularity relative to lower level routes in recent years. In the Czech Republic for instance the proportion of upper secondary students in technical routes rose from 40% in 2000 to 46% in 2005. In Slovakia some 55% of the cohort is on the technical route compared to 20% on the vocational one. In Poland some 39% of the upper secondary cohort follows technical routes compared to the 17% in basic vocational routes. Indeed, in Poland the government re-introduced technical schooling into the system after its abolition in 1999, when it had been seen as overly specialised and when it had been decided to place the emphasis on general and higher education (although this has not been sufficient to halt the decline in VET enrolments at upper secondary level noted in chapter 5).

They have also been subject to curriculum shifts in the direction of increased general content and greater flexibility. Thus reforms in Denmark in 2000 introduced a modular structure and provision more

²¹⁷ *Universities have Diploma doubts*, BBC News website, 27th January 2008

²¹⁸ Quoted in *Diplomas 'could replace A-levels'*, BBC News website, 23rd January 2008

flexible and individualised. The reforms of 2005 that were undertaken in Slovakia focus on closer integration between vocation and general branches, and the development of key competences such as foreign languages and ICT; and they also emphasise basic production and technology principles in order to enhance students' adaptability in the labour market.

6.4.11.1 *Double-qualifying pathways*

Where strict vocational and general pathways are maintained and where the upper secondary school leaving certificate controls access to tertiary academic education, many countries have made double-qualifying pathways available to vocational students; they integrate vocational and general subjects in the curriculum and offer the opportunity to graduate in both vocational and general education. They are mostly offered alongside separate general and vocational tracks. They appear to be becoming increasingly common throughout Europe, especially in the New Member States. Examples of countries offering such routes include Austria, Bulgaria, the Czech Republic, Finland, Latvia, and Lithuania.

Double-qualifying pathways offer the significant advantage that they allow students to keep their options open as to whether they want to progress further in education and training or enter straight into the labour market. They also offer vocational students the same opportunity to enter general tertiary education that is available to general upper secondary students. In this way, they basically eliminate the need for special bridge courses between vocational and general programmes²¹⁹. Interview evidence suggests that they can have different functions depending partly on the nature of the education system. It offers students who do not get accepted into general education tracks or schools (gymnasias) the possibility to secure a general upper secondary leaving certificate, which can be particularly helpful in circumstances of early tracking. In other instances, it can offer students who wish to go into tertiary education the opportunity to acquire a 'just in case' vocational qualification which provides entry to the labour market (applicable in both early tracking and 'comprehensive' systems).

At the same time, there are some drawbacks. First, there can be difficulties inherent in finding the right balance between theory on one hand and work-place or practical training on the other²²⁰. They assume a high degree of compatibility between curricula. Secondly, related to this, it can be hard to establish amongst employers and students whether it is genuinely equivalent to a full vocational or general qualification. Thirdly, integrated programmes can be more demanding for students than following vocational or general programmes²²¹. For example, in Finland our interviews suggest that this has caused a very high drop out rate from double qualifying programmes. Fourthly, the double qualification can be something of an illusion of an 'open door' towards tertiary education: sometimes it means the "door" towards tertiary education is easier to open but is not automatic; more demands are sometimes placed on students, for example the achievement of high enough grades for particular courses, etc.

²¹⁹ This type of pathway is also often referred to as "dually oriented qualification" by for example Manning (2000) and Raffe (undated). We chose not to use this categorisation as we later also explore the "core curriculum" which could also be considered a dually oriented qualification, leading both to direct entry into the labour market and as a pathway into tertiary education. See Manning S. (2000). *What can we learn from dually oriented qualifications, lessons drawn by the Leonardo partnership DUOQUAL*, paper for presentation at ECER 2000 20-23 September Edinburgh, WIFO Berlin; and Raffe D. (undated) Working Paper 5 – Bringing academic education and vocational training closer together. ESRC research project on the Introduction of a Unified System.

²²⁰ Manning op cit

²²¹ Raffe op cit

Overall, the evidence suggests that double qualifying pathways tend to be a minority option. In Finland around 5% of IVET students take the combined programme. In the Czech Republic, enrolments on lycea account for around 6% of students within the first year at secondary technical schools. In Denmark the route is more popular: about 11% of the entire upper secondary cohort uses it, and this is only just under half the proportion of people who study school-based VET (25%), which makes it quite a popular choice from amongst the vocational options.

At the same time, some governments have actively encouraged students to take this option, realising the benefits it brings both to the individual and to the economy in opening up options. In Finland, for instance, one of the goals of the education plan for 2003-2008 is to encourage vocational students to take the combined upper secondary qualifications with the aim of doubling the proportion of IVET students following it to 10%.

In terms of the destinations of graduates who successfully complete double-qualifying pathways, data from the Czech Republic indicates that half of upper secondary VET graduates in possession of a 'maturita' qualification go into the labour market and the other half into further study. Of the latter, 20% go into tertiary VET, whilst 80% commence university degrees.

The box below provides some detailed examples of experiences with double-qualifying pathways.

Illustrative examples of double-qualifying pathways
<u>Austria</u> In Austria, students can choose to follow vocational education either at a technical/vocational school (Berufsbildende mittlere schule, BMS) or at a technical/vocational college (Berufsbildende höhere schule, BHS, 14-19 age group). BHS programmes were expanded in the 1970s and have long since provided a double qualification: a vocational qualification and the general Reifeprüfung. The five-year full-time school course at BHS (ISCED 3A/4A) provides a combination of general education and high-quality specialised vocational training (approx. 1/3 general subject areas, 1/3 occupationally-oriented theory, 1/3 hands-on experience/practice). The BHS curriculum includes obligatory summer internships, in which students are typically required to solve real problems in a firm. This pathway takes a year longer than the general upper secondary education. But young Austrians tend to prefer it to the shorter school-based VET programmes (3-4 years) that lead to skilled workers' level (like apprenticeship training) and now more than 20% of young people take it at the end of compulsory schooling. The immediate employment prospects of the graduates from the BHS schools are at least as good as, and often better than, those of apprentices. In addition, extra attraction lies in the fact that the course concludes with a <i>Reifeprüfung</i> and VET diploma (<i>Reife- und Diplomprüfung</i>), a double qualification that gives successful candidates direct access to higher education as well as to regulated occupations. <u>Czech Republic</u> The double qualifying pathway in the Czech Republic provides interesting insights into both the origins of such courses and their content. Combined general and vocational education here is offered through <i>lyceum</i> programmes within secondary technical schools. Their establishment was triggered by the introduction of limits on the intake in six- and eight-year <i>gymnasia</i> school, a development that was supported by <i>gymnázia</i> as a means of controlling the quality of their student intake through demanding admission requirements. To cater for those who could not be admitted to

Illustrative examples of double-qualifying pathways

gymnasia, but who would like to obtain a *maturita* (general upper secondary leaving certificate) *lyceum* programmes were introduced as an alternative option to the usual vocational programmes.

The proportion of general education in *lyceum* programmes accounts for approximately 70 % of the curriculum while in the 4 year technical programme it accounts for approximately 45%. They include technology, business, natural sciences and teacher training. Graduates are prepared for studies at higher education institutions in similar disciplines. There are very good prospects for technical *lycea* due to their cooperation with higher institutions. Moreover, the establishment of *lycea* is supported by regional self-governing bodies. In Latvia and Lithuania, the same system applies.

Finland

In Finland, prior to 2001 vocational upper secondary qualifications were divided into two and three year programmes, with only the longer courses giving access to higher education (the two-year programmes giving eligibility only to further study in the same subject field). Since 2001 however, all programmes leading to upper secondary vocational qualifications have been standardised to a duration of three years and all open a pathway to tertiary education (both at polytechnics and universities). However, at the same time vocational students can follow either a vocational track or a combined one. Participation rates show that this double pathway is increasingly popular, despite the fact that anecdotal evidence²²² suggests that students need to be ambitious and persistent in order to finish it. Students are mostly motivated to follow this track to increase their chances to gain entry into a university: although a vocational qualification makes a student eligible for university entry, in reality it is success in the general matriculation exam which increases the likelihood of a successful application in the context of the types of entrance requirements which individual Finish universities are able to (and indeed do) set.

6.4.12 Apprenticeships

As we noted in chapter 5, apprenticeships have generally been subject to growth in recent years, and this has been accompanied by a renewed policy interest in this form of provision in response to signals from the labour market. However, apprenticeship provision varies substantially across Europe and naturally this has affected the nature of policy developments taking place. In some cases apprenticeships are accorded high prestige, whilst in others they are seen as routes that are taken only as a last resort and are associated with measures for the disadvantaged. Seen through the lens of the cluster analysis presented in chapter 3, we can observe particularly striking contrasts between three groups of countries: the dual system countries of Germany, Austria and Switzerland where apprenticeships are both highly developed and highly valued (the two being inherently related as discussed previously)²²³; the Mediterranean countries²²⁴ where generally this type of provision is underdeveloped; and the New Member States of Central and Eastern Europe where apprenticeships

²²² From study interviews

²²³ The value of apprenticeships is well illustrated by German statistics: three quarters of people in VET at upper secondary level are in the dual system, the remainder in vocational schools; furthermore, a quarter of people who hold the upper secondary leaving certificate (the *Abitur*) elect to move into an apprenticeship (only a small number choose to go to a vocational school).

²²⁴ Excluding Cyprus and Malta

have gone through major changes since the fall of communism. In the Nordic countries and in the UK and Ireland the emphasis in the past has tended to be on school-based VET, whilst in continental countries without dual system training there is more of a mix between apprenticeship and school-based VET, although this is by no means a clear distinction. In some respects it is perhaps not surprising that such strong contrasts should be observable in relation to this form of provision since it is here that employer involvement is essential and therefore where the variations in the social and economic institutions that underpin VET systems which we discussed in chapter 3 are most clearly revealed.

Apprenticeships can be a popular route for a number of reasons. The argument often provided is that apprenticeship leads to better employment opportunities for the student. This is true in the short run because students who complete an apprenticeship often remain employed within their apprenticeship firm and therefore have an advantage over school-based vocational graduates. Indeed on the basis of our analysis of data on employment prospects (presented in Chapter 2), achieving a better match with the demand of the labour market for vocational students is an important issue, and apprenticeships provide a potential solution. However, Plug and Groot²²⁵ show that this advantage gradually disappears through time. Their research in the Netherlands shows that in the long run there are hardly any differences in earnings, earnings growth and employment opportunities between workers who have gone through the vocational school route and those who have taken the apprenticeship route (though this is clearly justifiable if they develop the same competences in the end).

As far as policy makers are concerned, apprenticeship training has the advantage that some of the financial burden falls on the shoulders of the employers and apprenticeship students. The bulk of the on-the-job costs of training provision falls on individual employers (operational costs, lower productivity, opportunity costs of resources, etc.) and thus indirectly on apprenticeship students who receive “wages” or “allowances” typically lower than adult pay rates (Lange, 1994).

In relation to the question of pathway development, countries are not surprisingly at different stages of development and tackling different issues, but in general apprenticeship routes have tended not to be well integrated into systems in the sense that they have naturally been oriented to direct labour market entry and have therefore not been geared to further progression. In a sense, they have thus been somewhat separated from other routes, in some cases coming within the remit of ministries of labour rather than ministries of education. Furthermore, they have tended to be grounded firmly in the upper secondary tier.

Given this, what are the main features of policy developments in this area? Generally speaking, where apprenticeships do not exist, governments are looking at ways to introduce them, viewing them as an important alternative to school-based provision for students and employers - even in cases where policy was previously aimed at reducing the distinction between vocational and general tracks. In Sweden, for example, where there has been no real apprenticeship scheme since the 1970s, and where until recently a major thrust of policy was to strengthen the general component in vocational programmes at upper secondary level (as discussed above), plans are being developed to introduce a modern

²²⁵ Plug E. and Groot W. (1998). *Apprenticeship versus vocational education: exemplified by the Dutch situation*

apprenticeship scheme as an attractive alternative to vocationally orientated programmes, with the same knowledge and competence targets as school-based vocational courses²²⁶.

Across the Central and Eastern European countries, major steps are being taken to expand provision and to introduce apprenticeships as significant components of VET systems, often in the context of apprenticeship systems having experienced falls in popularity or abolition in the post-socialist phase, or of having been under-developed. Reliant as apprenticeships are on strong employer commitment, it should be remembered that these countries have been required to overhaul the entire basis on which production is based so it is not surprising if apprenticeships have been particularly strongly affected. Within this general picture, each country has its own particular set of factors driving the (re-)introduction of apprenticeships. Thus in Slovenia, the apprenticeship system was abolished in the 1990s because of a fear that it was educating students in occupations that were too narrowly specialised; policy makers are now planning to reintroduce it to ensure that labour demands for more vocational skills are responded to appropriately. Apprenticeship training was introduced in Bulgaria in 2001 through the Crafts Act and is mainly organised in company training centres. In Estonia apprenticeship training was introduced in 2004 through a pilot project under the Phare programme as a response to criticism that provision in vocational schools was not of sufficient quality and was focused too much on theory.

Where apprenticeships have effectively been introduced *de novo* into education and training systems in recent years, it would be unrealistic to expect them to be well embedded yet and therefore to have strong linkages with other types of provision. For example, the new apprenticeship training that was introduced in Bulgaria in 2001 does not yet have pathways into other forms of VET. Many countries still have a long way to go. In Latvia, for example, an apprenticeship system exists only on a very limited scale in the traditional crafts sector. It is possible to gain qualifications in a certain craft, but they do not count as qualifications for other professions nor do they grant any access to continuation in the education system.²²⁷ Indeed, generally speaking the introduction of apprenticeship regimes has experienced difficulties within many of the new Member States, and as we noted in chapter 5 the proportion of upper secondary students enrolled in VET fell in the period from 2000 to 2004 in all countries in this cluster except Hungary and Romania.

In contrast to these countries, in those Member States where apprenticeships already exist, the predominant trend is for governments to be taking steps to develop them further and to ensure they are part of flexible systems. Whereas previously they might have been seen as being the preserve of upper secondary level and as serving the need for direct labour market entry – and therefore as somewhat separate from school-based VET tracks – they are now being more closely integrated into education and training systems. It is informative for example that even in a country such as Germany, where apprenticeships are highly valued, there have traditionally been few routes from apprenticeships into tertiary education, and even those that are available are little used (for example, the transition numbers from apprenticeships into specialised upper secondary provision, which provides a route into tertiary education, are small). Whilst universities of applied science (*Fachhochschulen*), as we have seen above, could be accessed from school-based VET routes, access from the dual system was more

²²⁶ Prior to this, the *Lärande i arbete* scheme had been piloted involving municipalities which, whilst not involving an employment contract and the payment of wages, did involve an agreement between pupil, school, and workplace.

²²⁷ European Training Village – Thematic Overviews – Latvia. Retrieved March 29, 2007 from http://www.trainingvillage.gr/etv/Information_resources/NationalVet/Thematic/criteria_reply.asp

difficult; only in some Federal States had tertiary level professional academies (*Berufsakademien*) been developed from out of the dual system (and taking the form of public-private partnerships) to effectively offer tertiary level apprenticeships which could give access to qualifications such as post-graduate diplomas at universities. A number of developments are now in train to increase the flexibility of apprenticeship routes, as shown below.

Looking across Europe as a whole, important features of recent developments to open up apprenticeships routes are: the development of routes to other levels and types of provision; and the introduction of apprenticeships outside the upper secondary tier. The boxes below provide illustrations of the types of developments taking place.

Illustrative examples of the development of apprenticeship routes to other levels and types of provision

The Austrian government is currently thinking of granting apprenticeship students immediate access to tertiary academic education by offering them a double qualification in which company-based vocational education is combined with general education through the modularisation of learning targets. Students would receive the VET qualification they currently receive and the upper secondary leaving certificate (*Reifeprüfung*). This would make the *Berufsreifeprüfung* that we described above unnecessary for these students.

In Germany, under the 2005 Vocational Training Reform Act, various measures are helping to remove the obstacles between school-based and dual system VET. For example, people exiting school-based VET can take examinations organised by chambers of commerce which means that they can gain a skilled worker certificate equal to that of graduates of the dual system, although they must also have obtained practical workplace-based experience and passed their school subject examinations.

Also in Germany, dual system graduates may upgrade their qualifications to master craftsman (*Meister*) or technician level. Some Federal States already accept them – in combination with a certain amount of practical experience - as substitutes for the general university entrance examination. However, recent country-wide reforms have added an intermediate skill level and a 'Meister-plus' level to the traditional structure which uses a modular approach to ensure that achievement of the intermediate level counts towards the final Meister grade, a stepping stone approach to encourage progression.

In Switzerland, apprenticeship students can choose to pass the professional baccalaureate exam by following a 1 year full-time school course after their apprenticeship or by following courses besides their apprenticeship. Subsequently, professional baccalaureate students are eligible to enter tertiary VET (*Fachhochschulen*) but they need to follow an additional year of extra “general-oriented” courses before they are eligible to access general university provision.

Illustrative examples of the introduction of apprenticeships outside the upper secondary tier

- In Switzerland a new law in 2004 introduced a new 2-year low level apprenticeship (3C) through which students are able to move to an apprenticeship at 3A or 3B level where part of their apprenticeship can be transferred through credit exemptions.
- In Ireland, over the last 5-6 years, apprenticeships (ISCED Level 4) have been considerably expanded, particularly in areas such as construction. The provision of HETAC Level 7 awards (awarded by higher education institutions, corresponding to ISCED Level 4) have also expanded in IT.
- In 2003, Italy introduced a new type of apprenticeship which, since 2005, has been further developed. The apprenticeship is a “training” contract designed to achieve a qualification through training in both training centres and on the job. The innovative aspect is that the training process is aimed at achieving a higher level qualification through cooperation with universities and companies. This represents an important change as traditionally Italian apprenticeships were regarded as a route into employment at lower levels.
- In Poland, some sectors are responding to increasing demand by developing apprenticeships for graduates of technical schools and offering equipment for workshops at vocational secondary construction schools.

One of the most important factors that is currently hampering the development of apprenticeships is the lack of response from employers, especially in countries without a strong tradition of apprenticeships, such as the Mediterranean countries and the New Member States. A lack of interest from employers not only constrains the number of places available but can also have a negative effect on the quality of practical training provided. To address these issues, governments have adopted a range of solutions. In Norway, for example, an information campaign, *Start with an Apprentice*, was implemented. The campaign highlighted the benefits for employers stemming from the recruitment of new employees. One of the objectives of the campaign was the possibility for the training establishments to be in contact with VET-related offices in counties. The campaign resulted in an increase of apprentices (after the initial decrease) within upper secondary VET: the number in October 2005 was 31,300, which represented an increase of 2,300 (7.3%) compared to 2004. In Poland between 2002 and 2004 a package of measures was implemented which in almost all regions has led to increases in the numbers of students on practical training or placements. Measures include:

- creating networks of enterprises where pupils can receive practical training (leading to an increase from 6,300 to 21,100 from 2003/04 to 2004/05)
- establishing with employers and sector bodies standards for placements in individual occupations
- participation of employers in additional non-formal activities in the final years of post-gymnasium schools offering vocational training in order to increase employability
- further training for teaching staff by employers.

6.5 Post-secondary non-tertiary provision

Most education and training systems do not contain post-secondary non-tertiary (PSNT) provision as an essential structural component in IVET in the sense that it is required for entry to further levels (notable exceptions being Greece, and the Netherlands). However, some countries have developed PSNT provision which is designed as an option both for labour market entry and for progression, with some offering flexible 'stepping stones' which accredit progress at suitable points. It is also (increasingly) an important part of CVT for many sectors of industry. As we noted in chapter 4 on recent labour market developments, there is an increasing demand in the labour market both for courses that add to or update knowledge or develop a specialisation (perhaps around a particular proprietary product, equipment or business process) and for courses that are more advanced than those at upper secondary level but which do not have the same breadth or theoretical content as tertiary level provision. In response to these developments PSNT programmes are an increasing part of VET systems (both IVET and CVT), offering alternatives to more traditional pathways.

Broadly, the function of the PSNT provision that we cover in this section is – depending on the context – to enable students to obtain further vocational qualifications which may also open up progression to higher levels (in contrast to many of the bridge courses discussed above which lead to the general school leaving certificate²²⁸); to facilitate specialisation by those already on vocational tracks (or for adults where it is a component of CVT); and finally as a route into the labour market or into tertiary level VET studies for general upper secondary graduates who do not or cannot progress further in the general education system.

Overall, PSNT provision appears to be seen as a solution to current labour market demands in countries with less well developed VET systems, and therefore as having a 'gap filling' function, perhaps where vocational routes through systems are poor and/or where vocational tertiary provision comes to be seen as deficient. PSNT provision can provide a comparatively simple solution which avoids what can be the difficult issue of dealing with the views of traditional universities resistant to increased vocational content. That said, as we shall see below, there are examples where PSNT provision has been absorbed into tertiary infrastructures once it has proved its merit.

Given these factors, and also the fact that upper secondary courses vary in length and difficulty, it is perhaps not surprising that PSNT varies greatly in both form and function between countries. An important corollary of this is that, notwithstanding the UNESCO definition, countries in practice use the term in different ways depending on the structure of their systems: what one country may deem to be ISCED 3, another classifies as ISCED 4; or what one country classifies as ISCED 4 another categorises as a short tertiary programme. This makes comparative analysis especially difficult. But, more importantly this is not just some abstract matter of classification: an important issue faced by many countries is whether the more advanced VET provision that is being developed is regarded as being advanced enough to sit within tertiary provision. National Qualifications Frameworks offer the potential to help to sort out such difficulties within Member States and the EQF offers the prospect once

²²⁸ There is an argument that the 'bridge courses' we have discussed above could be classed as PSNT if we employ the UNESCO definition, but in this section we deal with types of provision other than those designed to enable upper secondary vocational students to 'catch-up' with their general education counterparts.

fully implemented to be able to map properly the scale and scope of PSNT provision and its development across Europe.

6.5.1 PSNT programmes as a requirement for progression

As we have already noted, PSNT is – in a limited number of countries – a necessary step for VET students wishing to progress into study at tertiary level. But the extent to which it is used for these purposes is variable. In Greece, for example, upper secondary VET graduates are eligible to take the entrance exam for tertiary level vocational studies in Technical Education Institutes (TEI) but if they wish to access universities (AEI) must first pass through Institutes of Vocational Training (IEK) at PSNT level. However, the latter is a very uncommon route, with most IEK graduates entering the labour market instead²²⁹. Perhaps more informative for our purposes are the experiences of the Netherlands and Ireland, which are worth examining in more detail.

In the Netherlands regional education centres (ROC's) offer vocational education (MBO) across the upper secondary/PSNT spectrum - level 1 and 2 programmes at upper secondary level (ISCED 3C) and level 3 and 4 (specialist training) at PSNT level (ISCED 4). Students need to pass level 4 (in some exceptions level 3) before they can continue to tertiary vocational education (entry to tertiary academic education is not possible via this route). Until very recently PSNT provision was promoted by the Dutch government mainly as a direct entry route into work²³⁰, but now, in an attempt to increase the through-flow to higher levels, it is being promoted as a route into tertiary vocational education.²³¹ Linked to this re-focus, a re-design has taken place of the professional profiles with respect to what competences upper secondary and PSNT VET students should acquire. In the re-design equal importance has been given to preparing students for direct entry into work, for good civil life (*burgerschap*) and for further progress into education. In addition, more emphasis has been placed on competence-based education through the inclusion of more project work. Progress to tertiary levels for PSNT students is made easier through the inclusion of several tertiary VET elements within special PSNT vocational transfer courses (MBO) which exempt students from certain tertiary VET classes.

Dutch statistical data show that the intermediate step of offering post-secondary non-tertiary vocational students provides an effective stepping stone from progression into tertiary education. Statistical data show that a considerable majority (82% in 2000) of secondary VET graduates (VMBO) flow into post-secondary non-tertiary VET education (MBO). Then, subsequently also a considerable majority (63% in 2005) of post-secondary non-tertiary VET students decide to progress further into tertiary VET (HBO). The latter percentage increased considerably in the period 2001-2005 from 52% in 2001 to 63% in 2005. As a result, the number of students following tertiary VET (HBO) with a PSNT VET qualification increased from 24% in 2001 to 27% in 2005²³². A minority of tertiary VET graduates flow further into

²²⁹ Haug G. and Tauch C. (2001) *Trends in Learning Structures in Higher Education (II)* Follow-up Report prepared for the Salamanca and Prague Conferences of March / May 2001

²³⁰ Moens, M.B., 2005, *Heeft Nederland wel zo weinig hoogopgeleiden? Associate degree vult gaten in het onderwijssysteem*, Centraal Bureau voor de Statistiek

²³¹ *Doorstroom MBO-HBO (2/4)*, Landelijke studentenvakbond. Retrieved June 2007: <http://www.lsvb.nl/artikel/doorstroom/2>

²³² Onderzoeksverslag duurzaamheid en versterking doorstroom mbo-hbo, potons tussen twee bewegende oevers, September 2006, LICA

tertiary academic education (17% in 2001). This percentage also shows an increase in the period 1997-2001 from 10% to 17%²³³. It is estimated that 1 out of every 5 lower secondary VET graduate (VMBO) moves into tertiary VET (HBO) and 1 out of 10 lower secondary VET graduates achieves a tertiary VET diploma (HBO)²³⁴.

Turning now to Ireland, arrangements there require upper secondary graduates with a Leaving Certificate Applied (LCA) to follow Post-Leaving Certificate Courses (PLCs) leading to a FETAC award at level 5 or level 6 of the Irish National Qualifications Framework in order to access tertiary education. PLCs were set up in 1985 with the aim to bridge school and work and to offer a “step-up” towards skilled employment. They last one or two years and 50% of the time is spent on employment-related knowledge and skills training while a further 25% is spent on relevant work-based experience. After their post-secondary non-tertiary studies, graduates are eligible to enter any type of tertiary education²³⁵. The problem for students who achieve FETAC level 6 is that while these awards have much in common with Higher National Certificates or Higher National Diplomas and some qualifications awarded by professional bodies, they do not lead to transfer – unlike these other courses - into the second or third year. There are few links established between FETAC level 6 awards and university sector courses, and where there are links, people with FETAC level 6 awards are sometimes not treated much differently to those with level 5 awards.

6.5.2 PSNT provision as a tool for further vocational competence development

In this section we examine PSNT provision that enables the development of further vocational skills and knowledge. It should be noted that much of this provision also enables students to progress to further study, but we distinguish it from the provision covered in the preceding section which is essential for progression. It should also be noted that in this role PSNT also plays a part in CVT.

The emergence of this type of provision has been an important trend since the mid 1990s, as the examples in the box below indicate. Worthy of more detailed examination is the development of provision in the contrasting contexts of Sweden and Italy.

²³³ Ramaekers, G., June 2002, Een opleiding in het HBO is niet altijd eindonderwijs, in Monitor, edition 20 nr 2.

²³⁴ Onderzoeksverslag duurzaamheid en versterking doorstroom mbo-hbo, potons tussen twee bewegende oevers, September 2006, LICA

²³⁵ Special schemes are also available that offer the opportunity to enter tertiary level Institutes of Technology.

Illustrative examples of PSNT programmes

- In Cyprus, there are currently plans to create vocational schools of lifelong learning which will offer all types of initial or continuing technical and vocational education and training. Classes can be attended by graduates of upper secondary general education schools (*eniaio lykeio*), of technical and vocational schools (*technikes kay epaggelmatikes scholes*), of apprenticeship schemes (*systime mathiteias*) and by persons working in various sectors. The programmes will last one to four semesters, leading to a final examination in order to obtain formal certification, which will be awarded by a public intersectional body, constituted by representatives of the Ministry of Education and Culture, Human Resources Development Authority and social partners.
- In Norway, PSNT provision at *Teknisk Fagskole* is available for those who wish to obtain a higher level technical or civil service related qualification after upper secondary level. Courses of varying duration are available from six months to two years. It is open to both general and vocational upper secondary graduates, including those who have completed apprenticeship programmes. Access to all types of tertiary provision is possible after successful completion of a course at a *Teknisk Fagskole*.
- In Portugal, post-secondary non-tertiary education (*Cursos de Especialização Tecnológica – CET*) has been recently established and aims to provide upper secondary graduates with a vocational qualification and offers further “expertise” within the same subject. After graduation, CET graduates are eligible to access tertiary education and do not need to pass the entrance exam, as long as they have a period of “proven work experience” following completion of the training.
- In Slovenia, the first vocational colleges at post-secondary non-tertiary education were set up in 1996/1997. The programmes are very practical-oriented and work-related and last approximately two years. The qualification enables students to start work in specific occupations and opens since 1998/1999 a pathway to the second year of professionally oriented higher education programmes.

In the Swedish case, the first steps towards introducing PSNT education were taken with a pilot project in 1996-2001 after it was identified that there had been too little emphasis on VET within the system and skills gaps were discernable in a number of sectors²³⁶. It became evident that a new form of education was required to follow more closely the demand of the labour market by combining both theoretical knowledge and workplace training. The results of the pilot project were favourable and in 2002 the Swedish Agency of Advanced Vocational Education (Myndigheten för kvalificerad yrkesutbildning) was formed. Over one third of the time is spent in the advanced application of theoretical knowledge at a workplace. This does not entail an apprenticeship, but involves active

²³⁶ Myndigheten för kvalificerad yrkesutbildning, 2007

workplace learning and problem-solving in an educational context²³⁷. The courses are most often developed in close cooperation with multiple stakeholders (employers, higher education institutes, upper secondary schools and adult education providers, etc.) Instructors and teachers consist of a mixture of professional teachers and people with direct, professional experience in certain subject areas. Overall, employers have supported the development and implementation of AVE and it has also been popular among students²³⁸. Around four out of five AVE graduates find employment after course completion. Today, over 20,000 students are enrolled in several hundred AVE programmes, of which most last two years (although courses of one or three years are also offered). Any education provider (private and public education providers and agencies and social partners) can apply at the Agency for Advanced Vocational Education to get acknowledgement to offer advanced vocational training.

It is interesting to note that not many universities have applied to offer AVE yet which perhaps reflects the strength of their academic orientation. At the same time, AVE provision can be combined with other tertiary curricula by universities in order to form three year degree level courses, which represents an upgrading process. Indeed, it is difficult to place AVE on the ISCED scale since it spans levels 4 and 5 and an important difficulty is that while AVE does lead to better prospects in the labour market, it does not lead to progression within the education system since AVE qualifications per se are not yet formally recognized by tertiary education institutes. The Ministry of Education and social partners are keen to solve this issue to ensure that AVE graduates can progress smoothly into tertiary education without the need to re-take subjects.

Moving on to the Italian example, PSNT education was first introduced in 1999 through the setting up of Higher Technical Education and Training (IFTTS). These post-secondary non-tertiary courses provide young people and adults (employed or otherwise) in-depth and targeted technical and vocational training and last normally two years and are aimed at those holders of a school leaving certificate who want to access a type of higher education other than the traditional, academic one provided by universities, but of a comparable quality standard. IFTTS is managed both at national and regional level. The IFTTS courses are designed and managed by secondary schools, vocational training centres, universities and companies or other private or public bodies. This is done through the set up of different formal agreements, including consortium agreements. The Regions award an advanced technical specialisation certificate (Attestato/Certificato di Competenza) (level ISCED 4) for those who pass the tests after the course, which is valid throughout Italy. The final certificate gives a detailed list of the skills acquired by the end of the course. Those who do not pass the tests are given the 'Intermediate Declaration' for the course followed, which indicates the skills the student has acquired and mentions any training credits obtained. The IFTTS curricula are organised in Competence Units (UC – unità competenze) which are sets of competence, which are certifiable and can be used as training credits for transfer to other pathways (other IFTTS schools, vocational training courses or university studies). These are recognised by specific agreements between the various training bodies which co-operate in the IFTTS pathways. On the basis of conversion mechanisms already successfully used in some locations, these credits are comparable with the quantitative system of ECTS credits used in Italian Universities.

²³⁷ Country fiche Sweden; Discussion note on new and emerging models in vocational education and training and higher education, Irish Presidency Conference (2004); Swedish Agency for AVE, retrieved 2006: www.ky.se

²³⁸ The Swedish Ministry of Education, 2007

6.5.3 The use of credit transfers and exemptions

An important issue for the development of PSNT provision is – as we have already indicated in the case of the Swedish example - the extent to which programmes are recognised within existing systems, and more specifically the deployment of credit transfers and exemptions. This can be especially important for its potential attractiveness as an option for adults engaged in CVT.

Credit transfer refers to the process of acceptance by one institution of earned credit, from another institution, as applicable towards its degree requirements. These credit transfers can either be internationally, nationally or regionally²³⁹ approved or can consist of credit transfer agreements between two or more specific education institutes. These credit transfers/exemptions are primarily negotiated and decided on an individual basis. The extent to which credit transfer and exemptions can be negotiated depends on whether the tertiary student has received a full post-secondary non-tertiary qualification or wants to switch half-way and whether they want to progress into a similar/related study subject or enter a new study/subject.

Related concepts are external validation and the articulation of courses²⁴⁰. Many educational institutes are creating systems that allow institutions to evaluate one another's credit (external validation) to help students transfer credits between their institutes. Articulation agreements lead to a more formal arrangement (instead of only for an individual student) and are set up by two institutions after having compared their respective course curricula and determined which courses are comparable and which are not. Their consensus is then formalized in a written agreement which is then used by students and advisors and is updated according to a mutual schedule.

Whether or not credit transfers are easily arranged from post-secondary non-tertiary to tertiary education depends on different factors. First, it heavily depends on how strong qualifications within a country are embedded- if at all- in a qualification framework (see qualification framework section). Secondly, it also depends on whether credit transfers are subject to agreement on a national level, regional, locally or between institutions themselves (see section on flexibilities within tertiary education). In most EU-countries the latter option seems to be the most prevalent. It is generally left to the discretion of the tertiary institutes whether or not they accept post-secondary non-tertiary credits. Thirdly, the fact that general and vocational education are often very different in set up and curricula complicates credit transfer from post-secondary non-tertiary VET to academic tertiary education. However, post-secondary non-tertiary and tertiary VET are already much more comparable to each other and therefore possibly also easier to link through credit transfers. Then, another factor complicating credit transfer is the fact that institutionalisation, as discussed in the section on barriers, often causes a lack of communication and discrepancy in expectations. Post-secondary non-tertiary institutes are often unaware of expectations at tertiary level and thus unable to prepare their students to progress. Tertiary institutes (both tertiary VET and academic) - in return - are often reluctant to issue credits for courses not taught at their own institute as they are not aware of exact content. In the case where post-secondary non-tertiary and tertiary education are offered within the same institute – often

²³⁹ In the EU, credit transfers are –if they exist- mostly arranged either nationally. In the United States, credit transfers – if they exist- are mostly arranged by state (regionally).

²⁴⁰ In the USA these agreements are also referred to as career ladder arrangements.

the case with post-secondary non-tertiary and tertiary VET- credit transfer and exemptions are much easier to arrange.

Our findings on the prevalence of credit transfer of post-secondary non-tertiary to tertiary education are limited as not much has been written on this subject nor did many of our interviewees and survey respondents offer valuable information. This shows how little credit transfer from post-secondary non-tertiary to tertiary education is discussed. It is not common practice yet among EU-countries and when it is practiced it is mostly up to the discretion of the tertiary institutes whether they want to issue a credit transfer or not. In addition, we noticed that when “exemption rules” have been set up they seem to be most often applicable for post-secondary non-tertiary VET students entering tertiary education, but not for tertiary students wanting to enter post-secondary non-tertiary education. They most often need to start in year one again. We will notice in the section on credit transfer at tertiary level later on that the issue of credit transfer is much more thoroughly discussed at tertiary level where also many more agreements and measures to transfer credits have been set up. However the development of the European Credit system for VET (or ECVET) offers the prospect of filling this gap.

In Spain and Portugal, transfer of post-secondary non-tertiary students to tertiary education is stimulated through the fact that they receive an exemption from entrance exams for tertiary level education (if they exist). Post-secondary non-tertiary graduates (CET in Portugal and Advanced VT in Spain) do not need to pass the otherwise required university entrance exam (PAU in Spain). In Portugal, this rule is only applicable as long as they have a period of “proven work experience” following completion of the post-secondary non-tertiary training. Unfortunately, in both countries credit transfers are not well established yet. In Spain, this issue is currently debated as Spanish statistical data show that a considerable minority of post-secondary non-tertiary VET graduates (25%) progress into tertiary academic education (2001/2002).

Examples of EU-countries where credit transfers are offered are Latvia, Slovenia and Ireland. In Latvia, graduates of college-type education receive post-secondary non-tertiary level 4 vocational qualification after a two to three year study programme. These vocational colleges have agreements with university-type establishments that their best graduates may enter the 2nd or 3rd year of university programmes directly (Latvian National Observatory report, 2000). In Slovenia and Ireland, post-secondary non-tertiary graduates can sometimes flow into the second year (same subject-field) of tertiary vocational institutes.

An interesting example of simplified credit transfer can be found in the USA. In several US States, a common subject numbering system has been introduced across institutions. In practice, this implies that separate institutions use the same numbering for courses which contain the same content. Students can then easily transfer their credits for a particular course to another institute where they want to enter a study with the same number. For example, in Florida, all public institutions in the state are required to participate in this system since 1975 and a number of private colleges do as well (Hughers, Mechur Karp, 2006). In Texas, the introduced common core curriculum is supported and simplified with the use of the common subject numbering system.

6.5.4 PSNT as a route to the labour market or progression for general upper secondary education graduates

General upper secondary routes have, as we have noted, been developed with progression to university in mind, and this remains the preferred option for the majority. However, in cases where progression is not the chosen option or is not possible, PSNT courses provide an opportunity for general upper secondary graduates to obtain a vocational qualification before entering the labour market or indeed in order to progress into vocational tertiary provision, which can in some circumstances be more difficult than moving from vocational into general tracks.

PSNT courses for these purposes fit the UNESCO definition well: they are not necessarily more advanced than upper secondary courses since general students have often studied subjects that are more theoretically complicated and are of longer duration, but they take place after the upper secondary phase. Indeed this is reinforced by the fact that in some countries the 'missing ingredient' for progression into higher level VET is not further vocational study but on-the-job experience; in Switzerland, for example, holders of the general *matura* certificate need to acquire one year's work experience in the relevant subject field before they can progress into tertiary VET in a *Fachhochschule*.

PSNT courses can be used as an alternative means of progression where general education students fail to pass university entrance exams. In Estonia, for example, around a quarter of upper secondary general students in 2003 chose to proceed to PSNT education and many re-sat university entrance exams in the subsequent year, which might explain the 21% drop out rate in the first year. In Poland, some upper secondary lyceum graduates who hold a double qualification choose to attend PSNT education in order to avoid the difficult entrance requirements of Polish universities and/or because there is strong competition for university places.

Both the Czech Republic and Slovakia offer good examples of how PSNT courses can be used to facilitate labour market entry for general upper secondary graduates. Under the 2005 New School Act in the Czech Republic gymnasias graduates – and also technical graduates – can take short PSNT courses. Two options are now possible: a route to a 'second maturita' which allows students to change their field of study; and 12-18 month courses offered by vocational schools that lead to vocational certificates (below *maturita* level) which offer students a quick way to acquire certificated practical skills. In Slovakia four options are available post-*maturita*: two types of six month course which enable students either to develop or to update their competence; an option of at least 12 months leading to the *absolutorium* examination aimed at improving competence connected to an earlier study field; and finally another option of at least 12 months which leads to a *maturita* in a new study field and providing an additional vocational specialism.

6.6 Developments in tertiary VET

In the previous sections we examined the flexibilities that exist within upper secondary education and the opportunities for upper secondary graduates to proceed with their education after upper secondary level. In this section, we will examine what flexibilities exist and are being developed within the tertiary education level (broadly ISCED levels 5 and 6) to help students move from one type of tertiary education to another. Such moves can involve a shift within the same institute from vocational to general education, and vice versa, or a shift from one type of institute to another, depending on the nature of the underlying education and training system.

At the outset, due regard needs to be paid to the Bologna process which has had – and continues to have – a significant impact on the higher education sector in Europe. Indeed such is the importance of Bologna within HE that a 2006 EU report was able to state that “the Bologna process rather than the Lisbon strategy, tends to be at the foreground of national policy development in this sector”.²⁴¹ Adopted in 1999²⁴², and since developed, the Bologna Declaration established a process for enhanced European co-operation in higher education in which signatories²⁴³ committed themselves to reform their HE systems with the aim of creating overall convergence at European level in order to establish by 2010 a European space for HE which would enhance the employability and mobility of citizens and increase the international competitiveness of HE itself. Its three priorities are: the introduction of a common framework of comparable degrees based on three cycles, i.e. bachelor (lasting at least three years and relevant to the labour market), master and doctorate; quality assurance; and recognition of qualifications and study periods. We have already discussed the central importance of qualifications frameworks and qualifications recognition through credit transfer to the opening up of pathways between VET and general education. As we show in the sections below the adoption of the common bachelor/master/doctorate structure is also having an impact on developments in VET at tertiary level.

In comparison to bodies involved in the provision of upper secondary and PSNT level education and training, tertiary institutes have much greater autonomy: the former are normally part of state education and training infrastructures and hence are subject to the laws and policies which govern and structure them, and are also often shaped by high social partner involvement; tertiary institutes in contrast do not operate within the same legislative regimes and have much greater scope to have their own curricula and to develop their own flexibilities and pathways.

Within the tertiary level itself there are also important differences germane to the pathways issue. Historically vocational and academic tertiary institutes tended to have been established as separate institutions subject to different institutional regimes and different drivers. Whilst VET establishments naturally have a strong labour market focus, universities have an academic tradition with a focus on

²⁴¹ Modernising Education and Training: A Vital Contribution to Prosperity and Social Cohesion in Europe, 2006 Joint Interim Report of the Council and of the Commission on Progress Under the “Education and Training 2010” Work Programme, section 2.1.3

²⁴² See The Bologna Declaration on the European space for higher education: an explanation, 29 February 2000 <http://ec.europa.eu/education/policies/educ/bologna/bologna.pdf>

²⁴³ There were 29 signatory countries at that point, both within and outside the EU. Since then nations have continued to join the process, including those outside the EU in Eastern Europe and the Caucasus. The number of signatories now stands at 45.

research. At best the separation of VET and general education into different establishments increased transactions costs, and at worst it meant there was little or no effective communication between them. As a consequence, individuals within each of the institutes often did not know what the students in the other institute were learning. The effect of this was, for example, to complicate credit transfer as it made the separate institutes reluctant to issue credits for courses not taken in their institute. Hence when students gained access to another institute to for example continue after their VET bachelor with an academic study (bachelor and/or master), they often did not easily get exemptions for certain subjects that they have already followed. As a consequence, many tertiary VET graduates were forced to start in year 1 at university, while they were perhaps better suited to flow into year 2 or 3.

In the next sections we will explore what developments have taken place to overcome this “inflexibility”. In the first sections we will explore the effect of the trend of de-institutionalisation and the development of short VET courses at tertiary level. In the last section we will explore how policy makers and education providers in different countries have tried to solve this problem in different ways. Some have opted for minimal change and the introduction of minimal rules. This mostly took shape in the implementation of individual credit transfer arrangements or the set up of bridge programmes. These policies typically try to overcome “institutionalisation” by building “bridges” and “linkages” between the separate institutes (or programmes), without rigorously affecting the organisational structure of the institutes involved. Other policy makers have opted for more cooperation, in a mild or more intense form. Examples of this are the set up of combined programmes or co-location.

6.6.1 De-institutionalisation

As we have seen in the section at the start of this chapter on barriers one of the most prevalent barriers reducing flexibility and obstructing pathways from vocational education and general education particularly at tertiary level is the phenomenon of institutionalisation. In most EU countries and outside, vocational-oriented and general-oriented (academic) schools and institutes were historically established as separate institutions with their own identity, administration, culture and degree types, causing a paucity of cooperation and a low interest in the creation of pathways. However, today boundaries are increasingly becoming blurred between all types of institutes and the type of education they offer. Their “working area” is increasingly overlapping. Many academics speak of “vocationalism” of higher education and “academisation” in higher vocational education, also sometimes referred to as vocational and academic drifts.

Across the EU, it can be noticed that higher education institutes are increasingly entering the work space of VET institutes through the development of more VET oriented programmes, either on post-secondary non-tertiary level, tertiary level (mostly shorter in duration than a regular academic programme, see more in the section below on short tertiary VET) or in continuing education. Most higher education institutes are re-shifting their focus to VET to ensure the “employability” of their students. As Dunkel, Mouillour and Teichler²⁴⁴ state: “Since not every university graduate becomes a scientist but rather performs a normal job in economy and industry there is a need for increased

²⁴⁴ Dunkel T., Mouillour I. and Teichler U. (2006). *Vocational education and training and higher education*, final report (revised version). Kassel, Germany

vocational activity and application-oriented scientifically based activity in higher education regarding future professional skills and employability."

Universities follow different strategies to include more VET in their education. One option they sometimes choose to follow is to include more vocational-oriented content in their existing academic study programmes. This can take shape through the implementation of dual curricula, the inclusion of more school-based VET, the participation of professionals as lecturers or project-based learning activities. Another option is the creation of vocational degrees- often separate from the existing academic degrees and programmes and often shorter in duration.

Vocational institutes also seem to be increasingly entering the work space of higher education institutes. As Dunkel, Mouillour and Teichler²⁴⁵ state: "Universities no longer have the monopoly over the provision of tertiary education". Tertiary VET institutes are increasingly entering the work-field of universities by offering vocationally-oriented degrees within the bachelor/master structure, originally reserved for tertiary academic studies. These degrees – often referred to as professional BA degrees or bachelors of applied science - offer in many countries a new and strong alternative to traditional university degrees and can be offered by either universities and/or vocational institutes.

6.6.2 Towards a common bachelor/master structure

Linked to the previous debate on de-institutionalisation is the issue of adopting a common terminology and structure at tertiary level, namely that of the bachelor and master structure. In our interviews, we noticed that many interviewees use the terms "vocational and professional bachelor" and "vocational and professional masters", although the latter is, perhaps not surprisingly, used to a lesser degree. This clearly reflects the trend, driven to a significant extent by the Bologna process, for both academic and vocational education to be reorganised into the common dual or triple cycle.

In some countries, this trend pre-dates Bologna, but in many others it is more recent. For example, in the UK, universities and polytechnics were merged in the 1990s leading to a mixture of academic and vocational programmes at bachelor/master level. In France, the vocational bachelor was introduced in 1999 and can be offered by universities, IUTs and secondary institutes (in cooperation with institutes)²⁴⁶. In the Netherlands, since 2002, all tertiary VET programmes (HBO) have been re-named into HBO-bachelor and master programmes. Also the university programmes (WO) have been renamed into bachelor and master programmes.

Parity of esteem is promoted by using the bachelor/master structure in both tertiary academic and vocational education. However, this idea has not been without opposition. Dunkel, Mouillour and Teichler mention that some fear that it will "downgrade" academic education while others fear that it will undermine the importance of vocational qualifications as competence indicators. In Poland, the replacement of the standard five year masters with a two cycle bachelor/master structure has not been fully appreciated by employers who treat the bachelors as equivalent only to a post-secondary school qualification; universities for their part tend to regard the two cycle structure as an artificial construct for general students.

²⁴⁵ Ibid.

²⁴⁶ Giret, J., 2006, *Vocational training in higher education and labour market outcomes, evidence from the "new vocational bachelor"*, powerpoint presentation for the ELM conference 19-21 October 2006 Maastricht, Céreq

In Germany opposing parties (like the German Rector's conference - Hochschulrektorenkonferenz or HRK - and German Employers' Association- Bundesvereinigung der Deutschen Arbeitgeberverbände or BDA) are concerned that the current plans of the German government to introduce the professional bachelor will lead to confusion, lack of transparency and interchangeability and in the future will lead to a lack of acceptance for the Bachelor's degree as a whole. According to the BDA: "Companies will find it absolutely impossible to understand the system. A Bachelor Professional does not raise the value of vocational training but rather ensures that the "bachelor" no longer means anything." In Germany, opponents of the re-naming fear that it will provide a pretence of comparability and equivalence that does not exist and that fails to reflect the particular value of vocational training²⁴⁷.

National Qualifications Frameworks constructed along the lines advocated in the EQF clearly have the potential to address this problem. They offer the opportunity for greater clarity regarding the content of programmes and their place within the overall structure.

6.6.3 The use of special access mechanisms to enable entry to tertiary education

6.6.3.1 *Special access schemes*

One method of opening up access to the tertiary level for VET students is for individual tertiary institutes (mostly universities) to offer courses that prepare students for entry into a specific study field. In for example the UK, Ireland and Sweden, some tertiary education institutes offer to students who do not have sufficient entry qualifications "access" or "preparation" courses to enter a particular programme.

Whilst many such schemes are operated autonomously by individual tertiary institutes, they can be developed as part of geographically focused regeneration programmes or nationally by Member States. For example, following the riots in the Parisien *banlieue* of Clichy-sous-Bois in 2005 the local lycee signed an agreement with Sciences-Po university to help its pupils bypass the entrance examination (although by 2007 only three people had been enrolled by this method)²⁴⁸.

In terms of national schemes, several EU governments (for example Ireland, Estonia and Turkey) have put in place special schemes to reserve a certain number of places at tertiary level for either upper secondary or post-secondary non-tertiary VET graduates. These schemes are developed to offer upper secondary VET qualification holders an alternative route to higher education, other than the regular "channels" and to promote progression to higher education through upper secondary vocational education.

For example, in Ireland, the Higher Education Links Scheme (HELS) enables holders of a national vocational certificate (level 2) to progress to designated third-level certificates and diplomas within tertiary VET (Institutes of technology). The inception of this scheme took place almost a decade ago and since then the scheme has expanded and broadened. About 2000 places are allocated over 250 courses annually on the basis of students NCVA level 2 results. In 2005, an additional pilot scheme was introduced which offers progression routes from any FETAC (NCVA) level 5 and 6 award to honours degree (level 8) (with the exception of nursing degree courses). This scheme is mostly implemented by

²⁴⁷ HRK German Rectors' Conference, the voice of the universities, 2007, *HRK and BDA warn: the "bachelor professional" is counterproductive to transparency and interchangeability!*, retrieved 2007: www.hrk.de/95_1980.php

²⁴⁸ 'France's Suburbs - Two years on', *The Economist*, 10th November 2007, pp46-8

Institutes of Technology and some universities. In 2006, a number of universities offered progression through this scheme to a wide variety of level 6 Higher Certificate, Level 7 Ordinary Degree and Level 8 Honours Degree programme. In 2006, this pilot was followed up by the mainstream pilot scheme for access to higher education. This scheme encompasses *all* FETAC 5 level programmes and its main aim is to open a standard route to higher education.

In Turkey, since 2001 (Law 4702), no less than 10% of post-secondary non-tertiary VET graduates who entered without undertaking an entrance exam can proceed to higher education without further taking part in an entrance exam. This initiative has been introduced to promote post-secondary non-tertiary VET graduates to progress to higher education.

In Estonia, plans have been developed to help upper secondary VET graduates to proceed to higher education. The Estonian Higher Education Strategy for 2006-2015 states that special student places will be created in the first stage of higher education (preferably professional higher education) financed from the state budget with at least 10% of places allocated to upper secondary VET graduates.

6.6.3.2 *The use of examinations as access tools*

Entrance examinations can also be used to help the under-qualified access HE, either at individual institutional level or on a system-wide basis. In the Netherlands students under the age of 21 without (upper) secondary qualifications can undergo a four day entrance exam to progress to tertiary VET. This entrance exam consists of several parts mostly including a capacity test, a subject-related test and a test to show experience in the subject matter through for example the creation of a portfolio. To date, the tertiary VET institutes “Hogeschool Windersheim” and “Fontys” have implemented this admission procedure. Work experience is also included in the assessment in other countries, e.g. Germany. In Spain and Portugal, any adult (aged over 25 and sometimes over 21) can take part in the entrance examination to enter tertiary academic education without the need for any qualifications.

The advantage of such schemes is that they are clearly beneficial in opening up access for people from more disadvantaged communities who may have failed to achieve requisite qualifications for reasons beyond their control. At the same time, many students who gain access through such routes are likely to require higher levels of guidance and pastoral support for the schemes to be a success, as discussed further in chapter 7.

6.6.4 *The development of short tertiary VET programmes*

In the first section on de-institutionalisation we noted that universities are increasingly entering the working field of vocational education while simultaneously tertiary vocational institutes are increasingly offering tertiary education. Both of these developments particularly come together in the development of short tertiary vocational courses (and post-secondary non-tertiary courses as discussed above).

Short cycle programmes at tertiary level (and post-secondary level) have a long tradition outside Europe, especially in the United States and Canada. In both countries, community colleges place strong focus on their role in providing two-year higher education level qualifications (also called two year career track associate degrees designed for specific vocational outcomes). These qualifications offer good opportunities for a student to progress to universities. In some provinces of Canada (especially British Columbia, Alberta and Québec) awards are easily validated between the colleges and universities, thus many community colleges focus more on facilitating progress to universities than

offering awards in their own right. In the USA this phenomenon is also becoming more widespread, but progress is slower. An increased number of American states include academic content in vocational curriculum guidelines, but it has been claimed that they still focus too much on basic skills instead of higher-level academic competences and are thus not closely linked yet to academic standards²⁴⁹.

In the majority of Europe, short VET courses at tertiary level are offered and play a role as part of both IVET and CVT. Kirsch et al. (2003) show in their research that in most countries the legislation on short tertiary education is very recent. The oldest legislation in Europe with respect to short tertiary education can be found in Turkey (Education Act of Turkey, 1981) and Malta (Act of Malta, 1988). At the same time, universities do not necessarily have to wait for legislation to act in this area. Two of the key drivers for the development of short higher education courses have been the growth in competition for students and reductions in public funding for mainstream tertiary provision which leads tertiary institutions to seek out new sources of income. Many now actively market themselves to employers across a broad subject range and have moved into the development of short courses to meet specific industry needs often as components of CVT as much if not more than IVET depending on the sector or occupation. Such factors have also fuelled the development of private higher education providers right across Europe, especially in lucrative fields such as the provision of business management courses, MBAs etc, the demand for which continues to grow as the high skilled market services sector further develops (see Chapter 3).

The exact provision of short VET courses varies widely. It can be offered by universities, higher education institutes, colleges and schools. It is also often offered within the framework of adult education which is the case in Austria, Denmark, Ireland, Switzerland and the UK.²⁵⁰ According to Dunkel, Mouillour and Teichler in most countries new degrees are separated from old university programmes and degrees.

Where short tertiary education is offered alongside degree education within the same university or higher education institute, many advantages can be reaped. This is the case in for example Ireland where Institutes of Technology offer professionally oriented sub-degree studies and degree studies and where a small proportion of students even continues to PhD level. According to Kirsch *et al*²⁵¹ this combination can lead to the following benefits:

- It increases the quality of education since the same teachers will be involved in both sub-degree and degree teaching;
- It facilitates the counselling of students who may be interested in or who have the potential to go on a degree course after they graduate from a sub-degree programme; and
- Students are already in contact with both teachers and students in degree courses during their sub-degree studies.

²⁴⁹ Osborne, M. McLaurin, I. (2006). A probability matching approach to further education/higher education transition in Scotland, p.150.

²⁵⁰ Kirsch M. et al. (2003) *Tertiary short cycle education in Europe, a comparative study*. Brussels: EURASHE

²⁵¹ Ibid.

There are also disadvantages related to the introduction of this type of provision, as evidenced by the examples below. First, it can be difficult to ensure that new provision articulates properly with existing provision. This is especially important where it is intended that it will open up progression opportunities. This may be because some institutions have genuine difficulties accommodating short provision within the structure of their resources. Secondly, it can be difficult to ensure the buy-in of the key stakeholders where government is eager to implement new provision across the board. As far as employers are concerned, such an approach may leave certain sectors behind leading to confusion in the labour market. Finally, there can be differences of opinion with regard to the status and value of provision which is, in a sense, 'squeezed' into the gap between traditional types of course. Short tertiary courses can be viewed as 'watered down' versions or as poor relations of 'real degrees', especially by more traditionally oriented academic institutions

The UK and the Netherlands are examples of two EU countries where provision has recently been reformed and where the qualifications are set up separately from the existing Higher Education structure.

In the UK, Foundation Degrees represent a new and shorter type of education at tertiary level. They were set up in 2001/02 as a new two-year higher education qualification (ISCED 5B). The degree typically prepares students for direct entry into the labour market or as a preparation to flow further into tertiary vocational education. The primary aim of its development has been to fulfil the labour market need for more intermediate technical and professional skills. However it also intends to offer students another route into higher education as an alternative to honours degrees and offers those in work the chance to continue their professional development. Foundation Degrees offer a blend of academic and work-based learning and are developed and delivered by colleges, universities and employers. Seen in a slightly wider and longer context they can also be seen as filling a gap that arose from the abolition of polytechnics and their 'upgrading' to university status which took place in the early 1990s.

Since its implementation, Foundation Degrees have increased in scope. In 2001, the first Foundation Degree attracted 4,000 students. By 2005-2006 this had increased to around 47,000 people - half of whom were part time. In the last year, 500 new Foundation Degree courses have been launched and approximately 1600 are currently running. When we examine in what way Foundation Degrees offer a pathway to higher education, the Quality Assurance Agency for Higher Education (2003) results clarify that although most Foundation Degrees either already lead to an arrangement for students to progress to higher education or one is under development, good practice in clear articulation could only be found in one-third of the sample. Within this good practice they found examples where students could take bridging units to enable them to progress to higher education or to achieve both a Foundation Degree and a qualification of a professional, statutory or regulatory body. An important drawback of the Foundation Degree is mentioned in the Action on Access report (2003) which states that the qualification of a Foundation Degree is not fully understood yet by employers and parts of higher education. Some higher education institutes (which tend to be more academically oriented) regard the

qualification as “second rate”, whereas further education colleges (with stronger vocational traditions) see it as a high profile level of higher education with which they can engage²⁵².

In the Netherlands, in 2005 a new pilot programme “Associate Degree” came into existence to broaden the offer of already existing short tertiary VET. The main objective of the pilot has been to attract more post-secondary non-tertiary VET graduates (MBO) to enter tertiary VET, particularly those who are not sure yet whether they want to continue with their studies or enter the labour market. The new programme offers a short two-year associate degree which leads to a separate degree (while the existing short tertiary VET offer - kort HBO - is embedded in the main tertiary education qualifications framework). In 2006/2007 pilots were set up for a duration of three years to examine its potential and the interest among employers, students and employees. The existing short tertiary VET offer (kort HBO) will then be discontinued and integrated into bachelor degree programmes.

6.6.5 Pathways between VET and general education at tertiary level

The movement of tertiary VET students (short and long study) to general tertiary education is often a reasonably well-marked and accessible route. In most EU countries, tertiary VET students (short and long study) are eligible to enter tertiary general education (and vice versa), although this is not always the case. For example, in the Czech Republic, graduates of the higher professional schools which were set up in 1996 to supersede the post-*maturita* courses delivered by secondary schools, gain no credit for their studies if they wish to transfer into universities and have to start courses at the beginning; although an accreditation commission was established in 2005 to try to get universities and HPSs to recognise one another's qualifications and to accredit HPS bachelor courses.

'Horizontal transfer' (a term we have adopted to emphasise the differences with 'vertical progression') is facilitated predominantly through credit transfer mechanisms, although it is also possible for tertiary VET students who are not able to use credit transfer to use bridge courses to enter general courses. The disadvantage with some bridge courses is that effectively students receive little or no credit for their VET attainment and must start again in year one of a general bachelor programme, although such 'backward steps' also tend to be a feature of credit systems.

As we have already discussed, the development of credit transfer and accumulation systems is now a well established trend globally and in Europe, not least due to the introduction of ECTS and the development of ECVET. According to Kirsch *et al*²⁵³ in almost all EU countries, tertiary VET students (short and long study) can get some exemptions or credits recognized when entering tertiary academic studies, particularly when they enter a similar subject as they have previously followed. An important benefit of arranging transfer credits and agreeing articulation agreements can be that it acts as the

²⁵² Sources: <http://www.foundationdegree.org.uk/>; Quality Assurance Agency for higher education (2003). Overview report on foundation degree reviews; Action on access, 2003. Widening participation in higher education, progression research project

²⁵³ Op cit

catalyst for increased cooperation and communication among institutes and sometimes leads to new measures to improve pathways from one institute to another²⁵⁴.

A good example of how credit transfer/exemptions work at tertiary level can be found in Norway. Here, students can easily switch from tertiary VET to tertiary academic education (and vice versa) and get their credits recognized. Norwegian students can use the credits gained for a study part they completed if switching to another subject or professional programme. If students move between institutions, credits obtained at one institution will automatically be recognised, regardless of whether credits were obtained in the vocational stream and the student is switching to general academic studies, or vice versa²⁵⁵.

A good example of the development of credit schemes outside the EU is provided by Australia, whose 'market-based system' has certain similarities with the UK.²⁵⁶ Under the Australian system many VET diplomas and advanced diplomas at tertiary VET level (known as TAFE) translate into academic bachelor degree courses. As a result, more and more TAFE students use their tertiary VET qualifications to gain entrance into a higher education institution and course. There are an increasing number of agreements between registered vocational education and training providers (mostly TAFEs) and universities, which have been set up to enhance the pathways from an industry qualification to a higher education qualification. This also ensures that the maximum amount of credit is given to avoid repetitive and inefficient education and training. Some examples of agreements in Australia are: the Diploma of Building Construction which offers a pathway to Bachelor of Building, Bachelor of Construction Management or Bachelor of Engineering; the Diploma of Information Technology which offers a pathway to Bachelor of Commerce, Bachelor of Computer Science, Bachelor of Business; and the advanced Diploma of Hospitality which offers a pathway to Bachelor of Business and Bachelor of Applied Science²⁵⁷.

There are a number of drawbacks associated with credit systems. A key difficulty can be the institutionalisation of vocational and general education into different establishments. Even though we can observe the trend of de-institutionalisation, the history and physical separation of the two types of education continue to cause a lack of communication and discrepancy in expectations. For example, in the USA universities are often reluctant to issue credit for a community college course as they are not aware of its exact content and community colleges – in return – are often not able to prepare their students to progress to university as they are unaware of the expectations of the university faculty.

Another difficulty is that VET graduates in a technical subject in particular may experience problems with transferring to a general academic education programme²⁵⁸. This is due to the fact that technical VET courses tend to focus heavily from the start on the technical content while academic general

²⁵⁴ Anderson, G.M., Sun, J.C. and Alfonso, M., spring 2006, Effectiveness of Statewide Articulation Agreements on the Probability of Transfer: A Preliminary Policy Analysis, The Review of Higher Education - Volume 29, Number 3, Spring 2006, pp. 261-291

²⁵⁵ http://www.trainingvillage.gr/etv/Information_resources/NationalVet/Thematic/criteria_reply.asp

²⁵⁶ See the discussion in chapter 3 of differences between education and training systems

²⁵⁷ Australian Qualifications Framework website, retrieved 2006: <http://www.aqf.edu.au/>

²⁵⁸ Hughes K.L. and Mechur Karp M. (2006). *Strengthening transitions by encouraging career pathways: a look at state policies and practices*. USA: Teachers college, Community College Research Centre, Columbia University

courses in the first two years tend to focus first on general education and only in the last two years focus on technical content through specialised courses.

Another issue for credit transfer is that the desire to switch tracks almost inevitably means staying longer within the education and training system. For example, in Ireland graduates of an Institute of Technology typically gain recognition of their credits for one year less, so that a graduate with a Higher Certificate enters the second year of the Honours Degree, or a graduate with an Ordinary Bachelor Degree enters the third year of university. These patterns of transfer are frequently referred to as "two for one" and "three for two" respectively. The underlying logic, as described by universities, is that institutions structure their courses differently, and a tertiary VET student transferring, for example, from the second year of a course in an Institute of Technology towards university is likely to have missed out on a significant part of what they need for the third year in the same subject within a university, while perhaps being stronger than the university's students in other areas.

In some systems there can also be problems for students wishing to switch from a general to a vocational track. Harris & Rainey's (undated) research highlights the asymmetry in the Australian system where academic tertiary students often encounter more problems than vocational tertiary students in transferring because there is no clear understanding as to how incomplete university qualifications can be recognized when the student wants to transfer to tertiary VET.

In most cases, tertiary VET students (long and short) primarily receive exemptions for some but not all courses undertaken and passed in the first year. In several countries, tertiary VET students (primarily those who have undertaken a long study) are able to receive more exemptions and start straight into the second or third year of a bachelor study at tertiary academic level. According to Eurydice (2005) this is the case in Cyprus, Denmark (in the case of a majority of the 2-year Academic Profession Programmes, AK), Iceland, Latvia, Slovenia, Spain, Sweden and the UK. In Hungary, ISCED 5B qualifications provide for exemption (up to 60 credits) from part of any ISCED 5A programme²⁵⁹.

In relation to short tertiary VET courses, Kirsch *et al*²⁶⁰ provide an overview of countries where some kind of credit transfer or exemptions are available for students who want to embark on tertiary academic studies: Austria, Bulgaria, Cyprus, Denmark, France, Hungary, Iceland, Ireland, Italy, Latvia, Malta, Norway, Spain, Sweden, Switzerland, Turkey and the UK. In the Czech Republic, Lithuania, Netherlands and Romania it is mentioned that transition with credits is only exceptionally possible. In the Czech Republic this is due to the fact that an attempt to update legislation with a new school act failed. In the Netherlands, this is due to the fact that the current provision of short tertiary VET will cease to continue. The institutions offering short tertiary VET will be offered the chance to upgrade to bachelor level. In the new legislation that is being prepared the government provides through the set up of a short associate degree a chance for students to receive a qualification after two years of studying with which they can enter the labour market or continue to study a tertiary VET bachelor without any delay.

²⁵⁹ Eurydice (April 2005). Focus on the structure of higher education in Europe 2004/2005, national trends in the Bologna process, p.17

²⁶⁰ Op cit

Having discussed the preponderance and nature of credit systems, the next question is how common are they used? Data is scarce with which to answer this question, although anecdotally the view from most Member States is that they are now extensively used. Research shows that when credit transfer and articulation agreements are organised the actual take up can remain limited. Research in the USA²⁶¹ indicates that articulation agreements have not led to an increase in transfer rates and Kirsch *et al.*²⁶² also come to the conclusion that not many students make use of transition from short tertiary VET courses to degree programmes, even though transfer is relatively easy. Kirsch indicates this to be particularly the case in Bulgaria, Hungary and the UK (England and Wales). Relating this back to the earlier discussions on barriers, this is presumably because the perceived benefits of transfer do not outweigh the perceived costs.

Finally, mention must be made of progression onto academic masters programmes. In only a few cases do tertiary VET students (and only those who have completed long courses) get the opportunity to start a masters programme at tertiary academic level straight away, e.g. Estonia, France (except paramedical training), Italy and Portugal subject to certain conditions (for example subject-related study, high grades, etc.)²⁶³. Elsewhere, tertiary VET graduates can gain access to masters course through 'top-up' or 'pre-masters' programmes²⁶⁴. For example, in the Netherlands and Belgium, a tertiary VET graduate (bachelor) who wants to progress to an academic master needs to follow a pre-master or bridge programme (*schakelprogramma*) of one to two years (Simon, R., et al., 2001). Clearly the duration of the course can be a disincentive to participation as it considerably delays ultimate entry to the labour market. Many other bridge courses are developed at the level of individual establishments. At the same time, the development of the common bachelor/master structure that is being driven by Bologna is likely to make it easier to move between vocational and general tracks once a first or second degree is completed. In Germany, for example, it is already clear that any holder of an officially recognised masters degree (regardless of the type of institution conferring it) will have the possibility to enrol in a doctoral programme at a university, given that sufficient marks have been obtained. Additionally, the passage between universities of applied sciences and universities will be eased substantially through the introduction of bachelors degrees, potentially enabling students to switch school types after completion of their undergraduate studies.

6.6.6 Cooperation mechanisms²⁶⁵

Mutual programmes/ combined education

In several EU-countries, tertiary VET and tertiary academic institutes are increasingly working together through the provision of mutual programmes and/or modules. Many of these cooperation agreements are arranged on a bilateral basis making it difficult for us to come to a clear comparative overview of developments across Europe.

²⁶¹ Anderson, Sun & Alfonso op cit

²⁶² Op cit

²⁶³ Eurydice (April 2005). Focus on the structure of higher education in Europe 2004/2005, national trends in the Bologna process,

²⁶⁴ The term top-up programme is also used at other levels. For instance for upper secondary students to get familiar with tertiary academic education.

²⁶⁵ These mechanisms exist and are developing in relation to both IVET and CVT.

An interesting example can be found in the Netherlands where tertiary VET students can choose to follow a minor during their tertiary VET studies which offers them – after successful completion - direct entry into an academic master. They no longer need to follow a (pre-master) programme to gain entry to an academic master. For example, the tertiary VET institute "Fontys Hogeschool" currently cooperates with the tertiary academic institutes "TU/e" (University of Eindhoven) and the University of Tilburg by offering a minor "academic orientation" which enables tertiary VET students to prepare for entry into an academic master at these universities. By following this minor (mostly from the third year onwards), the student learns methods of research, statistics, academic skills (literature research) and ethics. Students can also choose specific modules that offer a preparation into the subject of the master they plan to follow. The minor is taught at certain days at the university campuses often in combination with extra courses at the tertiary VET institute (to ensure the student grasps the taught material)²⁶⁶.

Co-location

Another method to cooperate is through co-location. Co-location refers to the fact that different education institutes share the same facilities on one campus. Co-location often involves the combination of location of a university with a tertiary VET institute, but it could also include an upper secondary school. Examples of this phenomenon can be particularly found in Australia and the USA. How common this is in Europe is a moot point. Certainly, in many countries the VET and general education tracks are highly institutionalised and such co-location would require a major reform of education and training systems. However, examples do exist, for instance in the UK where there is much more of an 'open market' in VET and HE.

In Australia, co-location usually includes a TAFE campus and a university campus and cross-over is often realised through the offering of post-secondary non-tertiary and/or tertiary vocational education (Diploma and Advanced) at both the TAFE institute and university. The example below shows an example in the USA which makes clear that although co-location can increase cooperation it does not necessarily lead to increased transfer of students to higher education.

In the United States, since 1975, the Ohio University-Zanesville (OUZ) and Muskingum Area Technical College (MATC) have shared a campus to the northwest of Zanesville. Both the university branch and the technical college have separate missions, serving different needs and playing different roles in the community. Both institutions have established a close working relationship, with many shared services and a record of cooperation. With respect to the issue of credit transfer, although proximity and cooperation helps, the issue remains difficult. Many incoming MATC students hope to transfer from MATC to OUZ, but this can only be achieved when it is planned from the beginning. Currently, It is stated in a review report that many of the MATC students eventually transfer to private universities due to the inflexibility in the system²⁶⁷.

Consortia

²⁶⁶ Source: Fontys Hogeschool, retrieved 2007 : www.fontys.nl/minors/

²⁶⁷ Source: Co-located campus review project, Ohio University-Zanesville, Muskingum Area Technical College and Community Liaison and Information Committee, final report, 2004.

A third cooperation method concerns the setting up of consortia. For example in the UK this has been stimulated through the Higher Education Innovation Fund. This Fund encourages knowledge transfer from Higher Education Institutes to businesses, the public sector and the wider community. It is the core mechanism for supporting knowledge transfer within the English higher education sector (devolved assemblies of Scotland, Wales and Northern Ireland have their own support mechanisms). Many of the consortia set up under the fund consist of universities and further education colleges, aiming to exchange knowledge, simplify transfer of students and increase overall participation²⁶⁸.

²⁶⁸ <http://www.hefce.ac.uk/>; Widening participation in higher education, progression research project

6.7 Conclusions and key messages

The main conclusions and messages emerging from the analysis presented in this chapter are as follows:

6.7.1 General issues

Individuals view pathways as a series of decisions which are not necessarily linear. This needs to be taken into account in the development of VET pathways which need to be more open to individual choice and changes of direction. Member States need to consider how this non-linearity can be accommodated within their own contexts.

Individuals' choice of pathway depends on a variety of both demand side and supply side factors, and involves weighing up the costs and benefits of the options available. Perception plays a key role and critically affects the value attached to VET. Even with the most perfect match between VET and labour market needs *perceptions* of opportunity and value can have a key role to play and can be socially and culturally mediated. This is a complex matter and in many of those countries where it is widely believed that VET has low status and image, there is evidence to point to its being valued in preference to general education. Member States need a more systematic and evidence-based understanding of why certain VET routes are more popular than others and the obstacle students' face in taking them

There are now very few structural 'dead ends' within initial VET systems, although progression can still be difficult. Effort continues to go into 'tidying up' systems to open up pathways in most of the Old Member States, whilst countries that have major structural issues and/or more turbulent and uncertain economic environments are undertaking more substantial VET reforms (e.g. many New Member States and Mediterranean countries). The more significant differences between countries probably lie in the extent to which (CVT) systems are open for people to return later on in life, with validation and qualification frameworks being key policy tools here. Member States now need to focus on encouraging the use of existing pathways and ensuring that pathways are genuinely open by dealing with problems of failure to progress, and by offering effective guidance services to assist individuals to make the right decisions now that greater choice is open to them.

Vocational students can face particular difficulties in accessing tertiary provision (especially general programmes) because of university entrance practices. This seems to be a particular problem where there is not a binary system that differentiates vocational and general education, and where universities are highly autonomous and can set their own entry requirements. Member States should examine the extent to which university entrance requirements *systematically* causes difficulties for vocational students, and then adopt an appropriate policy response, e.g. by providing additional support to ensure a 'level playing field'.

There is an increasing trend towards specific – often highly localised, firm or sector specific – provision to respond to particular needs, and the pursuit of flexibility for individual sectors and locally and regionally needs to continue. However, the full benefits of this can be felt by providing frameworks within which employers, localities and regions have some space to respond to local needs. The development of NQFs will help in this respect. For example in the UK companies can now obtain

accreditation for their training programmes provided they meet the requirements of the national credit framework. At the same time, increased employer involvement is essential to ensure the attractiveness of vocational routes in many countries, especially the new Member States and the Mediterranean countries.

6.7.2 Key trends in the vocational curriculum

Three key trends stand out in relation to the vocational curriculum, applicable to varying degrees to different Member States:

- (i) the reduction of the distinction between vocational and general tracks. However, the clear lesson from the last few years is that there are limits to this process and in some cases students who would have taken vocational tracks can find it hard to cope on more generalised tracks, leading to the reintroduction of distinctive pathways.
- (ii) broadening vocational programmes so that they avoid the trap of falling into narrow specialisms. This has involved amalgamating vocational programmes into a smaller number which better meet broad modern sectoral needs and the need to be able to move between occupations in rapidly changing economic conditions.
- (iii) increasing the share of vocational curricula dedicated to what is variously termed 'generic learning', 'core skills' etc. This is happening across upper secondary school curricula, often taking the form of a general foundation being provided in the first years with greater choice and specialisation later on (especially where there is strong tracking) or constructing modularised curricula (especially where the distinction between vocational and general is less institutionalised) in which general compulsory core components sit alongside elective vocational modules.

6.7.3 The overall pattern of change

A common pattern of change in the last few years appears to have been:

- The expansion of tertiary provision, often with little regard being paid to the role that VET may play in it, and mainly in enrolments in academic fields
- The development of higher level (technical) vocational provision and post-secondary provision as a tool for further competence development
- A decline in popularity of lower level school-based VET - and in some cases its repositioning as a pre-vocational option (especially for people from socially disadvantaged backgrounds)
- The development of apprenticeships.

These changes are inter-related. Especially important is the effect on lower level school-based VET which appears to be being squeezed between general, technical and apprenticeship options, sometimes owing to their association with occupations facing high unemployment or declining wage rates, sometimes because they do not have the same status as courses that provide automatic access to tertiary education (as we noted in the previous chapter upper secondary continues to be used mainly for labour market entry but there are signs that the small proportion of people who use it for progression is growing).

Apprenticeships have been the focus for significant development, being identified as important components of systems. Apprenticeships are being developed in a variety of ways, being built into systems where they did not already exist, being expanded to both lower and higher levels and to develop options for apprenticeship students to progress to higher level study. Apprenticeships have sometimes been somewhat separate from education and training but we have detected a trend towards greater cooperation between ministries and enhanced involvement of social partners that is addressing this issue. New apprenticeships now need to be properly integrated into systems with pathways developed. Member States should ensure the proper integration of apprenticeships with other parts of the education and training system.

Good quality apprenticeships are being seen as providing a more appropriate option for the less academically able since they have the very strong connection to the labour market which lower level school-based VET lacks. Member States should consider whether repositioning lower level VET – with greater general curriculum content - as a pre-vocational option (as in the successful Austrian example) is a viable policy option in their context

6.7.4 Routes from upper secondary VET into general tertiary programmes

Pathways from upper secondary vocational tracks into general provision typically remain a minority choice: most students remain in the vocational or general route they selected when they completed lower secondary school. The evidence also indicates that many people who do transfer – especially to obtain a much valued upper school leaving certificate – do not necessarily then go on to higher education.

Where there is not strong tracking, the Swedish experience highlights the risks involved in trying to reform upper secondary provision so that it confers a general right to enter university for all students: the challenge proved too great for many students; and clearly differentiated vocational, general and apprenticeship routes are now being planned. Elsewhere, problems of equivalence continue to dog attempts to open up pathways for vocational students because of the difficulty of gaining widespread acceptance of the idea that VET should have the same status as academic education. But attempting to eradicate the distinction does not appear to be the answer.

Indeed, whatever the system, an important message from recent experiences across Europe is that there is a need for a variety of transparent and viable vocational routes to higher levels – that are distinctive from general provision – that meet the needs of a broad range of talents and pre-dispositions, as well as the needs of employers. Modularisation offers many advantages in terms of being able to flex programmes and qualifications rapidly in response to the needs of the economy, and deserves to be deployed more widely. In addition, Member States should engage in promotional campaigns to demonstrate the benefits of VET, perhaps by conducting tracer studies and portraying the careers achieved through vocational routes.

Where Member State systems feature strong tracking, additional provision is required to enable vocational students to access general tertiary education. For lower level VET this frequently means bridge courses while for technical routes double qualifying pathways are more common. These remain minority choices, and there are question marks about their value both to individuals, within the context of wider VET policy choices, and in terms of wider economic considerations.

Bridge courses to general education can cause delays and the failure rate can be high. More integrated approaches and accreditation *en route* that provides 'stepping stones' (often made possible by NQFs) seem to offer advantages over these types of approach which Member States should explore.

Whilst double qualifying pathways are integrated the evidence suggests they are challenging for students, and there remains a risk of failure if students access more traditional academic environments at tertiary level. Member States where double qualifying pathways exist should consider various ways in which students might be better supported, e.g. through enhanced careers guidance and counselling before choices are made for upper secondary level, and learning support for students from vocational backgrounds in their initial stages at university to reduce early leaving.

Both social equity and economic considerations suggest that these routes should remain open; indeed in rare instances (e.g. Finland) double qualifying routes have been set a participation target. Member States should ensure that they are real pathways through measures of the type described above and that they do not falsely raise students' expectations.

6.7.5 Developments in post-secondary non-tertiary (PSNT) provision

The analysis of PSNT is a challenging task and it is difficult to be certain that like is being compared with like. Countries use the term in different ways depending on the structure of their systems, and an important issue faced by many countries is whether the more advanced VET provision that is being developed is regarded as being advanced enough to sit within tertiary provision. Not all sectors require provision at this level, but there is a need for frameworks which can accommodate individual sector needs.

Member States need to agree a definition of PSNT. The UNESCO definition stresses subject matter over level, whilst an important part of new demand in the labour market seeks training that is more advanced than upper secondary but not at the level of fully-developed long tertiary courses. It may be better to classify as 'short tertiary' those courses whose content is equivalent to tertiary level but not as extensive, with the UNESCO definition more strictly applied to enable inter-country comparisons to be made.

The EQF with its eight levels is the obvious tool to use as it is now established and already providing the template for many national systems. When countries start mapping their systems onto the EQF levels, routes should be properly compared in order to establish the proper prevalence and function of intermediate qualifications.

Despite these problems, it was found that PSNT provision performs three main functions (though this varies depending on the context):

- to enable students to obtain further vocational qualifications which may also open up progression to higher levels
- to facilitate specialisation by those already on vocational tracks (where it can be especially important as part of CVT)
- as a route into the labour market or into tertiary level VET studies for general upper secondary graduates who do not or cannot progress further in the general education system.

PSNT provision appears to be seen as a solution to current labour market demands in countries with less well developed VET systems, and therefore as having a 'gap filling' function, perhaps where vocational routes through systems are poor and/or where vocational tertiary provision comes to be seen as deficient. The growth of PSNT education for competence development has been an accelerating trend in recent years often directly as a response to employer needs.

PSNT provision can provide a comparatively simple solution that avoids what can be the difficult issue of dealing with the views of traditional universities resistant to increased vocational content; indeed PSNT provision has sometimes been absorbed into tertiary infrastructures once it has proved its merit.

Equally, significant issues often surround PSNT provision in terms of its integration into systems and in particular the use of credit transfers and exemptions; these seem to be established normally on a bilateral basis between institutions. Establishing national credit transfer systems should be a priority in order to smooth the relationship with tertiary provision.

6.7.6 Tertiary provision

Tertiary vocational education is well established across Europe: the most widespread developments of recent years have been the inclusion of practical components in curricula to help improve the employability of graduates, the development of new short tertiary vocational courses that can lead either directly into the labour market or to a tertiary bachelor (which can play a role in CVT as much as IVET depending on the vocational area), and the reshaping of existing tertiary vocational programmes according to the bachelor/master structure, driven by the Bologna process, which is bringing VET qualifications closer to academic ones.

The distinction between vocational and general education is becoming increasingly blurred. Some concerns have been raised about whether these developments lead to too much generalisation of tertiary vocational education or 'downgrade' tertiary academic education and the terms bachelor/master, but it is too early to say which if either of these scenarios will actually transpire and the effects they may have in the labour market. However, there is a significant risk that it will lead to a loss of clarity in the labour market and generate difficulties for employers and individuals in understanding what differentiates an academic from a vocational degree.

Pathways at tertiary level between vocational and general education are generally available across Europe. Practice varies however in the extent to which tertiary VET students are able to transfer easily into general programmes using credits/exemptions without having to re-start in year one, and the provision of bridge courses to fill knowledge gaps. The absence of credit transfer arrangements can lengthen the period in education and delay labour market entry. Students can also find general programmes a challenge after VET courses. But credit transfer and student support practices are mostly institution-specific, and would benefit from government intervention to ensure more systematic approaches are taken. At EU level the nascent ECVET system also offers the prospect that such deficiencies will be addressed.

Short tertiary VET programmes offer a flexible approach to the needs of the labour market and play an increasing role in both IVET and CVT. But they need to be fully integrated through well-developed

credit transfer and exemption arrangements. Short two-year vocational courses such as developed in the UK and the Netherlands provide helpful examples.

6.7.7 The varied contexts and responses of the different Member States

In relation to the different groupings of countries which we identified in chapter 3, it is clear that economically and employment-wise they stand at very different positions in relation to the Lisbon goals (as outlined in sections 2.3.3 and 3.6) and this, along with their different education and training systems, means they have different priorities in relation to pathways.

For the Nordic countries, with relatively high proportions of employment in highly skilled occupations, VET takes a variety of forms within the overall emphasis on providing a sound foundation of general education. Lessons from Sweden seem to point to the risks associated with ‘over-generalising’ the upper secondary curriculum and policies plan a return to distinctive vocational and general tracks more akin to the Finnish approach. The lifelong learning approach is critical in providing routes back into training later in life.

For countries such as Germany and Austria with well differentiated routes and strong VET systems, permeability is seen as undermining the strong linkages into occupations which enable the system to work. Integral to the effectiveness of the system is the complementary role played by the employment protection and social welfare regimes which act effectively to guarantee a return for the time invested in training. Changing one part of the system implies change in another, and indeed there has been much discussion about the issue of labour market flexibility alongside debates about whether and how to introduce more modular approaches into VET.

In the more market-based systems of the UK and Ireland, and in continental countries with less differentiated systems than Germany and Austria, recent developments have been focused on reducing complexity, trying to establish equivalence between VET and general qualifications and strengthening VET routes, along with trying to improve the input from employers to the development of qualifications.

Of all the country groupings, the Mediterranean and Central and Eastern European countries face the greatest challenges. Three of the four Mediterranean countries in particular – Greece, Spain and Portugal - face the challenge of how to move their economies up the value chain to secure more highly skilled employment, with education and training systems that have under-developed VET, and high rates of early school leaving. Substantial reform has been a feature of these countries to try to address this deficiency, and in particular the development of attractive VET options to reduce early school leaving and of pathways to higher levels are important priorities. Again the question of incentivising training through reforms to employment protection and social welfare arrangements is also important, as currently they lead to many rigidities in the labour market.

For the countries of Central and Eastern Europe, VET would appear to have a potentially important role to play in supporting economic growth, especially given the importance of manufacturing to many countries. Yet its popularity has declined – especially at upper secondary level, whilst it may have held up at tertiary level – and the (re)introduction of apprenticeships has experienced difficulties. With a need to improve attainment at tertiary level, the development of attractive VET options at this level

could play an important role. In this context the development of effective pathways is vital. Approaches that encourage progression through an accredited stepwise approach and which are integrated into programmes, rather than being bolt-ons as in the case of some bridge courses, seems to offer potential which should be more widely developed.

6.7.8 The need for more evidence to support policy making

We found little evidence that Member States know much about why people select certain routes over others – e.g. whether it is because of the availability of appropriate curricula to meet the diverse needs of different groups of learners - or the obstacles they face or why students from vocational backgrounds sometimes fail at tertiary level. Still less is known about the extent to which people might return to formal learning later in life. Such information should be a pre-requisite for policy making.

We also found little evidence that Member States were setting targets related to progression out of upper secondary VET and in relation to the labour market. This would require a link to comprehensive and effective skills forecasting; but this is under-developed in most countries (as the work of Cedefop through Skillsnet has demonstrated). Member States need therefore to gather much more effective intelligence than they currently possess.

Finally, much work is needed to understand the relative value of many of the pathways in Member States. ISCED, whilst useful for statistical purposes, has proved to have serious limitations in the context of this study and the need to compare pathways in relation to their attainment levels. EQF and the mapping of national qualifications on to its eight-level structure offer a one-off opportunity to sort out much of the problem. Interpreting the programmes discussed in this chapter, particularly PSNT and tertiary options, according to their learning outcomes will show their real position in relation to the EQF structure and hence relative to each other.

7.0 The role of VET in supporting the labour market and social integration of groups at risk

7.1 Introduction

This chapter analyses the role of VET in supporting the labour market and social integration of groups at risk. It seeks to address a number of themes. Overall, the concern is to identify and analyse the ways in which VET systems can better meet the needs of a variety of socially disadvantaged groups. In order to do this we need to describe the varied ways in which disadvantage manifests itself and the ways in which skill and training needs are intimately bound up in it, and how these play out across the EU in the varied Member State contexts which have been a constant theme throughout this report. As part of this, we need to identify the barriers that different groups at risk face in competence development.

We then need to examine the policies that have been implemented and the types of VET that have been developed in order to try to address these issues, taking into account a number of horizontal themes which cut across the analysis including the synergy and interaction between VET and non-VET systems, the role of social partners and civil society, and the non-VET measures which are required to help to ensure that packages of support are effective. Throughout, a particular concern is to see how 'mainstream' VET is responding and to identify the extent to which responses are sufficiently open and flexible to cope with, on the one hand, rapid changes in the labour market and, on the other hand, the careers of individuals which, as we discussed in chapter 6, can be highly non-linear and episodic (e.g. through breaks for childcare).

This is a complex, multi-dimensional topic. Labour market and social disadvantage takes a wide variety of forms and can be viewed from a number of points of view through a range of 'filters', as set out in the Terms of Reference for the study: early school leavers; low skilled workers; the unemployed; immigrants; people with disabilities; older workers; and women. These groups broadly fall into two groups: those defined according to people's position in relation to either the education and training system (in the case of early school leavers) or the labour market (in relation to the low skilled and the unemployed); and those defined by what are termed 'ascribed' characteristics – immigrants, people with disabilities, older workers, and women. Ascribed characteristics in themselves have nothing directly to do with skills levels or position in relation to external institutions, although clearly someone's gender, disability etc – as we shall discuss in more detail – has an important bearing on the skills or qualifications they acquire and hence their position in the labour market.

For our purposes it is most profitable to focus primarily on those categories defined in terms of the education and training system and the labour market, as these are broad categories within which the position of immigrant groups, disabled people, older workers etc takes a particular form. This approach also recognises that a focus on early school leavers, low skilled workers and the unemployed focuses directly on the question of skill levels and hence the role that VET can play in alleviating disadvantage. It also acknowledges the obvious fact that being a migrant, a disabled person, an older worker or a woman does not mean you inevitably have low skills. For these reasons, we have structured this

chapter so that most of the material we have gathered is dealt with under the general headings of early school leavers, low skilled workers and the unemployed before we then look at more specific measures targeted at specific disadvantaged communities defined by their ascribed characteristics. As it turns out, this also reflects the dominant thrust of most policy and practice.

7.2 What are disadvantage and exclusion?

Disadvantage and exclusion are not uncontroversial terms, but for our purposes we take them to be both states and processes. Social exclusion as a state refers to a state of denial of participation in important societal, cultural and economic spheres, which include education and training and the labour market. As a process, social and labour market exclusion means that exclusion can occur at different stages of life, and does not therefore have to develop or have an end point. Therefore, in the analysis of social exclusion it is important to pay attention to key transitions in life²⁶⁹. It is also important to acknowledge that there are different types of exclusions.

Social exclusion as a state or a process can be induced by different sets of causal factors. These can be divided into structural and cultural:

- **Structural factors** include economic and technological, socio-demographic, institutional and political factors. Economic and technological factors relate primarily to the functioning of the labour market. Also, factors such as international competition, globalisation and new technologies can contribute to social exclusion of the segments of the population that do not adapt to new circumstances²⁷⁰. Institutional and political factors can include tax systems and the degree of social inequality prevalent in a given society. Socio-demographic factors include educational attainment and socio-economic background -including ethnicity/nationality.
- **Cultural factors** relate to the role of generally accepted opinions, norms and values, expectation of roles (such as those expected from men and women), attitudes towards ethnic minorities as well as other vulnerable groups, or the development of 'deprivation culture' in a given setting which then contributes to the strengthening of the phenomenon of social exclusion and its perseverance in future generations²⁷¹.

²⁶⁹ Brandsma J. (2002). *Education, equality and social exclusion*, University of Twente, p.4

²⁷⁰ For details on labour market changes see Chapter 2

²⁷¹ Brandsma J. op cit p.20

7.3

The importance of skills in disadvantage and exclusion

Social disadvantage thus takes a very wide range of forms but one of the most important aspects concerns skill levels. Within the varied milieux constructed by the structural and cultural factors we have just described, the process of skills acquisition takes place which for some individuals and groups results in low levels of skill which in turn leads to a number of manifestations of exclusion or disadvantage, which we describe in the sections below.

Poorly developed skills tend to be an intrinsic part of most forms of disadvantage; and skills development is a key that has the potential to unlock a large number of doors for individuals that would otherwise remain closed, thereby releasing them from a number of forms of marginalisation and exclusion. The development of skills can have wide ranging impacts, improving employment prospects and wages, opening the way to occupations with better terms and conditions where training is offered etc²⁷².

Furthermore, the alleviation of disadvantage is now recognised to be not just a social imperative, but an economic one too, witness the centrality now given to the development of human capital in EU policy, as we noted in chapter 1. A growing body of research demonstrates a clear association between investment in human capital of low qualified workers and a country's future growth and labour productivity. Coulombe *et al* found that a rise of 1% in literacy scores relative to the international average is associated with an eventual 2.5 % relative rise in labour productivity and a 1.5% rise in GDP per capita²⁷³. Low skilled people represent a major under-utilised resource whose conversion into productive capacity is all the more important in the light of the shift to the knowledge economy (demanding higher skill levels) and the long-term contraction in the size of the European workforce. Almost one third of the working population of the EU is defined as low skilled, that is having completed at most lower secondary level education (defined as ISCED levels 0 to 2/3c short).

The risk faced by the low skilled of exclusion from the labour market and of social exclusion depends on several factors, in particular the demand for low-skilled workers from employers. This is likely to vary significantly between sectors and European countries. In general in recent years the demand for both high and low skilled workers has held up (see chapter 2) but the type of low skilled jobs in demand has shifted from manufacturing into services and the skills and competences required have become more varied. At the same time, forecasts indicate that the demand for higher level qualifications is going to increase across the board such that amongst elementary occupations there will be an increasing demand for upper secondary level qualifications; the need for formal qualifications is also likely to rise owing to the changing nature of job requirements in many areas (section 2.3.3). These trends are likely to adversely affect the low skilled without significant policy interventions.

²⁷² OECD (2002) *Upgrading the skills of the low-qualified: a new local policy agenda, an exploratory report*, p.32

²⁷³ Coulombe S., Tremblay J-F., and Marchand S. (2004). *Literacy scores, human capital and growth across 14 OECD countries*

We must also look beyond simple labour demand statistics to understand the causes and consequences of being low skilled:

*'Social exclusion has assumed a plethora of new forms in response to globalisation, new technology, economic restructuring, and the emergence of new flexibility demands and regimes in working life. The increased distress facing a permanently unemployed section of the population due to diminishing unemployment benefit schemes and shrinking social assistance, the growing category of the homeless, the feminization of poverty, the concentration of unemployment and poverty among the young, the concentration of the disadvantaged in segregated neighbourhoods, the expansion of low-salaried, so-called atypical jobs in deregulated or non-regulated sectors of the labour market: these are only a few of many problems of the so-called new poverty that kept growing rather than receding in one of the world's most powerful economic blocs [Europe] during the last quarter of the twentieth century.'*¹

In general people with low or without formal qualifications face particular problems in accessing employment since they lack evidence of their skills to 'sell' to employers. This naturally excludes them from specific occupations (in particular in those professions with legal qualification requirements) but it can also exclude them from entire swathes of the labour market, especially secure, full-time employment (which normally provides better access to other benefits and 'insurances' against the risk of exclusion, such as pension schemes, sickness benefits over and above statutory levels, redundancy entitlements etc.). This does not simply mean that people with low or without qualifications are directed towards low paid jobs. It often means marginalisation into the insecure fringes of the labour market characterised by short-term, casual and part-time employment. Periodic unemployment can be characteristic. Low skilled people are more likely to be made redundant and are four times more likely to be long-term unemployed. Moreover, low basic skills can negatively influence the effectiveness of further training due to learning difficulties².

Education and training therefore have a potentially critical role to play in alleviating social disadvantage. Two key questions arise. First, what are the skills deficiencies faced by different excluded groups, what are their associated training needs, and what are the obstacles that can stand in the way of their accessing appropriate training provision? The 2004 Maastricht study³ noted that different groups have different characteristics but tended to have two things in common: a lack of basic competences; and the fact that they faced many obstacles to accessing education and training. In our analysis we considerably build on and develop this observation to unpack the training needs and obstacles faced, showing both the commonalities and wide variety within and between the groups concerned.

The second question arising is: what is the specific role that can be played by VET? Whilst this chapter is devoted to addressing this question in detail, in general terms VET can be seen as having the potential to provide disadvantaged, low-skilled individuals with the occupationally related skills they need to improve their position in the labour market, although as we shall see, one of the keys to

¹ Shierup, C-U., Hansen, P. and Castles, S. (2006) *Migration, Citizenship and the European Welfare State*. Oxford: OUP

² ECOTEC (2006). *A Study on Policies for Involving the Social Partners in the Integration of People at a Disadvantage in the Labour Market*, p.15

³ Leney, T. et al (2004) *Achieving the Lisbon goal: the contribution of VET*

success in this area is the construction and implementation of integrated policies and holistic packages of support of which occupationally specific training is just one part. This reflects the fact that, as we showed in chapter 3, VET systems are intimately bound up with not just education and training systems but also labour market institutions.

In the following sections we examine the training and non-training needs of disadvantaged groups, and the barriers they face to participation in VET.

7.4 The training (and non-training) needs of disadvantaged groups

What are the training needs of groups at risk? In general the low skilled have needs in five broad areas which can have a significant bearing on their employment prospects¹:

- First of all they are likely to suffer from low levels of occupationally specific skills
- Secondly, they are also likely to suffer from deficiencies in relation to the generic transferable skills which we identified in section 2.3.2 as being of increasing importance to employers in Europe; alongside basic literacy, numeracy and communication we identified competences such as problem solving and team working. Clearly deficiencies in areas such as these are an increasingly important handicap for the low skilled. Equally, as we have already noted, VET programmes are increasingly incorporating the development of these skills as integral components.
- Thirdly, some segments of the low skilled have a need to develop positive attitudes to work, attendance and punctuality, and also a need to develop their confidence and self-esteem.
- Fourthly, many socially excluded groups, having become alienated from the education system, lack basic learning skills that would enable them to manage and organise their own learning. The transition from lower to upper secondary level in particular can entail a considerable increase in the responsibility students are expected to have to organise and manage their learning and this can prove to be a challenge for some.
- Finally, the low skilled frequently lack skills related to the process of obtaining employment itself such as how to prepare a curriculum vitae or job application form, job interview skills, and career planning.

The extent to which different groups at risk will have training needs in these areas will naturally vary. Older workers, for example, may have a solid foundation of generic transferable skills but need to be trained into the specific needs of a new occupation, and perhaps some confidence-boosting provision. In contrast young people who left school early and have never been able to hold down a job for very long may need training and development across a large range of areas to help them to integrate more fully into the labour market. However, generalisation is difficult since one of the features of training needs amongst the socially excluded is its highly individualised nature.

¹ Many of these needs have been recognised in the 'key competences for lifelong learning' contained in the Recommendation of the European Parliament and of the Council of 18 December 2006 (2006/962/EC)

Finally, some groups will have needs over and above those described above. Most notable perhaps is the need for language training and other support measures to assist the social and labour market integration of migrants.

Disadvantaged groups also face a wide variety of non-training needs such as childcare support, community facilities, and transportation

7.5 Barriers to VET participation faced by disadvantaged groups

What are the barriers that disadvantaged people face in accessing the training they need? In addressing this question we should recall that in section 6.2 we argued that the process of accessing training involves weighing up the relative costs and benefits of available options (accepting that individuals are unlikely to be in possession of all the information they need and hence that their decisions are unlikely to be 'perfect' in that sense), and that by framing the question in terms of barriers we do not intend to imply that, were all barriers removed, participation in training would be the automatic outcome. Choice is a more complex process than that.

In sections 6.2.3 to 6.2.5 we discussed the barriers affecting the existence and take-up of pathways, and identified both demand-side barriers (which could be separated into dispositional and situational factors and which involve both individuals and employers) and supply-wide barriers which are intrinsic to education and training and social protection systems. In general terms the same barriers can be seen to recur amongst disadvantaged groups but in different combinations, to varying degrees, in distinctive forms and certainly often in more extreme forms. Indeed, almost by definition, disadvantaged people face more challenging barriers than the population at large. Some groups also face unique additional barriers. Below we sketch out the main features of each group we are considering, but before then it is worth highlighting a number of the common problems faced by disadvantaged groups.

7.5.1 Common barriers

Disengagement from formal education and training and weak motivation

A common characteristic of many disadvantaged or excluded people is their disengagement or alienation from the formal education and training system. This arises from an interplay between their own background and dispositions¹ and the nature of the education and training itself. Many excluded individuals have a track record of failure in formal settings. Disengagement can stem from stereotyping, prejudice and discrimination in the education system and the workplace (with women for example ending up in low skilled jobs with little training). Such alienation leads to weak motivation to learn formally, normally a poor aptitude to learn and a low assessment of the possible benefits of learning (psycho-social barriers). The motivation to learn can be compounded by the work environment, where low skilled or routine jobs fail to motivate people to learn. Sometimes, after working for a long time in such an environment people need additional support to help them come back to learning.

¹ Itself the produce of a complex and much discussed and disputed interplay between a variety of innate and environmental factors, which we do not have the space to attempt to unravel.

Lack of training opportunities for the low skilled and the need for guidance and counselling

Research suggests that low skilled workers are much less likely to work for employers who provide training and also that higher skilled workers are more likely to participate in training within the workplace. This is important because 40-60% of adult training is financially supported by enterprises and an estimated 70-90% of training undertaken by adults is work-related¹. Low skilled workers are arguably more mobile than more highly skilled individuals and hence they are more likely to suffer the effects of the 'free rider' problem, namely that enterprises are unwilling to invest in training due to the possibility of an individual changing employment and thus benefit a competitor provided that the skills acquired through training are transferable. At the same time, it is generally less profitable for employers to invest in low skilled workers. Thus, in the UK managers and professionals are five times more likely to receive work-based training than people with no qualification or in an unskilled job. The trend is similar in other countries². However, despite the widespread belief that investing in low qualified workers is economically unjustifiable, there is evidence that training procures wage gains for the less educated³.

Individuals can also experience difficulties in taking up training opportunities outside the workplace. Generally they may find participation difficult due to locations and timings that do not fit in with their work or life patterns. The spatial segregation or isolation of some excluded communities can make this a particular problem. Disabled people can face many problems in trying to find accessible provision.

It should also be pointed out that apart from the issue of being able to source training opportunities, the important issue of the quality of training is also highly relevant. As a recent EU Communication pointed out, quality is an over-riding issue in the field of adult learning⁴. Whilst in some countries the sector is well developed this is not universally true across the EU.

In addition, the particular problems faced by the low skilled highlight the need for effective guidance and counselling to support people in their search for the right training opportunity. The lack of training opportunities accentuates this need, along with the issues arising from disengagement which mean that people from disadvantaged backgrounds often require support to access wider competence development opportunities⁵.

¹ Brandsma J. (2002). *Education, equality and social exclusion*, University of Twente, p.87

² OECD (2002). *Upgrading the skills of the low qualified: a new local policy agenda*, p.13; see also: OECD (2003). *Beyond rhetoric: Adult Learning Policies and Practices*, p.125-126. See also the 'Matthew effect' discussed in Leney, T. et al (2004) *Achieving the Lisbon goal: the contribution of VET*

³ OECD (2003). *Beyond rhetoric: Adult learning policies and practices*, p.144

⁴ European Commission (2006) *Adult learning: It is never too late to learn*, Communication from the Commission COM(2006) 614 final, Brussels 23.10.2006, http://eur-lex.europa.eu/LexUriServ/site/en/com/2006/com2006_0614en01.pdf

⁵ See Cedefop (2007) *Zooming in on 2010*, section 5.4; and also <http://www.trainingvillage.gr/etv/News/default.asp?idnews=2352>

Lack of resources

Lack of resources to pay for training is another important factor that can further affect the possibilities for participating in VET. Many individuals lack resources to pursue education and training or do not consider it to be a worthwhile investment; but even where sufficient resources are available, individuals may be discouraged to pursue it by the opportunity costs of foregone earnings¹. Additionally, many low skilled people perceive their skills as sufficient, and therefore see no need for further skills upgrading². In the case of older workers, the shorter length of working life constitutes a shorter period in which to amortise the investment made in training, which may discourage both a worker and an employer from investing in upskilling³.

Stereotyping, prejudice and discrimination

Stereotyping, prejudice and discrimination can be major problems for some disadvantaged groups, and it might be argued that they are an intrinsic component of the process of exclusion. Perhaps not surprisingly the precise manifestation of this particular factor shows considerable variation between disadvantaged groups, countries and within Member States. The problems are well exemplified in relation to the position of women. The educational attainment of females, although often higher than that of males, does not always translate into higher outcomes in post-school experiences. Female leavers often have poorer labour market outcomes than young men despite having better average attainment⁴. The barriers can also be encountered at higher levels. As recent UK study pointed out⁵, many of the vocational courses do not seem to accept females as eagerly as they do males and often the courses at sub-degree level (such as Higher National Diploma or Foundation Courses) are provided within areas that are less attractive to women.

¹ OECD op cit p.43

² Rising expectations: new perspectives for the low skilled, Materials from the international conference organised by the OECD/LEED Programme and the Danish authorities in cooperation with the European Commission Copenhagen, 18 June 2004

³ OECD op cit

⁴ Howieson C. (2003). *Destinations of Early Leavers*, Centre for Educational Sociology, University of Edinburgh

⁵ Davies R. (2003). *Vocational courses 'exclude women'*. The Guardian (17 January 2003)

7.5.2 Barriers faced by specific 'at risk' groups

Table 7.1 provides a summary of the more important barriers faced by different disadvantaged groups. Note that not all the barriers apply to all the individuals all the time in a particular group.

Table 7.1 Barriers in access to lifelong learning faced by groups at risk

Groups	Barriers
Early school leavers	Low educational attainment (poor academic performance) Negative experiences with education system Low motivation Difficult personal situation arising from time of life or other situations (for example carers or lone parents) Behavioural problems Financial barriers (once people have left the education and training system)
Low skilled	Lack of resources (finance, time) Inconvenient location and timing of the courses Mismatch between the training supply and the needs or expectations Information barriers Negative experiences with education, perceived lack of returns on investment made in training Lack of confidence (not aware of tacit skills they could build on) Not aware of deficits/training needs
Unemployed	Emphasis in policy on getting them back to work rather than investing in their upskilling Insufficient training supply Mismatch between training supply and needs Lack of financial incentives to participate in training (either for the employers or for the potential training participants, or both)
Older workers	Early retirement and social welfare disincentives Age discrimination (belief that the investment in the training will not offer expected results; investment focused on younger workers) Lower level of initial education Psycho-social barriers Lack of confidence (not aware of tacit skills they could build on) Not aware of deficits/training needs
Women	Gender stereotyping in provision, discrimination Higher representation in part-time and low skilled occupations which typically are subject to fewer training opportunities
Migrants and ethnic minorities	Low level of initial education or lack of recognition of their education & qualifications acquired in home country Jobs do not match qualification levels Lack of sufficient linguistic skills (second language) Lack of recognition of their education & qualifications acquired in home country

Groups	Barriers
	Low skilled employment / no incentives to learn Lack of opportunity to use the acquired skills (in case of highly skilled refugees who do not have the possibility of having their qualifications and skills recognised) Discrimination and exclusion in education systems (for example Roma children)
People with disabilities	Lower educational attainment Environmental barriers (lack of access to buildings, transport, care, etc.) Low motivation Discrimination

Source: Derived in part from Brandsma J. (2002); ECOTEC

7.6 The scale and scope of the challenge in relation to low skills, unemployment and early school leaving¹

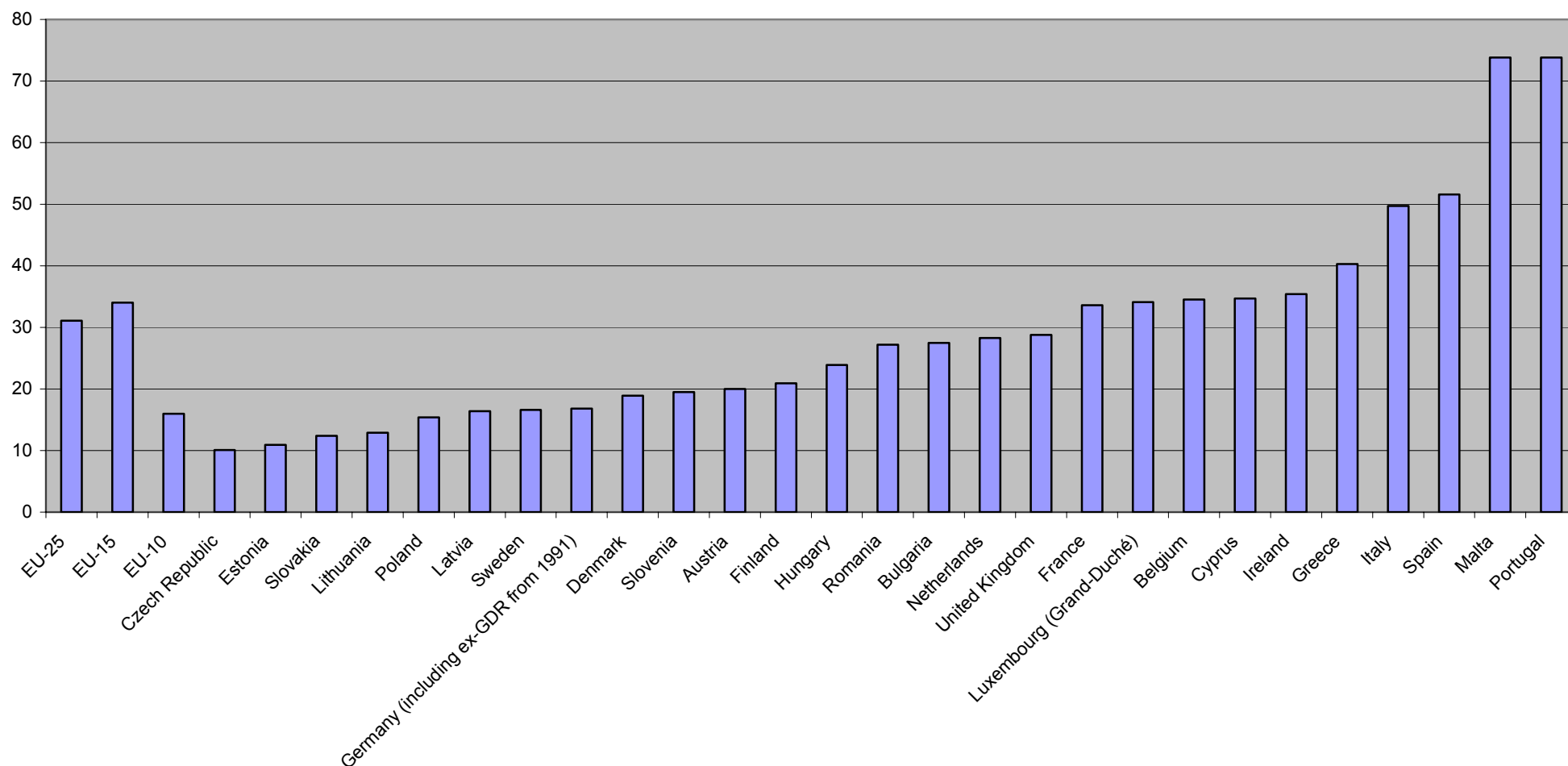
This section scopes the topic in broad terms from available data. It shows the incidence of low skills and early school leaving across the EU, highlighting differences between countries.

Almost a third of the working age population (31.1%) in EU-25 was low skilled in 2005 (Figure 7.1), i.e. having a level of attainment which is regarded as being below the minimum required to perform a stable and skilled job². This proportion has fallen significantly since the Lisbon Summit of 2001, when the equivalent figure was 35%, mainly thanks to the improved educational achievement of young people and the retirement of less educated older people. Improvement has been more pronounced in the New Member States, which reduced their proportion of low skilled people by over a fifth to 16% in the period 2000-2005, - whereas the Old Member States reduced their proportion of low skilled people by just over a tenth, to 34% in the same period. As the figure below shows, however, these aggregate percentages mask very different performances between European countries. Mediterranean countries and Ireland perform particularly poorly in this indicator, whereas Central and Eastern European and Nordic countries, together with Germany and Austria, perform much better, with the remaining continental countries and the UK falling between these two extremes. This is what we would have broadly anticipated given the analysis presented in chapter 5 which showed that the broad structural picture of throughputs for the education and training systems of the Mediterranean countries was quite polarised, whilst it was more egalitarian elsewhere. It should also be noted that the New Member States had high levels of completion during the communist era and therefore in general start from a different position to the Old Member States.

¹ Figures quoted in this section come from the Annex, where sources are also provided, unless otherwise stated.

² Cedefop (2007) *Zooming in on 2010*, p. 95. Thessaloniki: Cedefop

Figure 7.1 Low skilled in the EU-27 in 2005: % of the population aged 25 to 64 that has completed at most lower secondary education (ISCED 2/3c)



Source: Eurostat, 2006

There have also been significant differences in the progress made in the reduction of low-skilled people between countries (Table 7.2). Thus the Czech Republic, Estonia, Sweden, Slovakia, Poland, Slovenia, Hungary, Finland and Netherlands have reduced their proportion of low-skilled people by over 20% in the period 2000-2005; in contrast in Latvia, Denmark, Portugal, Italy, Cyprus and Malta this reduction was below 10%. As such, in the period under analysis six countries have been under a virtuous circle through which they performed above average in terms of providing their population with higher level skills and also in the reduction of the proportion of their low skilled population, as shown in the table below. Four countries performed poorly on both indicators - Portugal, Italy, Cyprus and Malta - suggesting that in these countries urgent reforms are needed.

Table 7.2 Current performance and recent progress in the reduction of the low-skilled in European countries

Performance(*) Improvement (**)	Above	Average	Below
Above	CZ, EE, SK, PL, SW, SL	UK, HU, FI	-
Average	LI, DE	AT, RO, BL, NL	ES, GR, IR, BE, LU, FR
Below	LT, DK	-	PT, IT, MT, CY

Source: Own elaboration from Eurostat data. (*)= Countries having over 30% of low skilled people were ranked as below average; those having between 20 and 30% were ranked as average and those having less than 20% were ranked above average; performance refers to 2005; (**) = Countries where reduction has been above below 10% in the period 2000-2005 have been ranked as below average, those with a reduction between 10% and 20% have been ranked as average and those with a reduction over 20% have been ranked as above average.

The difficulties of low-skilled people in accessing the labour market become clear when we turn to the relationship between skill level and unemployment. As we saw in section 2.4, the likelihood of unemployment rises as attainment level decreases. Furthermore, in some countries the *difference* in unemployment rate between those with the lowest levels of attainment (ISCED 0-2) and those with levels around ISCED 3-4 varies significantly, meaning that the incentive for attaining higher qualification levels is higher in some countries than others (*ceteris paribus*), although clearly the likelihood of securing work is by no means the sole determining factor in early school leaving. The correlation with the country clusters developed in chapter 3 is not especially strong, but it is notable that Austria, Germany, the Czech Republic and Slovakia appear in the top six countries with the greatest differential. In the case of Austria and Germany especially this would accord with the strong tracking and accompanying 'social compact' element of their systems which act to strongly incentivise the attainment of qualifications; in the case of the Czech Republic and Slovakia, part of the explanation may lie in the commonalities between their systems and those of Austria but also in the wider economy which is characterised by a very high proportion of employment in high skilled manufacturing (section Figure 2.3), a corollary of which appears to be high rates of unemployment amongst the low skilled.

The other notable feature is the fact that the larger Mediterranean countries tend to have lower differentials, and in the case of Greece a differential in the opposite direction to every other country in Europe, in relation to the difference between unemployment rates for people with level 0-2/3c

attainment and those with level 3-4 attainment. The explanation for this may lie in the fact that the larger Mediterranean countries tend to have comparatively low proportions of their workforce in high skilled sectors, a feature which is particularly pronounced in Greece and Portugal (Figures 2.3 and 2.4), which also have the worst unemployment differentials between attainment levels of this cluster. In other words, the continued prevalence of low skilled employment means the low skilled do not suffer any significantly worse employment prospects than the higher skilled in these countries, and also that early school leaving is less heavily penalised in the labour market. We should also note that the strong employment protection regime which exists in the Mediterranean countries does not appear to support a strongly incentivised education and training system as in Austria and Germany (which combine employment protection with the use of unemployment benefits, as we saw in section 3.3), perhaps on account of the prevalence of low skilled employment which makes it easier to access work without completing upper secondary education.

At the same time, it is important to take into account the fact that unemployment levels for people with the lowest levels of attainment also vary significantly. Table 7.3 draws attention to those countries where both the level of unemployment for the low skilled and the differential between attainment levels is high. The low skilled arguably face significant challenges in terms of labour market integration in these countries. Interesting to note is the fact that the challenge in these countries (a mix of some continental and Central and Eastern European Member States) is different to that facing the Mediterranean countries, where the issue is one of the incentive to train. Clearly the determining factor here is the interplay between general economic conditions and the balance between the supply of and demand for low skilled employment.

Table 7.3 Differences in the level of unemployment between the low-skilled and people with ISCED 3-4 qualifications

Level unempl.(*) Difference (**)	Low	Medium	High
Low		GR, PT, RO,	HR
Medium	LU, CY	ES, IT, NL, SI, SE	FI, LT
High	DK	AT, IE, MT, UK	BE, BG, CZ, DE, FR, LV, HU, PL, SK

Elaboration from Eurostat data. ()= Countries having over 10% unemployment rate for low skilled people were ranked as high; those between 6 and 10% as medium and those having less than 6% as low; (**) = Countries where the unemployment rate of people with ISCED level 0-2 is over 150% that of people with ISCED 3-4 have been ranked as high; between 110-140% it has been ranked medium and below 110% it has been ranked low.*

Overall, out of the ten countries with higher proportions of their population being low skilled, the situation of low skilled people in relation to unemployment is as shown in Table 7.4:

Table 7.4 Low skills and unemployment in countries with high proportions of low skilled

Low unemployment for the low skilled	Medium unemployment for the low skilled	High unemployment for the low-skilled
LU, CY	ES, IRL, IT, MT, GR, PT	BE, FR

Therefore low skilled people are at a greater risk of being excluded from the labour market in Belgium and France, and action is particularly important in these countries. Spain, Ireland, Italy and Malta also have high rates of low-skilled people but their employment prospects are more positive than in Belgium and France. Yet, there is substantial scope for improvement in these countries in terms of the reduction of the low-skilled population and the improvement of their labour situation. Finally, in Luxembourg and Cyprus, although there are high proportions of low-skilled people, these find relatively easy integration into the labour market.

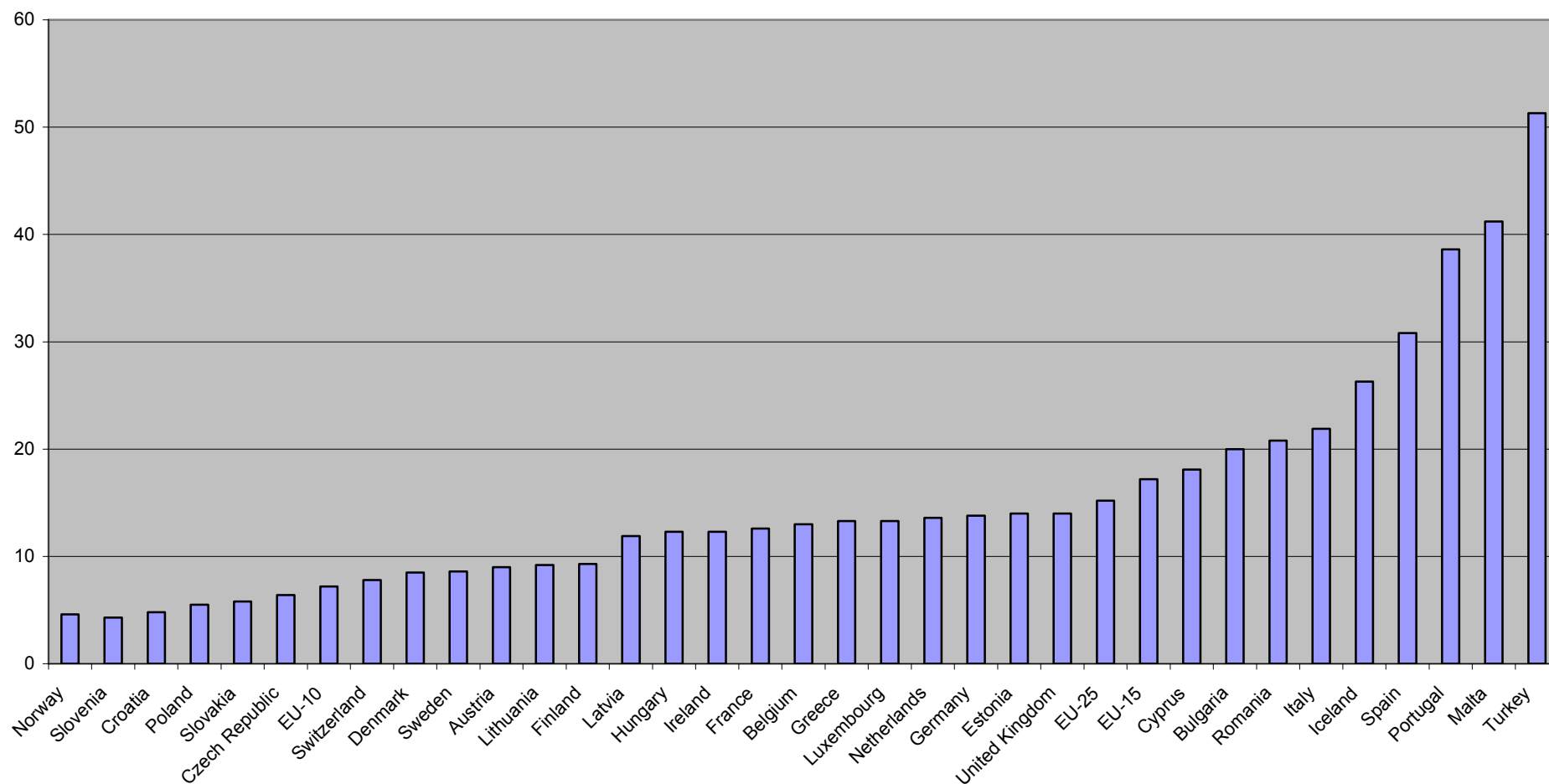
Naturally, there is a strong correlation between the prevalence of low skilled individuals in the labour market and early school leaving. In 2005, early school leavers (those people aged 18-24 who have attained at most ISCED level 2 or 3c short and are not in further education or training) represented around 15% of young people aged 18-24 in the EU-25, down from 17.7% in 2000, while the EU benchmark to be achieved by 2010 is 10%. There are also large differences between the Member States, with some having as little as 4% school leavers among those 18 to 24 years of age, others having around 40% of this age cohort (Figure 7.2). As might be expected from the analysis presented in chapter 5, the highest rates of early school leaving tend to found in Mediterranean countries, whilst the countries of Central and Eastern Europe and Nordic countries tend to have the lowest rates.

Over the period 2000 to 2005, there was a reduction in the overall number of early school leavers in the EU as a whole. The reduction for the entire EU-25 stood at 14.1%, which includes a 11.8% reduction in the EU-15 and 20% reduction in the EU-10. However, experiences vary substantially between countries (Figure 7.3), with some registering a worsening in the rate. Interestingly, of those countries whose rates worsened, the majority fell amongst countries with comparatively low rates of early school leavers, which may indicate that below a certain level further reductions in early school leaving are difficult to engineer. This resonates with the observation by some researchers which we cited in section 6.2.2 that some individuals may not wish to engage in formal learning almost regardless of the circumstances. At this level, therefore, early school leaving rates may more or less stabilise, showing slight fluctuations over time but generally being very resistant to change. At the other end of the spectrum, we should also note that the biggest reductions in rates were not achieved by those countries with the highest rates of leaving. Although this is partly a function of the statistics used¹, nonetheless it indicates the major challenge faced by these countries – amongst which Mediterranean countries are

¹ These countries have further to travel and so they have to achieve a greater impact on rates to secure the same percentage reduction as in other countries starting from a lower base.

prominent – in tackling this problem. Indeed in Spain the already poor rate actually worsened. In Greece, although the staying on rate is notably better than in other countries in its cluster, this needs to be seen in the context of the unemployment rates we have just examined which are worse at ISCED 3-4 than 0-2; in other words, staying on is not necessarily rewarded with better employment prospects.

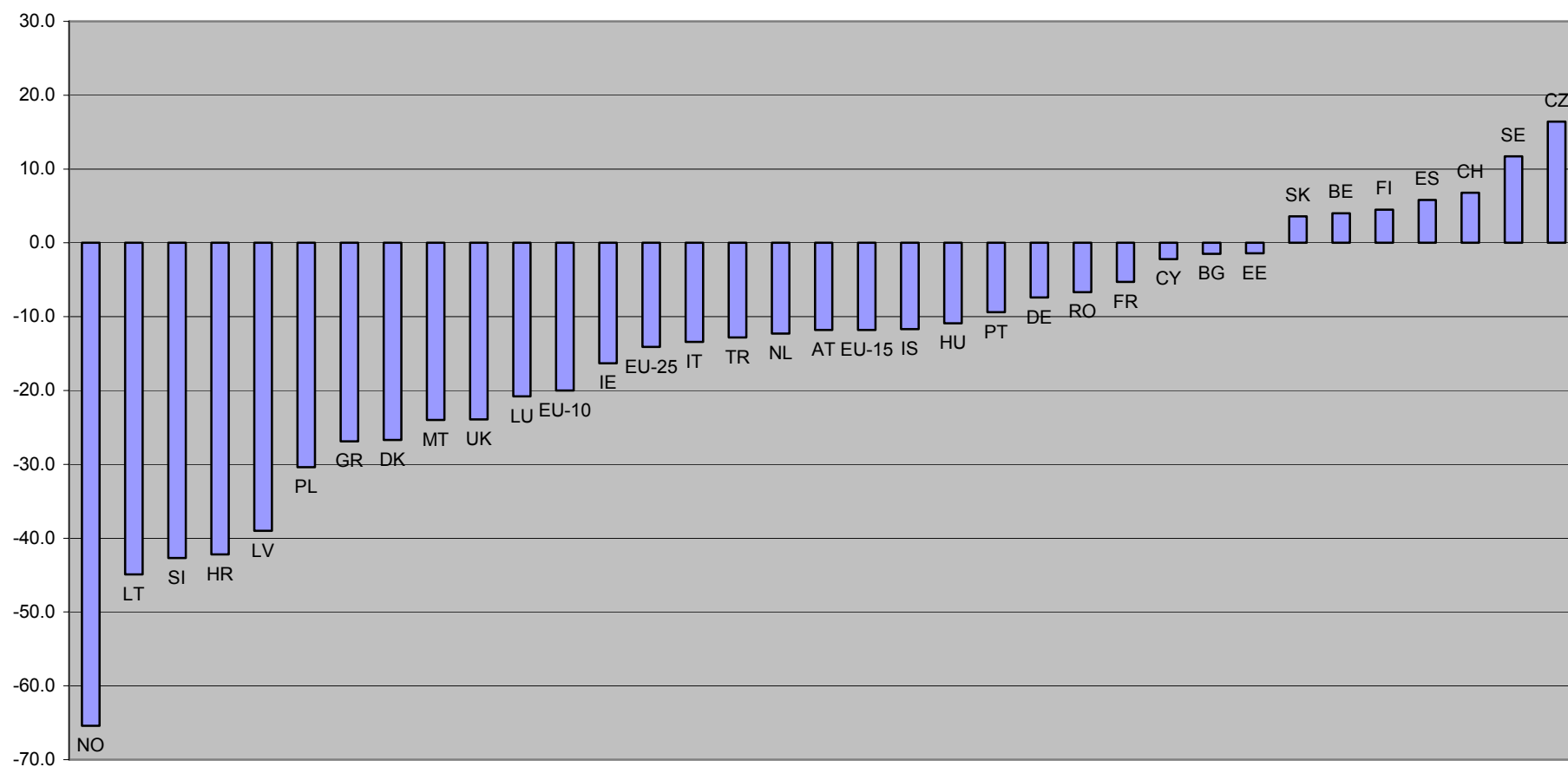
Figure 7.2 Share of early school leavers as proportion of 18-24 year olds, 2006 (early school leavers defined as people who have attained at most ISCED level 2 or 3c and are not in education or training)



Source: Eurostat 2006

Notes: Figures for Croatia are unreliable according to Eurostat

Figure 7.3 Percentage change in the share of early school leavers 2000-2005¹



Source: Eurostat 2006

¹ In some cases, the data are not available until 2001 or 2002; therefore, the calculation of changes is based on the difference between the first available figure and 2005 (see Annex Three for details)

Overall, early school leavers display worse labour market performance than those who remain in education (Table 7.5). They also record higher incidence of precarious working conditions, such as lower relative earnings from income, blue collar work, higher incidence of part-time work, etc.¹ Young people who had achieved only ISCED levels 0-2 had an unemployment rate of 23.7% in the EU-25 in 2005 (compared to 18.5% in that age group as a whole) ranging from 27.7% in the EU-10 to 21% in the EU-15. In most EU countries, the unemployment rate among early school leavers aged 15-24 years is higher than the unemployment rate for that age category in general. In terms of the country clusters we have been using throughout the report, it is notable that the Mediterranean countries (with the exception of Malta) have negative or low differentials. OECD studies of the 20–24 age group also highlighted a much lower employment rate for early school leavers compared to the same age cohort, the only exceptions being Greece, Spain, Italy and Portugal, which again highlights the poor incentives for people to stay in education in these countries. In other words, as we have noted above, the availability of low skilled employment for young people encourages early leaving in many countries, and not just in the Mediterranean group but also for example in Iceland where the fishing industry provides such opportunities for many young people.

Table 7.5 Comparison of unemployment rates between early school leavers and the general working population, 2005

Country	Unemployment rate amongst under 25 year olds	Unemployment rate among early school leavers aged between 15-24 years	Numerical difference in unemployment rates	Percentage difference in unemployment rates
CY	13.2	9.5	-3.7	-28
EL	26	19	-7	-27
RO	23.8	17.6	-6.2	-26
EU-10	30.4	27.7	-2.7	-9
PT	16	14.8	-1.2	-8
IT	24	24.8	0.8	3
ES	19.7	21	1.3	7
FI	20.1	21.8	1.7	8
DE	15	16.5	1.5	10
PL	36.9	40.6	3.7	10
DK	8.6	9.6	1	12
NL	8.2	9.9	1.7	21
SE	22.6	28	5.4	24
EU-15	16.7	21	4.3	26
SI	15.9	20.3	4.4	28
EU-25	18.5	23.7	5.2	28
AT	10.5	13.7	3.2	30
LU	13.8	19.7	5.9	43
FR	22.3	33	10.7	48
MT	16.7	25	8.3	50
HU	19.4	30.6	11.2	58
BE	21.5	34.9	13.4	62

¹ GHK (2005). *Study on Access to Education and Training, Basic Skills and Early School Leavers* (Ref. DG EAC 38/04); Lot 3: Early School Leavers, p.131-132

Country	Unemployment rate amongst under 25 year olds	Unemployment rate among early school leavers aged between 15-24 years	Numerical difference in unemployment rates	Percentage difference in unemployment rates
LV	13.6	22.5	8.9	65
IE	8.6	15	6.4	74
BG	22.4	39.9	17.5	78
CZ	19.2	48.7	29.5	154
UK	12.9	33.8	20.9	162
SK	30.1	79.5	49.4	164

NB Estonia and Lithuania are not included owing to incomplete data

Source: Eurostat

7.7 Educational attainment levels and labour market positions of groups at risk

Having examined the general situation with regard to low skills and early school leaving, we turn in this section to look at the educational attainment levels and labour market positions faced by particular disadvantaged groups in the labour market. As we noted in the introduction to this chapter analytically there is an important distinction to be drawn between groups defined by a particular ascribed characteristic (ethnicity, gender, age etc) and those defined by their position in relation to skills level and labour market position: ascribed characteristics do not necessarily have any direct connection to skill level or labour market position. The obstacles faced by these groups and the effectiveness of solutions therefore take a distinct form.

7.7.1 Immigrants and minority ethnic communities

Data collection across the EU makes it difficult and in some cases impossible to compare the employment and education situation of immigrants and ethnic minorities.

Regarding educational attainment it has to be borne in mind that in many cases the phenomenon of 'selective immigration' has taken place, whereby migrants tend to have a very defined educational profile. Since in many European countries demand has been for low-skilled immigrants, the educational attainment of the immigrant population has tended to be lower than that of native populations¹. There are however also sectors in which immigrants fill specific higher skills gaps, such as in the health sector. There is also evidence that skills levels are higher in recent waves of immigration².

A recent EUMC Report points out that there is still over-representation of ethnic minorities and immigrants in schools with low academic demands or special schools which places them at a particular disadvantage³. However, the picture seems to change in the second and third generation of immigrants as their educational and employment trajectories differ from those of their parents and foreign-born peers. Despite the limited body of research available in this area, evidence suggests that second

¹ EUMC (October 2003) *Migrants, minorities and employment: exclusion, discrimination and anti-discrimination in the 15 Member States of the European union*, p.41

² Ibid

³ EUMC (2004) *Documenting discrimination and integration in 15 Member States of the European Union*, p.28-33

generation immigrants can achieve higher levels of education and wages than the children of natives (US and Canadian studies)¹. However, this depends very much on the particular combination of migrants' ethnic background and that of the 'host' population, witness the fact that in the UK the educational performance of people from Afro-Caribbean backgrounds has been persistently low whilst those from some South Asian communities exceeds that of the native population. Another study points out that second generation immigrants in the age group 25-37 tend to have more years of schooling, higher probability of achieving a university degree and higher earnings than their native peers².

Research in France has shown that immigrant children are more successful in secondary education than natives with the same socio-economic background (low parental education, large families, etc.)³. Moreover, faced with school difficulties, immigrant children show greater perseverance towards success; their families' educational aspirations can also explain more favourable school trajectories than those of their native peers. The initial differences between children's attainment in French and mathematics, are greatly reduced at later stages of schooling, which suggests that French schools do perform their task of assimilation and the later difficulties arise more from socio-economic background than immigrant status⁴. Further research has confirmed these findings by pointing out that although children whose parents regularly use languages other than French more frequently failed a primary school year in France compared to the general population, their failure rate was no worse than other children with similar socio-economic background. Similarly, children with foreign nationality or having immigrant parents usually have poor records in the first four years of school but they actually perform better than children from similar backgrounds⁵.

In Germany, recent research shows that the educational attainment of parents has an effect on educational choices of their children only in the case of Germans, but not in the case of immigrants. The second generation immigrants have educational attainment levels closer to their German counterparts than their parents' (compared to the German adult population).

In the UK, the educational background of immigrants is strong, with the educational attainment of ethnic minorities born in the UK on average being higher than that of their parents and also higher than that of their native peers⁶. However, it is worth pointing out that in the UK itself there are considerable differences between the educational attainment and labour market performance of different ethnic groups, with such groups as Indians, Japanese or Chinese often performing better than the native population and groups such as Bangladeshis and Pakistanis performing worse and indeed being below the national average.

¹ Dustmann C. and Theodoropoulos N. (2006). *Ethnic Minority Immigrants and their Children in Britain*, CReAM Discussion Paper No 10/06

² Aydemir A., Chen W-H. and Corak M. (2006). *Intergenerational Earnings Mobility Among the Children of Canadian Immigrants*, Analytical Studies Branch Research Paper Series, Statistics Canada

³ OECD (2006). *Where immigrant students succeed – A comparative review of performance and engagement in PISA 2003*, p.114

⁴ Vallet L.-A. and Caille J.-P. (1999). *Migration and Integration in France. Academic Careers of Immigrants' Children in Lower and Upper Secondary School*

⁵ Centre for Economic Policy Research (2001) *Labour Demand, Education, and the Dynamics of Social Exclusion*, p.10

⁶ Dustmann C. and Theodoropoulos N. (2006) *Ethnic Minority Immigrants and their Children in Britain*, CReAM Discussion Paper No 10/06, p.47-48

Since each Member State defines immigrants according to their own standards, their labour participation figures are difficult to compare. One can, however, examine relative inequalities¹. The available evidence suggests that in most EU Member States the labour force participation (LFP) rate is usually lower than that of non-immigrant populations although the differences vary from country to country and in some cases they do not exist. For example, in France, the LFP rate is 1 percentage point lower for immigrants than for the native population. In Luxembourg, the LFP rate is 10% higher for foreigners than it is for nationals, mainly due to the nature of Luxembourg's labour market which has a high share of transnational workers from the Member States. There are also substantial differences between the LFP rates of immigrants/foreigners coming from the EU and those coming from third countries, with the latter showing lower LFP rates in some countries (for example in Denmark, the Netherlands and Sweden). The total LFP rates also mask the differences between males and females which tend to be profound both in case of immigrant and non-immigrant populations. Moreover, the LFP data may not indicate the share of economically active immigrants compared to the economically active non-immigrant population since in some countries the immigrants are overrepresented in the working age population².

In terms of unemployment rates of immigrants, data compiled by EUMC show that this is typically higher than those of non-immigrant populations. The report points out that the unemployment rates vary by country even more than employment rates, therefore, evaluations have to be made on a country-by-country basis³. States with low unemployment rates for the total population tend to have the highest multiples in unemployment rates for migrants (Denmark, Sweden and Netherlands). States with higher unemployment rates for the total population have lower multiples although the unemployment rates for immigrant populations are high in absolute terms (e.g. France and Spain). This suggests segmentation in the labour market with migrants being absorbed differentially depending on the general state of the economy.⁴

However, as mentioned above, there are profound differences between immigrants of European and non-European origin, with the latter experiencing much higher unemployment rates than the overall population, including European immigrants⁵.

As shown above, European labour markets remain highly segmented along national or ethnic lines, especially between Europeans and third country nationals. The latter tend to be employed in low-skilled and low-paid professions whereas citizens from the EU/EEA belong to higher income and status groups⁶. In addition, some immigrant groups are still concentrated around certain industrial sectors (for example construction, manufacturing), parts of the service sector (customer services, catering and

¹ EUMC (2003). *Migrants, minorities and employment: exclusion, discrimination and anti-discrimination in the 15 Member States of the European union*, p.26

² Ibid

³ Ibid

⁴ Indeed, this accords with notions of 'dependent labour markets' which some authorities have identified as a feature of segmented labour markets in which ascribed characteristics such as race play a major role independent of 'neutral' factors such as skill levels.

⁵ For detailed analysis of each group see: EUMC op cit

⁶ Ibid., p.35

cleaning) and agriculture and tourism. There are also specific ethnic hierarchies in the labour market whereby certain professions are dominated by one ethnic group¹.

Since the immigrant populations are overrepresented in blue collar work and other low-skilled positions, they have been particularly hit by the restructuring processes in EU economies as a result of which the demand for low-skilled jobs has fallen².

Finally one particular mobile community warrants separate attention given its long-standing position in Europe and its treatment in policy: the Roma community. The presence of the Roma in public education is characterised by low enrolment, low attendance and low performance compared to the general population³. Roma and traveller pupils are characterised by very low transition rates from primary to secondary education which are a result of low academic performance and also of parents' efforts to find full employment. The performance of Roma pupils is further influenced by their background which is typically characterised by high unemployment, poor housing and low access to health services⁴. Their drop out rates from secondary schools (in general) are also higher than those of the majority of the population and increase with age. When at school, Roma and traveller children suffer from segregation practices as well as from the fact that schools are less prepared to deal with their specific needs.

7.7.2 People with disabilities

According to a Commission study⁵, the number of disabled people in 2002 ranged from 17 to 24 million people within the 16-64 age group. These differences in estimates are to a large extent due to problems with the definition of disability. According to another Commission study, the share of people with disabilities in 2001 ranged from 8 to 14% of the total EU-15 population⁶.

In 2002⁷, according to data collected by EU-SILC (European Statistics on Income and Living Conditions) and the ELFS (European Labour Force Survey) less than half of the disabled people were employed and the employment rate for disabled people stood at 40% compared to the 64.2% of the non-disabled. Evidence also suggests that disability affects early retirement⁸.

¹ An example may be Greece where Albanians are employed mainly in low-skilled jobs in agriculture and construction, Poles and Romanians as skilled manual labourers, Filipinos as domestic workers, Pakistani, Indian and Bangladeshi as unskilled labour in factories and Africans as small traders and street vendors.

² EUMC op cit

³ Ibid., p.19

⁴ EUMC (May 2006). *Roma and Travellers in Public Education. An overview of the situation in the EU Member States*, p.8

⁵ EC DG Employment and Social Affairs (2002) *Active Labour Market Programmes for People with Disabilities, Facts and figures on use and impact* (August 2002), p.6

⁶ *The Employment Situation of People with Disabilities in the European Union* (August 2001), p.8, available at: http://ec.europa.eu/employment_social/news/2001/dec/2666complete_en.pdf

⁷ COM(2005)604 final, Communication from the Commission to the Council, to the European Parliament, to the Economic and Social Committee and to the Committee of the Regions, *Situation of disabled people in the enlarged European Union: the European Action Plan 2006-2007*, Brussels, 28.11.2005, p.4

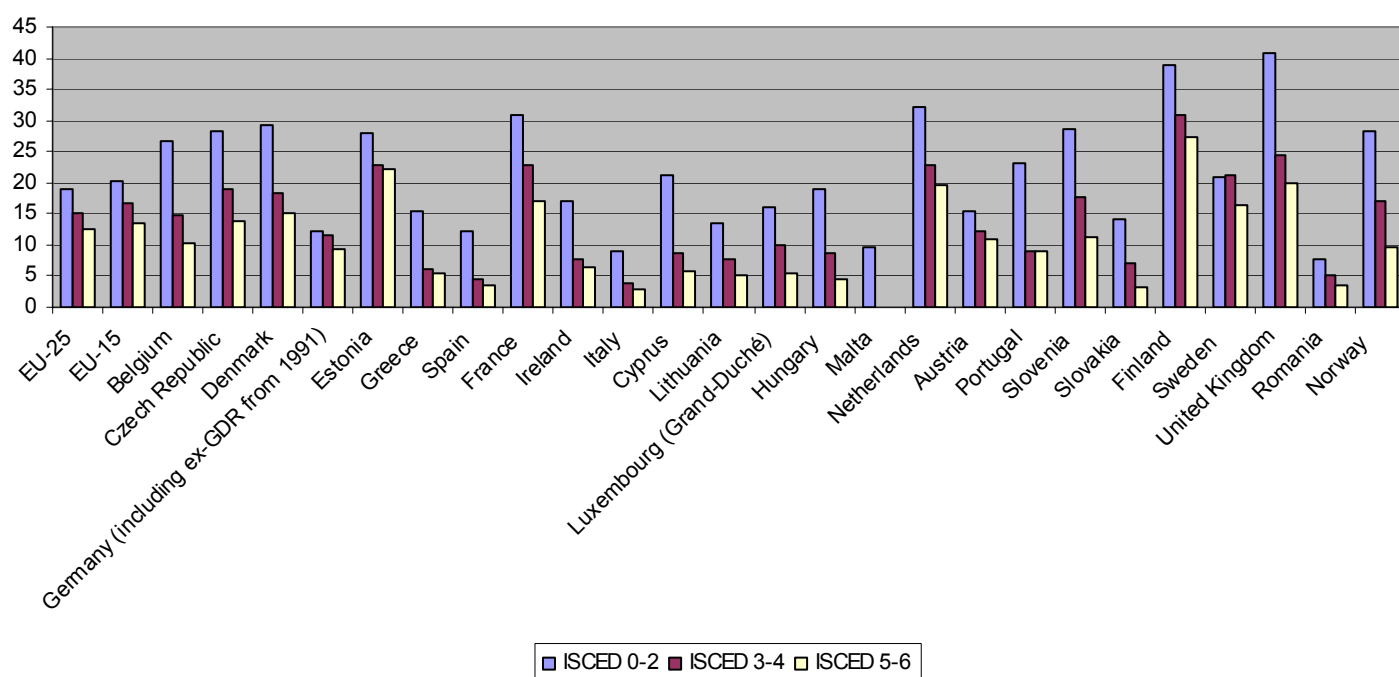
⁸ Ibid

Disability is strongly related to age – in 2001, 63% of people with disabilities were over the age of 45 compared to 33.9% of the non-disabled population¹. There are no substantial differences between the proportion of men and women among disabled people across EU countries.

Data from the European Community Household Panel (ECHP) from 1996² show that the educational attainment of disabled people is lower than the attainment of the non-disabled population, with significant differences in secondary and tertiary level attainment³. Only 9% of those severely hampered and 14% of those hampered to some extent have chances to reach tertiary education (in Finland and France these chances were the highest, followed by Spain, Austria and Italy).

France, Italy, Spain and the UK are among the countries where the proportion of disabled people with very low educational levels is high (see Figure 7.4).

Figure 7.4 Prevalence percentages of disability by education level, by country, 2002



Source: Eurostat, LFS ad hoc module, 2002 (retrieved May 2007)

This low educational attainment is partly related to age as there are higher proportions of disabled people over the age of 45 and educational attainment in general decreases with age for all groups. However, even after correcting for age the educational attainment of disabled people remains low. One

¹ Ibid p.8

² European Community Household Panel (ECHP) was a survey carried out by Eurostat from 1994 to 2001. It was based on a standardised questionnaire covering wide range of topics. Initially carried out in 12 EU Member States, the group was joined by Austria and Finland in 1996. For more information on ECHP see: <http://circa.europa.eu/irc/dsis/echpanel/info/data/information.html>

³ European Disability Forum, Greek National Confederation of Disabled People (2002). Disability and Social Exclusion in the EU – time for change, tools for change; Final Report, available at: http://ebuindigo.org/res_exclusion1-2.htm (data covering 14 EU Member States) (accessed May 2007)

explanation of this is the fact that people with certain types of disabilities typically have fewer educational opportunities. Another explanation is that people with lower education tend to have higher risk jobs¹.

Available evidence suggests that young persons (below the age of 25) who are restricted in the kind or amount of work they can do are also less likely to participate in education and training². In 2001, 63% of persons aged 16-19 who were restricted were in education and training, compared with 75% of those who were limited to some extent and 83% who were not restricted at all. Moreover, these differences are more pronounced for women than for men. Similar patterns can be observed for those who are aged 20-24, where 23% of those who are restricted were involved in education and training, compared with 36% of those with some restrictions and 43% of those who were not restricted at all.

As regards older age groups, among those aged 25-49, in 2001, 8% of men and women who were restricted participated in education and training. Among those who were not restricted this share stood at 10%. The equivalent figure for those who were restricted only to some extent stood at 12%.

For those aged 50-65, the participation rates were small for each category; however, among those who were restricted, 3% participated in education and training, compared with 4% of those who were restricted only to some extent.

The target participation rate set at the Lisbon Economic Council was to achieve equal employment rates between people with and without disabilities. In 2001, the share of disabled people that were economically inactive was 52% compared with 28% of non-disabled people³. The share of employed people stood at 42% compared to almost 65% of non-disabled people. An important finding is that those disabled people who are in employment are only slightly more likely to become unemployed than the non-disabled population (12% and 10% respectively). Moreover, since a considerable number of those with restrictions are older (over 50), this in itself reduces their relative number in employment. Disabled people in employment are more likely to be younger, male and better educated.

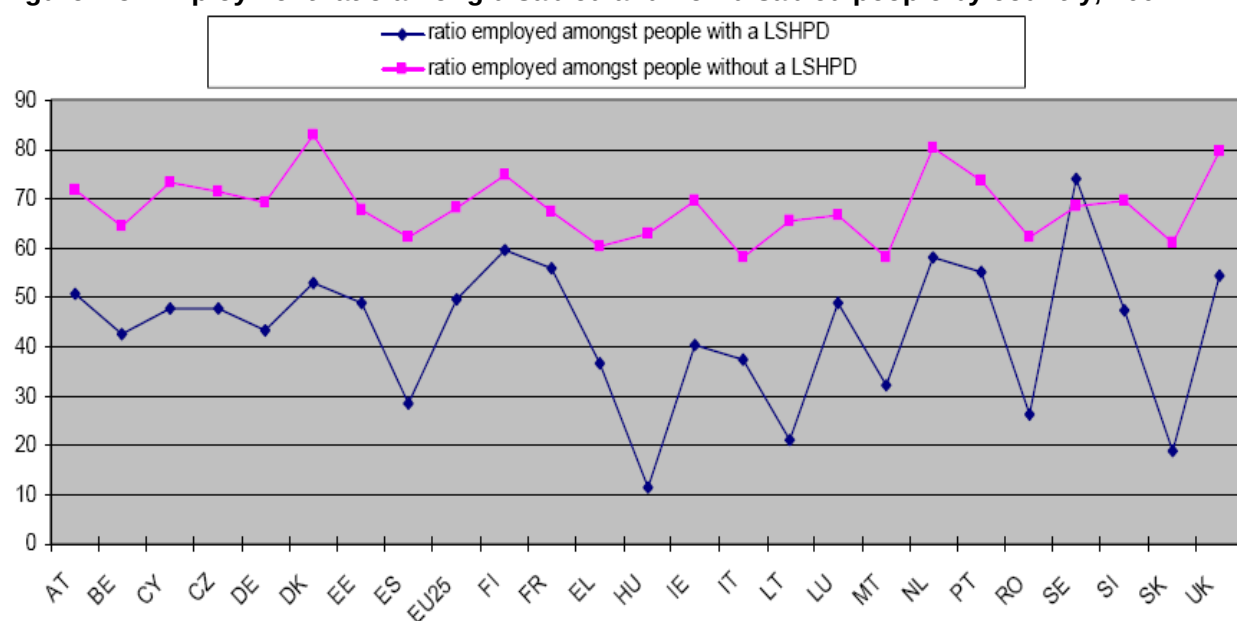
There is some evidence that the differential in the rate of employment between people with a disability and those without varies from country to country. Figure 7.5 indicates that the differential is smallest in Finland, Sweden (indeed where it appears to be better for disabled people), the Netherlands and the UK; and is greatest in Hungary, Lithuania, Romania and Slovakia.

¹ EC (2002). *The employment situation of people with disabilities in the European Union*, p.9

² Applica, Cessep, Alphametrics (2007). *Men and women with disabilities in the EU: Statistical analysis of the LFS ad hoc module and the EU-SILC*, p.72

³ The Employment Situation of People with Disabilities in the European Union, EIM Business and Policy Research for the European Commission (August 2001), p.9; the data used in the report come from ECHP survey (1994-2001)

Figure 7.5 Employment ratio among disabled and non-disabled people by country, 2002



Source: COM(2005) 604 final, *Situation of disabled people in the enlarged European Union: the European Action Plan 2006-2007* (data based on LFS ad hoc module, 2002)

Notes: LSHPD = Long-standing Health Problem or Disability

7.7.3 Older workers

There are no comprehensive data on educational attainment of older workers available. However, available evidence points to the fact that older people have lower educational attainment than younger generations. According to OECD data, educational attainment levels decrease with age in almost all OECD countries¹. This applies not only to the upper secondary level but also to the share attaining tertiary education, where in both cases the younger generation (25-34 year olds) has higher attainment levels than 45-54 year olds². It is also the case that older workers are less likely to participate in lifelong learning³.

The unemployment rate among older workers is lower than the EU average (Table 7.6). In 2006, that figure stood at 6.2%, with only 0.1 percentage point difference between males and females.

¹ OECD (2006). *Education at a Glance 2006*, Indicator A.1 – Educational attainment of adult population, www.oecd.org/edu/eag2006 (accessed May 2007)

² Ibid., Charts A.1.2 and A.1.3.

³ Cedefop (2007) *Zooming in on 2010*, pp98-99

Table 7.6 Unemployment rate for older workers (persons aged 55-64 years)

	2000	2001	2002	2003	2004	2005	2006
Overall unemployment rates							
EU-27	8.6	8.4	8.8	9.0	9.0	8.7	7.9
EU-25	8.6	8.4	8.7	9.0	9.0	8.7	7.9
EU-15	7.6	7.2	7.5	7.9	8.0	7.9	7.4
EU-10	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.
Unemployment rates of older workers							
EU-27	7.3	6.6	6.3	6.5	6.9	6.4	6.2
Males	7.4	6.7	6.5	6.7	7	6.6	6.2
Females	7.3	6.3	6.1	6.4	6.7	6.2	6.1
EU-25	7.7	6.7	6.4	6.7	7	6.6	6.3
Males	7.6	6.7	6.5	6.7	7	6.7	6.3
Females	7.8	6.6	6.3	6.5	6.9	6.4	6.3
EU-15	7.6	6.5	6.2	6.5	6.8	6.4	6.2
Males	7.5	6.4	6.2	6.6	6.8	6.4	6.1
Females	7.8	6.6	6.3	6.3	6.8	6.3	6.4
EU-10	8.1	8.1	7.9	8.2	8.3	7.9	6.7
Males	8.3	8.9	8.8	8	8.8	8.6	7.4
Females	7.8	6.9	6.4	8.4	7.5	6.8	5.5

Source: Eurostat, 2006

The unemployment rate for older workers has only marginally decreased over the 2000-2006 period (see table above). Older people usually face lower unemployment rates than younger people. However, once unemployed, they face a much higher risk of being long-term unemployed, due to difficulties in securing new employment. Also, individuals in this age category are much more likely to be inactive than those who are prime aged¹. Research suggests that discrimination against workers on the basis of age can start as early as 40 or 45. The dominant approach is to see older workers as being deficient in skills rather than contributing to workplace 'know-how' through their experience².

Although the problem of unemployment among older workers is an important one, the main focus of the discussion on policies towards this age group is how to raise their participation level in the workforce. As Figure 7.7 shows, the employment rate has steadily risen across the EU as a whole, showing a steady year-on-year increase, in contrast to the more fluctuating pattern in rates of unemployment. Nonetheless, major variations exist between Member States. Although the country clusters we identified do not map strongly onto the variances, it is notable that high rates tend to be found in the Nordic countries, Estonia, the UK and Ireland. The factors behind such differences are complex but

¹ EC (2006). *Ageing and Employment. Identification of good practice to increase job opportunities and maintain older workers in employment*

² Cedefop (2007) *Zooming in on 2010*, p. 98. Thessaloniki: Cedefop

include cultural attitudes to work and age, employers' recruitment practices and state provision for retirement, including variations in the statutory retirement age.

Table 7.7 Employment rate among older workers (people aged 55-64) by country

Country	2000	2001	2002	2003	2004	2005
IS	n.a.	n.a.	n.a.	83	81.8	84.3
SE	64.9	66.7	68	68.6	69.1	69.4 (b)
NO	65.2	65.9	66.2	66.9	65.8	65.5
DK	55.7	58	57.9	60.2	60.3	59.5
UK	50.7 (b)	52.2	53.4	55.4	56.2	56.9
EE	46.3	48.5	51.6	52.3	52.4	56.1
FI	41.6	45.7	47.8	49.6	50.9	52.7
IE	45.3	46.8	48	49	49.5	51.6
CY	49.4	49.1	49.4	50.4	49.9	50.6
PT	50.7	50.2	51.4	51.6	50.3	50.5
LV	36	36.9	41.7	44.1	47.9	49.5
LT	40.4	38.9	41.6	44.7	47.1	49.2
NL	38.2	39.6	42.3	44.3	45.2	46.1
DE	37.6	37.9	38.9	39.9	41.8	45.4 (b)
CZ	36.3	37.1	40.8	42.3	42.7	44.5
EU-15	37.8	38.8	40.2	41.7	42.5	44.1
ES	37	39.2	39.6	40.7	41.3	43.1 (b)
EU-25	36.6	37.5	38.7	40.2	41	42.5
EL	39	38.2	39.2	41.3	39.4	41.6
RO	49.5	48.2	37.3	38.1	36.9	39.4
FR	29.9	31.9	34.7	36.8	37.3	37.9
BG	20.8	24	27	30	32.5	34.7
HU	22.2	23.5	25.6	28.9	31.1	33
HR	n.a.	n.a.	24.8	28.4	30.1	32.6
AT	28.8	28.9	29.1	30.3	28.8 (b)	31.8
BE	26.3	25.1	26.6	28.1	30	31.8
LU	26.7	25.6	28.1	30.3	30.4	31.7
IT	27.7	28	28.9	30.3	30.5 (b)	31.4
TR	36.3	35.8	35.7	33.5	33.2	31
MT	28.5	29.4	30.1	32.5	31.5	30.8
SI	22.7	25.5	24.5	23.5	29	30.7
SK	21.3	22.4	22.8	24.6	26.8	30.3
PL	28.4	27.4	26.1	26.9	26.2	27.2
JP	62.8	62	61.6	62.1	63	n.a.
US	57.8	58.6	59.5	59.9	59.9	n.a.

Source: Eurostat, 2006 (b) break in series

The low employment rate for older people is even lower for females than the average for that age category which further shows the multiple dimensions affecting the labour market situation for various groups. In this case, the lower employment rate for females in general is still visible among older

workers. The employment rate for older females in the EU-25 in 2005 stood at 33.7% (see Annex Four) as compared to 42.5% for the entire population aged 55-64. It was at its lowest level in Malta (12.4%), Slovakia (15.6%), Slovenia (18.5%) and Poland (19.7%). The highest employment levels among females were in Sweden (66.7%), Estonia (53.7%), Denmark (53.5%) and Finland (52.7%). Additionally, in these countries the difference between the total employment rate for that group and female employment was very low, suggesting a strongly egalitarian situation in the labour market.

7.7.4 Women

The attainment level of women at ISCED level 3 is two to three percentage points lower than the average attainment level for the EU-27 (see Annex Four) but as Table 7.8 shows their position is highly variable. Due to the fact that data on the number of low skilled people in the EU-27 and data on educational attainment of women in EU/EEA and candidate countries (OECD members) come from different sources, conclusions on gender differences in educational attainment cannot be drawn with absolute certainty. However, available data suggests that women are most likely to underperform compared to the general population in Austria, the Czech Republic, Slovakia, Luxembourg, Turkey and the UK. They are most likely to perform better in Finland, Sweden, Ireland, Poland, Switzerland, Greece, Portugal and Spain.

Table 7.8 Distribution of the 25-to-64-year-old female population, by highest level of education attained, 2004

	ISCED 0-1	ISCED 2	ISCED 3C Short	% of women attaining ISCED 0-2/3c	% of the total population attaining ISCED 0-2/3c
Austria	x(2)	25	A	27	21
Belgium	17	17	a	34	33
Czech Republic	n	14	a	14	10
Denmark	1	17	3	20	19
Finland	10	9	a	19	21
France	16	20	a	35	33
Germany	3	17	a	20	17
Greece	32	9	1	42	43
Hungary	2	25	a	27	24
Iceland	3	33	6	42	38
Ireland	16	17	n	33	35
Italy	20	29	1	50	49
Luxembourg	20	11	7	38	34
Netherlands	8	23	x(4)	35	33
Norway	n	24	a	24	22
Poland	x(2)	16	26	44	51
Portugal	58	13	x(5)	76	79
Slovak Republic	1	18	x(4)	23	19
Spain	26	25	A	51	71
Sweden	6	9	A	15	17
Switzerland	4	12	5	21	17
Turkey	72	7	A	77	73
United Kingdom	n	16	22	38	33

Source: OECD 2005

Differences in the patterns of early school leaving in recent years, however, reveal that early school leaving rates among females are lower than those of males (see Table 7.9). Despite that, the labour market outcomes for female early school leavers are poorer than those of males.

Table 7.9 Gender differences in early school leaving rates

Region/group	2000	2001	2002	2003	2004	2005	2006
European Union (27 countries)	17.6	17.3	17.1	16.6	16.1	15.6	15.4
Females	15.6	15.2	14.9	14.7	13.7	13.6	13.2
Males	19.7	19.4	19.3	18.6	18.5	17.6	17.5
European Union (25 countries)	17.3	17.0	16.6	16.2	15.6	15.2	15.1
Females	15.2	14.8	14.4	14.2	13.1	13.1	12.8
Males	19.5	19.2	18.9	18.1	18.0	17.3	17.4
European Union (15 countries)	19.5	19.0	18.7	18.3	17.7	17.3	17.0
Females	17.2	16.6	16.2	16.1	15.0	14.9	14.5
Males	21.8	21.4	21.1	20.5	20.4	19.6	19.5
New Member States (10 countries)		9.0	8.7	7.7	7.5	7.2	7.5
Females		7.4	7.1	6.4	5.8	5.9	5.8
Males	:	10.7	10.2	9.0	9.2	8.5	9.1

Source: Eurostat, extracted May 2007

7.8 General issues concerning interventions aimed at tackling the problem of low skills

A number of implications flow from the foregoing analysis which we discuss in this section before turning to the issue of the measures that have been adopted to deal with the issue of early school leaving.

Degree of disadvantage and 'distance' from the education and training system

In section 7.5 we discussed the many and varied obstacles faced by disadvantaged people in accessing education and training. We have also discussed – in chapter 6 - the fact that people weigh up the relative costs and benefits of the different choices facing them at particular points in their educational careers. Putting these two aspects together we can see that individuals will be at a variety of 'distances' from formal education and training systems. Some are very remote from the prospect of ever participating. These people are likely to suffer from multiple forms of exclusion and we might usefully conceive of such individuals as being in some senses 'structurally' alienated from the education and training system, especially traditional classroom-based modes. In contrast, people who suffer from comparatively milder forms of disadvantage may be much closer to participating in education and training, their non-participation being the product of one or two specific contingent factors, e.g. to do with course duration, timing or location. Reduce these obstacles sufficiently and such individuals may

start to participate. Those who are a long way from participation naturally constitute a much more intractable issue than what we might term these 'marginal non-learners'¹. Policy successes are theoretically much easier to achieve with the latter than with 'hard-to-reach' groups of non-traditional learners. This points to a need for carefully differentiated policies to deal with disadvantage and exclusion.

The general role of VET in relation to specific groups at risk

We discussed above the nature of the training needs faced by disadvantaged groups and the barriers they face to accessing VET. The implication of this for VET is that on the whole it does not have a particularly special function with respect to the exclusion issues faced by migrant groups, disabled people and older workers over and above the general functions we have been discussing. This is because the forms of disadvantage or exclusion suffered by these groups do not lead to policy solutions in which a particular type of VET plays a specific role of major importance. This is particularly the case with early school leaving where VET does not appear to have a differentiated role across the different groups at risk. The reasons for early school leaving *amongst these groups specifically* are not necessarily addressed through the development of VET as a more highly valued alternative to the option of employment or welfare benefits. This is not to say that VET does not have an important role to play – either with respect to early school leavers or elsewhere - but rather to reflect accurately the nature of its contribution. Nor is it to suggest that VET does not have to be tuned to the needs of different groups since – as we shall see in the sections that follow - provision is often tailored to different needs. Indeed, the implication of this is that tailoring mainstream VET is likely to be more appropriate than trying to 'target' VET outside of the mainstream on groups according to ascribed characteristics which, as we pointed out at the start of this chapter, have nothing inherently to do with skills levels or the type of VET they may require.²

VET and non-learning needs

As will have become clear from the discussion above with regard to barriers, VET cannot be a stand alone measure in the process of (re)integration of the groups at risk in the labour market. First and foremost, this is due to the fact that the barriers previously identified in this study often do not concern skills but other factors such as family responsibilities or environmental barriers, which effectively prevent these groups from participation in education and training, or alternatively, make participation difficult and more likely to be discontinued. Very often groups at risk face discrimination both in education system and in the labour market.

Moreover, low skilled people are not only poorly qualified (in terms of levels of educational attainment) but tend to suffer disproportionately from poor levels of basic and soft skills. VET alone cannot sufficiently meet the complex needs of these groups and, as we shall see in the following sections, needs to be coupled with other measures, such as basic skills education to compensate for previous deficits, and high quality guidance and counselling.

¹ We use this as a shorthand to refer to the marginal position they occupy with respect to *formal* learning opportunities: we do not mean to imply that this group does not engage in any learning at all, since naturally they will – to varying degrees - participate in informal and non-formal learning.

² This view is put forward also by Cedefop (2007) *Zooming in on 2010*, p. 103. Thessaloniki: Cedefop

The need for highly individualised provision

The final implication of the foregoing analysis that we need to highlight is related to the fact that the needs of disadvantaged people are often highly specific especially where they are intrinsic to the individual; each individual can face their own mix of constraints. This suggests that – especially for the most excluded groups in society – the solution lies in intensive, individualised packages of support which treat a number of issues simultaneously.

Needs are also often highly regionalised or localised. The spatial pattern of industrial change is highly varied. With low skilled employment having been concentrated in traditional primary production and manufacturing areas, it is not surprising that we find the problems associated with low skills concentrated in such areas. But geography can also be a very important factor for individual disadvantaged communities; indeed at its most extreme communities are spatially segregated and isolated. This requires a localised response, and indeed as we shall show in the remainder of the chapter, measures typically range from system-wide policy reforms to highly localised interventions taken forward by local municipalities, often working with voluntary and community bodies.

7.9 Measures to address the problems of early school leaving¹

People leave school for a variety of reasons. Some choose to do so to take up low skilled employment; they may have basic qualifications. Others do not have this choice but exit because they have failed to complete lower secondary education successfully, and may have no qualifications at all. People in this category usually face major labour market integration problems. Some may have underachieved as a result of the general background factors we have discussed above. But this group also includes people with more challenging issues who are likely to experience severe problems with labour market integration, e.g. people with learning difficulties, carers, teenage mothers, people with drug and alcohol problems and young offenders.

These different groups clearly require different policy responses. On the one hand *preventative* measures are needed to open up opportunities for those who have chosen to exit education and training which are seen to have lower costs and/or higher benefits than the alternative of low skilled employment (or unemployment benefits). The challenge here though is not just to make the cost-benefit equation for education and training more favourable *in reality* than low skilled employment, but also – as we discussed in section 6.2.6 – to address problems of *misperceptions* of these costs and benefits, which may include getting young people to take a longer term view of them.

On the other hand, those people who left early because they did not complete the compulsory phase successfully require *remedial* measures to re-engage them. The effort required to do this effectively is likely to be considerably more intensive than in the case of the types of preventative measures just described.

The issue of early school leaving is also, of course, an issue of school-to-work transition, and a number of issues need to be highlighted in this respect. First, it is clear that the end of compulsory education is

¹ Defined as those people aged 18-24 who have attained at most ISCED level 2 or 3c short and are not in further education or training. See section 7.6.

a critical time for individuals since – as a large body of research indicates - educational opportunities not taken up during adolescence can have a severe impact on later career stages and life chances. As the UK government recently acknowledged:

*'Being NEET (not in education, employment or training) between the ages of 16-18 is a major predictor of later unemployment, low income, teenage motherhood, depression and poor physical health.'*¹

Furthermore, the labour market is important not just economically but socially since it has a key function in assigning roles and identities to individuals. People from disadvantaged backgrounds can face a considerable challenge in developing identities that match developments in the labour market (subject to the enormous changes we described in chapter 2). In particular the loss of low skilled labour in manufacturing, in Western Europe, and in primary production and some manufacturing sectors in the new Member States has been the cause of dislocation in many communities and the disorientation and marginalisation of many young people unable to forge the same identities through work that were available to their parents. Finally, it is important to stress that this can be a difficult period for young people, especially for those facing various forms of disadvantage: the additional pressures they face can make the process of selecting from the options available to them a particularly challenging process.

The school-to-work transition process varies of course from country to country, depending, amongst other things, on the nature of the education and training, labour market and social welfare systems, as we discussed in chapter 3. We showed for example that in countries such as Austria and Germany there is a very strong structural relationship between the VET system and the labour market and indeed international comparative research indicates that such strong institutional arrangements mean that the school-to-work transition is smoother and initial employment more stable than in many other systems. Even here, however, entry to the labour market is much harder for the low qualified who are more susceptible to economic swings².

What role then might VET play in the context of early school leaving? Leney *et al.* have pointed out that most European countries that have low levels of early school leaving also have high levels of participation in VET pathways, although the correlation is far from perfect, and that 'ensuring a supply of good quality vocational programmes at ISCED level 3 is an effective measure to foster high levels of graduation from the upper secondary level.'³ However, this should not be taken to imply that the introduction of VET is a universal panacea for the problem of early school leaving: as we have shown throughout the report and particularly in chapter 3, the role of VET is highly context-specific, and the success of strengthening VET provision as a means of solving high rates of early school leaving may depend on complementary changes outside the VET in the spheres of labour market and social welfare policy.

¹ UK Government Department for Children, Schools and Families: <http://www.dfes.gov.uk/14-19/index.cfm?sid=42&pid=343&ctype=None&ptype=Contents>

² From a review of 20 projects funded under the European Fourth Framework Programme (Targeted Socio-Economic Research strand) concerned with 'education, equality and social exclusion' reported in *New Perspectives for Learning – Briefing Paper 41, Social Exclusion and Equality in Education* published by pjb Associates and available at <http://www.pjb.co.uk/npl/bp41.htm>

³ Leney, T. *et al.* (2004) *Achieving the Lisbon goal: the contribution of VET- Executive Summary*, p.5

Furthermore, as we have shown in chapter 6, there are many changes taking place within VET at upper secondary level that are impacting on lower level VET especially. There is evidence that lower level school-based VET is declining in popularity as other routes (apprenticeships, technical and general academic) maintain or strengthen their position. Lower level VET routes may be becoming more pre-vocationally oriented – offering lower level qualifications and/or routes into higher level provision. We also suggested that apprenticeships are seen as a more appropriate programme for the less academically able as they are more strongly linked to the labour market than lower level school-based VET. The conclusion from this was that there was a need for a variety of transparent and viable VET pathways at upper secondary level that meet the needs of a broad range of talents and employer needs.

At the same time, we also need to consider the issue of early tracking of students, since a topic of recent debate has been whether early tracking leads to less options being available later in life and entrenches social disadvantage since there is evidence that countries that track students at an early age display greater variation in pupil achievement than other countries¹. This is pertinent here since there is some relationship between the level of participation in VET pathways and early tracking: over one half of those countries with higher than average proportions of upper secondary pupils in vocational programmes track students before the age of 15, and eight of the ten early tracking countries have VET participation rates above the EU-27 average (see Figure 5.2).

However, as our analysis in chapter 6 has shown, VET systems are not as rigid as this argument might suggest. To begin with, structural ‘dead ends’ within systems are rare, although as we also showed one of the key issues is the extent to which pathways are actively used. Secondly, curricula are being reformed in order to introduce general elements into vocational education with the aims of increasing the permeability between the vocational and general streams and making sure that a minimum level of common transversal competencies is acquired by all². Finally, as we mentioned briefly in chapter 6 and will discuss further below, a considerable number of countries have reinforced VET provision at lower levels (lower secondary), with the dual purpose of both trying to make education more attractive to students who are disengaged from general education but also ensuring that – if they fail in that respect – young people who do not wish to continue education beyond the compulsory level can at least acquire basic qualifications that are recognised in the labour market. Some countries offer short vocational courses at basic education level (most ISCED 2B/C level) to ensure that students who would otherwise drop out at least receive some kind of qualification. This is for example the case in Czech Republic, Slovak Republic, Denmark (recently introduced) and Spain where students who have problems completing basic (often compulsory) education can follow a two-year vocational-oriented training. In the Czech Republic, these students can subsequently progress into

¹ EC (2006) *Efficiency and equity in European education and training systems*. Communication from the Commission to the Council and to the European Parliament. COM(2006) 481 final, section 3.2

² Carneiro R. (2002). *Achieving a Minimum Learning Platform for All: critical queries influencing strategies and policy options*, European Journal of Education, Vol. 37, No 3; see also: Schneeberger A. (2000). *The concept of a minimum learning platform: educational contents and methods for improving the low-skilled*, European Journal of Vocational Training, Cedefop, No 20 (May-August 2000)

Transversal competencies include generic skills such as communication or problem solving, which are not occupation-specific.

upper secondary education by passing an entrance exam. In the Netherlands, students without a basic education diploma also get another chance by gaining entry to the first two levels of upper secondary education (MBO). If they succeed in these levels they can gain subsequent entry to the last two levels at post-secondary non-tertiary VET level.

In the following sections, we look first at the types of non-VET measures that are commonly deployed to tackle early school leaving before turning to VET-related measures.

7.9.1 Systemic non-VET measures

We distinguish a number of types of non-VET measure that can play a role in improving rates of early school leaving: the raising of the compulsory school leaving age; guaranteeing the right to a place in education or training; the provision of financial assistance; and the offering of basic provision. The first three of these measures are probably of most help to what we have termed ‘marginal non-learners’—those who would take up formal opportunities for education and training at upper secondary level but for some specific obstacles. Such measures as guaranteed rights and financial assistance are not likely to be taken up by the most disadvantaged and dis-engaged without other measures also being put in place to actively stimulate or encourage their involvement. Other measures include activities such as the training of teachers to deal with disadvantaged groups.

Raising the compulsory school leaving age

One of the most dramatic structural changes that can be made to try to reduce early school leaving is to increase the compulsory school leaving age. However, recent research does not show a statistically significant correlation between increasing the compulsory school leaving age and the reduction in the number of school leavers and this factor always has to be analysed in conjunction with other relevant factors that affect early school leaving¹. Simply raising the leaving age does not in itself tackle the reasons why people leave education early and runs the risk of converting high rates of leaving into high failure rates unless other changes are made to curricula, teaching/learning methods etc. A number of those leaving education early do so because they find it difficult to adjust to the ways of learning in their programmes, or because they would like to/need to become financially independent. The period in question is also a challenging period in young people’s lives.

Nonetheless, the debate on early school leaving and its relation to the compulsory school leaving age has led some countries to increase the compulsory school leaving age. The most recent example of this course of action is the **UK**, where the Department for Education and Skills confirmed its plans to raise the compulsory school leaving age to 18 (currently it is 16) by 2013². In the debate preceding the reform, its supporters pointed out that longer periods spent in school improve retention at school. Moreover, these extra two years would ensure that young people will acquire the skills necessary for

¹ GHK (2005). *Study on Access to Education and Training, Basic Skills and Early School Leavers* (Ref. DG EAC 38/04); Lot 3: Early School Leavers

² BBC News, *School leaving age set to be 18*, 12.1.2007 (<http://news.bbc.co.uk/1/hi/education/6254833.stm>), see also: DfES Reach Magazine (<http://www.dfes.gov.uk/consultations/downloadableDocs/Reach%20Magazine.pdf>) (retrieved May 2007)

their future lives and careers¹. The opponents of this solution pointed out that already the retention in post-16 education is quite high and the remaining share of young people decide to enter the labour market. Moreover, many of the government training schemes are regarded as not fully relevant to the labour market so forcing people back into school would be against the choice that these people would rationally make². Interestingly, the decision to raise the school leaving age follows many years during which the government has made it progressively more difficult for individuals to leave school at 16, for example, by removing the right to unemployment benefits, thus changing the relative cost and benefits of staying on versus early leaving.

In **Italy**, prolonging the compulsory school leaving age from 14 to 18 years of age in 2005 was a principle measure to deal with early school leaving³: it actually combines the obligation with the right to education or training. Two decrees also enable students aged between 15 and 18 to alternate school and work periods which was seen as an encouragement to stay at school of those who also want to take up paid work. Also in **Turkey**, the 8th Five year National Development Plan proposed an extension of compulsory education from 8 to 12 years, and this is expected to boost participation in education⁴.

Guaranteeing the right to a place in education or training

Another method that seeks to improve rates of early school leaving is to guarantee individuals the right to a place in education. This has been adopted in a number of countries. Clearly the introduction of the measure is dependent on having a sufficient supply of places in educational institutions and private companies (for example, those that offer apprenticeship places) and being able to resource the anticipated level of demand.

The Youth Participation Project in **Finland**⁵, co-funded by central and local governments, is a project that aims to prevent young people's exclusion through guaranteeing that every young person is allocated a further study place or another option to help them build their lives.

In **Norway** people under the age of 19 are guaranteed a right to access to education, work or labour market programmes.

In the **UK** a 'September Guarantee' has been introduced to ensure that every young person is offered a suitable place in post-16 learning by the end of September (the start of the academic year) after they leave the compulsory phase of education. This is to be extended to all 17 year-olds to ensure that everyone of that age is offered a place to continue or to re-engage in learning; this has been designed as a further 'safety net' in the system to ensure that young people who complete courses at 17 or leave during their first year of post-compulsory education are given support and provision to re-engage.

¹ BBC News, *School leaving age may be raised*, 10.11.2006 (<http://news.bbc.co.uk/1/hi/education/6135516.stm>), see also: BBC News, *More youths not in school or work*, 8.6.2006 (<http://news.bbc.co.uk/1/hi/education/5059650.stm>) (retrieved May 2007)

² *The harm of forcing children to stay on at school* by Alison Wolf, Financial Times, 16.1.2007

³ Legislative decrees of 24 March 2005 to implement the reform of the school and training system

⁴ ETF (2004). Country report – Turkey in: Leney T. *et al* (2004). *Achieving the Lisbon Goal: The contribution of Vocational Education and Training*

⁵ Aholainen R. (2005). Implementing the "Education and Training 2010" work programme: 2005 Progress report on Finland. European Commission.

Provision of financial assistance

The provision of financial assistance is another general step that can be taken to reduce early school leaving. The rationale behind this instrument is to adjust the financial equation in favour of education. As such, its biggest impact is likely to be on people whose decision on whether to participate is a marginal one and who do not face other significant barriers, such as difficulties with traditional learning environments – unless coupled with other measures.

Such financial assistance is sometimes universally available, as for instance in Finland, where one of the traditional ways of ensuring possibilities for all students to continue their studies has been financial aid for full-time post-compulsory studies lasting at least two months¹. The allowance is similar in Denmark, where it is also universally available. It is more usual, however, for there to be an element of bias within financial assistance provisions in favour of people from less advantaged backgrounds. In the **UK** (see the box below), the educational allowance is means-tested. This scheme also features the payment of bonuses for the achievement of learning goals and has been successful in increasing participation.

Education Maintenance Allowances (UK)

In the UK, Education Maintenance Allowance (EMA) was rolled out nationally in 2004. It provides young people whose parents' income does not exceed £13k with a weekly allowance between £30 and £40. For students whose parents' income was between £13k and £30k, the allowance was progressively tapered until £5 a week. In addition, treble bonuses were available to all EMA participants which were designed to keep them in education and achievement bonuses for the achievement of learning goals. The receipt of allowances and bonuses depended on the young person and their compliance with the learning agreement signed by them, their parents and the school.

The evaluations have shown that the EMA has indeed increased participation among young people, with stronger impact on males and those from lower skilled backgrounds. Furthermore, large volumes of people benefiting from EMA achieve level 2 and 3 thresholds. Of 202,939 young people who were 16 years old at the start of 2004/05, EMA has assisted 29,426 16 year olds to achieve their first level 3 qualification during its first year of national rollout.

Sources: Centre for Research and Social Policy (2005), Institute for Fiscal Studies (2005). Evaluation of Education Maintenance Allowance pilots: Young people aged 16 to 19 Years. Final report of the Quantitative Evaluation; and a written submission from the Department for Education and Skills

In many of the new Member States, and partly through finance from the Structural Funds, there has been an increasing provision of student maintenance grants, especially for those from poor families or rural areas, with the aim of improving the educational opportunities and attainment of these students. In

¹ Student financial aid is payable for studies at upper secondary schools, folk high schools, vocational institutions, polytechnics or universities through to the doctorate level. Financial aid is also available for studying abroad. Ordinary student financial aid comprises a study grant, a housing supplement and a government-guaranteed student loan.

Slovakia, ESF scholarships are available with the objective of retaining students from socially disadvantaged families in basic and secondary schools¹. **Poland**, using ESF funding, has also introduced student maintenance grants for pupils from poor families.

Financial assistance can also be used to attract people back in to education. In the **UK**, the Activity Agreement initiative is now being piloted. It is designed for 16 and 17 year olds not in education, employment or training (NEETs), who will be offered a weekly allowance in return for committing to a plan and completing agreed activities to reintegrate them back into learning².

Offering of basic provision

As outlined in the section on barriers, one of the reasons for early leaving is low performance at school, especially in the later stages of lower secondary school³. Possible policy responses include the provision of support for students that do not perform well in reading, writing and mathematics, and possibly in other subjects. This support takes the form of evening classes or individual tuition.

In **Greece**, for example, all primary and secondary schools (both general and technical) offer support teaching classes. These classes offer supplementary teaching in a variety of school subjects, free of charge, aiming at helping students to improve their school performance. By helping students to overcome difficulties they are facing in their studies, support teaching plays a crucial role in helping students to advance, preventing them dropping out of school. Since the introduction of the scheme in 1997/98, more than 230,000 students have taken part.

7.9.2 Systemic VET-related measures

Broadly speaking, as we noted above, VET interventions designed to tackle the early school leaving problem fall into two broad types related to the nature of the measure itself and its timing or level: those that are designed to *prevent* early leaving, and those that offer *remedies* to those who have already done so and who may have under-achieved at lower secondary level. Preventative measures tend of course to be focused on the mainstream education system and make use of general provision which is tailored – and augmented with other elements of provision – to groups that have been identified as being at risk through various identification systems. In contrast, remedial measures are more likely to be outside the school setting and involve a wider range of agencies and may involve various degrees of compulsion of individuals, e.g. through benefits systems (this issue is discussed further below in the section dealing with active labour market policies for the unemployed). In the latter case, the work-place learning element is an important feature.

Broadly speaking, the measures consist of the following types:

- 1 The offering of slimmed down versions of existing programmes which are often designed to enable people to obtain parts of qualifications. This is often the preferred solution in more strongly structured

¹ See the country report

² A written submission from the UK Department for Education and Skills

³ See also: GHK (2005). *Study on Access to Education and Training, Basic Skills and Early School Leavers* (Ref. DG EAC 38/04);

Lot 3: Early School Leavers, p.75

systems. This can also involve extending vocational options into the compulsory phase of education where general provision has tended to dominate in order to create more pre-vocational options. Mandatory guidance and counselling pre-VET is also becoming more common.

- 2 The offering of increased choice and flexibility through modularisation and the construction – with guidance – of individualised vocational pathways. Clearly this is more likely in systems where modularisation is an important general structural feature (see section 6.4.5).
- 3 The development of alternative forms of provision after the compulsory phase to re-engage students who have not successfully completed the lower secondary level or to encourage students to stay in education. Almost by definition, there is a remedial aspect to provision targeted at under-achievers and hence, as just indicated, interventions are more likely to involve a wider range of methods and agencies.

It should be noted that these three categories are not necessarily mutually exclusive but they are worth distinguishing for the purposes of analysis.

Before we look at each of these different types of measure in turn, there are a number of remarks of a general nature to be made.

First, measures vary in the extent to which they adapt the curriculum to the needs of the disadvantaged and their likely impact on the most disadvantaged learners. The offering of slimmed down versions of existing courses is intended to improve retention in education and training by offering students more achievable goals and shortening the length that they are required to stay in the system. It thus adjusts both the costs and the benefits to some degree. Whether this is enough to outweigh the costs and benefits of the other options available to an individual student depends on many factors outside the education and training system of course, not least the availability of low skilled employment (which as we have seen is still prevalent in some countries, e.g. the Mediterranean countries and some states in Central and Eastern Europe). Without accompanying measures (such as guidance and counselling) the offering of slimmed down courses is likely to have its greatest effect on marginal non-learners rather than the most disadvantaged since of itself it does not address the fact that many early school leavers are alienated from formal learning. In contrast, the ability to put together more tailored learning pathways within a modularised system seems to offer better prospects of positively impacting on the most socially excluded, although yet again the provision of non-VET measures is also important to maximise the effect.

Secondly, the measures all include some element of de-constructing and re-assembling curricula and naturally this point to the need to have some form of modular approach to the curriculum. As we showed in chapter 6, the nature of modularisation depends in part on the strength of the differentiation within VET systems between vocational and general tracks, with modularisation being applied extensively where differentiation is light, and to certain stages or parts of VET curricula where it is strong. Since modularisation is a relatively recent development, however, its effects on early school leaving and the performance of the education system and student outcomes remain unclear.

Thirdly, the picture is very mixed/complex but the development of provision in this area is about exploring new ways of tailoring courses to meet the needs of those who have not succeeded within the

established system. It is perhaps not surprising therefore if boundaries are blurred as new options are explored that combine different elements of content, mode of delivery etc.

Finally, an interesting aspect of these developments at the interface of lower and upper secondary is the blurring of distinctions between institutions and levels, with some level 2 courses being offered in institutions which have traditionally been focused on upper secondary provision. It is probably easier to blur the boundaries in countries where there is not so much institutional structuring to provision and where establishments have more autonomy. But where there is high level of autonomy it may be more difficult to secure acceptance of changes amongst employers and individuals which is critical if new qualifications are to be recognised, have value in the labour market and therefore have a maximal motivational impact on students.

7.9.2.1 *Short programmes (leading to parts of qualifications)*

The offering of shorter, slimmed down versions of existing programmes is seen as a way of motivating students to stay on in education by offering them realistic possibilities to obtain qualifications. For disengaged students, breaking down programmes into achievable units, which ideally are arranged as stepping stones to enable steady progress to be made, can provide the encouragement needed and lead to minimum levels of vocational competence. It is important that the resulting units have value in the labour market, and hence ratification or recognition by relevant industry bodies is important. Typically the focus is on the practical course components, with the more theoretical elements being reduced.

This approach is not uncontroversial, however. In Germany there has been much debate about the wisdom of taking apart programmes which have such a strong fit with occupations, as it is seen in some quarters as jeopardising standards. But the country's *National Pact for Training and Young Skilled Staff* foresees measures for those who have difficulty qualifying to enter Dual System, including modules to help them step up to the required level. In Austria, the topic was also subject to much debate by social partners. More generally, as we noted in chapter 6, where countries have taken the path of reducing the distinctive VET element within their systems, as in Sweden, it has had to be reintroduced.

Illustrative examples of short VET programmes

In **Denmark**, it has been possible for low achievers to obtain a partial qualification since 2000. Two types are available: the first one can be offered as a well-defined and integral part of an ordinary course and must be approved by the Trade Committee as recognised competency within the specific segment of the employment system. It requires alternance training of at least 1.5 years duration (mixing employment/apprenticeship and training course). The second type is an individual programme which is completed with a partial qualification that is related to the existing full VET programme. These programmes must be approved by the Trade Committee and last at least 2 years.¹ In 2005, Denmark

¹ Ministry of Education (2000). New structure of the Danish Vocational Education and Training system available at: <http://pub.uvm.dk/2000/newstructure/8.htm> (accessed May 2007)

Denmark also introduced short VET programmes leading to qualifications at ISCED level 3. These correspond to mainstream VET programmes yet are shorter (1.5 years)¹.

In **Luxembourg**, the course leading to a certificate of technical vocational proficiency (Certificat d'Aptitude Technique et Professionnelle - CATP) which lasts three years has recently been made available at two levels. The first level, lasting 2 years, confers a partial vocational qualification, certificate of technical and vocational initiation. In addition, the certificate of manual competence (CCM) has been introduced for pupils whose results show that before they begin the apprenticeship or during the apprenticeship itself they would be unable to achieve the objectives of the vocational route by the deadline imposed by law. This parallel route takes the same number of years and uses the same programme as those that lead to the CATP in the respective professions and occupations, but pupils follow a programme that is more 'hands on' and has been more focused with respect to vocational theory.

In **Slovakia**, vocational schools offer basic practical training (so-called zero branches – ISCED 2C) in almost all areas of study for young people with negative experiences who do not wish to pursue an entire vocational programme at upper secondary levels². The training lasts two years and ends with a Certification of Apprenticeship which allows its graduates to perform low skilled occupations³.

Switzerland has a special apprenticeship lasting 2 years that consists of reduced traditional apprenticeship goals and a shorter time to qualification in order to provide a 'simplified' version of an apprenticeship that equips young people with a minimum level of vocational competence. Completion of the apprenticeship is linked to the title of 'Praktiker' or 'Assistant', which is recognised in the labour market.⁴

Where VET has traditionally been the preserve of the upper secondary level, another policy option is to extend suitably adjusted vocational options into the compulsory phase to sit alongside general provision. A challenge that arises here, and which we discussed in chapter 6, is the issue of parity of esteem, i.e. trying to ensure that any new (pre-)VET options are not seen as a second best option to the extent that students are stigmatised if they participate in it. It is important that such provision has transparent and clear routes into further provision to maximise the motivational effects.

Illustrative example of the extension of VET into lower secondary levels

In **England** the Increased Flexibility Programme (IFP) was introduced in 2002 to improve vocational learning opportunities at key stage 4 (14-16 years of age) in order to extend participation in education

¹ An interview with the representative of CIRIUS, Denmark

² Cedefop; Jelinkova D., Vantuch J. (2005). eKNowVet, Theme 4, Initial Vocational Education and Training, p.48 available on Cedefop's European Training Village

http://www.trainingvillage.gr/etv/Information_resources/NationalVet/Thematic/criteria_reply.asp [cited on 23.04.08]

³ Jelinkova D., Vantuch J. (2003). Recent Development in Education, Training and Employment Policy in Slovakia, p.19

⁴ There are more than 250 regulated occupations in Switzerland

and training after the age of 16. The programme required FE colleges and training providers to work together with schools to offer GCSEs in vocational subjects, NVQs and other vocational qualifications. The available evidence suggests that the courses on offer have been well received by the students and more of them now decide to stay in education after the age of 16. The evaluation of the first cohort also points out that the achievement of students under IFP was higher than of those who did not participate in the programme.

England is also seeing the introduction of a new Foundation Learning Tier to offer provision for those who have already left education or are at risk of becoming 'NEET' (not in education, employment or training) – it can be taken either by 14-16 year olds or those who are aged 16+. This tier consists of three curriculum strands below Level 2: skills for life and work (including functional skills); vocational and subject-based learning; and personal and social development. Once fully implemented the FLT will be closely integrated with the existing Entry to Employment (E2E) programme which is aimed at people aged 16-18 who are not yet ready or able to enter an apprenticeship, employment or further learning opportunities. It will also provide a stepping stone to a first full Level 2 programme. Alongside these measures a 'Key Stage 4 Engagement Programme' (which covers the last two years of compulsory education) has been introduced aimed at preventing individuals becoming 'NEET'. The programme uses work-focused learning to re-motivate young people at risk of early leaving and under-achievement because of disaffection with the mainstream curriculum and classroom-based learning styles.

Sources: Ofsted (2005). Increased flexibility programme at key stage 4 (HM 2361);

Golden S., O'Donnell L., Benton T., Rudd P. (2005). Evaluation of Increased Flexibility for 14 to 16 year olds programme: outcomes for the first cohort, National Foundation for Educational Research (Research Brief); and UK government website: <http://www.dfes.gov.uk/14-19/documents/NEET%20%20Strategy.pdf>

7.9.2.2 **Modularisation and individual pathways**³⁵²

An alternative to the development of slimmed down VET programmes is the introduction of greater choice and flexibility for students within a structured framework provided by the development of individual action or training plans. As we noted this response tends to be a feature of less differentiated systems, and where modularisation is well developed. It does not necessarily require any changes to existing provision to meet the needs of disadvantaged communities. The rationale for this approach is that it motivates and empowers students to take control of their own learning, and allows greater consideration to be given to individual preferences both for what is learnt (perhaps widening the levels of provision available) and how (including the pace of learning).

Key features of such approaches are that they can enable students to mix provision from ISCED levels 2 and 3, that close guidance and supervision is important for students from the most disadvantaged backgrounds and that they can also encompass wider packages of support to cope with needs students may have with respect to behavioural or learning issues (which we shall discuss in more detail in the section below on holistic approaches).

³⁵² See also the discussion on modularisation in section 6.4.5

Illustrative examples of approaches to increase choice and flexibility

During 2006 the **Spanish** government increased curricular diversification from the age of 14 (before the compulsory education is finished) in order to better adapt the curriculum to the needs of those at risk of dropping out. The students can choose from four specialisations: arts, natural sciences and health, humanities and social sciences, and technology. The provision of these courses is modularised and the options chosen by the students can include either more general or more vocational modules, depending on their preferences. Some of the content is common to all specialisations and there are also core and optional subjects for each area. The choices made in the second year are more diverse than in the first and they include some options that are very closely linked to some university or vocational studies at higher level. The choice of some optional subjects enables students to prepare for the university entrance exams for more than one option, or for an option different from the area of specialisation or pathway chosen. Students can sometimes change their area of specialisation or pathway in the second year. They can also, should they want to, once they have completed their upper secondary studies, take subjects that are linked to some university entrance exams³⁵³. However, in spite of the existence of compensatory education programmes and increased budget spending, early school leaving rates have increased, which shows the difficulties in dealing with this problem³⁵⁴.

In **Sweden**, one of the measures to reduce the number of early school leavers involves the expansion and further development of the Individual Programme (IP) at upper secondary level³⁵⁵. The Individual Programme is an individualised, tailored study path intended primarily for pupils who do not qualify for admission to upper secondary programmes (or any other national programme)³⁵⁶. Within the IP framework, studies at both compulsory and upper-secondary level can be combined with on-the-job training or work placements. Evaluations have shown that the quality of the Programmes varies a lot from one municipality to another³⁵⁷. One thing that varies is the extent of the educational offer. The previous government therefore decided that all municipalities have to offer full-time studies for those who enter an IP scheme.

7.9.2.3 *Alternative forms of provision after the compulsory phase*

The development of alternative forms of provision after the compulsory phase is a trend that is apparent across all types of education and training system from the highly differentiated to the highly comprehensive³⁵⁸. Such provision can have the function either of motivating individuals to stay on in education and training and/or assisting people who have failed to complete the lower secondary level successfully to re-engage with learning (normally a much more challenging proposition). Although located after the completion of lower secondary education it should be pointed out that this type of provision typically encompasses both level 2 and level 3 provision. As can be seen from the examples

³⁵³ See also: Ministry of Education, Spain: <http://www.mec.es/educa/jsp/plantilla.jsp?id=981&area=sistema-educativo> (accessed May 2007)

³⁵⁴ EC (2006) *Social Inclusion in Europe 2006*, p.56

³⁵⁵ Björnsson M. and Bavner P. (2005). *Implementing the 'education and training 2010' work programme. 2005 Progress Report – Sweden*. European Commission

³⁵⁶ Many of the students in this programme have learning problems or difficult circumstances at home.

³⁵⁷ The Swedish Ministry of Education, 2007.

³⁵⁸ For the definition of these terms see section 3.2

in the box below, the types of provision deployed often share features with the two other types we have just described.

Given the fact that alienation from the types of education available within mainstream education is a major cause of early school leaving it is important that this type of provision is sufficiently different from it to (re-)engage with students³⁵⁹. This typically means offering provision outside the school setting, with a strong focus on employment as the final outcome, and at times and places suitable to the clientele. It can also involve making other options that students might select less attractive. For example, in the UK, the government has made it progressively more difficult for people over the age of 16 not to be in education, employment or training, which has included the withdrawal of certain types of unemployment benefit for all but the most needy.

Illustrative examples of alternative forms of provision after the compulsory phase

In **Austria**, a reform of 2003 introduced integrative VET (*Integrative Berufsausbildung – IBA*), which is targeting persons with special educational needs persons with disabilities and persons for whom it must be assumed it will be impossible to find any apprenticeship vacancy. IBA offers the possibility to attain parts of an occupational qualification in special, publicly-funded training enterprises. It also allows people to prolong dual system VET by one year (under exceptional circumstances up to two years), to attain the same qualification as mainstream VET graduates³⁶⁰.

In the **Czech Republic**, short programmes (ISCED 2C) of one to two years are provided by secondary vocational schools and are designed for pupils who completed compulsory school (9 years duration) but failed to complete successfully all nine grades of basic school; young people with special learning needs and those who completed special programmes at basic schools. The programmes do not lead to the acquisition of a vocational qualification and the training is mainly focused on developing and strengthening manual skills and working habits through practical workshops. The objective of these programmes is mainly to offer the highest possible level of socialisation for disadvantaged pupils.

In **Finland**, the voluntary 10th year of basic education (a voluntary extra year after 9-year comprehensive school that aims to raise the level of competence among those pupils who do not apply for or get into upper secondary education or training) is being developed so that it can be organised in conjunction with vocational institutions as a form of education geared towards orienting young people to VET and preventing dropping out from the education system.

In **Greece**, two main forms of remedial measure are available for early school leavers: evening schools and second chance schools. Evening schools address young people aged 15-18 who have not completed lower secondary education (compulsory education). According to figures for 2000/01, there are 120 evening lower secondary education schools (Gymnasium) and 43 upper secondary education schools (Lyceum) in operation in Greece. In all, 28.000 young people attend evening schools. Evening schools are designed for working students and courses last one year longer than in

³⁵⁹ It has been found that certain second chance education measures may fail in this regard. See GHK (2005). *Study on Access to Education and Training, Basic Skills and Early School Leavers* (Ref. DG EAC 38/04);

Lot 3: Early School Leavers, p.110

³⁶⁰ Cedefop; Archan S., Mayr T. (2006). *Vocational education and training in Austria – short description*, p.14

normal schools. Second chance schools target young persons and adults (18-30) who have left school and wish to complete compulsory education and help them to improve their labour market prospects or return to normal education. The curriculum covers: a) development of skills in language, mathematics and communication, with special emphasis on foreign languages and ICT, b) basic training and preparation for professional life in cooperation with the local authorities, and c) development of skills in the field of personal interests of the people being educated. There are two main objectives of the schools: a) to re-introduce individuals who have not completed basic education to the educational procedure and b) to create networks of cooperation between education, the local community and the business world. The methods adopted include small numbers of students in each class, a strong, personal teacher-student relation, emphasis on the development of skills in demand, and the provision of careers and counselling services. The first Second Chance School was launched in 1998 and by 2005/06) there were 43 in operation, with the target to establish several more within the next few years. The number of students attending these schools was 1,989 in 2004/05 and the majority are from disadvantaged groups (including Roma, repatriated Greeks, Muslim Greeks and immigrants).

In **Ireland**, Youthreach is an alternative education and training programme outside the school setting, with guidance and support/care targeted at unemployed young early school leavers aged 15 to 20 who have little or no qualifications. It allows them to acquire qualifications at FETAC level 3 or 4¹. Reviews of learner outcomes consistently show over three quarters of participants progressing to the labour market or to further education and training although they rarely move to tertiary education². Moreover, Youthreach provides childcare allowances for lone parents in order to increase their participation in education and encourage their coming back to learning. Therefore, the programme records high shares of lone parents participating and the consultation with them revealed that childcare allowances were a critical part in their decision to go back to learning³. The number of training places offered by Youthreach is around 6,000 per year which covers only 10% of the overall demand⁴.

In **Norway**, the 1994 evaluation of the education reform showed that although new training schemes had improved the quality of training they failed to reduce dropout rates from school among students with a weak theoretical orientation. Therefore, the government introduced opportunities to opt for alternative training paths based on shorter school attendance and longer apprenticeship periods. Students can enter an apprenticeship directly from lower-secondary school. Theory instruction is provided periodically at school throughout the programme, and the students take the same trade/ journeyman's exam as other students⁵.

¹ These courses correspond to ISCED levels 3 or 4

² An interview with the Youthreach representative

³ Ibid

⁴ The programme covers 5 year age span (16-20), each year there are 2,000 new drop outs. If one adds the drop outs from secondary education the figure rises to 60,000 in the entire age cohort.

⁵ Shapiro H. (2004). Country report: Norway, in: Leney T. et al (2004). *Achieving the Lisbon Goal: The Contribution of VET*

7.10 General measures to support young people and adults in accessing education and training

In this section we examine the most prominent general measures that are typically put in place to facilitate access to education and training. These measures are not specifically VET-related, but they are important to understand as they provide the context within which VET provision sits. Their application and take-up varies between young people and adults, and depending on whether the client group is unemployed or in employment. For example, validation is likely to be used more by older workers.

7.10.1 Financial measures

Financial incentives address numerous barriers related to training for both employers and individuals. These barriers include lack of resources to release staff for training, fear of lost investment in training because of poaching, and lack of financial resources by potential learners.

Financial incentives to employers consist in the main of general subsidies to encourage the employment of people from the unemployment register, along with subsidised training and tax measures to encourage the adaptation of workplace to facilitate for example the employment of people with disabilities. Available evaluations of subsidies show positive effects on individual employment probabilities. However, these positive findings have to be analysed with caution as these studies tend to disregard potential displacement and deadweight loss effects¹.

Fiscal measures also exist for individuals, prominent amongst these being measures that are aimed at making work pay and at encouraging various groups to move into employment, in particular by tightening welfare benefits or making these compatible with limited paid work.

¹ Kluve J. *et al* (2005). *Effectiveness of the ALMPs*

Illustrative examples of fiscal measures

In **Sweden**, the new Government has suggested that it intends to replace many of the individual labour market schemes currently in existence with a general subsidy scheme for people excluded from the labour market. This means that in the long-term unemployed and newly arrived immigrants are among the groups that will be eligible for “New start jobs”, which will be exempt from payroll taxes and social security contributions for at least one year; a subsidy corresponding to the employers’ social contributions will be credited to the employers’ tax account. Longer-term young unemployed people between the ages of 20 and 24 will also qualify for the New start jobs.

In **Ireland**, the ‘Back to Education Allowance scheme’ is targeted to recipients of welfare benefits such as unemployment assistance or benefits, disability allowances or one parent family payment. It allows individuals to return to education and at the same time continue to receive benefits. Participants in the scheme can study at secondary and tertiary level. In case of secondary level courses, they must be full-time courses and lead to qualifications awarded by FETAC, Business and Technology Education Council (BTEC) or be recognised by the Department of Education and Science.

In **Estonia**, access to VET is guaranteed to young people from disadvantaged families. According to the 2005-2008 Development Plan for VET, an allowance system is to be developed and 50% co-financing allowances are to be allocated to cover transportation, dormitory and maintenance expenses, to enable disadvantaged students to participate in VET³⁶⁷.

7.10.2 Validation

The validation of informal and non-formal learning (VINFL) has an important role to play with respect to disadvantaged groups, and across the public, private and third sectors, validation is being used as a tool to support the (re-)integration of disadvantaged groups³⁶⁸. In the third sector in particular, many organisations carry out valuable work with individuals who have been distanced from formal education and training, the labour market or society as a whole.

In the public sector, validation can form an important policy instrument within initiatives to re-integrate disadvantaged groups, such as refugees, the unemployed and older workers and within policies to help promote equality of opportunity. In certain countries, priority target groups have been identified for such policies and in some cases, (funding for) VINFL initiatives (has) have been restricted to these groups.

In Sweden, for example, the first initiative in the field of VINFL was the Adult Education Initiative (*Kunskapslyftet*) from 1997 to 2002, which aimed to combat unemployment through the expansion of adult education in Swedish municipalities. In Luxembourg, the ‘*bilan de compétences*’ and the ‘*bilan d’insertion professionnelle*’, two formative methods of validation, are *only* available for the unemployed. In Denmark validation has been used to raise employment levels among migrants.

³⁶⁷ Development Plan for the Estonian Education and Training System for the years 2005-2008

³⁶⁸ ECOTEC (2007) *European Inventory on the Validation of Informal and Non-formal Learning: 2007 Update*

Validation also helps to establish equality of opportunity or a 'level playing field', both in education and training and in the labour market. Some countries see validation as a way of facilitating access for learners with a low level of formal education, particularly to the higher education sector. Private sector stakeholders have also begun to use validation methods to recognise skills acquired outside of the formal education system which can be transferred to the workplace. Validation can thus be used as a tool for an individual's progression and development and to support application and selection / recruitment procedures, both in education and training and in the labour market.

There are a range of methods which can be used to carry out a validation procedure. With regards the use of validation to support disadvantaged groups, it is possible to identify a number of strengths and weaknesses in relation to three methods in particular: Tests and Examinations, Declarative Methods and the Portfolio Method.

For example, *tests and examinations* are considered by many stakeholders to represent a reliable and objective assessment of an individual's knowledge or competences and their strength is suggested to be in ensuring fairness, reliability and transparency. Yet for individuals accessing validation as a 'second chance', tests and examinations may represent a barrier to access. This is particularly the case for individuals who have dropped out of formal education earlier in life, as they may be associated with previous negative experiences of education and training.

Thus, self-evaluation techniques such as the declarative and portfolio methods may be preferable to 'hard assessment' (tests/panel interviews) methods when dealing with certain disadvantaged groups. *Declarative approaches* to validation are based on an individual's own identification and recording of their competences. They can be used to prepare an overview of the competences and skills that an individual has gained throughout his or her 'life-wide' experiences, including those acquired at home, through voluntary or community work and in employment. However, declarative methods rely heavily on the individual to carry out the procedure and to provide a realistic assessment of his or her own competences. For disadvantaged groups, perhaps with a low level of confidence and unfamiliar with such processes, the success of this method relies on support measures such as clear guidelines or personal guidance such as coaching or mentoring.

The *portfolio* approach involves a mix of assessment tools and can include assessment by a third party. This can help to overcome the risk of subjectivity associated with the 'internal assessment' within declarative methods, outlined above. It is also, like declarative methods, both flexible and cost-effective and therefore can be particularly useful for individuals who already have existing commitments (e.g. older workers who are still in employment but accessing validation to find alternative employment, specific groups of unemployed with additional responsibilities / commitments e.g. single parents, carers, although it should be noted that in the case of the latter especially some disadvantaged groups may not have an extensive range of competences to validate). Guidance and counselling is an important feature of this approach.

7.10.3 The right to take time off to train

One of the main barriers to the take-up education and training is a lack of time on the part of both individuals and employers, especially in smaller enterprises given the high opportunity costs associated with it. At the same time, training provided in the workplace is largely determined by employers and is usually company or job-specific. It also tends to be taken up more by higher than lower skilled individuals. Some countries, in light of this situation, have established employees' right to training leave and other schemes that try to overcome such barriers. Examples are provided in the following box.

Illustrative examples of the right to have time off to train

Following recent collective bargaining in **Denmark**, each employee has been given the right to 14 days' leave per year for education in the subject or field of their choice. This is a relatively innovative idea since in some countries employees are left with little or no choice as to the type of training they wish to pursue³⁶⁹.

In **France**, employees are entitled to up to 20 hours per year for training (*droit individuel à la formation – DIF*). This entitlement applies to both permanent and fixed-term contracts, although there are different reference periods necessary to be eligible for the training leave. Since the application for this training leave is submitted by the applicant, they decide on course content. Employers can suggest, but not impose, the training content³⁷⁰. The available training options are prescribed by law and include:

- Activities aiming at raising qualification levels
- Activities aiming at improving or consolidating existing knowledge
- Activities aiming at acquiring a diploma³⁷¹

The 1999 Competence Reform in **Norway** targets adult people who did not acquire formal educational qualifications and older people who did not have access to education when they were young as well as adult immigrants whose qualifications are not recognised in Norway. The main features of this reform included the right to second chance education for those who lack primary, lower or upper secondary education, development of national system for accrediting adults' acquired competencies and a right to study leave for those who worked for at least 3 years³⁷².

In the **UK**, Time Off for Training was introduced in 1999, which gives employees aged 16 and 17 a right to paid time off work for training/ studying towards NVQ Level 2 or equivalent (unless they already have a qualification at this level). A 2000 evaluation report³⁷³ pointed to the existence of several problems related to the introduction of the measure, mainly in relation to its overlap with other policy instruments such as Apprenticeships and the Education Maintenance Allowance.

³⁶⁹ An interview with the representative of the Danish Confederation of Trade Unions

³⁷⁰ Droit individuel à la formation; see Fédération of Européen Employers website:

http://www.fedee.com/maj2005_03.shtml; see also: Droit individuel à la formation: www.droit-individuel-formation.fr

³⁷¹ DIF: les réponses aux 10 questions plus courantes, available at:

<http://www.journaldunet.com/management/0701/0701170-dix-questions-dif.shtml>

³⁷² OECD (2006). *Live longer, work longer*, p.119

³⁷³ DfEE (2000). *Time Off for Study or Training: Preliminary Evaluation of the Employment Right*, Research Report 221.

7.10.4 Job matching and job search

Available evaluations of labour market policy interventions point to the fact that job matching and job search assistance are amongst the most successful measures and are relatively inexpensive³⁷⁴. Naturally they vary in content and scope and range from the basic provision of a vacancy notification service through to much more comprehensive packages that include such components as career guidance and preparatory training whose main aim is to find appropriate employment and educational options for each individual. Measures can also vary in the way they are dealt with in policy, from general legislation to regional or local action, as shown in the box below.

Illustrative examples of job matching and job search measures

In **Belgium**, the Jobkanaal initiative is aimed at all disadvantaged groups. It has been created by VOKA, UNIZO and VCSPO³⁷⁵ with the support of the Flemish government in cooperation with the city of Ghent. Jobkanaal is a closed website on which employers can advertise their vacancies. This website is open to a professional network of more than 500 employment offices that try to match job seekers with some disadvantage in the labour market (e.g. older workers, ethnic minorities or people with disabilities) to vacancies. Jobkanaal staff subsequently contact employers to organise meetings with their candidates and advise the employer of possible subsidy possibilities. If no suitable candidates are found with a disadvantaged background, the vacancy is matched with the entire pool of job seekers in Belgium³⁷⁶.

Finnish law stipulates that each registered jobseeker is to have an individual job-seeking plan within five months of registration as unemployed. The plan outlines a person's competences and possible vocational further education and training needs. The plan provides for individually tailored guidance and refers each client to the type of education or training that is best suited to his/her needs³⁷⁷.

7.11 System flexibilities for young people and adults

In considering the role that VET plays in social and labour market integration an important consideration is the extent to which education and training systems generally make it possible for people to re-enter learning during their adult lives. From the VET perspective this is a question of the degree of openness and flexibility of CVET, however, in practice it is quite difficult to separate CVT from other forms of adult education, and indeed this is what one would expect given the drive towards the establishment of lifelong learning.

Generally speaking evidence from across Member States indicates that there is a wide variety of types of provision available with differing eligibility criteria, leading to various qualifications. Several countries

³⁷⁴ Kluve J. *et al* (2005). *Study on effectiveness of ALMPs*, p.166

³⁷⁵ VOKA – Vlaams network van ondernemingen (Flemish network of enterprises), UNIZO – Unie van de Zelfstandige Ondernemers (Union of self-employed entrepreneurs), VSCPO – Vlamse Confederatie van Social Profit Ondernemingen (Flemish Confederation of Social Enterprises)

³⁷⁶ Interview SERV, www.jobkanaal.be

³⁷⁷ Ministry of Labour, 2005.

offer programmes to adult learners within their education and training systems that lead to the same qualifications as those for young people (see chapter 6). The Portuguese system (shown in the box below) offers a good illustration of the variety of provision that tends to be available within a Member State.

System flexibilities to help the low skilled in Portugal
• Recurrent/adult education courses (<i>Ensino Recorrente</i>) is a measure which is designed to give a second chance to young people and adults (at least 15 years of age) who have not finished or have not fully benefited from compulsory education. The courses are flexible and are organised in a system of cumulative units, and take into account prior experience. Graduation leads to basic or a secondary education certificate and also Level 1, 2 or 3 vocational qualification certificates (ISCED 1 and 2). In the 2003/2004 school year, the number of students benefiting from this sort of education at basic level amounted to 22,522, 3.7% of the total number of students at that level. The number of secondary education students involved amounted to 68,109 or 19% of students at that level. The courses are provided by the network of public schools on a regular basis. • Courses of Adult Education and Training (<i>Cursos de Educação e Formação de Adultos – EFA</i>) are targeted at those aged 18 and over, who did not complete basic education or have low vocational skills, and aimed at providing basic education and vocational training. The priority is given to unemployed adults registered in Employment and Vocational Institutes or those recommended by specific institutions, for example those implementing the Minimum Income Programme. The institutions that provide the courses must be accredited by the Training Innovation Institute. The system is based on flexible courses through a list of key competencies for basic training; a list of training for vocational training based on qualification itineraries divided into credit units; series of itineraries based on a curricular design and structured processes for the recognition and validation of competencies acquired throughout life, through formal and informal learning. • Extra-school/Non-school education (<i>Educação Extra-Escolar</i>) is designed for adults (the minimum access age is 15) and is provided outside the formal education system. It is not aimed at providing any certificates to its graduates. The broad objectives of these programmes are to combat illiteracy and to promote cultural and vocational competences. These programmes are developed in local contexts, typically by municipalities' education services, cultural and recreational organisations or professional unions. • Know-More Actions (<i>Ações S@ber+</i>) are short duration modules (approximately 50 hours) targeted at those aged 18 years and over irrespective of their skill levels. The aim of the courses is to acquire, develop and reinforce the academic and vocational skills of their participants, and typically include basic mathematics, foreign languages, reading and writing skills and ICT basics, etc.

Systems vary in the extent to which eligibility is restricted but increasingly steps are being taken to open up new ways of accessing provision for those who are low skilled and who lack the relevant qualifications. In many if not most instances the validation of existing skills acquired non-formally or informally in the workplace plays an important role.

Perhaps the best example of systemic openness is provided by the oft-quoted Scandinavian approach to lifelong learning based on a liberal adult education tradition. This can be an important tool for improving the skills of low-skilled people, in particular in the case of those who have had bad experiences in formal education settings. The objectives and content of liberal adult education are not set out by national policy or curricula. Rather, such decisions are made by the liberal adult education institutes, independently or together with the communities catered for by these institutes. Traditional liberal adult education establishments are folk high schools, adult education centres and study centres. The essential characteristic of liberal adult education is that participation is voluntary; and study forms range from evening classes to full-day and weekend courses. Not all liberal adult education leads to a qualification but it plays an important role in the establishment and maintenance of the habit of learning – a learning culture.

The liberal adult education tradition is especially prominent in the Nordic countries, but is also strong in some other countries, e.g. the UK and Slovenia. Building up the sector is an important policy goal throughout Europe (as evidenced by recent EC Communications on the sector³⁷⁸), and has been stimulated not least by the Grundtvig action of the EU Socrates programme³⁷⁹.

³⁷⁸ European Commission (2006) *Adult learning: It is never too late to learn*, Communication from the Commission COM(2006) 614 final, Brussels 23.10.2006, http://eur-lex.europa.eu/LexUriServ/site/en/com/2006/com2006_0614en01.pdf; and European Commission (2007) *Action Plan on Adult learning: It is always a good time to learn*, Communication from the Commission to the Council, the European Parliament, the European Economic and Social Committee and the Committee of the Regions, COM(2007) 558 final, Brussels, 27.9.2007

³⁷⁹ ECOTEC (2004) *The Interim Evaluation of the Grundtvig Action of the SOCRATES II Programme (2000-06) covering the years 2000-02. A Final Report to the Directorate-General Education and Culture of the European Commission*

Illustrative examples of the role of liberal adult education

In **Finland**, liberal adult education has a long tradition. It offers non-formal (non-certificate-oriented) studies that provide adults with opportunities to develop themselves in liberal adult education establishments without any degree-related goals; foreign languages, IT, physical education, social studies, arts and music are popular among the adult population.

In **Sweden**, liberal adult education provision is available to everyone and aims at reaching groups who often remain outside the formal educational systems, particularly people with disabilities, immigrants, unemployed and those individuals who only have elementary education. The goal of the Swedish liberal adult education is to reduce (education) gaps among people from different backgrounds and stimulate individual citizen's participation in society. This kind of education is provided by folk high schools, study associations and study circles. Folk high schools are often residential and provide both long-term and short-term courses. Folk high schools are not tied to a national curriculum; each school determines its own activities on the basis of their ideology and preferences. Upon completion the students are usually awarded a certificate. Activities of study associations (*studieförbund*) consist mainly of study circles (evening classes), but they also organise education which has a correspondence to the offer of the school system and higher education institutes³⁸⁰.

The system also provides a vehicle for more specific interventions. For example, in 2005 and 2006 the Swedish National Labour Market Board (AMS) ran a programme called '*On the way to employment*' (*Vägen in i arbetslivet VIA*) in co-operation with nine folk high schools in various parts of the country. The target group was unemployed young people between 20 and 29 years old and the project included internships, studies and other individual measures to improve individual's chances of finding work or continuing into vocationally oriented studies.

Prior to this the Adult Education Initiative (*Kunskapslyftet*) was carried out between 1997 and 2002 and aimed to combat unemployment through the expansion of adult education. The principal target group was unemployed adults who had not obtained an upper-secondary qualification. The aim was to enhance the employability of these individuals either directly through vocational training or indirectly through basic skills training provision to enable participants to subsequently continue their studies/training. Evaluations of the initiative have shown that certain goals of the initiative were achieved³⁸¹ and that the programme managed to decrease unemployment amongst participants. It was particularly successful in changing the situation of unemployed females. Evidence also suggests, however, that the period of unemployment after programme participation was longer than after participation in general labour market training programmes. Furthermore, municipalities with particularly high proportions of low skilled adults managed to attract more participants to the programme. The

³⁸⁰ Eurydice (2003). Structures of education, vocational training and adult education systems in Europe, available at: http://www.eurydice.org/ressources/eurydice/pdf/041DN/041_SE_EN.pdf

³⁸¹ Sterberg A. (2003). *An Evaluation of the Adult Education Initiative Relative Labour Market Training*; Sternberg A. (2003). *Second Year Effects on Wage Earnings and the Influence on Branch Mobility*, available at: <http://ideas.repec.org/e/pst117.html>

³⁸² Cedefop Refernet (2006) Thematic Overview, The vocational education and training (VET) system of Sweden.

Illustrative examples of the role of liberal adult education

programme may thus have reduced disparities between regions. When the programme ended, the municipalities were offered a new state grant to expand adult education provision incorporating features of *Kunskapslyftet*³.

With regard to VET more specifically, some Member States have been taking steps to make vocational provision more accessible for the low skilled, and some illustrative examples are provided in the box below.

Illustrative examples of measures to enable the low skilled to re-enter VET

In **Austria**, social partners, and adult programmes within state-run VET schools and colleges offer bridge courses (*Vorbereitungslehrgänge*) for those in employment to pursue an add-on course (*Aufbaulehrgang*). They lead to the upper secondary leaving certificate (*Reifeprüfung*) and a VET qualification of the relevant VET college offering the course.

In the same country, the *Berufsreifeprüfung* (BRP), which offers upper secondary VET graduates from non-technical routes¹ eligibility to enter tertiary academic education, can be taken upon completion of specific courses either offered by schools or recognized by the Federal Ministry of Education, Science and Culture, which are offered by adult learning institutions outside the mainstream education system.

In **Denmark** adults aged over 25 with professional experience of at least two years can enrol in a basic adult education programme (gvu) and receive an adult vocational education grant. gvu is not a traditional education programme but rather a framework which integrates previous experience and vocational and labour market education leading to a qualification. Gvu is offered at upper-secondary level and its central element is to provide low skilled adults with the possibility of skills upgrading. It also offers the possibility of recognising prior learning as part of a formal learning programme thus reducing the duration of the residual VET programme.

In **Estonia** the additional year of general study that enables people with vocational educational backgrounds to enter the tertiary level is taught in upper secondary schools for adults or upper secondary schools with a department for evening studies or distance learning to the extent of 35 study weeks.

In **Hungary**, the vocational school development programme (September 2006) includes the plan to ensure that participants can receive partial vocational qualifications, which are fully recognized once the individual decides to re-enter vocational education.

In **Italy**, adults without an upper secondary qualification can take part in an assessment of literacy and mathematical skills to gain entry to post-secondary non-tertiary education.

¹ And who are not therefore able to follow a double qualifying pathway of the sort we describe in the next section.

The fact that structures and approaches such as those described in this section exist is no guarantee that they will be taken up. As we saw in chapter 3, rates of participation in lifelong learning are highly variable between countries, as are the rates of intensity of training, notably in the Mediterranean countries where though rates are low the intensity is high (i.e. the proportion of people undergoing training is low but those who do train spend more days doing so than in many other countries). We also know that lifelong learning tends to be most prominent amongst the well-educated, although there is a dearth of systematic evidence in individual Member States with regard to who takes up adult provision, their success (whether they completed the course and/or obtained a certificate/qualification) and their subsequent destination (unemployment, employment, further training). It is important that systems are not just permissive but are backed up by active facilitation to incentivise their use by people from disadvantaged backgrounds.

7.12 Measures to tackle unemployment

In this section we turn to the role of VET in measures designed to get unemployed people back to work. We cover both young people and adults. There are broadly similar packages of measures for the two groups, although emphases and eligibilities may vary.

7.12.1 The context: labour market policies, unemployment and VET

In order to understand the role of training in measures for the unemployed; we have to understand something of the labour market policy context within which such measures are situated. As discussed in section 3.3 there are close links between social welfare and employment protection legislation, and it can be argued that labour market policies, especially active ones, can be seen as the work-based elements of social protection¹.

Labour market policies are designed to varying degrees (depending on the country) to lubricate and structure the interaction between supply and demand in the labour market, i.e. between job seekers and jobs offered. A variety of ways of shaping this interaction are available. Whilst training enhances workers' skills and capabilities, other labour market policies are variously designed to: match jobs and workers (e.g. employment services, job search etc); reduce labour supply (as in the case of early retirement policies); create jobs (e.g. through public works and enterprise development); and change the structure of employment in favour of disadvantaged groups (e.g. through employment subsidies for target groups). Training is thus one of a raft of measures deployed in the implementation of labour market policies; but its role is important and growing.

7.12.2 Active labour market policies and the role of training

Although the distinction is not uncontroversial, labour market policies can broadly be divided into active and passive measures. Active measures constitute active interventions to assist people into work in contrast to passive measures such as the provision of unemployment benefits and information on job vacancies (see Table 7.10). In general it is argued that labour market policies have shifted from

¹ International Labour Office (2003) *Active Labour Market Policies*, Paper to the Committee on Employment and Social Policy, ILO Governing Body, November 2003 <http://www.ilo.ch/public/english/standards/relm/gb/docs/gb288/pdf/esp-2.pdf>

passive to more active approaches in Europe and that the trend continues¹, although spending on active labour market policies (ALMPs) still lags behind that on passive measures (0.545% of GDP in 2005 compared to 1.413% on passive measures). ALMPs are seen as having an important role to play in promoting the advancement of individuals usually hired last or not at all, i.e. people from disadvantaged groups². Training has a key role to play in active labour market policies (or ALMPs), although as Cedefop has pointed out few countries in their reports on progress in VET for the disadvantaged include references to ALMPs given the different remits of their ministries³.

Table 7.10 Types of labour market measure (Eurostat/OECD 'new' Labour Market Database - classification of measures)

Type of action	Main sub-types	Description
Labour market policy services	Labour Market Services	These measures include all services and activities undertaken by the public employment services (PES) and other public agencies, as well as those bodies that were contracted by the public authorities in order to help facilitate labour market integration and recruitment.
	Client services	Services facilitating the integration of the unemployed and other job seekers into the labour market or assisting employers in staff recruitment and selection
	Other activities	Administrative costs of active and passive measures
Active measures	Training and internships	Training measures aiming at improving employability, acquiring skills for job applications and interviews; portfolio approach, guidance and counselling
	Job rotation and job sharing	Facilitation of placement of an unemployed person (or a person from another target group) by substituting hours worked by an existing employee
	Employment incentives	Facilitation of recruitment of unemployed persons and other target groups, preventing discontinuation of employment
	Integration of the disabled	Promotion of integration of disabled persons in the labour market
	Direct job creation	Measures aimed at creation of additional jobs
	Start-up incentives	Measures that promote entrepreneurship
Passive measures	Out-of-work income maintenance	Cash benefits in case of loss of wage or salary
	Early retirement	Measures to facilitate full or partial early retirement of older workers
Types of expenditure	Transfers to individuals	Public expenditure paid directly to individuals in cash or as reduction of obligatory levies
	Transfers to employers	Public expenditure paid directly to employers in cash or as reduction of obligatory levies
	Transfers to service providers	Public expenditure paid directly to producers of goods and services for individuals or employers as benefits in kind

Source: Based on EC (2006). *Employment in Europe 2006*, p.121-122

¹ Walther A., Pohl A. (2005). Thematic Study on Policy Measures concerning Disadvantaged Youth, IRIS

² International Labour Office *op cit.*

³ Cedefop (2007) *Zooming in on 2010*, p. 102. Thessaloniki: Cedefop

ALMPs are an important element of the European Employment Strategy. Although many ALMP components have been used throughout the EU before, there has been increasing awareness of the need to develop scientifically-justified policies and methods to evaluate their effectiveness¹. At the same time, in the context of pursuing the education and employment goals of the Lisbon Strategy, there has been an increasing necessity to accelerate the pace of reform in order to achieve the stated goals².

The ALMPs used across the EU are quite heterogeneous in many dimensions. Moreover, the use of ALMPs, their role in their respective labour markets, the data collection processes and the varying evaluation culture in Member States make a comprehensive analysis of the impact of ALMPs difficult³. Most of the research and evidence on the performance of ALMPs comes from micro-economic studies that discuss treatment effects and tend to ignore effects at the aggregate level. The effects emerging from these studies vary due to the different coverage of the analysed programmes as well as the wide array of target groups they include.

Additionally, activation takes place via a variety of measures and approaches. In some countries, such as Austria, Poland, Portugal, Bulgaria, Romania, Slovakia, Greece and Italy, the active measures take the form of negative incentives such as limited entitlement to benefits and requirement of compliance to accept job offers coming from public employment services. In other countries, more holistic approaches have been developed that seek to combine and integrate different elements into one package of measures. For example in Denmark activation takes the form of a 'whole system' model which consists of personalised counselling and coordination of activities between different actors (schools, vocational training centres, PES, local authorities and communities). In Finland, activation relies on a one-stop-shop model which integrates a variety of services.

ALMPs absorb a small but significant share of the total GDP of EU Member States. In 2005 public expenditure on ALMPs in the EU-15 accounted for 0.55% of GDP. Equally, it is subject to significant fluctuations and has shown a decline in relative terms of almost a third since 2000. However, the figures in Table 6.11 reflect an interplay between levels of unemployment and GDP growth; and whilst unemployment in the EU-15 rose slightly from 2000 to 2006 then fell back to around the same level as at the start of the period, GDP grew, albeit quite slowly. This means that ALMP spend in *real terms* has probably mirrored the shifts in unemployment and GDP quite closely, with the pronounced falls in 2004 and 2005 reflecting unemployment rates that stabilised then fell, and rising GDP.

Table 7.11 also highlights significant differences between countries. As might be expected in light of the discussion of country clusters in chapter 3, the biggest spenders in relative terms are the Nordic countries, Germany, France, Belgium and the Netherlands. The Mediterranean countries⁴ have all tended to spend less of their GDP than the EU-15 average over the years in question, with especially low spending in Greece. Low spending is even more marked in the countries of Central and Eastern Europe which as a group spend on average only one third of the EU average rate, reflecting the less well developed nature of social welfare mechanisms in general and the early stage of development of

¹ See: Kluve J. et al. (2005). *Study of the effectiveness of ALMPs*

² See: Second report on the implementation of the 2003-05 broad economic policy guidelines, European Economy, No 1/2005, p.31

³ Kluve J. et al. (2007), p.156

⁴ Excluding Cyprus and Malta for which data are not available.

ALMPs in particular. The UK is also a very low spender on ALMPs. There is something of the order of a 30-fold difference between the EU Member States at the extremes of ALMP spend.

Table 7.11 Public expenditure on active labour market policy measures (as a % of GDP). Measures 2-7 in the LMP database (training, job rotation/job sharing, employment incentives, integration of the disabled, direct job creation and start-up incentives)

Country	2000	2001	2002	2003	2004	2005
DK	1.666 (e)	1.629 (e)	1.650 (e)	1.517 (e)	1.524 (e)	1.433 (e)
SE	1.532 (e)	1.44	1.368	1.033	1.005	1.097
BE	0.972 (e)	0.966 (e)	0.869 (e)	0.990 (e)	0.916	0.852 (e)
NL	1.083 (e)	1.119	1.137	1.153	0.907 (e)	0.852 (e)
FI	0.746 (e)	0.675 (e)	0.692 (e)	0.735 (e)	0.767 (e)	0.711 (e)
FR	1.013 (e)	0.956 (e)	0.901 (e)	0.819 (e)	0.722 (e)	0.664 (e)
NO	0.494 (e)	0.515 (e)	0.567	0.666	0.646	0.617 (e)
DE	0.988	0.957	1.037 (e)	0.951	0.857 (e)	0.616 (s)
ES	0.659 (e)	0.605 (e)	0.562	0.561	0.550 (e)	0.583
EU-15	0.758 (s)	0.736 (e)	0.738 (s)	0.705 (s)	0.628 (s)	0.545 (s)
PT	0.354 (e)	0.466 (e)	0.427 (e)	0.510 (e)	0.545	0.517 (e)
IE	0.787 (e)	0.722 (e)	0.636	0.589	0.495	0.481 (e)
IT	0.546	0.608	0.643 (e)	0.665 (e)	0.532	0.461
AT	0.385	0.427	0.407	0.450 (e)	0.433 (e)	0.458 (e)
BG	n.a.	n.a.	n.a.	n.a.	0.472 (e)	0.44
PL	n.a.	n.a.	n.a.	n.a.	n.a.	0.359
HU	n.a.	n.a.	n.a.	n.a.	0.204	0.197
SK	n.a.	n.a.	n.a.	n.a.	0.071	0.17
LV	n.a.	n.a.	n.a.	0.085	0.076	0.148
LT	n.a.	n.a.	n.a.	0.152	0.154	0.147
CZ	n.a.	n.a.	0.117 (s)	0.116 (s)	0.132	0.122
UK	0.199 (e)	0.161 (e)	0.160 (e)	0.157 (e)	0.154 (e)	0.116 (e)
RO	n.a.	n.a.	n.a.	0.109	0.103	0.097
EL	0.258 (e)	0.274 (e)	0.186 (s)	0.098 (s)	0.155 (s)	0.061 (s)
EE	n.a.	n.a.	n.a.	0.048 (e)	0.041 (e)	0.047

Source: Eurostat, 2007 (extracted 9 July 2007)

(s) Eurostat estimate

(e) Estimated value

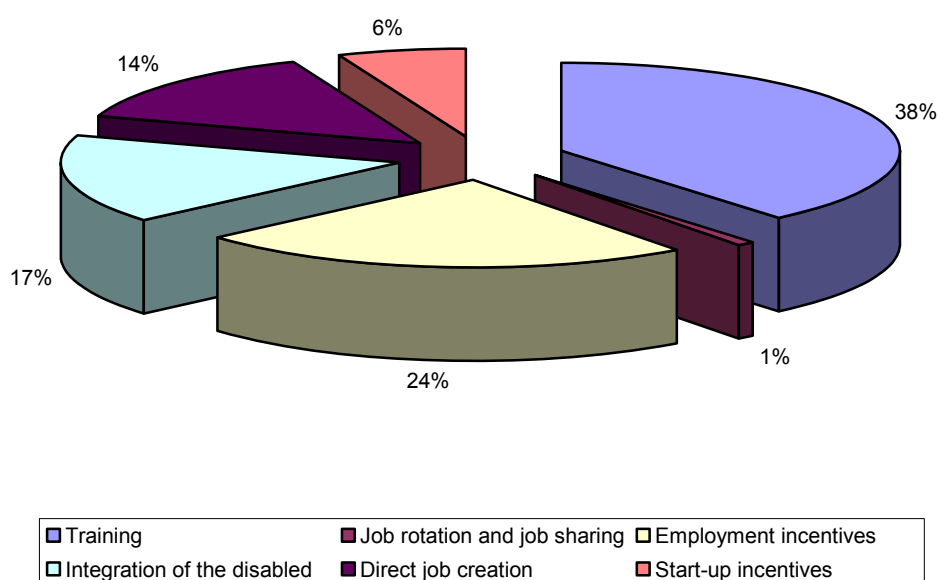
Data not available for Luxembourg

Gender differences in access to ALMP are important in some countries. Eurostat data for 2004 show that the proportion of men in ALMPs is higher than that of women (54.8% of men versus 45.2% of women)¹. Eurostat reports that gender differences are important in 6 out of 16 analysed countries it analysed for a recent report², which suggest that in these 6 countries the preponderance of men in LMPs is considerable. These countries include the UK (64%), Germany (59.3%), Slovakia (58.4%) and Sweden (57.8%). On the other hand, only in Finland, the share of women was higher than 55% (56.6%).

The importance of training within ALMPs

Having described the broad context for ALMPs, what is the broad picture with respect to the role of training within them? In expenditure terms, training constitutes the most important single component of ALMPs at 38% or nearly 21.9 billion euro across the EU as a whole in 2005, as shown in Figure 7.6³.

Figure 7.6 Share of expenditure for ALMPs in 2005



Source: Eurostat, 2007 (extracted 9 July 2007)

¹ Eurostat, Statistics in Focus (2007). Men and women participating in Labour Market Policies, 2004

² Ibid

³ Although these data are based on estimates and therefore should be treated cautiously, the broad patterns can be regarded as reliable for our purposes

Looking across all countries for which data are available (Table 7.12), we can see that in recent years, the spend on training has fallen by nearly a fifth. However, can be seen from Table 7.13, this is accounted for by significant falls in expenditure in a number of relatively high spending countries, e.g. Denmark, Germany, and the UK, and indeed there were actually *increases* in expenditure in 9 out of the 15 countries in the data set. Interestingly, three of the four large Mediterranean countries registered increases (with the decrease in Greece being in the context of a cut-back across all types of intervention from an already low base).

Table 7.12 Labour market policy expenditure in active measures by type (in million EUR)

Category of ALMP	2000	2001	2002	2003	2004	2005	% change
Training	27029.21*	26036.75*	28006.15**	26845.94**	24799.57**	21867.03**	-19.10
Job rotation and job sharing	472.49	517.75	158.94*	217.59	226.35*	342.48*	-27.52
Employment incentives	12436.21*	14075.42*	14724.22*	14151.12*	12997.73*	13390.95**	7.68
Integration of the disabled	8495.08*	8871.62*	9681.60*	9989.04*	10013.37*	9296.05*	9.43
Direct job creation	15823.58**	14790.81*	14519.07*	12773.08*	10286.52*	7760.83*	-50.95
Start-up incentives	1780.18*	2225.37*	1995.17*	3124.08*	4194.91*	3396.18*	90.78

Source: Eurostat, 2007 (extracted 9 July 2007)

* Estimated value

** Eurostat estimate

Table 7.13 Percentage changes in spending on ALMPs between 2000 and 2005 by country¹

	Training	Employment incentives	Integration of the disabled	Direct job creation	Start-up incentives
EU-15	-19.1	7.68	9.43	-50.95	90.78
PT	56.97	375.49	58.92	-24.1	-71.74
BE	54.54	34.82	18.51	-1.76	61.86
AT	53.76	-4.34	36.26	10.29	115.41
NO	53.42	43.35	152.06	39.24	38.06
IE	47.79	-38.19	904.96	-19.92	n.a.
NL	47.75	230.7	8.06	n.a.	n.a.
ES	26.43	51.21	-52.73	-11.11	59.06
FI	17.43	14.25	45.94	-28.67	96.84
IT	3.68	6.9	n.a.	-75.93	47.24
FR	-7.64	-17.04	30.75	-46.48	67.56
DK	-12.98	7.95	40.41	-99.79	n.a.
UK	-33.35	-34.79	-10.57	-55.77	-6.61
DE	-43.97	-33.57	8.41	-58.8	171.77
SE	-44.21	6.87	-15.87	n.a.	-21.87
EL	-65.23	-57.93	n.a.	n.a.	-92.57
LU	n.a.	366.81	885.71	88.55	200

Source: Eurostat, 2007

Furthermore, the changes in training should be seen in the context of changes in the expenditure on other elements of ALMPs, also shown in Table 6.13. It is hard to detect anything in the way of general trends, but a majority of countries have reduced spending in direct job creation, whilst expenditure on incentives for start-ups has risen in most countries (normally from a comparatively low base). The picture with respect to employment incentives (designed to facilitate the employment of the unemployed or other target groups or the prevention of redundancies) is less clear. Whether we are seeing a *redeployment* of resources is a moot point; every country has its own unique pattern of increases and decreases in spend across the different categories.

Overall, however, the figures do suggest something of a shift in policy preferences away from subsidies to the encouragement of enterprise and business development. Certainly there has arguably been a drift in policy in this direction, reflecting concerns about the lack of entrepreneurship within the EU and also arguments that subsidies and incentives to create or preserve jobs distort the market, are economically inefficient and in the worst case can simply prop up uncompetitive businesses. Where training fits within this pattern is less clear but it is somewhat insulated from the latter arguments since it intervenes in a different way to the other measures by developing the capabilities of individuals, and this may be reflected in the strongly variable pattern across EU Member States.

¹ Job sharing and job rotation have not been included due to the scarcity of data

We should also note the trend to increased expenditure on measures to facilitate the integration of people with disabilities, which may reflect an increasing incorporation of the needs of disabled people within social policy in general.

It should be remembered that these are trends in expenditure and *not* in performance. Many of the policy measures featured in this chapter come from such countries as the UK or Denmark, which have actually reduced some of their training or employment incentives expenditure. Such moves do not have to indicate a reduction in the importance attached to these measures but could indicate a reallocation of resources outside of ALMPs, the substitution of public resources with those from the private sector (as in the case of the UK's *Train to Gain* programme) and increased efficiency¹. Furthermore, ALMPs that do include training, e.g. the UK's New Deal programmes, focus their attention primarily on job search assistance and only then on training (when deemed necessary for obtaining or securing employment). The effects of the increases in spending on training such as in Portugal are not yet known due to the fact that the measures are new.

Finally, there are substantial differences between countries in the expenditure on training as part of ALMPs. Table 7.14 brings out clearly the much greater spend per capita in the Nordic countries, compared to the countries of Central and Eastern Europe and the Mediterranean². The numbers involved in ALMP training can be considerable. In Germany, for example, the numbers of people in ALMP measures is considerable in comparison to those in mainstream apprenticeships³.

¹ Indeed, the success of New Deal for Young People in the UK is attributed to increased guidance and job search assistance which belong to the less expensive of the labour market policies (see Annex Seven for full case study text).

² Although these figures do not allow for differences in the cost of living between countries, the magnitude of the difference is such that the cost of living would account for only a very small proportion of the difference.

³ See for example Haugg, K. Ausblick: Wie geht es weiter? in Prager, J. and Wieland C. (eds) *Duales Ausbildungssystem – Quo vadis?* Bertelsmann Stiftung 2007

Table 7.14 Expenditure on training within ALMPs per capita by country

Country	Expenditure on training within ALMPs per capita (2005)
DK	195.8
NO	193.5
FI	110.9
SE	108.9
AT	97.4
IE	83.2
FR	78.7
DE	67.6
BE	58.2
IT	48.6
NL	44.4
PT	40.9
ES	31.0
UK	26.0
PL	6.6
EL	6.4
LV	5.7
HU	3.4
LT	3.1
EE	2.8
BG	1.9
SK	1.7
CZ	1.3
RO	0.4

Source: ECOTEC analysis of data sourced from Eurostat

The effectiveness of ALMPs

There is little evidence with regard to the macroeconomic effects of ALMPs. Some studies report a long-term increase in labour supply, maintained participation during economic downturn, increased human capital and reduced wage pressure. A large body of research, however, points to the existence of substantial displacement and substitution effects¹.

The review of the available literature on the effectiveness of ALMPs suggests that these have helped to improve job search assistance programmes in recent times. Analyses also reveal that subsidies for employment creation in the private sector are more effective than direct job creation in the public sector and training measures show more positive results when focused on specific target groups. Women re-entering labour market and educated immigrants benefit the most from ALMPs, while, low-educated individuals have less access to training under ALPMs and reap smaller benefits. In general, programmes which are implemented on a large scale seem to be less tailored to the needs of their target groups and thus less effective than smaller scale programmes².

There are barriers to participation. Some of the obstacles to the take-up of training include lack of training places and the interaction between labour market rewards and the benefits' systems, which may make relying on benefits a more economically beneficial choice than seeking employment. Most ALMPs cover a diverse group of people; however there is often a paucity of measures that target particular groups at risk.

The benefits of training through ALPMs seem to vary. In Sweden and Germany, for instance, positive effects of labour market training have been recently reported, less positive effects have been identified in Denmark³. In some new Member States (Poland and Estonia), some positive effects on the employment prospects of participants have also been reported, which might be explained because in times of rapid economic change there is a higher demand to update the skills of the workforce in response to new technology and modes of production⁴. French studies also report increased probability of employment after training, although this has to be seen in relation to the extent to which skill upgrading and competence building is required, i.e. some people have further to travel and are therefore harder to place in jobs than others.

Recently, there has been increasing stress on the analysis of the long-term impacts of training, mainly thanks to the extension and improvement of available data sets. Despite the unclear and often contradictory evidence on the effectiveness of the ALMPs research making use of these higher quality databases suggests that there are positive effects of training in the long run.

¹ Kluve J. et al. (2007), *Active Labour Market Policies in Europe*, p.156

² See: Overview of the evaluations of the ALMPs in: Kluve J. et al. (2007). *Active Labour Market Policies in Europe*, p.155-156

³ Kluve et al. (2005). *Study on the effectiveness of ALMPs*, p.170

⁴ Kluve J. et al. (2007) op cit, p.159

7.12.3 VET-related measures

In this section we examine the ways in which VET is deployed to help address the problem of unemployment. The strong similarities between the measures for young people and adults mean that we deal with both together whilst identifying any important differences during the course of the text. With regards to young people specifically, there is naturally overlap here with the remedial measures described in the section above on early school leaving.

A number of general points need to be made at the outset. First, as we stressed in the previous section people's needs fall across a spectrum and whilst some will be comparatively easily placed into employment through simple retraining or upgrading, the more socially excluded are likely to require other types of competence development. Furthermore, depending on the labour market conditions, individuals will sometimes require general employability rather than job-specific training. The training individuals receive may also depend on the policy framework since general employability training may open up a range of employment opportunities whilst occupationally specific training by definition covers a narrower range of occupations. The low skilled are likely to be recipients of both types, whilst those with higher skill levels may need just occupationally specific re-training as they are likely to have better developed employability skills.

Secondly, eligibility for VET for the unemployed tends to be conferred after a given period of unemployment, as well as according to a variety of other criteria. This approach was adopted in a number of countries before being promulgated at EU level through the European Employment Strategy and Employment Guidelines.

Thirdly, the use of new forms of subsidised contracts appears to be a common measure being deployed. In Italy, for example, *contratti d'inserimento* (inclusion contracts) aim to provide a route into work especially for young people and the long term unemployed, and are available for those aged 18-29, the long-term unemployed (29 to 32) and women in areas where the female rate of employment is particularly low¹. Inclusion contracts encourage employers to hire from these groups.

Fourthly, there is considerable variation between Member States in the scale and scope of policy and experience which has been built up in relation to dealing with the issue of low skills and unemployment. As we noted above, some countries place greater emphasis on ALMPs than others. Some countries have developed quite sophisticated packages of measures such as illustrated by the UK in the box below.

¹ Ministry of Labour of Italy website: www.welfare.gov.it

The New Deal programme (UK)

In the UK, New Deal is a programme for the unemployed, providing training and support to look for work. It is supervised by the Department for Work and Pensions (DWP) and is available nationally. Since its establishment in 1998 it has targeted 1.3 million people. The programme's target groups are young people, lone parents, people with disabilities and older people. The programme provides support in finding work through advice and guidance, improving employability through gaining new skills through training and finding work experience (young people). Additionally, the advisers may help find childcare (New Deal for Lone Parents) and it is possible to receive wage top ups (New Deal for Disabled People). New Deal has several strands:

- New Deal for Young People (NDYP) (compulsory)
- New Deal 25 Plus (compulsory)
- New Deal for Lone Parents (voluntary)
- New Deal for Disabled People (voluntary)
- New Deal 50 Plus (voluntary)
- New Deal for Musicians (voluntary)
- New Deal for Partners (voluntary)

The available evidence for some programmes, such as NDYP, suggests that the programme has contributed to a reduction of long term youth unemployment chances of around 50% along with a reduction in total youth unemployment.

Sources: Atkinson J., Dewson S., Kodz J. (2000). Evaluation of New Deal 50 Plus. Qualitative Evidence from ES and BA Staff: Second Phase, Employment Service Research Report summary available at: <http://www.employment-studies.co.uk/summary/summary.php?id=esr68>; Anderson A., Brooke B., Doyle A., Finn D. and Moley S. (2006). Understanding Young People in Jobs without Training, Research Report No 736, available at: <http://www.dfes.gov.uk/research/data/uploadfiles/RR736.pdf>

Finally, a large part of labour market training is targeted at young people (below 25 years of age) to help them with their transition to employment¹. Usually coordinated by the public employment services (PES), courses do not always lead to formal qualifications perhaps because they often take the form of short programmes focused on the acquisition of specific skills linked to particular employment opportunities. An important unintended consequence of such provision is that it can contribute to the creation of subsidised low wage jobs². In this context it is necessary to closely monitor the quality standards of the training and to develop bridges into regular and sustainable employment, as well as to ensure that the training provides employers with the skills that they demand. It also highlights the importance of the development of both credit accumulation systems – such as the ECVET – to enable

¹ Kluve J. et al. (2007). *Active Labour Market Policies in Europe*, p.188

² Walther A. and Pohl A. (2005). *Thematic Study on Policy Measures concerning Disadvantaged Youth*, IRIS

low skilled people to gain credit for their learning, and of methods for validating non-formal and informal learning.

7.12.3.1 *Types of training measure*

A number of types of training measure are being increasingly deployed. These types are not mutually exclusive, but it is helpful to distinguish between them. Broadly, we can distinguish between on the one hand training that develops positive attitudes to work, basic skills and competences and on the other hand training that offers opportunities to acquire vocational qualifications. Perhaps not surprisingly, many of the latter are based on apprenticeships or alternating work and study periods.

Training to develop positive work habits

A recurring theme of this chapter is the need to offer the most disadvantaged the possibility to develop positive attitudes towards learning and work. Without such attitudes, many excluded individuals will continue to face problems in the labour market. Measures such as those described in the box below consist of preparatory steps that are needed before vocational training can successfully take place.

Illustrative examples of motivational measures to develop positive attitudes to work

In **Slovenia**, an interesting example of measures aimed at preventing youth unemployment is the national training programme called *Project learning for young adults (PUM)* addressed to young adults in the age group 15-25 who have no basic vocational qualifications and no work experience, who left school early, are poorly motivated for education and training and have unrealistic expectations regarding their career planning and employment. The main goal of the programme is to motivate these young adults to develop work habits, discover their talents and abilities and teach them how to cooperate and establish a vocational goal. The programme aims to teach participants to cooperate and support each other, as well as overcome learning difficulties and articulate explicit vocational aspirations and goals.

In **Lithuania**, the *Strengthening of Youth Motivation for Employment (SYME)*⁴⁰⁶ programme is addressed to disadvantaged unqualified and unmotivated youth (aged 16-24) from Vilnius and Alytus counties and aims to develop a social partnership that will allow the improvement of existing public policy measures and lead to the creation of new ones to combat the social exclusion of youth at risk in the labour market. The programme is managed by the Public Policy and Management Institute and 19 national partners.

Training to develop basic skills and competences

As well as motivating individuals, foundation training is needed to compensate people for education they may have missed at school. Accreditation of this training is important to give people a sense of progression.

⁴⁰⁶ EQUAL database in Lithuania, Retrieved April 12, 2007 from: <http://www.equal.lt/en/pages/view/?id=115>

Illustrative examples of measures to develop basic skills

In **Croatia**, the MoSES project targets low skilled adults and provides them with basic school education. Adult learners have to follow a fixed curriculum whereby the standard eight years of education have been merged into three. The delivery of training courses takes place through MoSES-accredited institutions, which include basic schools and People's Open Universities. Adult learners also have the possibility to acquire vocational qualifications. The financing is provided through "Cheque for the Elementary Education of Adults" which amounts to EUR 300-330. The evaluation of the programme, covering the period between 2003 and 2004, showed that people aged 15-24 were the most highly represented age group in the project and that 50% of participants had not completed 4-7 years of elementary education⁴⁰⁷.

In August 2007, the **UK** introduced a new Employability Skills programme for Jobcentre Plus (UK's Employment Service) customers which will provide training where necessary in numeracy, literacy and language skills to help them find a job and – significantly - then ensure further training to help keep people in employment once they are working. An important stimulus for the programme was the previously low take-up of basic skills provision amongst Jobcentre Plus customers and a low impact on job outcomes following basic skills provision⁴⁰⁸. The programme was thus designed to improve the delivery of basic skills provision and to make it more work-focused. Equally, the programme has been set up to address the needs of people trapped by a lack of skills between 'dead-end' jobs and periods of unemployment. By assessing people's needs based on their skills levels they can be given structured learning programmes tailored to their needs that help them secure sustainable employment.

The programme thus aims to help Jobcentre Plus customers:

- Enhance their employability skills
- Improve their literacy, language and numeracy skills
- Secure and sustain employment
- Ensure that their learning journey continues and is supported once they gain employment.

Within the programme, training providers are using employability related contexts as a focus for developing literacy and numeracy skills. The programme offers a package of learning leading to both basic skills and employability qualifications. An Employability Award is being offered that is based on the skills, behaviours and attitudes that employers want to see in someone they recruit. This is part of the Qualifications and Credit Framework and is intended for young people and adults who are not yet ready for employment but for whom a job is a realistic aim within a reasonable timescale. It is delivered through a combination of training centre or classroom based activities and work placement

⁴⁰⁷ ETF Country analysis 2006, Croatia. For more information on the programme see the country report in Annex Ten

⁴⁰⁸ Survey response from the Department for Work and Pensions (Ministry of Labour)

Illustrative examples of measures to develop basic skills

learning. Assessment is through a portfolio of evidence produced by the learner which is internally assessed and moderated. The award provides a baseline of skills from which learners can progress to further vocational training at levels 1 and 2 or work and employment. The award offered by the ASDAN awarding body comprises the mandatory units of planning and reviewing learning, maintaining work standards, communicating with others at work, and introduction to working with others; and the optional units of applying for a job, tackling problems, tackling number problems, exploring job opportunities, and rights and responsibilities at work.⁴⁰⁹

Training to acquire vocational qualifications

Along with training to develop basic skills, the unemployed are also provided with opportunities to acquire qualifications, although as we have just noted much training linked to the receipt of unemployment benefits is short-term and not accredited. Although it is difficult to generalise from the evidence available, it seems likely that young people are more likely to be the target of provision that essentially provides a 'second chance' to acquire qualifications that are available through the compulsory phases or at upper secondary level. This is not always the case, however, as the example from Ireland in the box below illustrates. Much of the provision that leads to qualifications tends to alternate work and study periods, and examples are provided below.

Illustrative examples of training leading to vocational qualifications

In **Belgium**, the 'employment-training agreement' is aimed at getting young people into employment and is available to all young people in the age group 18-25 who are seeking employment and do not possess a diploma of tertiary education. The employment-training agreement contract is signed for a maximum of 3 years of part-time work in combination with training. Employers who sign up for such an agreement are exempt from some employers' social security contributions for the period of duration of the agreement⁴¹⁰.

In **France**, the professionalisation contract (*contrat de professionnalisation*) is intended for young people aged 16-25 and at adult job-seekers (aged 26 and over). It offers alternating work-study contracts to enable employees, students and jobseekers to gain work experience while studying to aid their participation in the labour market⁴¹¹.

In **France**, 'Program 5' establishes an 'activity contract' which is based on personalised mentoring and a subsidised labour contract of a maximum 2 years duration (non-renewable). This scheme is opened to people who benefit from the Minimum Wage (*salaire minimum de croissance* – *SMIC*) and from the Solidarity Benefit (*Allocation de solidarité spécifique* – *ASS*), a financing grant for unemployed people

⁴⁰⁹ <http://www.asdan.co.uk/employability.php>

⁴¹⁰ Simon, R. et al. (2001). *Vocational education and training in Belgium*, Cedefop

⁴¹¹ ANPE, Le contrat de professionnalisation, available at:

http://www.anpe.fr/espace_candidat/conseils/conseils_emploi/aides_embauche/publics_jeunes/contrat_professionnalisation_3125.html (French version only) (accessed May 2007)

who are actively seeking employment after having exhausted their right to receive a grant for the re-entry to work (*Allocation d'Aide au Retour à l'Emploi – ARE*)⁴¹². Beneficiaries from the French single parent allocation can also benefit from the activity contract on a voluntary basis. The contract foresees a working week of between 26 and 35 hours' duration divided into working and training based on modules according to the needs of the participant. The working time is remunerated to the level of the National Minimum Wage (SMIC). The contract also provides the opportunity to validate the skills obtained through experience (VAE)⁴¹³.

In **Ireland**, the Vocational Training Opportunities Scheme (VTOS) targets mainly people who have been out of school for some time, are unemployed, over 21 years of age and have been in receipt of social welfare benefits for at least six months. It provides its participants with the opportunity to raise their employability and to prepare them for paid employment – or further education leading to employment - by providing courses which lead to qualifications such as Junior Certificate (FETAC Level 3), Leaving Certificate (FETAC Level 4&5⁴¹⁴), Post Leaving Certificate (FETAC Level 5) and other professional certificates such as City and Guilds Certificates⁴¹⁵. During the programme which can comprise of up to two years' full time education and training participants either receive a payment equivalent to the maximum of unemployment benefit or keep their welfare benefits⁴¹⁶. There is no fee for a VTOS course and books and materials are provided free of charge. Some of the 33 Vocational Education Committees involved in VTOS run taster/sampler courses to help people decide on the most appropriate VTOS course to meet their needs.

In the **Netherlands**, the Learning and Working initiative (*Leren en werken initiatief*) is aimed at stimulating cooperation among municipalities, education providers and employers to create dual trajectories which offer students the chance to combine study with work. This is aimed to ensure that more youngsters and adults acquire a (vocational) qualification.

7.13 Measures for low skilled people in employment

Training measures for low skilled people in employment have generally tended to feature less prominently in policy than the unemployed, perhaps because the latter pose a much greater immediate economic waste and social risk. However, as we have already stressed, the lives of many disadvantaged people are characterised by moving in and out of low skilled employment and unemployment. It is during periods in unemployment that the low skilled are typically more likely to be

⁴¹² Type of unemployment benefit in France available to persons below the age of 60, who are in involuntary unemployment (break in contract, dismissal, redundancy, etc.) and who are registered as job seekers

⁴¹³ Ministère de l'Emploi, du travail et de la cohésion sociale, Plan de Cohésion Sociale (Programme 5), p.18

⁴¹⁴ ISCED level 3 and 4 respectively

⁴¹⁵ DG VT questionnaire

⁴¹⁶ The decision whether the payment is made or welfare benefit is kept is made on the basis of the type of benefit received prior to participation in the programme.

<http://www.education.ie/home/home.jsp?pcategory=11397&ecategory=14969&language=EN>.

<http://www.welfare.ie/foi/vtos.html#part1> (accessed June 2007)

able to access training than during their time in work. Examples where people who have received intensive support through ALMPs continue to receive support once they have found a job appear to be scarce (a notable exception to this being the UK's Skills for Employability programme discussed above).

A number of types of measure are deployed to support the skills development of low skilled people in work. In section 7.10 we identified the general measures that are in place in some countries such as fiscal subsidies to employers and employees, the right to time off for workers, and validation to recognise skills acquired in the workplace. Turning to the more specific training measures being implemented, we can see that interventions range across a spectrum. At one end are measures designed to tackle specific deficiencies in basic literacy, numeracy and ICT skills, examples of which are provided in the box below.

Illustrative examples of measures to tackle specific skills deficiencies

The **UK** government launched its strategy in 2001 to improve the adult literacy, numeracy and ESOL (English for Speakers of Other Languages) in England with the target of 1.5m people improving their skills by 2007. As a part of the programme literacy, communication and numeracy courses are provided to those whose skills are lower than ISCED Level 3 free of charge. Around half of the working age population is eligible for these courses. Available evaluations point to the fact that participation in the courses increases individuals' employability but not employment (at least not in the short term)⁴¹⁷.

In the **Czech Republic**, a broadly-conceived scheme for the training of the population in information and communication technology was launched in 2003 by the National Computer Literacy Programme. The objective was to ensure the acquisition of basic computer and Internet skills. The scheme involved short practical courses for a low fee (CZK100 for 2 hour course), and is focused both on the development of ICT infrastructure and skills in schools and libraries as well as reaching older and middle aged people from rural areas and smaller towns.

In **Malta**, 'My Web programme' is aimed at people in employment who have poor or no ICT skills. The programme, which is supervised by the Ministry of IT, is delivered in the workplace and helps people in the workforce to raise their ICT skill levels as ICT is a transferable skill. The main objective is that the programme will help to improve the employability of these people on the labour market in general⁴¹⁸.

At the other end of the spectrum are measures that aim to equip people with vocational, occupationally specific or job specific skills, as the following box illustrates.

⁴¹⁷ Meadows P. and Metcalf H. (2005). *Evaluation of the impact of Skills of Life for Learning: Report on Sweep 2*, DfES Research Report No 701

⁴¹⁸ An interview with the representative of the Maltese Employers' Association

Illustrative examples of broader measures to stimulate workforce training

In **Finland**, the Noste programme is a 7-year (2003-2009) action programme for education and training targeted to adults 30 to 59, who have only completed basic levels of education and are currently in employment. The programme provides an opportunity to complete initial, further or specialist vocational qualifications or specific modules of these free of charge. The programme may also be used for training in IT skills or for the completion of basic education by people aged 25 to 54. In addition, the programme finances support measures for studies and outreach activities⁴¹⁹. The general objectives of the Noste programme are to improve the career development of people with no formal qualifications beyond basic levels, to mitigate labour shortages caused by early retirement and to increase employment rates.

In **Ireland**, the Post-Leaving Certificate (PLC) courses are increasingly popular among people who are above the age of 23 and have been out of education for some time. They also provide a good opportunity for young people directly from post-primary education who wish to specialise at FETAC level 5⁴²⁰ and then progress either to employment or further studies⁴²¹. The available evidence shows that over 90% of PLC students go either on to higher education or to employment⁴²².

In the same country some measures targeted at upskilling directly involving employers and providing them with incentives to release staff for training are in place. The Competency Development Programme is part of the 'One Step Up' initiative, which was part of FAS's response to an Enterprise Group Strategy report on challenges to the Irish economy and the steps needed to address them⁴²³. The programme is aimed at employers and provides them with financial incentives to facilitate training provision in the workplace⁴²⁴. It is directed at various skill levels, including basic skills (through the Skills for Work programme, part of the 'One Step Up initiative'). The initiative covers employees with basic education needs including literacy and numeracy, in particular employees who have at most ISCED Level 2 qualifications. The initiative is funded out of the Workplace Basic Education Fund and it provides 100% training subsidy to enhance employee's basic skills⁴²⁵.

In **England**, Train to Gain (T2G) is a new skills programme that was rolled out in 2006 to encourage employers to invest in skills of their employees, especially those with low qualifications⁴²⁶. The programme offers free training to employees to achieve a Level 2 or Level 3 qualification (with greater

⁴¹⁹ Support measures for studies entail guidance in and individualisation of studies. Outreach activities mean information about education and training and individual guidance provided in locations such as workplaces.

⁴²⁰ ISCED level 3

⁴²¹ A survey response from Ministry of Education

⁴²² Ibid

⁴²³ See: Enterprise Strategy Group (2004). Ahead of the Curve. Ireland's Place in the Global Economy

⁴²⁴ See: FAS website: <http://www.fas.ie/en/Employer/One+Step+Up/Competency+Development+Programme/default.htm>

⁴²⁵ See: FAS website: <http://www.fas.ie/en/Employer/One+Step+Up/Skills+For+Work.htm>

⁴²⁶ Adult Learning Inspectorate, <http://www.ali.gov.uk/News/Talisman/issue51/train2gain.htm> (retrieved May 2007)

⁴²⁷ These are the evaluations of the Employer Training Pilots. See: Hillage J. and Mitchell H. (2004). *Employer Training Pilots - First Year Evaluation Report*; and Carol Goldstone Associates (2005). *Evaluation of the Employer Training Pilot, Skills for life intervention programme*

⁴²⁸ Interview with member of the Institute of Education, University of London

emphasis on Level 2). Employers provide their employees with paid time off. Initial evidence indicates that employers are very satisfied with the programme, especially because it opens up opportunities for parts of their workforce that rarely participate in training. The programme is strongly demand-led and as such can serve as an example of the policy shift made in the UK from supply towards demand-led training provision. Despite some evidence from the previous pilots (which have been slightly negative in some cases)⁹ the programme has been rolled out nationally. Moreover, despite good design of the programme some claim that the vocational offer, which is now focused mainly on Level 2, should be focused on Level 3, which is more valued in the labour market¹⁰.

Sometimes measures are targeted at employers, sometimes employees, sometimes both. Targeting employers is clearly important since they have a pivotal role as 'gatekeepers' for their employees' training and can indeed be obstacles to training, e.g. by not allowing staff time off to train. In terms of the impact of these measures, there is a lack of evidence on which to generalise but it would appear that whilst many may improve employability, their impact on actual employment is less clear in the short term.

7.14 Measures for specific groups at risk

Having examined the types of measures that have been developed to try to address the general issues raised by low skills, we now need to turn to measures for specific groups at risk. At the outset, two observations are pertinent. First, it is important to bear in mind the findings of the 2006 European Commission report on social inclusion policies which points out that whilst the importance of the full integration of disadvantaged groups into the labour market is widely recognised among EU Member States, the tools that might ensure the effective implementation of many policies are largely absent or scarce¹. In examining the issue of the role of VET in relation to social and labour market integration, this appears to be especially true with regard to specific 'at risk' groups (migrants and minority ethnic communities, disabled people and older workers).

Considering why this might be so brings us to the second initial observation which needs to be made and which returns us to an issue we raised at the start of this chapter: namely that VET does not in the main have a particularly special function with respect to these groups over and above the general functions we have been discussing. This is because the forms of disadvantage or exclusion suffered by these groups do not lead to policy solutions in which a particular type of VET curriculum or pedagogy plays a specific role of major importance, although the mode of delivery is often tailored to individual needs. This is not to underplay the significance of these adaptations to VET delivery; tailoring of provision is critical. Indeed, VET is 'packaged' with different bundles of other measures in an infinite variety of ways depending on the 'at risk' group in question. Different communities' needs and concomitant adaptations to delivery can be highly specific and strongly localised. Adaptations to provision to meet the needs of disadvantaged groups include such things as: special programmes for women wanting to enter particular sectors where they are under-represented and might otherwise feel intimidated if they had to join co-educational classes (e.g. engineering and construction); specially

¹ EC (2006). *Social Inclusion in Europe 2006*, p.26

equipped workshops for people with disabilities; the provision of classes for migrant communities in local community centres etc. The enormous diversity in needs and policy responses means that in the following sections our approach is to provide illustrations of the ways in which governments have responded to the specific needs of different 'at risk' groups, and it needs to be borne in mind that policy responses typically require an effective combination of national policy and local action.

7.14.1 Migrant and minority ethnic communities

The EC's *Social Inclusion in Europe in 2006* report pointed out that many EU Member States do not make distinctions between immigrants, refugees and ethnic minorities in their inclusion policies. This is aggravated by the lack of recognition of the great diversity of these groups which results in highly diversified needs of particular sub-groups within these populations⁴³⁰. A key feature of developing migration patterns is its heterogeneity and the fact that it gives rise to the appearance of a plethora of small communities within comparatively compact geographical areas. Nevertheless, there are still a variety of initiatives targeted at raising the skill levels of immigrants. Factors that can be regarded as alleviating discrimination and fostering integration are equal treatment and anti-discrimination policies, effective language support programmes and intercultural curricula, or ethnic diversity among teaching staff⁴³¹, which have been applied in different EU countries.

Broadly speaking, it is worth distinguishing between those measures that are designed to address the needs of newly arrived migrants and those which are targeted at longer established communities. As the examples in the box below illustrate, the packages of measures for new immigrants typically include not just language training, and introductions to the host society but assessment of prior qualifications and work experience, job search and training for work.

Illustrative examples of measures focused on newly arrived migrants
In Norway, since 2004, refugees and other immigrants from third countries have been entitled and obliged to follow a 2-year, full-time introductory course to Norwegian society, comprising language training, social studies and training for work. The Government pays participants a salary during the 2 years of training⁴³². In Sweden, a pilot project for newly arrived immigrants started in July 2006, for which the National Labour Market Board (AMS) is responsible. The three pillars of the pilot project are early contact with the labour market, swift assessment of prior qualifications and work experience, and Swedish language instruction - combined with job-oriented activities. The 'Workplace Introduction Scheme', which has been in effect since 2003 and is aimed at immigrants, involves the provision of contacts with employers and support for job-search. Around 4,800 people participated in the programme in 2005. Amongst those who had a job 90 days after completing the programme – around 61% – unsubsidised jobs were twice as common as jobs dependent on a subsidy to the employer. An evaluation of the initiative showed that the scheme had a highly positive impact on opportunities to find employment through work experience. The impact on the employability of women was greater

⁴³⁰ EC (2006) *Social Inclusion in Europe 2006*, p.135

⁴³¹ EUMC (2004). *Migrants, minorities and education. Documenting discrimination and integration in 15 Member States of the European Union*, p.4

⁴³² Cedefop eKnowVET: http://www.trainingvillage.gr/etv/Information_resources/NationalVet/Thematic/criteria_reply.asp

Illustrative examples of measures focused on newly arrived migrants

than that of men.

At the end of 2005, **Germany** introduced a new large-scale federal government level intervention (Jobstarter), mainly aimed at ensuring the availability of more dual system training places. The overall budget for the period from 2005-2010 is EUR 100 million, approximately 16% of which can be allocated to migrant-specific projects. The core objectives of the programme include expanding the numbers of dual system training places in companies, improving local vocational training structures with a special focus on SMEs as training providers and encouraging entrepreneurs with a foreign background to participate in dual system training with their companies⁴³³.

A number of countries have put in place measures to address the needs of long-established disadvantaged minority communities. A prominent focus for policy in recent years across Europe has been the Roma and traveller communities. As the examples in the box below show, measures have been put in place to compensate for under-achievement during the compulsory phase of education – often a consequence of the itinerant nature of the way of life of Roma and traveller communities – and to provide routes into employment.

Illustrative examples of measures for long-established minority communities

In **Finland**, a number of different tailor-made provisions have been created to improve the education level of the Finnish Roma population. A special training programme, known as Romako, began as a trial project in Uusimaa in 1996-1998 offering training to be nurses and school assistants. Positive feedback on the course resulted in the introduction of a national programme aimed at people aged 25-55 who mainly had been long-term unemployed. The training offered includes comprehensive school studies and vocational training courses (such as tourism, leisure, health care, beauty, etc.). The programme has also earmarked funds for supported employment, employment subsidies and apprentice contract training⁴³⁴. Representatives of the Roma population were integrally involved in the planning in order to ensure that the special features of their culture were taken into account. Each year the Finnish National Board of Education also funds adult education for the Roma population at open colleges and folk high schools. The primary aim of this education is to help individuals to complete their education in comprehensive schools.

In **Ireland**, the "Travellers in adult and further education" programme is aimed at those aged 15 years and above who belong to the traveller community. The programme allows the participant to achieve a Leaving Certificate or an equivalent qualification (ISCED 3) and is spread over 44 weeks, during which the training, including such subjects as core skills (literacy, numeracy, communication and new technology), is linked with work experience. Around 50% of students from Senior Traveller Centres

⁴³³ An interview with the representative of BIBB, Germany. Note that this scheme also extends to second generation individuals.

⁴³⁴ Finnish National Board of Education, Education for Romanies in Finland, available at: <http://www.edu.fi/english/SubPage.asp?path=500,4699,6276> (accessed June 2007)

Illustrative examples of measures for long-established minority communities

(STTCs) progress on into employment or further studies.

In **Slovakia**, in order to promote the inclusion of disadvantaged groups, and with a special focus on the Roma minority, the Academy of Education, a non-governmental, non-profit training institution, provides over 200 retraining courses accredited by the Ministry of Education and other central administrative bodies. By means of retraining, re-socialisation and re-integration courses it contributes to a large degree to decreasing unemployment and the risk of social exclusion within its target groups⁴³⁵.

7.14.2 People with disabilities

As pointed out by the EC's *Progress Report on Education and Training 2010*, insufficient priority and funding has so far been given in EU countries to improving access to education and training for people with disabilities. Indeed, until very recently people with disabilities received probably the least attention in training policy of all the 'at risk' groups which we have been examining. General measures to support disabled people include enshrining their rights in anti-discrimination legislation, which can lead to significant changes over time in accessibility to provision, and obligatory employment quota schemes which in 2002 had been put in place in half of the EU-15.

As the examples in the box below show, measures typically include using ALMPs to stimulate changes on both the supply and demand sides. On the demand side measures include incentivising employers to recruit people with disabilities or to make their premises accessible, along with compulsion in the form of anti-discrimination legislation which requires employers to treat people with disabilities fairly during recruitment and obliges them to make workplaces accessible. On the supply side, measures include the application of the same accessibility principles to training institutions and the tailoring of provision, as well as the introduction of changes to benefit regimes to incentivise training as part of the same type of ALMP approach as we have described for the general population above. It should be noted that in some countries the participation in programmes for disabled people and entitlement to benefits are conditional upon registration (for example in Austria, Italy, Germany and Luxembourg). However, the experience of some countries in this regard is that registration has led to stigmatisation, and registration has been abandoned as a result of the introduction of anti-discrimination policies (e.g. the UK).

Another important feature of provision on the supply side – which is not captured by the 'systemic' examples provided in the box below – is that the tailoring that needs to take place to meet the needs of people with disabilities is very fine grained. It is in the nature of 'disability' that it is highly heterogeneous: even within broad categories of disability one individual's needs can be very different to another's and hence the adaptations required or support needed in the training facility or workplace need to reflect this. Thus, the examples provided in the box in essence provide national policy frameworks within which VET institutions and other agencies can organise and plan resources at the local level to respond effectively to the multiplicity of needs they are likely to encounter.

⁴³⁵ Academy of Education website: <http://www.aveducation.sk/>

Illustrative examples of measures for disabled people

In 2006, **Estonia** introduced new measures aimed at helping unemployed disabled people. The new set of measures in the field of labour market services envisaged the possibility to register as unemployed (before it was dependent upon the extent of loss of the capacity to work), the appraisal of the individual needs of the unemployed person by the case manager, and four new active labour market policy measures, including:

- Support for employers for adaptation of premises and equipment necessary for employing disabled people;
- Communication support at job interviews provided by PES or people designated by PES;
- Special aids and equipment necessary for disabled people to perform their tasks at work for up to three years;
- Support workers for disabled people who need additional help due to their disability (up to a year).

In addition to these new measures, disabled people can participate in a range of active measures such as employment and vocational training, employment mediation, vocational guidance, start-up incentives, wage subsidies, basic work skills training and apprenticeship programmes. Initial evidence points to a relatively low take-up of these new services, caused primarily by lack of information on the options available on the part of the target group⁴³⁶.

In **Germany**, a special federal law of 2004 (*Gesetz zur Förderung der Ausbildung und Beschäftigung schwerbehinderter Menschen*)⁴³⁷, deals with the promotion of education and labour market participation of the disabled. In the area of VET, the main policy instrument is the provision of financial support to companies who enter training contracts with disabled people.

In **Italy** particular attention has recently been given to older workers, females and people with disabilities. The *Accordo interconfederale per la disciplina transitoria per i contratti di inserimento* regulates the use of the 'work-entry contract' (insertion contract) introduced by a recent labour market law, which replaced the former Italian work/training contract⁴³⁸. This agreement allows for the immediate use of a new type of work contract intended to encourage the hiring of workers who are unemployed and aged over 50, women resident in areas of high female unemployment, and people with severe disabilities. The agreement also improves the range of protection for workers. More specifically, work integration programmes must comprise a minimum number of hours of theoretical training and specific instruction in order to enhance skills people already possess, and the contents of contracts must be specified in writing⁴³⁹.

⁴³⁶ European Employment Observatory (2006). Estonia: New employment services for disabled people in Estonia, p.43

⁴³⁷ <http://www.bmas.bund.de/BMAS/Redaktion/Pdf/Foerderung-der-Ausbildung-und-Beschaeftigung/gesetz-zur-foerderung-der-ausbildung-und-beschaeftigung-schwerbehinderter-menschen.property=pdf.bereich=bmas.sprache=de.rwb=true.pdf>

⁴³⁸ Coletto D. (2005). Thematic feature – unskilled workers, Italy, EIRO

⁴³⁹ Ibid.

Illustrative examples of measures for disabled people

In **Norway**, vocational training and work practice are organised for people with various disabilities that prevent them from performing certain tasks or occupations by around 100 labour market enterprises (*Arbeidsmarkedsbedrifter*). Common labour market measures with training elements comprise rehabilitation training (*Rehabilitering*) and labour market training (*Arbeidsmarkedsoppl ring – AMO*). Rehabilitation training supports retraining within a regular education programme lasting 1 to 3 years. AMO courses last between 1 week and 10 months and are delivered by local public and private suppliers.

In the **UK**, Incapacity Benefit (IB) customers comprise the largest group of economically inactive people (2.7m people of working age). At the same time, a large amount of them would like to get back to work. ‘Pathways to Work’ is a programme, currently in pilot phase, which targets IB customers and provides them with specialist advice coupled with mandatory work-focused interviews, as well as stronger financial incentives to take up work. Initial evidence suggests that the impact of the programme has been positive, with higher off-flow rates from Incapacity Benefits, more disabled people being registered with New Deal for Disabled People and decreasing caseload sizes of IBs in the pilot districts⁴⁴⁰. The programme also offers ‘Return to Work’ credits to all those whose income does not exceed £15,000 a year and work at least 16 hours per week. A part of the programme is also focused on in-work support.

7.14.3 Older workers

The EC’s 2007 *Progress Report on Education and Training 2010*, highlights that insufficient priority and funding has been given to improving access to education and training for older workers. These findings are also confirmed by a report of the European Foundation for the Improvement of Living and Working Conditions on the situation in the EU New Member States, which shows that extending working life does not seem to constitute a priority in most countries⁴⁴¹. Public authorities, on the other hand, were reported to be clearly aware of the need to improve performance in this area.

At the same time, measures aimed at the upskilling of the general population have often been found to have a comparatively low take-up rate among older workers, and even policy tools targeted specifically at older workers have struggled. For example, in 1998 the Dutch government introduced tax breaks for employers investing in the training of workers aged 40 years and over but abolished them in 2004 after three evaluations showed them to be having little effect mainly due to the attitude of the target group. This suggests that financial incentives alone are unlikely to resolve the problem of low training take up. Evidence from other countries, such as Sweden (Activity Guarantee), Japan (Education and Training Benefit) and the UK (New Deal 50+) confirms that demand for training can be low and that an effective policy response needs to combine demand-side and supply-side approaches. The OECD reports that,

⁴⁴⁰ Blyth B. (2006). *Incapacity Benefit Reforms – Pathways to Work Pilots performance and analysis*, DWP, Working Paper No 26, p.1

⁴⁴¹ European Foundation for the Improvement of Living and Working Conditions (2006). *Age and employment in the New Member States*

due to shorter than average expected working lives, training for older workers needs to be flexible, modular and short⁴⁴². Other policy measures (such as the Norwegian Competence Reform) recognise that the motivation of older people to take up learning is a key factor in success.

The situation of older people in education and labour market cannot be discussed without connection to pension and social security reforms, as well as to specific employment law arrangements. As we noted in section 3.3, these vary significantly across Europe. Especially germane to the older workers issue is the extent to which early retirement is used as a labour market policy: this is most prominent in the larger Mediterranean countries and to a somewhat lesser degree amongst continental countries. That said, almost all OECD countries have adopted measures to tackle poor labour market integration of older workers by, *ceteris paribus*, trying to eliminate incentives to retire early and increase work flexibility. Also, in order to change employer behaviour, many countries have introduced anti-discrimination legislation and information campaigns. The question of mandatory retirement is being addressed and measures are being adopted in order to remove barriers for hiring older workers, including the adoption of wage subsidies to reduce the costs of hiring older workers⁴⁴³.

In terms of measures to better address the needs of workers, there is, in general, a need for policy makers to be more aware of the needs of older workers, for older workers to be more involved in training design and for learning settings to be more inclusive⁴⁴⁴.

More specifically, provision for older workers sometimes represents extensions of general measures for the unemployed such as we have discussed in section 7.10. For example, financial incentives of one sort or another are a common method of trying to incentivise training for older workers. These can take the form of training grants or tax breaks for individuals on the one hand, and of subsidising opportunities with employers on the other, as the examples in the box below illustrate.

⁴⁴² OECD (2006). *Live longer, work longer*, p.121

⁴⁴³ This policy has been pursued in Austria, Belgium, Denmark, Finland, France, Germany, Italy, Japan, Korea, Luxembourg, Netherlands, Norway, Spain and Sweden; for more details see: OECD (2006). *Live Longer, Work Longer*, p.111

⁴⁴⁴ See the proceedings of the Cedefop Agora *Promoting lifelong learning for older workers*, held on 12-13 October 2006, available at:

http://www.trainingvillage.gr/etv/upload/etvnews/news/1874-att3-1-full_report_on_agora_2006_bn_17oct06.doc

Illustrative examples of financial incentives to stimulate training for older workers

In the **UK**, the New Deal 50 Plus programme is a major initiative for long-term unemployed and economically inactive people over the age of 50, who have been claiming benefits for 6 months or more, which aims at helping them get back into paid employment. The support available ranges from intensive job search assistance to assistance in finding training opportunities. Once a customer finds a job they can be eligible for top up of Working Tax Credit and they can apply for an in-work training grant of up to GBP1,500⁴⁴⁵.

In **Bulgaria**, two programmes in particular are targeted at older people, *Back to Work* and *Overcoming Poverty*, both launched in 2005. They are part of the country's ALMPs and are targeted at the 13 poorest municipalities in the country, promoting employment through enrolment of the unemployed into literacy and vocational courses and providing subsidised employment and self-employment opportunities⁴⁴⁶. The programme targets *inter alia* unemployed women over the age of 50 and unemployed men over the age of 55. In 2005, 700 people took part in the programmes⁴⁴⁷.

In **Poland**, the 50 Plus programme, introduced in 2004, aims to reduce unemployment among people aged 50 years whereby the PES have to present job offers, work placements or training opportunities to an older person within the first 6 months of their initial registration. Employers may be co-funded (for up to three times the national average salary) if they make suitable adaptations to the workplace to obtain older workers. Public works, aiming at professional reintegration, can last for up to 12 months. The programme also offers the possibility of work placements and job sharing⁴⁴⁸.

Measures that are more directly VET-related include taking stock of existing skills and training needs and aspirations; and helping individuals to plan how they will access training and/or find their way back into employment, as shown in the following box (and also the development of examinations as access tools to higher education – see section 6.6.3.2)

⁴⁴⁵ JobCentre Plus website (New Deal 50 plus): <http://www.jobcentreplus.gov.uk/>; Social Security Agency, Department for Social Security website: http://www.dsdni.gov.uk/index/ssa/benefit_information/new_deals/new_deal_50_plus.htm

⁴⁴⁶ Education and Training 2010: Bulgarian Contributions to 2006 Joint Report of the Council and the Commission

⁴⁴⁷ European Foundation for the Improvement of Living and Working Conditions (2006). Age and employment in the New Member States, p.43

⁴⁴⁸ Ibid p.47

Illustrative examples of VET-related measures to assist older workers

In **Denmark**, numerous “senior policies” have been developed since the early 1990s. The most recent one, introduced in 2005, is a “senior agreement” whereby individual agreements between the employer and an older person can be signed to make staying on at work more attractive. Although the format of such an agreement is not fixed, all agreements include several aspects of working life such as flexibility of working time and conditions, new or reduced responsibilities or further education to upgrade skills and knowledge⁴⁴⁹.

In 2003, as a part of its national employment programme, **Estonia** introduced an initiative to reduce unemployment among older people, to increase their employability and to prevent social exclusion through focusing on individuals’ needs (through personalised action plans, individual counselling, professional training and identifying suitable jobs in cooperation with employers)⁴⁵⁰.

In 2003, **French** social partners signed an inter-sectoral agreement on employee lifelong access to training. The main features of this new measure include the increase in employer training levy contributions from 1.5% to 1.6% of the payroll costs for those with over 10 workers and from 0.25% to 0.55% for small enterprises. Although this is a general measure, some of its provisions focused on older workers. In particular, employees with more than 20 years’ experience aged 45 years or over can be offered a ‘skills audit’ and prioritised access to qualifications that recognise their experience gained at work⁴⁵¹.

In **Slovenia**, since 2003, the 10,000+ programme is providing training and professional qualifications for unemployed people, where one of the specific target groups were women over the age of 40 without vocational or professional qualifications⁴⁵².

7.15 Holistic approaches

As we noted above, measures to tackle problems associated with early school leaving, low skills and unemployment need to address the needs of both marginal non-learners – those for whom the costs and benefits of leaving education versus staying on are comparatively finely balanced – and those who are psycho-socially alienated from the education system, who risk suffering from serious forms of exclusion as adults and who represent a much more challenging problem. In their simplest form, many of the measures we have discussed in this chapter would be likely to impact most on marginal non-learners, as it is clear from the evidence available that without the implementation of holistic, integrated packages of measures, the most disadvantaged individuals are likely to remain unaffected simply by the passive opening up of opportunities: they require active steps to ensure their (re-)engagement with formal learning.

⁴⁴⁹ European Employment Observatory (2006). *Denmark: Policies to retain older workers in the labour market*, p.39

⁴⁵⁰ European Foundation for the Improvement of Living and Working Conditions (2006). *Age and employment in the New Member States*, p.47

⁴⁵¹ OECD (2006). *Live longer, work longer*, p.120

⁴⁵² European Foundation for the Improvement of Living and Working Conditions (2006) op cit, p.44

One approach to delivering such support is to establish as components of education and training systems separate institutional arrangements for 'at risk' students. Some examples are provided in the box below. These approaches provide a national framework within which the localised action that is required can take place. A risk inherent in this institution-based approach is that it may lead to social stigmatisation of the students who attend such institutions.

Illustrative examples of institution-based holistic approaches

Some countries, such as **Denmark**, have long established institutions, such as production schools which are targeted at pupils who fail to complete upper secondary education and which help them to clarify their goals and career paths through involvement in vocational education and provision of individual guidance on a day-to-day basis⁴⁵³. During this time the students also produce real things to be sold and get a salary (at a low level but higher than student grants). Students typically stay for an average of 5 months, 15% for less than a month, and about 30% for more than 6 months. Most of the production schools' leavers progress into an ordinary VET programme or enter the labour market and around 1/3 becomes unemployed.

In **Lithuania**, pupils of 12-16 years old and who are not adapted to the regular school system or lack the motivation to finish their education have the possibility to attend special "youth schools". This is a type of lower secondary school providing basic education combined with pre-vocational training. These schools are granted more flexibility in offering curricula close to the needs of the pupils. Extra emphasis is put on skills of how to deal with personal problems, developing self-confidence, counteracting negativity, developing learning motivation and realising the need for education in general⁴⁵⁴.

More generally, it is possible to identify a number of measures that typically feature in holistic approaches to 'at risk' groups which are implemented in a variety of local and national contexts across Europe. It should be noted that VET can be placed at the centre of these measures, and that such measures do not necessarily require the development of radically new forms of VET but can often involve comparatively simple and straightforward adaptations of mainstream provision. The key – as we have emphasised throughout this chapter – is local tailoring to the specific needs of vulnerable groups.

The measures that commonly feature in these integrated approaches are as follows:

Early intervention to identify and subsequently track/monitor 'at risk' students

This is usually applied to students who are going to under-achieve the standards expected on completion of upper secondary level. Subsequent monitoring or tracking is vital to enable early intervention in order to prevent issues reaching a level where early exit is triggered. This can involve activities such as monitoring of student absenteeism on a daily basis to spot trends.

⁴⁵³ A survey response from the Ministry of Education

⁴⁵⁴ European Training Village- thematic overviews – Lithuania. Retrieved March 26, 2007 from http://www.trainingvillage.gr/etv/Information_resources/NationalVet/Thematic/criteria_reply.asp

Securing the commitment and 'buy-in' of learners

This can be achieved through, for example, agreed action plans in which learners make a commitment to participation. Such commitments may be incentivised through the attachment of allowances or other benefits to signing and executing the plan. This can be part of a wider drive to establish rights and responsibilities between the individual and the state.

Involving the community in the design of VET

Placing the learner at the centre of training is widely regarded as being essential for the success of measures for disadvantaged individuals⁴⁵⁵. It means shifting the focus from delivery to engagement, and enabling communities to set their own learning agendas. To do this successfully requires an approach which does not consist of asking at risk groups what types of training they require but which seeks to find out what their immediate concerns and priorities are and then translating those into relevant learning activity. This involves detailed consultation with communities on the planning and design of provision, and the development of partnership arrangements.

Mediation between excluded groups and training establishments

Engaging with local disadvantaged communities may involve mediation between (potential) learners and established learning providers. Effective ways of doing this include face-to-face outreach carried out by individuals drawn from or trusted by the communities concerned. Developing local people to carry out this role is therefore an important component of strategies to reach excluded groups. Equally important can be carrying out successful negotiations with community 'gatekeepers', such as community or religious leaders.

An important role can also be played by agencies in civil society, especially at local level where many holistic approaches are implemented. Naturally, their prevalence depends on their general level of development within Member States. Their roles in relation to VET can be:

- to represent the needs of disadvantaged communities to public sector providers of both VET and other services and to help to achieve their effective integration focused on the specific needs of particular groups at risk;
- to help training institutions in particular to understand the needs of particular communities and tailor mainstream provision accordingly;
- to provide pastoral support alongside VET in collaborative arrangements, which also helps to develop the capacity of local communities to support their own development; and
- to be involved in delivering training for specific communities, often locally funded by municipalities, e.g. by providing locations where VET can be delivered, e.g. as 'outreach' into communities, or by providing individuals from the community concerned to act as mentors or counsellors (see below).

⁴⁵⁵ See for example Cedefop (2007) *Zooming in on 2010*, p.103, Thessaloniki: Cedefop

For their part, civil society organisations – especially local voluntary groups – face challenges in engaging in the process:

- they are voluntary, resources can be constrained, and they can be inexperienced in dealing with VET institutions and the public sector in general (which can be a serious constraint where it is necessary to apply for funding);
- funding for training delivered can be time limited (often short term) and uncertain (e.g. where at the discretion of municipalities who may have their own challenges in relation to resourcing); and
- they can vary substantially in the skills they possess to engage with VET institutions and support provision; at the least this can mean substantial efforts on the part of institutions to secure their collaboration and might require capacity-building to equip civil society bodies with the skills they need to play a full part in delivering training.

Personalised guidance and support

This is, as we have already emphasised, vital for ‘at risk’ groups. It can enable the identification of training needs, and help with programme selection – people from socially excluded backgrounds can find the process of choosing a course more challenging than others. It can ensure that people know how to access the VET on offer and enable them to overcome obstacles to participation. It is important that guidance and support is both comprehensive and impartial (i.e. the student can trust that advice is in their interests).

Illustrative examples of guidance and support measures

In **Sweden** ‘*Navigator centres*’ have been developed to support inactive young people. The centres function as “one-stop-shops” and offer young people contacts with representatives from job centres, the municipality and employers. Today about 20 municipalities and 5 non-profit organisations have received funding to set up and operate a Navigator centre.

In **Finland**, as part of the Government’s Employment Policy Programme, the National Board of Education has launched a development project for guidance counselling, which aims to develop counselling and guidance services of educational institutions providing basic education, general upper secondary education, IVET and non-tertiary adult education and training and to support in-service training for staff. The project is being implemented between 2003 and 2007. Guidance counselling is also being developed at polytechnics and universities as a method to raise the completion rate of degree studies.

Counselling and mentoring

The provision of counselling or mentoring takes guidance and support a step further to provide students with intensive one-to-one support in dealing with personal issues; such issues can play an especially significant role for young people, impacting on their capacity to engage with learning, but can adversely affect adults too. Mentoring or counselling can be important in ensuring students are retained in formal learning, by tackling the problem of students leaving programmes when they became too challenging; sometimes this is simply by being present to complete coursework or to sit examinations. The link to attainment is more difficult to establish, however. Mentors can provide a reliable contact point for personal issues before they become unmanageable, and give students someone to confide in, helping to boost confidence and self-esteem. If they are separate from the academic staff they have the added benefit of being seen to be 'neutral'. Mentors can also mediate between young students and employers, helping the employer to play a full role in the process and to support the students fully by gaining a better understanding of the issues faced by young people, especially from disadvantaged backgrounds. Mentors can also visit students at the workplace, helping them to feel less isolated.

Increasing the flexibility of VET delivery

Flexibility in the delivery of VET is important for disadvantaged groups, and comparatively simple and straightforward adaptations – for example to the duration, timing and location of delivery - can have important impacts on some groups of disadvantaged learners. In chapter 6 we referred to these as 'contingent' factors that could play a role in improving the attractiveness of provision. Such measures may leave the content of mainstream provision more or less unchanged. Typical measures include: 'outreach' into particular communities, using non-educational facilities within which excluded communities feel comfortable such as sports clubs or community centres; the establishment of mobile provision (e.g. to take training to isolated rural communities or onto spatially segregated housing estates); the provision of 'taster' courses to help people with the process of choosing the most suitable programme; and making it possible for people who find they have chosen an unsuitable VET programme at the start of the academic year to restart at another point – perhaps in January which is a point when many students often exit early.

Adapting and enhancing the content of VET curricula

As we have stressed a number of times, raising motivation is key to (re-)engaging excluded students, and two aspects of VET are commonly emphasised as being important in this process:

- the provision of VET with a strong – and preferably direct - link to the labour market, which often throws the focus of policy on to apprenticeships; and
- the putting in place of clear progression ladders to enable smaller steps to be recognised and certificated.

At the same time, there is a wide range of other needs that need to be incorporated into VET curricula. Other types of training that can pay dividends when integrated into VET programmes include:

- personal development programmes to enhance 'life' skills such as punctuality and build self-esteem

- training in generic skills needed in the labour market such as literacy, numeracy, team working, communication, ICT etc
- learning skills such as time management and work planning
- training in job search skills etc.

There are also a variety of non-training measures that can be integrated into VET provision including: financial assistance, free or subsidised childcare, transport etc; measures to enrich the learning experience such as additional visits to and events at places of work, exhibitions or industries that are relevant to the course; and measures to encourage and motivate participation, retention and achievement including incentives (e.g. small financial rewards) and awards for course completion.

Finally, mention should also be made of the fact that measures can be targeted on specific programmes as well as at specific groups in the population. For example, some programmes have higher early leaving rates than others and this may be because the work areas involved can be challenging for students and they may need support during difficult times to encourage them to pursue their studies to the end.

Changing the balance of relative costs and benefits between VET and other options

As we have emphasised already, the choice of leaving school early depends not just on the provision on offer in the education and training system but also how it compares against the costs and benefits of other options. It may be possible to manipulate other factors so as to enhance the relative attractiveness of education and training, such as by making it harder to obtain certain types of unemployment benefits. This is likely to bring national policy into play and requires careful handling where an element of compulsion is implied. There is an interaction here with active labour market policies.

Forging of partnerships between VET institutions and other agencies

Putting together the types of integrated packages of measures described above requires the involvement of a broad range of actors. This requires effective coordination and exchange of information especially on education and training options and employment opportunities available in a locality, but also the involvement of other benefits agencies, social welfare bodies, civil society organisations, youth services etc. In the case of young people, the most hard to reach groups may be subject to a wider youth support service which takes a more holistic approach to an individual's needs and which coordinates support through a common assessment framework (of which more below); education and training institutions may be required to inform the local youth service when a young person leaves a programme early to assist with tracking.

In Finland, the Youth Participation Project, co-funded by central and local governments, is a project aiming to prevent young people's exclusion and its objective is to guarantee every young person a further study place or some other option to help them build their lives. It is a cross-administrative co-operation project involving parties such as educational institutions, municipal youth and sports services, municipal social and health care services, employment authorities, non-governmental organisations and parishes. The project covers more than 70 municipalities.

Securing the active participation of local employers

This is central to effective approaches to the socially disadvantaged, since, as we have noted, one of the key ways of motivating 'at risk' groups is to ensure that there is a clear route into the labour market once training is successfully completed. Employers can be involved in a variety of ways, such as in work place assessment, examinations, and – especially for young people - the running of prizes and awards to recognise excellence. But the initial investment required to engage employers can be costly and time consuming, and may only pay off in the longer term.

Development of national standards to provide the framework for local action

As we noted above, localisation is an important component of effective interventions to tackle the issues surrounding exclusion. However, an important corollary of this is the implementation of national frameworks to ensure (minimum) levels of quality and standards. These allow for varying degrees of freedom at local level depending on the national context, including the general extent of decentralisation within government. Sometimes, we have seen national intervention to stimulate action locally. For example, in Denmark from 2007, every VET college will be obliged to draw up an action plan aimed at reducing its drop out rate and increasing completion. It will also outline the ways to measure and to assess the results. Colleges will also receive an additional grant for every student that completes a main course.

In the case of young people the need for national frameworks often links closely into youth or family policy more generally, as in the UK where during 2007 there was a re-structuring of ministries which saw the reorganisation of the functions of the then Department for Education and Skills into two new ministries: the Department for Children, Schools and Families with a remit to take, *inter alia*, a more holistic approach to young people, and the Department for Innovation, Universities and Skills, into which was placed responsibility for post-compulsory education, which includes, by default, most VET provision. Whilst on the one hand this may lead to better focusing and integration of services on children, at the same time it relocates VET into another ministry, requiring coordination between the two. The consequences of this for the role of VET remain to be seen, although there is strong decentralisation within the UK system (see chapter 3) which means that local institutions have considerable autonomy – and also responsibility - within national frameworks to respond to the needs of the disadvantaged.

Examples of holistic approaches are provided in the box below.

Illustrative examples of holistic approaches

In the **Czech Republic** a new employment law in 2004 introduced “Targeted programmes” as a new tool of ALMP. These programmes are developed by regional labour offices, financed from the ESF and from the state budget. They help prepare tailor-made programmes for specific target groups according to the situation and problems in the region. Many of them are dealing with low qualified people, long-term unemployed, Roma communities, young, women, etc. Examples include a targeted programme for young people without qualifications in north Bohemia. This offers unemployed youth with only basic education a motivation course and complex counselling and guidance support (not only careers guidance but also social and psychological support if necessary). Then it offers the possibility to take one of a number of re-qualification courses of 5 months including 1 month of job placement. After graduation participants receive a certificate of retraining which is valid nationwide. Additional job brokering support, subsidised jobs and follow-up support in keeping young people in employment is provided. Social and other events are used during the course as one of the motivation tools.

In **Denmark** screening of children begins at the age of six, before they start compulsory education. The purpose of the system is to identify any learning difficulties sufficiently early to be able to provide support to these children and their parents. The screening system at this level follows the guidelines describing the competences of the children at that age. At primary and lower upper secondary level, starting from the age of 12 (6th grade) pupils have their individual learning plans developed. From 2006 onwards, they also take a test in several subjects in order to assess any learning difficulties. Since 2000, all VET students have had an individual educational plan. In order to support the people with the risk of drop out, more efforts have been put into assessment of the person's formal and non-formal qualifications before they start a VET programme. This is complemented by the existence of the individual support measures, such as Youth Guidance Centres, which are the responsibility of the municipalities. They work closely together with the local authorities, schools, and the VET colleges. Recently, a coaching scheme has been introduced. Additionally, for those young people with limited financial resources this is complemented by the mentoring schemes providing support and guidance on top of the permanent guidance which is offered. Mentors can be both adults and older students. In some cases assistance from a psychologist can be sought.

In **Estonia**, a PHARE project “Support to the Youth Unemployment”¹ aimed to design and implement integrated labour market measures (‘packages’) and apprenticeships for young unemployed (16-24)². The project was implemented in the formerly industrial area of Ida-Virumaa County which suffered from high unemployment resulting from recent processes of economic transformation. The project included apprenticeship schemes, combined labour market measures (counselling, training, work-

¹ Project Fiche available at http://ec.europa.eu/enlargement/fiche_projet/document/es_0107.03_-_support_to_the_youth_employment.pdf

² Joint Memorandum on Social Inclusion in Estonia, Brussels, 18 December 2003, available at: http://ec.europa.eu/employment_social/social_inclusion/docs/est_jim_en.pdf

(counselling, training, work-practice etc.) tailored to the needs of individual participants, training for the employment service staff and motivation schemes encouraging employers to participate in the project (subsidised workplaces, information campaign).

In **Malta**, the Training and Employment Exposure Scheme (TEES) was launched in 2002 on an experimental basis targeting unemployed people over 40 years of age (registered as unemployed on the unemployment register of the Employment and Training Corporation). This group faces significant barriers to (re)enter employment in the country, in particular given their low skill and education levels. The programme is spread over one year which is divided into three phases:

- first phase (4 weeks): the participants take part in the core skills training programme that focuses on motivation and self-esteem;
- second phase (21 weeks): the participants spend 20 hours a week on specific training in the skill or trade chosen and in demand in the labour market;
- third phase (27 weeks): consists of 40 hour a week employment exposure with an employer.

Until 2006, there had been 460 participants engaged in the programme (in three intakes) of which 65% had been in full time employment after the ending of their participation in the programme, 23% had returned to the unemployment register, 8% had dropped out and the remaining number had either found employment before the end of the programme or become self-employed (data for 2006). The evaluation of the scheme showed that it was positively received by both workers and employers. It is also believed to be the reason for the decreasing number of registered unemployed over the age of 40¹. Also in **Malta**, from 2006 onwards, all people registered to the Employment and Training Corporation (ETC) are asked to take a literacy test, to help map basic skill levels among the unemployed; people with low basic skills are redirected to ETC literacy courses.

In the **UK**, the New Deal programme has been successful in reducing unemployment, especially among young people through a combination of advice, guidance, counselling and job search assistance together with compulsory training or work experience exposure, which are then followed up by a final phase which focuses on intensive counselling and job search assistance.

¹ Lm 2m invested in Maltese workers, Press Release No0047E, 18.01.2007, Department of Information, Malta (accessed 14 June 2007), available at: http://www.doi.gov.mt/en/press_releases/2007/01/pr0047E.asp

7.16 Conclusions and key messages

The following conclusions can be drawn from the analysis presented in this chapter.

7.16.1 Social and labour market integration and the role of VET

Disadvantage and exclusion are complex and multi-faceted phenomena in which low skills plays a key role. The needs of 'at risk' groups and the barriers they face are numerous and manifest themselves in different ways and in different combinations for different groups. The geographies of disadvantage are many and varied, not just across Europe but within individual Member States: needs can vary across very small geographical areas.

Some forms of exclusion are more severe than others and this places individuals at different 'distances' from education and training systems. Whilst some disadvantaged individuals' participation in VET is quite easily achieved through comparatively simple, straightforward and inexpensive adjustments to the way VET is delivered (e.g. though minor changes to the time and place of programmes), others require much more intensive and on-going support.

Although VET is clearly central to addressing the problem of low skills, it is not *the* panacea. A substantial body of evidence points to the need for intervention at a very early age. VET's role varies depending on whether it is being used to prevent early school leaving or to address the problem of young people and adults who have only achieved low formal education and training levels. As a preventive measure it can play a central role in tackling the problem of poor motivation and alienation though it needs to be accompanied by supporting measures, including guidance and counselling. To encourage low qualified young people and adults to take up learning again, it is an essential component of more comprehensive policy packages. In relation to specific 'at risk' groups (migrants, disabled people, older workers), VET does not necessarily have a role which is distinctive from the general one it plays in relation to the low skilled; what varies in these contexts are the packages of measures with which VET is incorporated.

Member States need to ensure that VET policy clearly recognises and differentiates between different forms of disadvantage and that policy is suitably adapted to the need of different 'at risk' groups.

7.16.2 The needs of 'at risk' groups

The training needs of 'at risk' groups are not just for occupationally specific training but also – depending on the client group - for training in generic transferable skills in demand in the labour market, soft skills (to meet personal development needs), learning skills and practical job search skills. Indeed, these other needs are often most significant and need to be addressed before or at least at the same time as occupationally specific training is being provided. There is evidence that one of the features of effective practice is the ability to integrate occupationally specific and other training seamlessly through VET – e.g. tackling literacy and numeracy development needs in practical work-based contexts so that it is not seen as a discrete activity called 'learning'

Member States need to ensure that their VET systems are highly flexible and adaptable, are able to offer provision that can be both individualised and localised, and is capable of integration with other, non-VET measures.

7.16.3 Main features of VET to support social and labour market integration

Chapter 6 found that there is a need for a variety of transparent and viable VET routes to cater for diverse needs, and the findings in relation to disadvantage reinforce this conclusion. Chapter 6 also showed that lower level school-based VET is declining in popularity relative to other routes and that it might be better positioned as a pre-vocational option. The analysis of this chapter would suggest that this would be beneficial for people from 'at risk' groups, especially if there are clear progression opportunities into apprenticeships which are appropriate for those alienated from formal, classroom-based education because of their strong linkages with employers.

The broad types of VET that have been developed to address the needs of excluded groups are: slimmed down provision; modularised curricula that allow participants to construct their own individualised pathways at their own time and pace; and alternative forms of provision. Such measures are likely to have the greatest impact on 'marginal non-learners' unless other (non-VET) measures (such as guidance and counselling) are enacted at the same time.

The chief cross-cutting characteristics of effective provision are:

- the use of non-classroom based settings, and especially of workplace learning
- a strong link to the labour market
- the ability to integrate training components that are not occupationally specific
- capacity to deliver in a wide variety of locations and times
- the offering of progression opportunities and achievable stepping stones.

Although robust evidence with regard to the effectiveness and efficiency of VET interventions to tackle disadvantage is not ubiquitous, the evidence that is available highlights the effectiveness of holistic approaches. These are typically characterised by a number of elements:

- Early identification and tracking of 'at risk' individuals
- Securing the 'buy-in' of individuals, e.g. through action plans
- Community involvement in VET design
- Mediation between excluded communities and VET institutions
- Personalised guidance and pastoral support
- Counselling and mentoring
- Flexible VET delivery
- Adapted and enhanced VET curricula, including measures to enrich the learning experience and motivate participation and to build confidence
- Complementarity with social welfare and labour market regimes
- Close cooperation with other agencies
- The involvement of employers and civil society organisations.

7.16.4 The need for change in VET systems

Whilst VET systems are becoming increasingly open and flexible – as we showed in chapter 6 - it is reasonable to ask whether the participation of those at a disadvantage in the labour market is actively encouraged or whether in practice the approach tends to be permissive rather than facilitative. The analysis of 'at risk' groups presented here would indicate that without active measures to enable their involvement, their participation is likely to remain low. Member States should review the extent to which openness and flexibility within their VET systems needs to be supported by active measures to ensure the participation of people from disadvantaged backgrounds.

To achieve an actively open system, and especially to deliver the types of holistic approaches we have just described, systemic changes may be required in the way some VET systems are configured. Some existing trends (the granting of more autonomy at local level and the reform of qualifications frameworks to enable modular approaches to be taken forward) are supportive in this respect. However, typically these measures are being adopted for other reasons and in this context an explicit recognition of how they might be used to support VET's role in relation to social integration would be beneficial. Steps should also be taken to ensure the complementary functioning of VET and labour market and social welfare systems. Member States should consider whether their VET systems are currently configured to meet the need for holistic approaches.

Regardless of the overall system, tackling the problem of low skills will almost certainly require changes in the way VET is managed and delivered 'on the ground' by VET institutions – e.g. in the way at risk individuals are identified and tracked and the way support services are integrated. Without this, there is a risk that required provision and practice is seen as a 'bolt-on' activity, additional to the mainstream, rather than integral to it.

Such changes pose challenges because they require:

- Sufficient flexibility within national VET frameworks to permit sufficient local discretion without jeopardising the value of qualifications within the labour market
- Effective coordination or partnerships between a variety of agencies. This can be challenging as it requires bringing together agencies with different priorities and cultures across different levels of government
- Adequate funding: tailored support and the provision of intensive one-to-one guidance and counselling of the type that is often needed is expensive
- The development of new roles such as counselling and mentoring which require 'soft' skill sets such as the ability to empathise with the client group, an approachable personality and a non-judgemental attitude. This can be done either through the creation of new posts – which requires resources - or by requiring teaching staff to take on the function as part of their job, which raises questions about how to ensure their proficiency and their suitability for and willingness to take on the task. Done on a national scale, it can run into the issue of skills gaps and shortages.

7.16.5 Role of employers and civil society bodies

As just noted, improving social integration requires VET institutions to engage with a wide variety of other partners. Employers have a key role to play. From the evidence we have collected it appears that they tend to be engaged in integration policies through incentives or subsidies; considerable scope remains for them to play a more active role.

Civil society organisations also have an important role to play at the interface between VET providers and 'at risk' groups, providing links into marginalised communities, helping to design provision and perhaps being involved in training delivery. But here too there are challenges stemming from such issues as low levels of resourcing and inexperience in dealing with the public sector. There is a need for capacity building amongst these bodies to enable them to play a full and active part.

7.16.6 Reducing rates of early school leaving

With regard to early school leaving, a range of both preventative and remedial measures are required. It has been suggested that VET can help to bring down rates of early school leaving by providing an attractive alternative to general school-based provision, but VET is not necessarily a universal panacea since its role is highly context specific (as our analysis of Member State differences in chapter 3 implies); as chapters 1-6 show VET caters for a wide variety of target groups offering a wide range of programmes and qualification levels including higher education. In any event it is likely to require complementary changes in social welfare and labour market regimes to ensure that it successfully improves the costs and benefits of staying on in education relative to the option of early exit (either into unemployment or a low skilled job). It has also been suggested that early tracking may entrench social inequality but our analysis in chapter 6 indicates that there are now many options to move between tracks and that the distance between general and vocational curricula is narrowing.

As the same time, the data on early school leaving and research into learning motivations (discussed in section 6.2) both point to the existence of a 'hard core' of young people who will leave school early almost regardless of the economic circumstances. Certainly in some countries the rate of early school leaving appears intractable, and the experience of some countries is that intensive effort is required to try to tackle it.

7.16.7 Tackling low skills amongst young people and adults

Training plays a key role in active labour market policies (ALMPs) and these have been expanding and developing, not least under the stimulation of the EC which has actively promoted the 'flexicurity' approach.

The overwhelming weight of policy appears to be focused on people when they are unemployed rather than in work, and on the most immediate requirement to get people back into employment as quickly as possible. VET in this context takes the form of short job-related provision, which is often not accredited and which is designed to arm people with the specific skills they need to get a particular job.

This short-term approach ignores the phenomenon of people cycling endlessly between low skilled employment with few if any promotion or development prospects and unemployment. We found few examples of programmes that follow up low-skilled people after they have secured employment and

ensure they receive further training with their new employer (a notable exception being the UK's new Employability Skills programme). Member States should consider how they can better link their policies for the low skilled when in and out of work, and also how credit accumulation and validation systems can be developed to support social integration.

Meeting the needs of specific groups – migrants, older workers, and disabled people – entails the adaptation of the general policy measures for the low skilled which we have been discussing but perhaps more importantly their coupling with other measures, such as language training for migrants, and the adaptation of provision for people with disabilities. Measures are also required to change attitudes to people from disadvantaged communities in order to counter the problem of stereotyping and legislation to combat discrimination.

7.16.8 The Member State context

As we stressed in chapter 3, Member States vary substantially in the nature of their VET and social welfare systems and this chapter has shown that they also vary enormously in terms of the particular manifestations of disadvantage and exclusion. There is particular variation in the extent and nature of immigration. This means that both the nature of the problem of exclusion and how it is dealt with show major variations. Both VET systems and social welfare regimes shape the incentives/disincentives that people attach to training, and the use of ALMPs continues to show substantial variation. We found wide variation in the practice of using VET to address social disadvantage which suggests that an individual's chances of being able to access well-developed and individually tailored VET depends upon their country of residence. Good practice needs to be shared between Member States more actively than hitherto.

Looking across the clusters of Member States that we have been using throughout this report, Mediterranean countries appear to face particular challenges: the prevalence of low skills in these countries may be a factor behind their high rates of early school leaving, and suggests that the problem may be especially difficult to address as it is comparatively easy for individuals to exit education early and find employment.



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Investir na investigação: um plano de acção para a Europa

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1. RESUMO

O presente plano de acção estabelece iniciativas necessárias para reforçar a base de investigação pública da Europa e a tornar muito mais atraente para o investimento privado na investigação e inovação. A realização destas acções permitirá à União Europeia reduzir a distância crescente que a separa dos seus principais parceiros comerciais em termos de níveis de investimento na investigação e que está a pôr em risco o seu potencial de inovação, crescimento e emprego a longo prazo. Este plano visa a realização do objectivo definido pelo Conselho Europeu de Barcelona de Março de 2002 de aumentar o nível médio de investimento na investigação dos actuais 1,9% do PIB para 3% do PIB até 2010, dois terços dos quais deverão ser financiados pelo sector privado.

Para atingir o objectivo de Barcelona, o investimento na investigação na Europa deverá crescer a uma taxa média anual de 8%, com uma taxa de crescimento anual de 6% para a despesa pública e de 9% para o investimento privado. Este é um objectivo que, apesar de ambicioso, é realista, dado o grande apoio que recebeu.

O Conselho Europeu de Março de 2003 pediu à Comissão que apresentasse o presente plano de acção, que foi preparado com base numa consulta alargada com as instituições europeias, os Estados-Membros, os países da adesão e os países candidatos, bem como com representantes da indústria, da investigação pública e do sector financeiro. A consulta mostrou que existe um grande apoio ao objectivo dos 3% e revelou que a maioria dos países já está a tomar medidas para aumentar o investimento na investigação e que muitos estabeleceram objectivos nacionais na linha do objectivo europeu dos 3%.

O plano de acção visa aproveitar este impulso, garantindo que as iniciativas necessárias aos níveis nacional e europeu são sustentáveis, coerentes entre si e correspondem ao desafio do melhoramento radical do sistema europeu de investigação e inovação tecnológica. A Europa está a viver uma situação em que os pontos mais fracos do sistema põem em risco o investimento - a título de exemplo, entre os muitos possíveis, as insuficiências e a rigidez das carreiras de investigação, que fazem com que excelentes recursos humanos abandonem a investigação ou saiam da Europa; a dispersão e a falta de visibilidade da investigação europeia, frequentemente excelente; as dificuldades com que se defrontam as PME com uma utilização intensiva da tecnologia para financiar os seus projectos de investigação e inovação; a falta de sensibilização dos investigadores e dos gestores da investigação em relação à protecção e gestão da propriedade intelectual.

O plano de acção complementa um série de iniciativas europeias, que se reforçam mutuamente, com vista a aumentar a competitividade da União, nomeadamente nos domínios das políticas empresarial e de inovação, e das reformas estruturais nos mercados de produtos, serviços, capitais e trabalho. Em conjunto, estas iniciativas constituem a resposta política da Comissão ao objectivo do Conselho Europeu de Lisboa de Março de 2000 de, até 2010, transformar a Europa na economia baseada no conhecimento mais competitiva e dinâmica.

O plano de acção inclui quatro grupos principais de acções:

Um primeiro grupo de acções visa apoiar as iniciativas dos países europeus e dos interessados, garantindo que são coerentes entre si e que constituem uma combinação eficaz de medidas políticas. Para tal, é previsto um processo de coordenação com e entre Estados-Membros e países da adesão, bem como a criação de várias «plataformas tecnológicas europeias» que reunirão os principais interessados- organismos de investigação, indústria, entidades reguladoras, grupos de utilizadores, etc. - em torno de tecnologias-chave

com vista à concepção e execução de uma estratégia comum para o desenvolvimento, implantação e utilização dessas tecnologias na Europa.

O segundo grupo de acções visa melhorar consideravelmente o apoio público à investigação e inovação tecnológica. Para investir em investigação na Europa, as empresas necessitam de ter à sua disposição equipas de investigadores excelentes e em grande número, uma investigação pública forte bem articulada com a indústria e um apoio financeiro público efectivo, incluindo medidas fiscais. O plano de acção incide em acções para melhorar a carreira dos investigadores, aproximar a investigação pública e a indústria e desenvolver a explorar plenamente o potencial de instrumentos de financiamento público europeus e nacionais. Por exemplo, o plano de acção pede às autoridades públicas que, até 2005, abandonem as actuais regras e práticas, associadas a muitos regimes de financiamento público, que impedem a cooperação e a transferência tecnológica transeuropeia e, por conseguinte, reduzem consideravelmente as oportunidades de investigação e inovação à disposição dos beneficiários.

Um terceiro grupo de acções aborda o aumento necessário dos níveis de financiamento público da investigação. Dada a actual recessão económica, torna-se ainda mais importante garantir que as políticas orçamentais favorecem investimentos conducentes a um maior crescimento sustentável no futuro, sendo a investigação uma prioridade fundamental. As acções incidem no incentivo e acompanhamento da reorientação dos orçamentos públicos e no aproveitamento pleno das possibilidades de apoio público à indústria proporcionadas pelas regras de auxílio estatal e as regras aplicáveis aos contratos públicos. Por exemplo, o plano de acção propõe-se clarificar os tipos de apoio público que não provocam distorção da concorrência e reforçar a sensibilização das autoridades públicas em relação aos mesmos.

Por último, um quarto grupo de acções visa melhorar o contexto da investigação e da inovação tecnológica na Europa: protecção da propriedade intelectual, regulação de mercados de produtos e normas associadas, regras de concorrência, mercados financeiros, enquadramento fiscal e tratamento da investigação nas práticas de gestão e de informação financeiras das empresas. Por exemplo, o plano de acção estabelece o objectivo de que todos os estudantes nas áreas da ciência, engenharia e gestão recebam, pelo menos, uma formação básica sobre propriedade intelectual e transferência de tecnologias.

O plano de acção assinala o início de um processo. Haverá um acompanhamento dos progressos e, se adequado, a Comissão e o Conselho formularão mais orientações para manter a União no bom caminho. Contudo, o tempo disponível para garantir o êxito do plano de acção é pouco e a distância entre a Europa e os seus principais parceiros comerciais continua a crescer rapidamente. A implantação tem de começar imediatamente a todos os níveis e ser orientada por uma visão clara de que o que está em jogo é a realização da ambição da Europa de se tornar o espaço mais dinâmico para o crescimento e a criação de emprego impulsionados pela inovação.

2. UM CONVITE À ACÇÃO

Em Março de 2002, o Conselho Europeu de Barcelona lançou um convite à acção para aumentar o investimento na investigação e no desenvolvimento tecnológico¹ e diminuir a distância que separa a Europa dos seus principais concorrentes. O Conselho Europeu decidiu que, até 2010, na União Europeia, o investimento na investigação deveria crescer de 1,9% para 3% do PIB e a parte financiada pelo sector privado deveria atingir dois terços do total. Desde então, todos os interessados confirmaram a importância deste convite e a necessidade de agir rapidamente, de acordo com as orientações sugeridas na Comunicação da Comissão de Setembro de 2002 «Mais investigação na Europa - Objectivo: 3% do PIB»². A distância entre a Europa e os Estados Unidos em termos de investimento na investigação já excede 120 mil milhões de euros por ano e está a aumentar rapidamente, com graves consequências para o potencial de inovação, crescimento e criação de emprego a longo prazo na Europa. Tal como explicado na comunicação de Setembro de 2002, esta distância está relacionada com o facto de a Europa ter condições menos atraentes para o investimento privado na investigação, decorrentes de um apoio público menos significativo e, provavelmente, menos eficiente, e com vários obstáculos a nível do contexto mais geral da investigação e inovação europeias.

Em Setembro de 2002, a Comissão deu início a uma consulta alargada com as instituições europeias, os Estados-Membros, os países da adesão e os países candidatos, bem como com outros interessados, nomeadamente a indústria europeia e o sector financeiro. As reacções foram esmagadoramente favoráveis ao objectivo dos 3% e à ênfase no investimento privado na investigação. Muitas respostas continham observações e propostas úteis que foram utilizadas para preparar o presente plano de acção. Todos os Estados-Membros, países da adesão e países candidatos concordaram que era importante aumentar o investimento na investigação e a maioria indicou que já tinha implantado ou estava a implantar políticas e medidas concretas para o efeito. Muitos destes países também tinham estabelecido objectivos nacionais na linha do objectivo europeu dos 3%. Por exemplo, tanto a França e a Alemanha como a Eslovénia, um futuro Estado-Membro, adoptaram o objectivo dos 3% a nível nacional. O movimento está, assim, a ganhar força.

O Comité Económico e Social Europeu e o Comité das Regiões apoiaram o objectivo dos 3%, tal como os Membros do Parlamento Europeu que participaram num debate público sobre este tema.

As numerosas respostas pormenorizadas recebidas da indústria e das associações empresariais também foram unanimemente favoráveis. Muitas, como a União das Confederações da Indústria e dos Empregadores da Europa (UNICE) e a Mesa Redonda dos Industriais Europeus (ERT), realçavam que a realização do objectivo dos 3% é fundamental para a competitividade da Europa, mas irá exigir mudanças políticas importantes para restabelecer o poder da Europa para atrair investimentos na investigação. O objectivo dos 3% é o ponto central das recomendações da ERT ao Conselho Europeu de Março de 2003 e um dos principais tópicos da UNICE. As associações representativas das pequenas e médias empresas (PME) concordam com a importância do aumento do investimento na investigação para os seus membros.

¹ A «investigação e o desenvolvimento tecnológico» são a seguir designados «investigação» ou «I&D».
² COM(2002)499 de 11 de Setembro de 2002.

Uma conclusão importante da consulta é que, apesar do actual abrandamento económico e, nomeadamente, da acentuada recessão em alguns sectores tecnológicos de ponta, há grandes empresas europeias que tencionam manter um nível significativo de investimento na investigação. Contudo, dado que o agravamento das condições económicas faz com que seja ainda mais importante para estas empresas racionalizar o seu desenvolvimento global, estes novos investimentos na investigação não estão previstos na União Europeia, mas antes em outras regiões consideradas mais atraentes, como os Estados Unidos e alguns países da Ásia. Por sua vez, as PME europeias acham que a sua capacidade de investimento na investigação e inovação é frequentemente restringida por uma capacidade de autofinanciamento limitada e por um acesso mais difícil ao financiamento externo. As actuais condições económicas acentuam estes problemas de acesso ao financiamento de actividades de investigação e inovação tecnológica³. A recessão económica torna assim ainda mais importante e urgente concentrar a iniciativa pública no apoio à investigação e inovação.

De acordo com um estudo econométrico efectuado pelos serviços da Comissão⁴, a realização do objectivo de consagrar 3% do PIB ao investimento na investigação teria um impacto significativo a longo prazo no crescimento e emprego na Europa, com um aumento da produção na ordem dos 0,5% e a criação de 400 000 novos empregos por ano a partir de 2010⁵. O impacto total no crescimento e no emprego poderá mesmo ser maior, graças ao impulso que o aumento da investigação de nível mundial irá dar à competitividade internacional da indústria e dos serviços europeus e à atractividade económica global da Europa. Por último, mas não menos importante, um reforço da investigação em domínios de interesse social e ambiental ajudará a Europa a liderar o caminho para um futuro mais sustentável. Tal como realçado pela Comissão no seu relatório ao Conselho Europeu⁶ de Março de 2003, o investimento na investigação está, assim, no centro da estratégia formulada pelo Conselho Europeu de Lisboa de Março de 2000 com vista à renovação económica, social e ambiental da Europa.

O Conselho Europeu de 21 Março de 2003 pediu à Comissão que preparasse o presente plano de acção e solicitou à Comissão, ao Conselho e aos Estados-Membros que agissem com base no mesmo.

O plano de acção é caracterizado por uma abordagem alargada e sistémica da investigação e da inovação. Tanto os estudos de consulta como os de apoio mostraram que esta abordagem é a única forma credível de gerar os importantes aumentos necessários ao investimento público e privado na investigação. Partindo de uma taxa média de crescimento do PIB na UE de 2% por ano até 2010, os objectivos estabelecidos em Barcelona (3% e 2/3 do sector privado) implicam uma taxa de crescimento anual de 8% para o total dos esforços de investigação europeus, com um aumento anual de 9% para o financiamento privado e de 6% para o financiamento público.

³ A «inovação tecnológica» é a seguir designada «inovação».

⁴ Estudo realizado pela equipa de investigação ERASME (Paris) com uma versão adaptada do modelo NEMESIS (a publicar).

⁵ Isto resultaria, nomeadamente, de grandes alterações estruturais na economia europeia, em especial de uma orientação para empresas com uma utilização mais intensiva da tecnologia e de crescimento mais acentuado e de um aumento significativo da capacidade de inovação da economia europeia.

⁶ Relatório da Comissão ao Conselho Europeu da Primavera «Optar pelo crescimento: Conhecimento, inovação e empregos numa sociedade coesa», COM(2003) 5 de 14 de Janeiro de 2003.

Para tal, o plano de acção começa por abordar a necessidade de **desenvolver uma compreensão comum** partilhada a todos os níveis políticos e por todos os interessados e de **garantir uma evolução sustentável e coerente em toda a Europa**. Isto pode ser obtido, nomeadamente, quando adequado, através da utilização, de um processo aberto de coordenação, de plataformas tecnológicas europeias e de um processo de aprendizagem mútua para regiões da Europa, bem como através da concepção e aplicação de combinações de políticas que reunam de um modo coerente um vasto leque de instrumentos políticos. Conseguir que a Europa trabalhe em conjunto é um aspecto importante (ver o capítulo 3).

Em seguida, o plano de acção cobre sucessivamente aspectos relacionados com a eficácia do apoio público à investigação, o nível de recursos públicos disponibilizados e a melhoria das condições de enquadramento:

- **aumentar a eficácia do apoio público à investigação e inovação**, tanto do ponto de vista financeiro como dos recursos humanos e da base de investigação pública (ver capítulo 4);
- **reorientar os recursos públicos para a investigação e a inovação**, dedicando uma maior atenção à qualidade da despesa pública, adaptando as regras de auxílio estatal e utilizando melhor os contratos públicos (ver capítulo 5);
- **melhorar as condições de enquadramento da investigação e inovação**, como os direitos de propriedade intelectual, a regulamentação do mercado de produtos, regras de concorrência, mercados financeiros, condições fiscais e gestão e informação financeira no domínio da investigação nas empresas (ver capítulo 5).

O plano de acção deve ser considerado no contexto mais alargado das várias iniciativas políticas e do processo de coordenação que fazem parte da estratégia de Lisboa, nomeadamente nos domínios das políticas económica e de emprego, da política empresarial e da política de educação e formação, e da estratégia do mercado interno. Em particular, as medidas para incentivar o investimento na investigação devem ser acompanhadas de medidas que encorajem as empresas a inovarem e a retirarem benefícios concretos da investigação - medidas estas implementadas através de políticas de promoção do espírito empresarial e da inovação. A recente comunicação sobre política da inovação⁷ sublinha a importância de formas de inovação não tecnológica⁸, identifica os vários domínios políticos com influência na predisposição das empresas para a inovação e traça uma via para reforçar as políticas de inovação através da cooperação e da aprendizagem mútua. As reformas estruturais de mercados de produtos, serviços, capital e trabalho também são importantes para a criação de um ambiente empresarial mais dinâmico e competitivo que conduza a um aumento do investimento na investigação e inovação. O plano de acção aborda aspectos específicos com uma influência directa no investimento na investigação.

⁷ «Política de inovação: actualizar a abordagem da União no contexto da estratégia de Lisboa», COM(2002)112 de 11 de Março de 2003. Ver igualmente a Comunicação da Comissão «Política Industrial na Europa Alargada» (COM(2002)714 de 11 de Dezembro de 2002) e o Livro Verde «Espírito Empresarial na Europa» (COM(2003)27 de 21 de Janeiro de 2003).

⁸ Para que os seus benefícios comerciais possam ser aproveitados na totalidade, a inovação tecnológica tem, frequentemente, de ser combinada com outras formas de inovação, por exemplo a nível da concepção, comercialização ou organização das empresas.

O plano de acção é apoiado por um sítio na *Web*⁹ que contém documentos de apoio e ligações a outros sítios dedicados a políticas e actividades conexas. O sítio será enriquecido e actualizado em permanência, nomeadamente a fim de acompanhar a execução do plano de acção. O documento de trabalho dos serviços da Comissão apresentado em anexo fornece elementos de informação e análises específicas em apoio do plano de acção.

3. EVOLUIR EM CONJUNTO

Os Estados-Membros estão bem conscientes da necessidade de aumentar o investimento na investigação, tendo começado a implantar políticas e medidas nesse sentido. Um **processo europeu de coordenação** é importante para garantir que os Estados-Membros aprendam com as experiências dos outros e adoptem acções coerentes. Além disso, este processo irá permitir que o Conselho Europeu acompanhe com regularidade os progressos obtidos no sentido da realização dos objectivos por ele definidos.

Devem ser tidos em conta aspectos sectoriais, inclusivé através da definição de objectivos e marcos específicos em determinadas áreas, como as tecnologias da informação e da comunicação. É necessário reforçar a coerência e a coordenação ao nível dos vários interessados envolvidos no desenvolvimento e implantação de tecnologias-chave na Europa. Para tal, poderá recorrer-se a **plataformas tecnológicas europeias**, que aproximem os principais interessados em questão, por forma a estabelecer um plano estratégico comum que aborde questões de investigação, bem como, se adequado, elementos relacionados com a regulamentação e a normalização.

Evoluir em conjunto significa igualmente que **todas as regiões deverão poder beneficiar** de um aumento da investigação e inovação. As diferenças e disparidades entre regiões na UE alargada são consideráveis. Enquanto que algumas estão em posição de se manter ou evoluir para uma posição de vanguarda tecnológica, outras deverão sobretudo concentrar-se no desenvolvimento de capacidades de absorção – incluindo a investigação aplicada e actividades de desenvolvimento – que lhes permitirão beneficiar da investigação de nível mundial realizada noutras partes da Europa. De qualquer modo, todas as regiões poderiam beneficiar de uma aprendizagem mútua mais sistemática quando da definição das suas estratégias de investigação.

Por último, as administrações a todos os níveis devem **desenvolver uma perspectiva sistémica das várias dimensões políticas** que necessitam de ser mobilizadas para definir e implantar combinações de políticas adequadas para promover o investimento privado na investigação e inovação. Estas combinações de políticas implicam, com frequência, diferentes sectores da administração pública, cuja coordenação necessita de ser reforçada.

3.1. Promover um desenvolvimento coerente das políticas nacionais e europeias

Um processo aberto de coordenação, tal como solicitado pelo Conselho Europeu da Primavera de 2003, irá facilitar a aprendizagem mútua dos Estados-Membros no que se refere aos seus esforços para aumentar e melhorar o investimento na investigação. Além disso, contribuirá para reforçar a eficácia das iniciativas dos Estados-Membros ao garantir, numa base voluntária, uma maior coerência entre as mesmas, bem como com acções comunitárias conexas. Por último, irá organizar a recolha de dados e a elaboração dos relatórios necessários

⁹ <http://europa.eu.int/comm/research/era/3pct/>

para permitir que o Conselho Europeu faça o ponto da situação relativamente aos progressos obtidos no sentido da realização dos objectivos por ele definidos e avalie a sua eficiência¹⁰.

Tendo em conta as orientações definidas pelo Conselho Europeu de Lisboa, a aplicação do método aberto de coordenação ao objectivo dos 3% irá consistir num processo colectivo de acompanhamento permanente, num mecanismo de informação sobre iniciativas e progressos registados a nível nacional e numa aprendizagem mútua evolutiva com as seguintes características:

- orientada para objectivos europeus (neste caso os objectivos dos 3% e dos dois terços) traduzidos pelos Estados-Membros em objectivos e iniciativas nacionais, coerentes com o objectivo geral da UE e adequados às suas situações e prioridades nacionais;
- organizada em função de orientações definidas em comum (propostas aos Estados-Membros no presente plano de acção);
- apoiada por um conjunto de indicadores seleccionados e por exercícios de aferimento sobre tópicos bem definidos em relação aos quais é especialmente necessário recolher de dados pormenorizados e partilhar informações, bem como identificar e difundir boas práticas.

Esta abordagem também deve ser aplicada a iniciativas decorrentes das implicações do objectivo dos 3% em termos de recursos humanos, alargando o processo existente centrado na mobilidade internacional dos investigadores a questões relacionadas com a oferta de recursos humanos adequados e em maior número nas áreas da ciência e da tecnologia.

Serão garantidas a complementaridade e a coerência com o processo de aprendizagem mútua sobre políticas de inovação delineadas na comunicação sobre política de inovação¹¹.

Novas acções

- ✓ **Estabelecer um processo aberto de coordenação de acções com vista ao aumento do investimento na investigação**, com a participação dos Estados-Membros, dos países da adesão e dos países candidatos que assim o desejem, baseado na metodologia e no conjunto de indicadores existentes propostos no anexo ao presente plano de acção (*Implantação: Estados-Membros e países da adesão com o apoio da Comissão; 2003*);
- ✓ **Estabelecer um processo aberto de coordenação de acções com vista ao desenvolvimento de recursos humanos nas áreas da ciência e da tecnologia**, com especial ênfase nas implicações do objectivo dos 3%, enquanto uma extensão do processo existente centrado na mobilidade (*Implantação: Estados-Membros e países da adesão com o apoio da Comissão; 2003*).

3.2. Definir uma perspectiva comum para o desenvolvimento e implantação de tecnologias-chave

Em determinadas áreas, a investigação tem um papel fundamental a desempenhar na resposta a importantes desafios no plano tecnológico, económico ou social. Neste contexto, as plataformas tecnológicas europeias proporcionarão um meio para promover parcerias público-privadas eficazes, envolvendo, conforme adequado, organismos públicos de

¹⁰ Ver documento de trabalho dos serviços da Comissão apresentado em anexo.

¹¹ Op. cit..

investigação, indústria, instituições financeiras, utilizadores, entidades reguladoras e responsáveis políticos, o que irá gerar o ímpeto necessário para mobilizar os esforços de investigação e inovação e facilitar a emergência de «mercados-piloto»¹² na Europa.

Na sua essência, as plataformas tecnológicas são mecanismos que reunirão todos os interessados para desenvolver uma perspectiva a longo prazo, definir uma estratégia coerente e dinâmica para concretizar essa perspectiva e orientar a sua implantação. Um plano de investigação estratégico constitui um elemento fundamental da estratégia para otimizar a contribuição da investigação para o processo. As plataformas tecnológicas também devem abordar tanto as barreiras técnicas e não técnicas que obstam a um desenvolvimento, implantação e utilização óptimos das tecnologias, como os requisitos necessários aos mesmos, por exemplo, regulamentação, normas, aspectos financeiros, aceitação social, competências e necessidades de formação, etc., tendo simultaneamente em conta as políticas comunitárias relevantes.

Iniciativas existentes em domínios como a aeronáutica e o transporte ferroviário fornecem elementos de boas práticas e constituem, com efeito, um primeiro grupo de plataformas tecnológicas europeias. Em conjunto com os interessados relevantes, a Comissão está a estudar o estabelecimento de novas plataformas tecnológicas europeias em áreas fundamentais como a genómica vegetal, o transporte rodoviário e marítimo, o hidrogénio, a técnica fotovoltaica, determinados domínios das nanotecnologias e das tecnologias da informação e comunicação e a tecnologia do aço.

Novas acções

- ✓ **Estabelecer plataformas tecnológicas europeias** para determinadas tecnologias-chave, de acordo com os critérios e metodologia indicados no documento de trabalho dos serviços da Comissão apresentado em anexo à presente comunicação (*Implantação: interessados, com o apoio da Comissão; 2003*).

3.3. Permitir que todas as regiões beneficiem do aumento do investimento na investigação

Um determinado número de iniciativas, passadas e actuais, incentivaram as regiões a desenvolverem as suas próprias estratégias de inovação, incluindo aspectos relacionados com a investigação. Estas iniciativas já provaram que são extremamente úteis para reforçar a sensibilização das regiões em relação à importância da investigação e inovação¹³ e para as ajudar na aplicação de políticas de apoio. Contudo, o objectivo dos 3% está a suscitar muitos desenvolvimentos políticos novos a níveis europeu e nacional, que necessitam de se traduzir numa actualização e reforço das estratégias regionais. Além disso, os países da adesão e os países candidatos têm necessidades específicas, por exemplo em termos de infra-estrutura (em grande medida já existente nos actuais Estados-Membros), que devem ser tidas em conta no desenvolvimento das suas próprias estratégias regionais.

¹² Sobre os «mercados-piloto», ver Comunicação da Comissão «Política de inovação: actualizar a abordagem da União no contexto da estratégia de Lisboa», op. cit.

¹³ Ver documento de trabalho dos serviços da Comissão apresentado em anexo.

Novas acções

- ✓ **Estabelecer uma plataforma de aprendizagem mútua** para ajudar as regiões a desenvolverem as suas estratégias de investigação, tendo em conta a sua situação e necessidades específicas. A plataforma basear-se-á em actividades existentes e será apoiada, nomeadamente, pela elaboração de uma tipologia de regiões, por uma metodologia para a avaliação comparativa do desempenho regional e por acções específicas de promoção da utilização da prospectiva científica e tecnológica a nível regional (*Implantação: processo apoiado pela Comissão, em conjunto com as regiões; 2004*).

3.4. Conceber uma combinação coerente de instrumentos políticos

As empresas apenas investirão mais em investigação na medida em que possam retirar benefícios comerciais concretos dos resultados da mesma. Para tal, devem ter acesso a uma oferta adequada de recursos humanos de qualidade e a uma base de investigação pública mais sólida e com maior capacidade de reacção rápida. É necessário um apoio público reforçado e mais eficaz, em paralelo com condições de enquadramento muito mais propícias, como regimes adequados de direitos de propriedade intelectual, um ambiente competitivo com uma regulamentação e regras de concorrência que incentivem a investigação e a inovação, ou mercados financeiros e um enquadramento fiscal que lhes sejam favoráveis.

As recentes comunicações da Comissão sobre política empresarial, espírito empresarial e política de inovação¹⁴ complementam o presente plano de acção ao indicarem a via para um sector empresarial mais competitivo disposto a investir na investigação e a beneficiar dos seus resultados.

Tal como recentemente observado num relatório à Comissão¹⁵, a dimensão das mudanças estruturais necessárias para transformar a UE numa economia com uma utilização intensiva da investigação, de tecnologia de ponta e baseada no conhecimento faz com que seja extremamente pouco provável que exista uma solução única, que isoladamente seja suficiente para tal. É claramente necessário mobilizar um vasto leque de políticas e instrumentos e reforçar a sua coordenação para incentivar o aumento do investimento privado na investigação e inovação. As combinações de políticas alargadas necessárias deverão otimizar a utilização de vários instrumentos financeiros de apoio e articulá-los com medidas para melhorar as condições de enquadramento. Por conseguinte, a concepção e aplicação de combinações de políticas adequadas aos níveis da UE, nacional e regional constituem um desafio fundamental para as autoridades competentes. A qualidade destas combinações de políticas depende das forças e fraquezas específicas dos sistemas nacionais e regionais de investigação e inovação, bem como da tomada em consideração, se adequado, de aspectos sectoriais específicos, e exige uma coordenação efectiva entre os vários serviços ou ministérios em questão.

¹⁴ Op. cit..

¹⁵ Relatório apresentado à Comissão pelo grupo independente de peritos «*Raising EU R&D intensity: Improving the effectiveness of the mix of public support mechanisms for private sector research e development*», Abril de 2003.

A seguinte acção é assim essencial para o desenvolvimento efectivo de políticas nacionais de apoio à investigação e inovação. A Comissão está a utilizar esta abordagem na formulação das suas próprias políticas e irá apoiar a sua aplicação pelos Estados-Membros através do método aberto de coordenação.

Novas acções

- ✓ Melhorar a eficácia de acções públicas de promoção da investigação e inovação através da **concepção de combinações de políticas que utilizem de forma coerente vários instrumentos políticos, bem como do desenvolvimento de interacções com políticas aplicadas por outros países ou a nível europeu**, nomeadamente com base na partilha de informações e nos ensinamentos do processo aberto de coordenação (*Implantação: todos os níveis, com apoio da Comissão para o processo aberto de coordenação*).

4. MELHORAR O APOIO PÚBLICO À INVESTIGAÇÃO E INOVAÇÃO

As reacções da indústria à comunicação «Mais investigação para a Europa»¹⁶ mostraram inequivocamente que os principais factores tidos em conta pelas empresas ao decidir se e onde investir na investigação são a disponibilidade de investigadores e de pessoal de investigação excelentes e em abundância, uma base de investigação pública dinâmica e de nível mundial e a existência de incentivos financeiros públicos reforçados e de um quadro regulamentar muito mais favorável. Este capítulo incide na necessidade de aumentar e melhorar os recursos humanos, reforçar a base de investigação pública e aumentar a eficiência dos vários instrumentos de financiamento público.

4.1. Recursos humanos

A Europa irá necessitar de mais investigadores com competências mais adequadas para atingir o pretendido aumento do investimento na investigação até 2010. O aumento do investimento na investigação irá fazer crescer a procura de investigadores: para além da substituição prevista desta força de trabalho à medida que vai envelhecendo, estima-se que sejam necessários cerca de 1,2 milhões de pessoas adicionais no sector da investigação, incluindo 700 000 novos investigadores¹⁷, para atingir o objectivo previsto. Convém, além disso, não esquecer que este aumento se irá confrontar com pressões demográficas gerais¹⁸, a estagnação da inscrição de estudantes em determinadas disciplinas científicas e a concorrência internacional para atrair trabalhadores altamente qualificados. Assim, o ajustamento dos recursos humanos às necessidades previstas em termos de investigação e inovação irá implicar grandes esforços combinados de todos os interessados para atrair um número suficiente de investigadores de nível mundial para a Europa, tornar a investigação mais interessante aos olhos de várias categorias da população, especialmente as mulheres¹⁹; e reduzir os abandonos nos vários níveis de ensino e ao longo da carreira de investigador, incluindo os graus mais avançados. Para tal, é necessário abordar aspectos relacionados com a investigação no contexto de um determinado número de políticas, especialmente no domínio

¹⁶ Op. cit..

¹⁷ Número de pessoas. Trata-se de valores aproximados; os resultados exactos dependem das hipóteses seleccionadas. Em 2000, os Estados-Membros e os países da adesão totalizavam cerca de 1,6 milhões de investigadores.

¹⁸ Prevê-se que até 2010 a população activa diminua 9 milhões.

¹⁹ O potencial de aumento do número de mulheres investigadoras é considerável, dado que a proporção de mulheres na investigação nos sectores público e privado é, respectivamente, 31% e 15%.

do mercado de trabalho, emprego, educação e formação e imigração. Embora, normalmente, sempre que possível, deva ser dada preferência a medidas de carácter geral, a dimensão e a urgência do desafio no que se refere à necessidade de investigadores tornam necessário prever medidas específicas temporárias.

Por conseguinte, o reforço dos recursos humanos na investigação implica uma combinação de iniciativas aos níveis nacional, regional e da Comunidade com vista a:

- atrair mais estudantes para a investigação, em especial através do aumento de incentivos financeiros, de iniciativas «Ciência e Sociedade» e da promoção da mobilidade dos estudantes;
- atrair investigadores internacionais para a Europa e incentivar a mobilidade entre o mundo académico e o mundo da indústria;
- manter investigadores na profissão e no Espaço Europeu de Investigação, proporcionando-lhes perspectivas de desenvolvimento de carreira favoráveis e uma imagem positiva da profissão de investigador.

Principais iniciativas em curso relevantes para o objectivo dos 3%

- ✓ Implantação da estratégia de mobilidade para o Espaço Europeu da Investigação, em especial de iniciativas com vista a melhorar o acesso aos mercados de trabalho europeus neste domínio, como o lançamento de instrumentos de informação dirigidos aos investigadores, a plena coordenação dos regimes de segurança social, incluindo as pensões complementares, e a implantação do cartão europeu de seguro de doença;
- ✓ Execução do plano de acção «Ciência e Sociedade», nomeadamente de acções para promover a generalização da igualdade dos sexos e o lançamento de uma iniciativa para reforçar o ensino da ciência e colmatar o fosso entre o ensino da ciência e o trabalho em áreas científicas.

Novas acções

- ✓ **Desenvolver propostas sobre a carreira de investigador** com vista a facilitar a abertura dos sistemas nacionais de recrutamento, avaliação e desenvolvimento da carreira de investigador aos níveis europeu e internacional, incluindo a necessidade de um quadro regulamentar específico (*Implantação: Comunicação da Comissão 2003, Estados-Membros*);
- ✓ Analisar a possibilidade de **medidas europeias novas ou concertadas para melhorar significativamente as condições proporcionadas aos investigadores na UE**, no quadro do processo aberto de coordenação (*Implantação: Comissão e Estados-Membros, início em 2003*);
- ✓ **Adoptar e implantar as propostas previstas para um plano de acção e uma directiva relativos às condições de entrada e estadia de nacionais de países terceiros para fins de investigação na UE** (*Implantação: propostas da Comissão 2003*).

4.2. A base de investigação pública e as suas ligações com a indústria

As ligações entre indústria e investigação pública (quer em universidades, quer em organismos públicos de investigação) estão a evoluir de uma predominância do sistema de «patrocínio», ao abrigo do qual as empresas financiam investigadores públicos para resolver

problemas específicos, para formas de parceria mais estruturadas com vista a uma interacção sustentável a longo prazo. Cada vez há mais consciência de que os organismos públicos de investigação podem ser parceiros valiosos, fornecendo competências, conhecimentos e recursos complementares muitas vezes não disponíveis na comunidade industrial. Estas parcerias constituem instrumentos potencialmente poderosos para tornar o investimento na investigação mais atraente para as empresas, beneficiando, simultaneamente, a investigação pública.

Contudo, a Europa ainda está no início deste processo. Muitas empresas ainda consideram a investigação pública unicamente como uma fonte de conhecimento fundamental e de estudantes altamente qualificados. Nos casos em que existe, o processo de parceria nem sempre é gerido correctamente. No conjunto, há uma percepção generalizada na Europa de que existe uma lacuna persistente entre os desempenhos da investigação académica e da inovação baseada na tecnologia.

Principais iniciativas em curso na UE relevantes para o objectivo dos 3%

- ✓ Iniciativas decorrentes da consulta sobre a Comunicação da Comissão «O papel das universidades na Europa do conhecimento», nomeadamente sobre o estabelecimento de uma cooperação mais estreita entre universidades e empresas.

Novas acções

- ✓ Dar continuidade ou início às necessárias **reformas regulamentares e administrativas, e a medidas de apoio, para permitir que os organismos públicos de investigação desenvolvam ligações mais eficazes com a indústria**, em especial as PME, salvaguardando a sua missão pública de ensino e de investigação fundamental. As questões a abordar incluem, nomeadamente, o estabelecimento de incubadoras, parques científicos, fundos de capital de lançamento e novos tipos de parcerias público-privado, bem como a avaliação do desempenho dos investigadores (*Implantação: Estados-Membros*);
- ✓ **Reforçar a participação da indústria e de outros interessados na determinação das prioridades da investigação pública** (*Implantação: todos os níveis*);
- ✓ Desenvolver **orientações para ajudar os Estados-Membros a analisar – e, se necessário, adaptar – os seus regimes nacionais que regulam a propriedade, licenciamento e exploração dos DPI resultantes da investigação financiada com dinheiros públicos**, com o objectivo de promover a transferência de tecnologias para a indústria e a criação de produtos derivados (*spin-off*) (*Implantação: Comissão com Estados-Membros; 2004*);
- ✓ Desenvolvimento de **orientações europeias para a gestão e exploração dos direitos de propriedade intelectual em organismos de investigação pública e em parcerias público - privado**. Estas orientações ajudarão os organismos de investigação pública a desenvolver e aplicar, numa base voluntária, cartas que estabeleçam os princípios fundamentais em matéria, por exemplo, de propriedade e licenciamento dos resultados da investigação, repartição de receitas, etc. (*Implantação: Comissão em cooperação com os interessados; 2004*).

4.3. Melhorar a combinação de instrumentos de financiamento público e reforçar a sua eficácia

O reforço do apoio público à investigação e inovação deve ser feito em paralelo com o aumento da sua eficácia, em especial no que se refere ao seu efeito de alavanca no investimento privado. É possível utilizar de forma mais eficiente os vários instrumentos de financiamento público, individualmente e em conjunto: medidas directas, incentivos fiscais, sistemas de garantia e apoio ao capital de risco. É necessária uma combinação de instrumentos, pois não existe nenhum instrumento que, isoladamente, consiga responder da melhor forma às necessidades dos vários segmentos da indústria. As medidas directas e os incentivos fiscais podem ser usados tanto no caso de grandes empresas como de PME, enquanto que os sistemas de garantia e de capital de risco são mais adequados às PME.

O desenvolvimento e utilização dos instrumentos de financiamento público devem respeitar as regras de concorrência, nomeadamente o artigo 87.º do Tratado CE e, além disso, no caso de medidas fiscais, os compromissos dos Estados-Membros em matéria de fiscalidade na UE, nomeadamente o código de conduta no domínio da fiscalidade das empresas.

4.3.1. Combinar instrumentos de financiamento

O principal desafio ao nível europeu é reforçar os papéis respectivos dos principais instrumentos de financiamento e a sua complementaridade em apoio da investigação e inovação: o 6.º Programa-Quadro de Investigação (6PQ), os fundos estruturais, o Eureka e os instrumentos de financiamento do Grupo BEI²⁰. Convém igualmente explorar a possibilidade de orientar parte das intervenções do Banco Europeu para a Reconstrução e Desenvolvimento (BERD) nos países da adesão e nos países candidatos para apoiar o investimento industrial na investigação e inovação. Os Estados-Membros também deverão tentar otimizar a sua combinação de instrumentos tendo em conta as características dos seus sistemas de investigação e inovação, bem como as experiências de outros países e os desenvolvimentos ao nível europeu.

Principais iniciativas em curso na UE relevantes para o objectivo dos 3%

- ✓ Continuação do desenvolvimento de complementaridades e sinergias entre os instrumentos de financiamento europeus: o 6º Programa-Quadro de Investigação, os fundos estruturais, o BEI/FEI e o Eureka (grupos de trabalho conjuntos);
- ✓ Aplicação efectiva do 6.º Programa-Quadro de Investigação, em especial para promover a excelência e a integração de recursos, bem como a cooperação entre programas nacionais (regime ERA-Net);
- ✓ Análise intercalar dos instrumentos dos fundos estruturais, sublinhando os benefícios potenciais de acções no âmbito da prioridade investigação e inovação para as regiões;
- ✓ Lançamento da iniciativa «Inovação 2010» do Grupo BEI, no seguimento da sua iniciativa «Inovação 2000», com meios reforçados (20 mil milhões de euros para o período 2003-2006) e instrumentos melhorados para investir em actividades de investigação e inovação.

²⁰ O grupo inclui o Banco Europeu de Investimento (BEI), responsável pelos instrumentos de empréstimo, e o Fundo Europeu de Investimento (FEI), responsável pela gestão dos instrumentos de capital e garantia.

Novas acções

- ✓ **Desenvolver a prioridade investigação e inovação enquanto um dos principais eixos dos fundos estruturais a partir de 2006** (*Implantação: 3.º relatório da Comissão sobre a coesão; 2003*);
- ✓ **Simplificar o financiamento de projectos em colaboração no quadro do EUREKA** analisando opções possíveis, em especial formas de sincronizar os apoios nacionais²¹ ou criar um regime de financiamento comum (*Implantação: Estados-Membros do Eureka*);
- ✓ **Optimizar a combinação de instrumentos de financiamento**, tendo em conta as necessidades dos vários segmentos da indústria e os desenvolvimentos noutros países e a nível europeu (*Implantação: Estados-Membros*);
- ✓ **Desenvolver a cooperação entre o 6.º Programa-Quadro de Investigação e o Banco Europeu para a Reconstrução e Desenvolvimento**, seguindo o modelo de cooperação bem sucedida com o Grupo BEI (*Implantação: Comissão e BERD; início em 2003*).

4.3.2. Medidas directas para a investigação e inovação

O financiamento directo, geralmente sob a forma de subvenções²², continua a ser o tipo de apoio público à investigação nas empresas preferido na maioria dos países. As subvenções permitem às autoridades públicas concentrarem-se com precisão em tecnologias ou domínios científicos específicos, superando abrandamentos cíclicos ou sectoriais. Além disso, permitem influenciar o «comportamento» dos seus beneficiários através das condições que lhes são associadas, por exemplo para incentivar o desenvolvimento de parcerias e a transferência de tecnologias.

A este propósito, os principais problemas são: como promover a constituição de uma massa crítica de investigação em áreas fundamentais, dado que cada vez mais as capacidades nacionais parecem ser insuficientes para criar pólos de excelência de nível mundial; como garantir a participação de PME, essencial para reforçar a capacidade de inovação de grandes segmentos da economia; e como assegurar que os resultados da investigação financiada com dinheiros públicos são plenamente explorados²³.

Tal como sugerido pelo Conselho Europeu de Março de 2003, no seguimento da comunicação da Comissão sobre a indústria do equipamento de defesa, uma eventual iniciativa europeia para a contratação de investigação no domínio da defesa também reforçaria a eficácia dos esforços europeus de I&D neste domínio e poderia conduzir a um aumento do financiamento de tecnologias de dupla utilização de vanguarda.

²¹ Subvenções, empréstimos ou sistemas de garantia.

²² As subvenções e os empréstimos condicionais, embora utilizados com menos frequência do que as subvenções, também são medidas directas; o seu reembolso está ligado ao sucesso ou insucesso da sua exploração comercial.

²³ Ver relatório apresentado à Comissão pelo grupo independente de peritos «*Raising EU R&D intensity: improving the effectiveness of public support mechanisms for private sector research and development: direct measures*», Abril de 2003.

Novas acções

- ✓ **Eliminar regras e práticas dos programas nacionais que impeçam a cooperação e a transferência de tecnologias ao nível da Europa²⁴, e permitir o financiamento de organismos de outros Estados-Membros** conforme adequado (*Implantação: Estados-Membros; meta proposta: 2005*);
- ✓ Orientar um número superior de programas de investigação para a **constituição de pólos e redes de excelência** encorajando a agregação ou integração de recursos aos níveis regional, nacional e europeu (*Implantação: todos os níveis*);
- ✓ **Reforçar o impacto dos programas I&D em termos de inovação, através da promoção e apoio da integração de actividades orientadas para a inovação em projectos de investigação** (por exemplo, gestão e difusão de conhecimentos, actividades de formação, medidas de aceitação para PME) (*Implantação: todos os níveis*);
- ✓ Estudar a possibilidade de fixar **metas para a participação de PME** nos programas nacionais, com base no modelo da meta de 15% estabelecida no programa-quadro de investigação comunitário (*Implantação: Estados-Membros*);
- ✓ Desenvolver um **plano europeu para a investigação de ponta relacionada com a segurança mundial** e lançar uma **acção preparatória tendo em vista a eventual criação de uma estrutura europeia para a contratação de investigação de interesse comum em matéria de segurança**, na sequência da comunicação da Comissão sobre a indústria do equipamento de defesa e das conclusões do Conselho Europeu sobre o tema (*Implantação: Comissão em conjunto com Estados-Membros*).

4.3.3. Medidas fiscais em favor da investigação

Os incentivos fiscais estão a ser cada vez mais utilizados para incentivar a investigação no sector privado pois permitem apoiar uma vasta população de empresas, incluindo PME, garantido-lhes um máximo de independência. Para serem eficazes, as medidas fiscais de incentivo à investigação devem ser cuidadosamente concebidas e coordenadas com outros instrumentos de apoio à investigação. Embora a sua concepção óptima dependa do contexto específico de cada país, nomeadamente do regime fiscal nacional geral, há espaço para a aprendizagem mútua. Por exemplo, uma análise recente dos incentivos fiscais à investigação no sector privado²⁵ sugere que os sistemas baseados no volume, embora mais dispendiosos, podem ser mais eficientes do que os sistemas incrementais para incentivar um aumento das despesas de investigação, em especial em períodos de recessão económica; que uma característica importante é o facto de o regime fiscal ser independente da rentabilidade, através de mecanismos que permitam a transição entre exercícios ou o reembolso de fundos em caso de as empresas registarem perdas; e que uma definição clara das actividades elegíveis

²⁴ Por exemplo, restrições em matéria de exploração dos resultados noutros países ou de subcontratação de organizações não nacionais. Além disso, mesmo quando os programas nacionais não estabelecem regras formais que excluam projectos em que colaborem organizações de outros países, a ausência de uma declaração específica que garanta a elegibilidade desse tipo de projectos é frequentemente interpretada como um sinal negativo à luz de anteriores práticas de atribuição de fundos.

²⁵ Ver relatório apresentado à Comissão pelo grupo independente de peritos «*Raising EU R&D intensity: improving the effectiveness of public support mechanisms for private sector research and development: fiscal measures*», Abril de 2003.

é fundamental e deve, de preferência, abranger actividades de investigação contratadas a organismos externos e actividades de investigação internas.

Novas acções

- ✓ **Incentivar uma utilização concertada de incentivos fiscais com vista à resolução de problemas de política de investigação de interesse comum**, nomeadamente para:
 - **Incentivar a criação e o crescimento inicial de empresas com uma utilização intensiva da investigação;**
 - **Facilitar a angariação de fundos através de fundações novas ou existentes que apoiem as actividades de I&D na Europa;**Estudar, além disso, a possibilidade de utilização concertada de incentivos fiscais para **tornar as carreiras da investigação mais atraentes.**
(*Implantação: Comissão em conjunto com Estados-Membros no contexto do método aberto de coordenação; relatório de progresso em 2004*);
- ✓ **Melhorar as medidas fiscais em favor da investigação** com base:
 - em avaliações formais, cujos resultados deverão ser divulgados;
 - numa aprendizagem mútua;
 - na aplicação de princípios de boa concepção como a simplicidade, baixos custos administrativos e estabilidade;(*Implantação: Estados-Membros*);
- ✓ **Divulgar dados sobre o custo orçamental de medidas fiscais** (*Implantação: Estados-Membros*).

4.3.4. Apoio a mecanismos de garantia em favor da investigação e inovação em PME

A finalidade dos sistemas de garantia é a partilha de riscos entre diferentes interessados. Estes sistemas podem cobrir a participação em fundos de capital de risco ou empréstimos e são particularmente adequados para apoiar o financiamento de PME, tendo um importante efeito de alavanca no financiamento privado. As garantias de participação podem ser usadas para apoiar a criação e o crescimento inicial de empresas de base tecnológica, enquanto que as garantias de empréstimo são mais adequadas ao financiamento de projectos de investigação ou inovação em PME estabelecidas com um perfil de risco limitado.

O apoio público a estes sistemas está bem desenvolvido, nomeadamente ao nível europeu pelo Fundo Europeu de Investimento (FEI), cujo mecanismo de garantias para as PME beneficiou cerca de 120 000 PME desde 1998. De forma geral, este apoio é proporcionado através da partilha do custo das garantias (co-garantia) ou de subgarantias. No entanto, apesar de insuficiências dos mercados bem identificadas no que se refere ao financiamento da investigação e inovação, a maioria dos Estados-Membros ainda não explorou de forma significativa o potencial dos sistemas de garantia para apoiar especificamente actividades de investigação e inovação. Por conseguinte, a utilização destes sistemas também deverá ser melhorada e promovida, se adequado, incluindo instrumentos inovadores como a inclusão de garantias num pacote integrado de serviços mais vasto e a titularização de conjuntos de empréstimos²⁶.

²⁶ Ver relatório apresentado à Comissão pelo grupo independente de peritos «*Raising EU R&D intensity: improving the effectiveness of public support mechanisms for private sector research and development: guarantee mechanisms*», Abril de 2003.

Novas acções

- ✓ Com base na experiência de determinados países, fazer uma melhor utilização dos mecanismos de garantia **para facilitar o acesso à obtenção de empréstimos e de capital para actividades de investigação e inovação em PME** (*Implantação: todos os níveis*);
- ✓ Considerar o reforço e alargamento de futuros sistemas de garantia geridos pelo FEI a partir dos seus próprios recursos ou por mandato comunitário, para apoiar o **desenvolvimento de programas nacionais e regionais de garantia com vista a melhorar o acesso a empréstimos e, em especial, a capitais para investimento em investigação e inovação em PME** (*Implantação: Grupo BEI e Comissão*).

4.3.5. Apoio a capitais de risco para PME com utilização intensiva da investigação

As PME com uma utilização intensiva da investigação têm tendência a serem mais dependentes de capitais de risco nas suas fases de arranque e crescimento inicial, dado que a sua capacidade de autofinanciamento é muito limitada, quando comparada com a dimensão das suas necessidades em matéria de investimento na investigação, e que o seu acesso ao crédito é limitado pelo risco associado à investigação. O acentuado declínio das actividades de capital de risco desde 2000 torna particularmente difícil o crescimento, e mesmo a sobrevivência, de jovens PME com utilização intensiva da investigação nas condições actuais. Tendo em conta que o mercado não é capaz de reunir os fundos adequados para financiar as fases de arranque e de crescimento inicial e os factores cíclicos que explicam os actuais problemas de financiamento de fases posteriores, o apoio público à fase de arranque e de crescimento inicial, bem como um apoio público mais alargado e limitado no tempo aos mercados de capital de risco, justificam-se plenamente²⁷. As medidas públicas também devem abordar questões relacionadas com a sensibilização.

Principais iniciativas em curso relevantes para o objectivo dos 3%

- ✓ Actividades de ligação em rede para gestores de fundos de capital de risco e *business angels*, incentivado a emergência de actividades de capital de risco coordenadas a nível transeuropeu.

Novas acções

- ✓ **Reforçar e alargar as actividades de capital de risco do FEI para resolver melhor as falhas do mercado e os actuais défices de capital** (arranque e crescimento inicial, incluindo incubadoras e fundos estabelecidos em conjunto por redes de universidades, e, por um período limitado, défices de capital em fases posteriores), **e alargar os seus serviços de consulta aos organismos de investigação públicos com vista ao estabelecimento de novos fundos** (*Implantação: FEI e Comissão*);
- ✓ **Reforçar a sensibilização das PME com utilização intensiva da investigação para que utilizem o capital de risco de forma adequada**, nomeadamente através de acções a nível regional, em conformidade com o guia da Comissão sobre o financiamento do capital de risco (*Implantação: todos os níveis*).

²⁷

Ver relatório apresentado à Comissão pelo grupo independente de peritos «*Raising EU R&D intensity: improving the effectiveness of public support mechanisms for private sector research e desenvolvimento: risk capital measures*», Abril de 2003.

5. REORIENTAR A DESPESA PÚBLICA PARA A INVESTIGAÇÃO E INOVAÇÃO

A melhoria da qualidade do apoio público à investigação irá contribuir para um aumento significativo do investimento privado. Contudo, isto não é suficiente. É igualmente necessário mais investimento público em apoio da investigação. Os capítulos seguintes analisam esta questão à luz do pacto de estabilidade e crescimento e das orientações gerais para a política económica, das regras relativas aos auxílios estatais e aos contratos públicos, bem como das perspectivas financeiras para a União Europeia.

5.1. O pacto de estabilidade e crescimento e as orientações gerais para a política económica

As recentes propostas da Comissão para reforço da coordenação das políticas orçamentais²⁸ confirmam que a qualidade das finanças públicas, do ponto de vista da sua contribuição para o crescimento, faz parte integrante da supervisão orçamental no contexto dos programas de estabilidade e convergência. A este respeito, a Comissão defendeu repetidamente uma reorientação da despesa pública em favor de investimentos mais produtivos, nomeadamente em apoio da investigação e inovação, dado que assim se conseguiria um crescimento mais acentuado no futuro. Para garantir a estabilidade macro-económica e a sustentabilidade das finanças públicas a longo prazo, é necessário agir no quadro do pacto de estabilidade e crescimento. Um apoio público reforçado à investigação e inovação é um dos tipos de despesas em apoio dos objectivos de Lisboa em relação aos quais a Comissão considera que devem ser autorizados pequenos défices públicos temporários em países que, de outra forma, teriam uma posição da balança orçamental positiva ou próxima do equilíbrio. A actual recessão económica faz com que seja ainda mais importante garantir que as políticas orçamentais favorecem investimentos que irão permitir um crescimento mais acentuado no futuro.

Em conformidade com esta abordagem, a proposta da Comissão relativa às orientações gerais para a política económica para o período 2003-2006 recomenda uma reorientação da despesa pública em favor de investimentos mais produtivos, em especial a investigação e inovação, e traduz esta prioridade num determinado número de recomendações específicas dirigidas aos Estados-Membros²⁹.

Principais iniciativas em curso relevantes para o objectivo dos 3%

- ✓ Implantação do pacto de estabilidade e crescimento, em especial a avaliação mais pormenorizada da qualidade da despesa pública proposta na comunicação da Comissão de Novembro de 2002 sobre a coordenação das políticas orçamentais;
- ✓ Adopção pelo Conselho, seguida das recomendações da Comissão, das orientações gerais para a política económica 2003-2006, em especial no que se refere à qualidade da despesa pública e à sua reorientação em favor do conhecimento, nomeadamente da investigação e da inovação.

²⁸ COM(2002) 668 de 27 de Novembro de 2002.

²⁹ Ver, nomeadamente, as recomendações 13 e 14 da proposta da Comissão relativa às orientações gerais para a política económica, COM(2003)170 de 8 de Abril de 2003.

Novas acções

- ✓ **Incentivar e acompanhar a reorientação da despesa pública em favor do conhecimento, nomeadamente da investigação e da inovação** (*Implantação: todos os níveis*).

5.2. Equilíbrio entre financiamento público aos níveis nacional e da UE até 2010

Os meios financeiros disponíveis no orçamento da União Europeia para apoiar a investigação e inovação devem ser analisados em relação aos esforços desenvolvidos ao nível nacional. É óbvio que o objectivo comum a longo prazo de consagrar 3% do PIB às despesas de investigação torna necessário avaliar, o mais rapidamente possível, os papéis das despesas públicas aos níveis da UE e nacional, em cooperação com os Estados-Membros e os países da adesão.

Novas acções

- ✓ **Analisar e debater com os Estados-Membros e os países da adesão os requisitos em termos de orçamento público** para atingir o objectivo dos 3% e a repartição dos papéis e dos esforços entre os níveis nacional e comunitário até 2010 (*Implantação: Comissão em conjunto com Estados-Membros e países da adesão, no contexto do método aberto de coordenação*).

5.3. Regras de auxílio estatal

Existem muitas formas de apoio público à investigação que não causam distorções da concorrência e, como tal, não constituem auxílios estatais. Este tipo de apoio deve ser incentivado em prioridade. Contudo, uma grande parte do apoio público à investigação privada ainda é abrangida pela categoria de auxílio estatal. O quadro comunitário para os auxílios estatais à I&D visa obter um equilíbrio entre, por um lado, a necessidade de minimizar as distorções da concorrência e, por outro, o reforço da competitividade da indústria europeia. O apoio público justifica-se pela reconhecida incapacidade do mercado para induzir um nível óptimo de investimento privado na investigação. O quadro foi renovado em 2002 até 2005, pois os níveis máximos de auxílio autorizados não foram considerados um obstáculo à concretização do objectivo dos 3%. Contudo, em finais de 2005, o actual quadro terá estado em vigor durante quase dez anos e será necessário rever as definições e conceitos básicos utilizados para ter em conta desenvolvimentos posteriores na I&D.

Os regulamentos de isenção por categoria aliviam a carga que representa a notificação de determinados tipos de auxílios estatais e aceleram a concessão de apoios à indústria. A Comissão tenciona alterar os regulamentos de isenção por categoria em vigor aplicáveis aos auxílios estatais às PME, alargando o seu âmbito tanto a auxílios estatais individuais como a programas de auxílio à I&D, o que diminuirá consideravelmente o número de notificações. A possibilidade de novas isenções em bloco será considerada no contexto da revisão do quadro comunitário dos auxílios estatais à I&D.

Principais iniciativas em curso relevantes para o objectivo dos 3%

- ✓ Rápida adopção de uma isenção em bloco revista para as PME, que englobe os auxílios estatais à I&D;
- ✓ Recolha de dados e preparação de relatórios sobre a reorientação dos auxílios estatais em favor de objectivos horizontais, incluindo a investigação.

Novas acções

- ✓ **Clarificar as formas de apoio público à investigação que não causam distorções da concorrência e, por conseguinte, não constituem auxílios estatais, e reforçar a sensibilização em relação às mesmas** (*Implantação: Comissão*);
- ✓ **Preparar a revisão do quadro comunitário dos auxílios estatais à I&D**, nomeadamente através de uma análise em profundidade das seguintes questões:
 - definição do limite entre actividades de investigação elegíveis para apoio público e actividades de inovação puramente comerciais e diferenciação entre projectos I&D elegíveis em função da sua proximidade do mercado;
 - modificação do papel dos organismos de investigação pública no sentido de uma cooperação reforçada com a indústria;
 - os vários modelos de apoio público a actividades de I&D usados pelos principais parceiros comerciais da Comunidade e a suas implicações em termos de criação de condições equitativas para as empresas europeias nos mercados mundiaisNo âmbito da revisão deste quadro, será estudada a possibilidade de uma isenção em bloco aplicável aos auxílios (*Implantação: Comissão*);
- ✓ **Reorientação dos auxílios estatais em favor da I&D** enquanto parte de uma reorientação mais geral dos auxílios estatais em favor de objectivos horizontais (*Implantação: todos os níveis*).

5.4. Contratação pública

Estima-se que os contratos públicos representem 16% do PIB europeu, constituindo a principal ou uma das principais componentes da procura em vários sectores, como a saúde, o ensino, os transportes, a protecção ambiental e a defesa, em que o sector público pode agir como cliente desencadeador³⁰. As regras e práticas aplicáveis aos contratos devem visar garantir a melhor utilização possível do dinheiro dos compradores públicos. Em parte, isto significa que os compradores públicos devem conseguir obter produtos e serviços com a tecnologia que melhor se adapta às suas necessidades, incluindo produtos e serviços inovadores, quando tal se justificar. Existem já várias possibilidades e o pacote legislativo em matéria de contratação actualmente em fase de adopção irá clarificar e alargar o seu leque em vários aspectos: por exemplo, com a sua ênfase no desempenho e nas definições de especificações técnicas, e com o procedimento de «diálogo concorrencial», irá permitir a organização de concursos para a adjudicação de contratos complexos em diálogo com os

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Através da contratação pública, nomeadamente no sector da defesa, o governo dos EUA actua como «cliente desencadeador» de tecnologias inovadoras (em especial, tecnologias de informação e comunicação) e faz baixar o risco para os clientes posteriores. Na Europa, o sistema europeu de navegação por satélite, o sistema Galileo, é um bom exemplo de uma grande iniciativa europeia em que a contratação pública desempenha um papel fundamental no desenvolvimento de tecnologias cruciais, seguida por uma parceria público-privado para a implantação e exploração da infra-estrutura.

fornecedores por forma a identificar uma ou várias soluções técnicas antes da adjudicação definitiva. A contratação electrónica e o sistema dinâmico de aquisição conexo constituem outras possibilidades.

Um objectivo importante é reforçar a sensibilização dos compradores públicos em relação às possibilidades postas à sua disposição pelo quadro legislativo e apoiar o desenvolvimento e difusão de informação que lhes permita utilizar plena e correctamente essas mesmas possibilidades. Isto poderá ter um impacto significativo na contratação de produtos e serviços mais inovadores, incentivando assim a investigação e inovação.

Principais iniciativas em curso na UE relevantes para o objectivo dos 3%

- ✓ Adopção rápida do pacote em matéria de contratação pelo Parlamento e o Conselho;
- ✓ Progresso da iniciativa no domínio da contratação electrónica;
- ✓ Acções de reforço da sensibilização propostas na recente comunicação da Comissão sobre política de inovação;
- ✓ Evolução no sentido da criação eventual de uma agência europeia intergovernamental para o desenvolvimento e aquisição de capacidades de defesa.

Novas acções

- ✓ **Apoiar o desenvolvimento e difusão de informação**, por exemplo sobre as melhores tecnologias disponíveis para categorias fundamentais de produtos, permitindo aos compradores públicos contratar as tecnologias mais adequadas às suas necessidades, em especial em sectores como a saúde, o ambiente, os transportes e o ensino, nos quais são, frequentemente, os principais clientes (*(Implantação: todos os níveis)*).

6. MELHORAR AS CONDIÇÕES DE ENQUADRAMENTO DO INVESTIMENTO PRIVADO NA INVESTIGAÇÃO

Embora seja necessário mais e melhor apoio público para aumentar a investigação e inovação na Europa, estes esforços devem ser acompanhados por melhoramentos consideráveis nas condições gerais de enquadramento por forma a que a União Europeia se torne verdadeiramente atraente para o investimento privado na investigação e inovação. É necessário confirmar vários avanços recentes e lançar novas acções em domínios como a propriedade intelectual, a regulamentação dos mercados, as regras de concorrência, os mercados financeiros, as condições fiscais e a informação financeira das empresas sobre investigação.

6.1. Propriedade intelectual

A protecção dos bens intelectuais é importante para a competitividade da maioria das organizações, privadas ou públicas, e para a sua capacidade de atrair investidores. Em particular, são necessários sistemas de propriedade intelectual correctamente equilibrados, que incentivem de forma adequada a inovação e o investimento na investigação e, ao mesmo tempo, não impeçam a difusão e o desenvolvimento dos resultados da investigação. Nos últimos anos registaram-se progressos consideráveis aos níveis internacional e comunitário, como a adopção da regulamentação relativa a desenhos e modelos comunitários de carácter unitário, que entrará em vigor em 2003, e o recente acordo político sobre a criação de um

sistema comunitário de patentes. No entanto, são ainda necessários mais esforços para que os sistemas europeus de direitos de propriedade intelectual respondam de forma mais adequada à rápida evolução dos processos de investigação e de áreas tecnológicas específicas. Além disso, devem ser adoptadas medidas para promover uma utilização óptima dos sistemas de direitos de propriedade intelectual na Europa, com especial destaque para as instituições académicas e as empresas mais pequenas.

Principais iniciativas em curso na UE relevantes para o objectivo dos 3%

- ✓ Criação do sistema comunitário de patentes;
- ✓ Negociação de uma proposta de directiva relativa à aplicação dos direitos de propriedade intelectual;
- ✓ Negociação de uma proposta de directiva relativa à patenteabilidade de invenções informáticas, tendo em conta a necessidade de evitar o asfixia da concorrência e o desenvolvimento de fontes abertas;
- ✓ Aplicação rápida da Directiva 98/44/CE relativa à protecção jurídica das invenções biotecnológicas e da Directiva 2001/29/CE relativa à harmonização de certos aspectos do direito de autor e dos direitos conexos na sociedade da informação;
- ✓ Promoção de uma abordagem europeia comum sobre a questão do período de graça, no contexto de trabalho de harmonização internacional;
- ✓ Utilização de instrumentos existentes no quadro do programa-quadro de investigação para apoiar intercâmbios temporários de profissionais da transferência de tecnologia entre organismos de investigação.

Novas acções

- ✓ Apoiar **actividades de sensibilização e formação no domínio dos DPI coordenadas a nível da UE**, visando, em particular, a comunidade europeia da investigação (*Implantação: Comissão e outras instituições relevantes*);
- ✓ **Avaliar aspectos da legislação em matéria de PI especificamente relacionados com a investigação**, incluindo a excepção para fins experimentais, os direitos do utilizador anterior, a legislação aplicável aos conhecimentos tecnológicos e as disposições em matéria de co-propriedade de DPI, com vista a identificar as acções necessárias, conforme adequado (*Implantação: Comissão em conjunto com interessados; relatório de progresso em 2004*);
- ✓ Garantir que, antes de terminarem o curso, todos os estudantes – em especial das áreas das ciências, engenharia e gestão - frequentam uma acção de **sensibilização/formação básica sobre propriedade intelectual e transferência de tecnologias** (*Estados-Membros e instituições de ensino superior*).

6.2. Regulamentação de produtos e normalização

O impacto da regulamentação do mercado nova e em vigor na investigação e inovação deve ser verificado, e se necessário, optimizado. Isto deverá ser feito em conformidade com a iniciativa «*better regulation*» (melhor regulamentação) e, nomeadamente, com o novo quadro da Comissão para a avaliação do impacto. Do ponto de vista da investigação e inovação, um objectivo importante é garantir a neutralidade tecnológica da regulamentação. A este

propósito, a «nova abordagem» constitui um bom exemplo, pois limita-se aos requisitos fundamentais para proteger o interesse público e remete a concretização da expressão técnica desses requisitos para as organizações europeias de normalização (CEN, CENELEC, ETSI) através de normas baseadas em consensos. Esta abordagem tem efeitos muito positivos na investigação e inovação, garantindo a neutralidade tecnológica, bem como o equilíbrio necessário entre flexibilidade e certeza jurídica. Além disso, convém concentrar a atenção num processo de normalização oportuno, efectivo, aberto e transparente que, tal como a regulamentação, deve ser tecnologicamente neutro através do recurso a indicadores de desempenho. Os aspectos relativos à política europeia de normalização serão analisados em pormenor numa comunicação da Comissão prevista até ao final do ano. Os dois aspectos seguintes são particularmente importantes para a investigação e inovação: em primeiro lugar, é necessário disponibilizar recursos para financiar a investigação necessária para concluir o desenvolvimento de muitas normas europeias; em segundo lugar, é necessária uma sensibilização adequada em relação às normas, permitindo que as empresas europeias, nomeadamente as PME, as tenham melhor em conta nos seus projectos de investigação e inovação.

Principais iniciativas em curso na UE relevantes para o objectivo dos 3%

- ✓ Próxima comunicação da Comissão sobre normalização;
- ✓ Aplicação de orientações gerais para a cooperação entre organismos europeus de normalização e a Comissão Europeia³¹;
- ✓ Utilização do 6.º Programa-Quadro de Investigação para financiar a investigação necessária para fins de normalização, em especial no contexto de projectos integrados e redes de excelência.

Novas acções

- ✓ **Identificar áreas tecnológicas em que a legislação existente ou a falta de legislação impede o desenvolvimento e implantação de novas tecnologias;** definir, conforme adequado, medidas para tratar os problemas; isto será feito, nomeadamente, no contexto de plataformas tecnológicas europeias (*Implantação: Comissão em conjunto com interessados*);
- ✓ **Reforçar os laços entre o 6.º Programa-Quadro de Investigação e os organismos europeus de normalização (CEN, CENELEC e ETSI)** com vista a definir a apoiar, conforme adequado, a investigação necessária para o desenvolvimento de normas europeias (*Implantação: Comissão e organismos europeus de normalização*).

6.3. Regras de concorrência

Para além da revisão do quadro comunitário dos auxílios estatais à I&D, as regras europeias de concorrência estão actualmente a ser analisadas por forma a permitir que os aspectos relacionados com a investigação e inovação possam ser melhor tidos em conta na avaliação da dinâmica e das condições concorrenciais dos mercados. Nomeadamente, a recente reforma da legislação comunitária contra os monopólios acentua a ênfase na avaliação económica. Neste contexto, a próxima revisão das isenções em bloco e das orientações aplicáveis aos acordos de transferência de tecnologia deve conduzir a um processo menos legalista e com maior incidência na avaliação económica. Os efeitos das actividades de investigação e inovação

³¹ A publicar no JOUE..

também devem ser tidos em conta de forma mais explícita nas decisões de concentração, em conformidade com o regulamento nesta matéria, que prevê que «a evolução do progresso técnico» deve ser tomada em consideração³².

Principais iniciativas em curso na UE relevantes para o objectivo dos 3%

- ✓ Próxima revisão das isenções em bloco e das orientações aplicáveis aos acordos de transferência de tecnologia (consulta externa prevista durante o Outono de 2003).

Novas acções

- ✓ Desenvolver **orientações sobre formas de avaliar os potenciais aumentos de eficiência resultantes do progresso tecnológico no contexto de decisões de concentração** (*Implantação: Comissão*).

6.4. Mercados financeiros

A existência de mercados financeiros eficientes, favoráveis e integrados é um factor importante para a promoção do investimento na investigação, nomeadamente no que se refere às várias fases de desenvolvimento das PME de base tecnológica. Os principais mercados implicados são os mercados de capital de risco nas fases de arranque e crescimento, os mercados secundários, para o financiamento de ofertas públicas iniciais e da fase de expansão posterior, e os mercados de crédito. A aplicação plena do plano de acção para os serviços financeiros, nomeadamente de aspectos como a integração dos mercados de capitais na Europa, e a emergência de mecanismos de classificação adequados a empresas de base tecnológica, incluindo PME são especialmente importantes para a investigação e inovação.

Igualmente importante é a rápida conclusão do plano de acção para o capital de risco e o seu eventual seguimento. Neste contexto, convém, nomeadamente, considerar o enquadramento fiscal e regulamentar do capital de risco, pois os investidores, em particular os investidores institucionais, são muito sensíveis aos custos e à complexidade, sendo muito provável que desviem os seus investimentos para outras categorias de activos se as condições do investimento em capital de risco não melhorarem significativamente. É necessário dar especial atenção às questões relacionadas com a dupla tributação, bem como aos efeitos eventualmente prejudiciais de obrigações excessivamente cautelosas impostas aos bancos e outras instituições financeiras.

Principais iniciativas em curso na UE relevantes para o objectivo dos 3%

- ✓ Aplicação plena do plano de acção para os serviços financeiros;
- ✓ Conclusão rápida do plano de acção para o capital de risco, e preparação de acções para lhe dar seguimento, conforme adequado.

³² N.º 1, alínea b), do artigo 2º.

Novas acções

- ✓ **Adaptar, quando adequado, o tratamento fiscal do capital de risco para evitar a dupla tributação de investidores e fundos** ³³ (*Implantação: Estados-Membros*); para tal, ter igualmente em conta os méritos e a possibilidade de desenvolver uma estrutura jurídica europeia de financiamento harmonizada que garanta a transparência fiscal das operações de capital de risco em toda a União (*Implantação: Comissão em conjunto com os interessados relevantes*);
- ✓ À luz da recente diminuição dramática do financiamento do capital de risco ao nível mundial e do papel particularmente importante dos bancos no financiamento do capital de risco na Europa, **garantir que a legislação comunitária em matéria de adequação de fundos, que será baseada no futuro acordo Basileia II, tenha em devida conta as necessidades dos fornecedores de capital de risco** (*Implantação: Comissão; proposta legislativa em 2004*);
- ✓ Analisar formas de **promover a utilização de sistemas de classificação que incluam a avaliação do risco tecnológico** (classificação tecnológica) ³⁴ para permitir a investidores potenciais avaliar os riscos específicos e os benefícios associados aos **investimentos em PME de base tecnológica** (*Implantação: todos os níveis, incluindo Comissão, em conjunto com interessados relevantes; relatório em 2005*).

6.5. Enquadramento fiscal

É provável que as acções da Comissão em curso para promover um enquadramento fiscal europeu justo e eficiente tenha um efeito favorável significativo no poder da UE para atrair investimentos na investigação e inovação. A Comissão está a seguir uma estratégia dupla para tratar os obstáculos fiscais a actividades transfronteiras no mercado interno: a curto prazo, a elaboração de legislação específica que vise cada um dos obstáculos em particular; a longo prazo, o desenvolvimento de uma solução sistemática e compreensiva para todas os problemas transfronteiras que proporcione às empresas uma base fiscal comum consolidada para as suas actividades económicas na UE. São a seguir enumeradas as acções de especial importância para o investimento na investigação.

Principais iniciativas em curso na UE relevantes para o objectivo dos 3%

- ✓ A próxima iniciativa da Comissão sobre a compensação transfronteiras de perdas para fins fiscais (prevista para 2004), que irá beneficiar as actividades de investigação e contribuir para a sua repartição mais eficiente em grupos multinacionais, dado que estas actividades são quase por definição consideradas como geradoras de perdas;
- ✓ O trabalho do fórum conjunto da UE em matéria de preços de transferência, para melhorar, nomeadamente, o tratamento fiscal de transacções entre várias unidades de empresas multinacionais (por exemplo, transferência de intangíveis);

³³ A dupla tributação (investidores e fundos) reduz a rentabilidade do investimento em fundos de capital de risco quando comparado com o investimento directo nas empresas, e, por conseguinte, diminui o interesse desses fundos. Isto limita os investimentos dos investidores internos e internacionais.

³⁴ O historial das informações financeiras não constitui um guia fiável do desempenho futuro das empresas de base tecnológica, pois estas entram frequentemente em novos mercados com novos produtos. A classificação tecnológica olha para o futuro ao contribuir para avaliar o valor de um produto ou serviço baseado numa tecnologia inovadora.

- ✓ Adopção rápida da proposta de directiva relativa a um regime fiscal comum aplicável aos pagamentos transfronteiras de juros e de *royalties*, que abolirá os impostos com retenção na fonte sobre os *royalties* das patentes na UE;
- ✓ Progresso no sentido da criação de uma base fiscal consolidada para as empresas na UE, com base na próxima comunicação da Comissão prevista para o final de 2003.

6.6. Estratégia, gestão e informação financeira das empresas em matéria de investigação

É possível reforçar a sensibilização das empresas, em especial das PME, em relação aos benefícios e formas de integrar a investigação e inovação na sua estratégia comercial e de gestão. Para tal, poderá recorrer-se ao sistema de ensino e também a novos métodos de informação financeira. Os currículos das escolas de gestão deviam dedicar mais atenção a uma abordagem integrada da gestão da I&D no conjunto da estratégia empresarial. Criar mais transparência na informação financeira sobre o papel do investimento na investigação e outras formas de capital intelectual também conduziria a uma melhor compreensão da criação de valor nas empresas e proporcionaria uma base mais adequada para a tomada de decisões pelos gestores e investidores. No que se refere à informação financeira externa das empresas, deve ser dada mais atenção à aplicação de orientações, coerentes com as novas normas internacionais contabilísticas, relativamente à informação sobre I&D e outras formas de capital intelectual. Estes novos tipos de informação também fornecerão dados que permitirão aos serviços de estatística melhorar as informações sobre a dimensão do investimento no capital intelectual.

Principais iniciativas em curso na UE relevantes para o objectivo dos 3%

- ✓ Acções no âmbito do programa-quadro de investigação para incentivar uma utilização alargada e a harmonização das orientações para medir a investigação e outras formas de capital intelectual nas empresas;
- ✓ Desenvolvimento e publicação periódica de estatísticas sobre o investimento das empresas em capital intelectual.

Novas acções

- ✓ Estabelecer uma **actividade de monitorização da investigação industrial, incluindo um quadro de classificação**, para analisar tendências e facilitar a comparação entre práticas de investimento na investigação e de gestão da investigação das empresas, partindo das experiências nos Estados-Membros (*Implantação: apoio da Comissão; primeiro relatório em inícios de 2005*);
- ✓ Encorajar a **medição e a informação financeira sobre investigação e outras formas de capital intelectual**, tanto a nível interno como externo, recorrendo a orientações internacionais existentes (*Implantação: sector empresarial*);
- ✓ Incentivar o **desenvolvimento e inclusão de módulos avançados de gestão da I&D nos currículos de cursos científicos, de engenharia e de gestão** (*Implantação: Comissão em conjunto com organismos de ensino superior e a indústria*).

7. CONCLUSÃO

O presente plano de acção assinala o início de um processo com potencial para aumentar o poder da Europa para atrair o investimento na investigação e colocar a União no bom caminho para atingir o objectivo da consagração de 3% do PIB à investigação até 2010. No entanto, para tal, é necessária a acção determinada e coerente dos Estados-Membros, dos países da adesão, dos países candidatos e de todos os interessados. Pelo seu lado, a Comissão irá começar imediatamente a tomar as medidas necessárias para avançar segundo as orientações acima identificadas e incentivar aqueles que desejam melhorar as condições para fazer mais e melhor investigação na Europa. A Comissão apresentará relatórios anuais, a tempo do Conselho Europeu da Primavera, por forma a que o Conselho Europeu possa acompanhar os progressos realizados e, se necessário, estabelecer novas orientações ou adequar a sua estratégia com base nos mesmos.



COMISSÃO DAS COMUNIDADES EUROPEIAS

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COMUNICAÇÃO DA COMISSÃO

Ciência e tecnologia, as chaves para o futuro da Europa - Orientações para a política de apoio à investigação da União

1. LISBOA E A INVESTIGAÇÃO

1.1. O Espaço Europeu da Investigação e o "objectivo de 3%"

1. A investigação científica, o desenvolvimento tecnológico e a inovação são aspectos fulcrais da economia do conhecimento, constituindo um factor-chave para o crescimento, a competitividade das empresas e o emprego. Por esta razão, a Comissão, na sua Comunicação sobre o futuro quadro financeiro da União¹, definiu como objectivo importante a intensificação dos esforços europeus em investigação, propondo um aumento do orçamento de investigação da União, o qual deveria duplicar no que diz respeito ao conjunto das acções².
2. Lançado no Conselho Europeu de Lisboa de Março de 2000, o projecto de Espaço Europeu da Investigação estabeleceu um quadro de referência para a política de investigação na Europa. No Conselho Europeu de Barcelona de Março de 2002, a União fixou-se como objectivo aumentar, até 2010, o esforço europeu de investigação para 3% do PIB da União, com 2/3 provenientes de investimentos privados e 1/3 do sector público: representando 2% do PIB da União, este é actualmente inferior ao dos Estados Unidos da América (2,8%) e do Japão (mais de 3%).
3. Neste contexto, para atingir os objectivos fixados em Lisboa, é indispensável um reforço dos esforços de investigação a nível europeu propriamente dito.

1.2. Intensificação do esforço europeu de investigação

4. A investigação fica cada vez mais cara devido à sua complexidade crescente: em 20 anos, verificou-se um aumento do custo de desenvolvimento de um medicamento para mais do dobro, tendo-se multiplicado por dez o custo de desenvolvimento de um novo componente microelectrónico. Além disso, são numerosas as necessidades de investigação a que nenhum Estado-Membro poderá responder sozinho de forma eficaz.
5. A política industrial europeia - em especial em sectores altamente competitivos como as tecnologias da informação e da comunicação, as biotecnologias e as nanotecnologias, a aeronáutica ou as tecnologias energéticas do hidrogénio - exige uma integração dos esforços de investigação à escala europeia.
6. Além do mais, a acção da União apresenta "um valor acrescentado europeu" reconhecido, nascido da combinação dos seus efeitos a vários níveis:
 - Constituição de "massas críticas" de recursos, nomeadamente em domínios determinantes para o crescimento, como a microelectrónica, as telecomunicações, as biotecnologias ou a aeronáutica³;

¹ "Construir o nosso futuro em comum - Desafios políticos e recursos orçamentais da União alargada, 2007-2013", COM (2004) 101 de 10.2.2004.

² Incluindo, por conseguinte, as acções nos domínios do espaço e da segurança.

³ A título de exemplo, um projecto sobre a melhoria das técnicas de aproximação e aterragem.

- Reforço da excelência pela concorrência a nível europeu e a colaboração transnacional: “a rede NeuroPrions, por exemplo, associa 52 laboratórios em trabalhos de investigação sobre as encefalopatias espongiformes transmissíveis;
 - Efeito “catalisador” nas iniciativas nacionais e melhoria da coordenação das actividades dos Estados-Membros em domínios de interesse para alguns países (os riscos naturais) ou para todos os países (as alterações climáticas)⁴.
7. Um reforço dos financiamentos europeus contribuiria, além disso, para a realização do “objectivo de 3%”, que a União se empenha em atingir através de um “Plano de acção”⁵ que compreende uma série de medidas complementares, a maior parte das quais destinadas a incentivar o investimento privado em investigação⁶.
8. Em primeiro lugar, pelo efeito da combinação de co-financiamentos da União com financiamentos públicos nacionais (em determinados domínios e países, o apoio da União representa o equivalente a “créditos de incentivo” nacionais). Incontestavelmente, tal implica, por definição, que estes financiamentos nacionais não diminuam proporcionalmente, uma eventualidade contrariada todavia pelo compromisso político dos Estados-Membros e pelo facto de a União se impor como um exemplo a seguir.
9. Um esforço acrescido a nível europeu exerceria sobretudo um efeito de alavanca forte e específico nos investimentos privados em investigação. As empresas europeias investem menos em investigação que as suas congéneres americanas e japonesas. Quando investem, é frequentemente fora da Europa⁷. Os financiamentos da União podem incentivá-las a investir mais na Europa, por intermédio da sua contribuição para:
- a criação de um enquadramento para grandes projectos tecnológicos que associem empresas e universidades à escala europeia e apenas concebíveis a esse nível;
 - o reforço dos recursos humanos: um objectivo coerente com o objectivo de 3% é o de aumentar o número de investigadores na Europa para 8 por 1000 pessoas activas (actualmente 6 em 1000), que é o nível actual nos Estados Unidos;

⁴ Com 2,2 milhões de euros, uma acção no domínio da genómica das plantas coordena 12 programas nacionais que representam, no total, 133 milhões de euros. Os números correspondentes são 2,5 milhões e 139 milhões de euros para uma acção no domínio das micro-nanotecnologias.

⁵ “Investir na investigação: um plano de acção para a Europa”, COM(2003) 226 de 4.6.2003.

⁶ Medidas no domínio da fiscalidade da investigação e da inovação, por exemplo, como a modalidade de “crédito fiscal à investigação”, relativamente à qual se poderia imaginar uma aplicação a nível europeu.

⁷ As empresas farmacêuticas europeias, por exemplo, tendem a concentrar os seus investimentos em investigação nos Estados Unidos da América, nomeadamente em torno das grandes universidades da costa Leste.

- a criação de "pólos de excelência"⁸ de massa crítica capazes de atrair os investimentos privados.

1.3. Excelência e inovação, as chaves para a competitividade industrial europeia

10. Com efeito, uma condição para a realização da Agenda de Lisboa é a emergência de "pólos de excelência europeus" de alta visibilidade, abertos no plano internacional e que atraiam os melhores investigadores de todos os países, os quais são indispensáveis para o reforço do papel da Europa no panorama tecnológico mundial e nas iniciativas de investigação sobre temas de natureza global. A União deve contribuir para a sua criação, incentivando a excelência pelo apoio à colaboração e concorrência à escala europeia.
11. A capacidade da Europa para transformar os conhecimentos em produtos e serviços, nomeadamente comerciais, e em sucessos económicos, é além disso insuficiente. As empresas europeias registam 170 patentes por ano por milhão de habitantes, em comparação com 400 registos por parte das empresas americanas. E o défice comercial da União relativamente aos produtos de alta tecnologia é de cerca de 23 mil milhões de euros por ano⁹.
12. A União desenvolve actualmente uma série de acções de apoio à investigação realizada pelas PME e em seu benefício, ao desenvolvimento de fundos de capital risco, de parques científicos, de incubadoras e de políticas regionais de inovação, à transferência de tecnologias e à gestão da propriedade intelectual e das patentes. Estas acções devem ser racionalizadas e reagrupadas num conjunto coerente de massa crítica. Será lançada uma iniciativa nesse sentido no âmbito da preparação do próximo programa-quadro.

1.4. Adaptação do Programa-Quadro de Investigação da União

13. O Sexto Programa-Quadro de Investigação da União 2002-2006 suscitou uma grande mobilização. Até à data e incluindo todas as acções, foram apresentadas 28 000 propostas de investigação que contam com a participação de 150 000 instituições de 50 países. Foram, em especial, lançados 200 grandes projectos e redes de investigação transnacionais, em domínios como os métodos "pós-genómicos" de selecção de medicamentos ou os componentes microelectrónicos à escala nanométrica, e 55 acções de ligação em rede dos programas, sobre temas como a segurança dos alimentos ou as doenças raras.
14. Mas o Programa-Quadro é vítima do seu próprio sucesso. Dos milhares de propostas recebidas, apenas 1 em cada 5 pôde ser aceite por falta de meios. E, mais importante ainda, apenas foi possível financiar perto de 50% dos projectos considerados de qualidade muito elevada¹⁰.

⁸ Ver a Comunicação da Comissão "O papel das universidades na Europa do conhecimento" (COM (2003) 58 de 5.2.2003).

⁹ Comissão Europeia, Estatísticas sobre a Ciência e Tecnologia na Europa, edição de 2003.

¹⁰ Em termos orçamentais, é de salientar uma execução de 99,98% para as dotações de autorização e de 96,9% para as dotações de pagamento.

15. O Programa-Quadro deve além disso satisfazer, com o auxílio de alguns instrumentos, necessidades diferentes: o reforço da colaboração e da concorrência, o apoio à investigação fundamental e à investigação industrial, bem como a projectos apresentados espontaneamente e a iniciativas decorrentes de escolhas políticas, etc.. E apesar dos progressos realizados recentemente, como a simplificação das disposições contratuais, as suas condições de execução podem ainda ser melhoradas.

2. SEIS GRANDES OBJECTIVOS

16. A fim de reforçar o impacto das acções da União, propõe-se a sua organização em torno de seis objectivos importantes. Para obter um efeito significativo no lançamento das acções correspondentes, é necessário um aumento do orçamento de investigação da União nas proporções indicadas. Os meios financeiros seriam distribuídos em função de três princípios: equilíbrio entre actividades em curso e novas, entre investigação para o avanço dos conhecimentos e para a sua aplicação industrial e entre o apoio às capacidades humanas e materiais de investigação.

2.1. Criação de pólos de excelência europeus através da colaboração entre laboratórios

17. Os programas de apoio à colaboração transnacional entre centros de investigação, universidades e empresas têm um impacto perceptível nos seguintes aspectos:
- Qualidade da investigação na Europa, que contribuem para elevar, aumentando simultaneamente a sua visibilidade, em domínios-chave para o crescimento;
 - Difusão dos conhecimentos e dos resultados na União e capacidade dos investigadores para se empenharem em projectos de alto nível.
18. Com o 6º Programa-Quadro, a gama de possibilidades aumentou integrando modalidades – as “redes de excelência” e os “projectos integrados” – que permitem exercer um efeito estruturante na investigação na Europa e que contribuem simultaneamente para o desenvolvimento de “pólos de excelência europeus”¹¹.
19. Estas possibilidades, tal como as de projectos de dimensão mais reduzida, devem poder ser exploradas plenamente pelos investigadores, em função dos seus interesses e das suas necessidades¹². Foi criado um "painel de peritos para a avaliação intercalar da eficácia dos novos instrumentos do sexto programa-quadro". Este painel, que efectuará a sua análise com base num inquérito por questionário e em audições de participantes ou de candidatos a participantes nos programas, apresentará em breve as suas sugestões.

¹¹ Como a rede de excelência sobre a bioenergia que acaba de ser lançada, que conta com a participação de 24 instituições de 13 países europeus, ou o projecto de investigação europeu sobre os novos sistemas de motores de combustão, que associa todos os grandes fabricantes europeus de automóveis.

¹² O apoio a redes de excelência, por exemplo, deveria ser assegurado nos casos em que existe a capacidade e a vontade de integrar, de forma quase institucional, as actividades de um pequeno número de departamentos.

2.2. Lançamento de iniciativas tecnológicas europeias

20. Por iniciativa da Comissão e da indústria, estão a ser criadas "plataformas tecnológicas" que reúnem, à escala europeia, empresas, instituições de investigação, o sector financeiro e organismos regulamentares, a fim de definir uma agenda de investigação comum destinada a mobilizar uma massa crítica de recursos, nacionais e europeus, públicos e privados.
21. Esta abordagem foi ou será adoptada em domínios como a energia (tecnologia do hidrogénio, energia solar fotovoltaica), os transportes (aeronáutica), as comunicações móveis, os sistemas a bordo ou a nanoelectrónica. Implica nomeadamente a identificação das condições jurídicas e regulamentares necessárias para a realização da agenda de investigação comum.
22. A agenda poderá frequentemente ser executada por intermédio de "projectos integrados". Num número limitado de casos, parece indicada uma abordagem "pan-europeia" que implique a implementação de vastas "iniciativas tecnológicas comuns". Um quadro adequado para a sua implementação é o de estruturas com base no artigo 171º do Tratado¹³, mais particularmente a empresa comum.

2.3. Incentivo à criatividade da investigação fundamental através da concorrência entre equipas a nível europeu

23. A colocação em situação de concorrência aberta e o apoio das melhores equipas de investigação individuais a nível europeu promoveria o dinamismo, a criatividade e a excelência da investigação europeia, aumentando simultaneamente a sua visibilidade. O debate sobre a investigação fundamental e o "Conselho Europeu de Investigação", que se desenrola há dois anos no âmbito da comunidade científica e que uma Comunicação da Comissão de Janeiro de 2004 levou ao nível político¹⁴, destacou a necessidade de:
 - um esforço acrescido em matéria de investigação fundamental na Europa, devido ao impacto cada vez mais claramente reconhecido deste tipo de investigação nos desempenhos económicos, o que foi salientado pela indústria;
 - um apoio acrescido a esta forma de investigação a nível europeu, através da implementação de um mecanismo de apoio a projectos de investigação de equipas individuais em concorrência à escala europeia.
24. A Comissão sugere a criação de um mecanismo desse tipo. Propostos pelos investigadores por sua própria iniciativa sobre assuntos da sua escolha e sem restrições quanto ao tema, os projectos seriam seleccionados sem obrigação de colaboração transnacional e com base exclusivamente na qualidade científica ("excelência"), avaliada através da análise pelos pares (*peer review*)¹⁵.

¹³ «A Comunidade pode criar empresas comuns ou quaisquer outras estruturas necessárias à boa execução dos programas de investigação, de desenvolvimento tecnológico e de demonstração comunitários.»

¹⁴ COM (2004) 9 de 14.1.2004.

¹⁵ Para mais informações sobre as condições de implementação desta acção, ver ponto 5.1.2.

2.4. Tornar a Europa mais atraente para os melhores investigadores

25. O objectivo da União é favorecer o desenvolvimento de carreiras científicas europeias¹⁶, contribuindo para manter os investigadores na Europa e atrair para esta os melhores investigadores. Num contexto de concorrência crescente a nível mundial, convém reforçar as acções "Marie Curie" desenvolvidas nesse sentido, colocando a tónica nos seguintes aspectos:

- Atrair os jovens para a ciência e a formação inicial de investigadores, pelo apoio à estruturação das formações, nomeadamente transdisciplinares;
- Papel e posição das mulheres nas ciências e na investigação;
- Transferência de conhecimentos, nomeadamente em benefício das regiões tecnologicamente menos avançadas e das PME;
- Dimensão internacional da formação e da mobilidade, através de um maior intercâmbio com outras partes do mundo;
- Formação "ao longo da vida" e desenvolvimento das carreiras¹⁷.

2.5. Desenvolvimento de infra-estruturas de investigação de interesse europeu

26. Com a criação do Fórum ESFRI¹⁸, foi dado um passo importante no domínio das infra-estruturas de investigação na Europa. Até então, a acção da União limitara-se essencialmente ao apoio ao acesso transnacional às infra-estruturas, bem como a projectos de investigação que resultassem num aumento do seu nível de desempenho.

27. Propõe-se o seu reforço, criando uma modalidade de apoio à construção e ao funcionamento de novas infra-estruturas de interesse europeu, através de um mecanismo do tipo utilizado para as redes transeuropeias (RTE¹⁹) e de acordo com o modelo seguido para o apoio a um laser de electrões livres e a uma infra-estrutura no domínio da nanoelectrónica no âmbito da "Iniciativa europeia de crescimento".

28. Esta abordagem seria também adoptada para apoiar serviços essenciais para a comunidade científica europeia: infra-estruturas distribuídas de comunicação (projectos GEANT de interligação de redes electrónicas para a investigação e arquitectura GRID), ou sistemas de arquivo electrónico das publicações científicas e bases de dados para a bioinformática.

2.6. Reforço da coordenação dos programas nacionais de investigação

29. Devem ser intensificados os esforços desenvolvidos com sucesso no 6º Programa-Quadro no sentido de melhorar a coordenação dos programas nacionais de investigação. Tal implica o aumento dos meios financeiros atribuídos a acções

¹⁶ Na perspectiva descrita na Comunicação da Comissão "Investigadores no Espaço Europeu da Investigação: Uma profissão, múltiplas carreiras" COM (2003) 436 de 18.7.2003.

¹⁷ Para mais informações sobre as condições de implementação desta acção, ver ponto 5.1.2.

¹⁸ ESFRI: Fórum Europeu de Estratégias para Infra-estruturas de Investigação.

¹⁹ RTE: Redes Transeuropeias.

ERA-NET de ligação em rede de programas nacionais, o alargamento do apoio financeiro por estas concedido às actividades de investigação e um maior esforço em matéria de abertura mútua dos programas.

30. A participação da União em programas nacionais executados conjuntamente ao abrigo do artigo 169º do Tratado²⁰ tem por objectivo a sua verdadeira integração. O exemplo da plataforma de ensaios clínicos para as doenças ligadas à pobreza, que é especial a vários níveis, permite contudo tirar alguns ensinamentos. A implementação de acções com base no artigo 169º parece ser a forma mais fácil nos casos em que os Estados-Membros se encontram ainda na fase inicial de criação de programas. Mas é nos domínios em que existem estruturas nacionais estabelecidas que esta modalidade apresenta maior interesse. Parece indicado utilizar esta modalidade:

- em domínios em que os Estados-Membros manifestaram firmemente a sua disponibilidade para participarem financeiramente;
- como instrumento de apoio à cooperação de "geometria variável" entre um grupo limitado de Estados-Membros;
- recorrendo aos mecanismos de decisão mais eficazes: "pacotes" de acções a decidir simultaneamente pelo Conselho e pelo Parlamento Europeu ou "regulamento-quadro".

31. Paralelamente, trata-se de reforçar as relações das organizações europeias intergovernamentais de investigação com a União. Actualmente, estas organizações²¹ têm a possibilidade de responder aos convites à apresentação de propostas. A União deveria ter possibilidade de apoiar directamente algumas das suas actividades, cujo desenvolvimento a nível comunitário fosse de interesse para a Europa.

3. UMA INVESTIGAÇÃO MAIS EFICIENTE EM TODA A UNIÃO

3.1. Exploração do potencial da Europa a 25 e mais membros

32. Para a realização da Agenda de Lisboa, é necessário dotar todos os organismos de investigação da União alargada dos meios para seguir a via que conduz à excelência. A possibilidade de participar em projectos de dimensão limitada realizados por parcerias de dimensão reduzida com laboratórios de excelência de outros países permitirá às equipas jovens ou de instituições com menor peso beneficiar dos frutos da colaboração transnacional, ao mesmo tempo que adquirem a experiência necessária para se integrarem em projectos complexos. Os mecanismos de transferência associados aos projectos contribuirão para reforçar a base de conhecimentos no conjunto dos países da União.

²⁰ “Na execução do programa-quadro plurianual, a Comunidade pode prever, com o acordo dos Estados-Membros interessados, a participação em programas de investigação e de desenvolvimento empreendidos por vários Estados-Membros, incluindo a participação nas estruturas criadas para a execução desses programas.”

²¹ Nomeadamente o CERN (Organização Europeia de Investigação Nuclear), o EMBO (Organização Europeia de Biologia Molecular), o EMBL (Laboratório Europeu de Biologia Molecular) e o ESO (Observatório Europeu do Hemisfério Sul), reunidos com outros no âmbito do EIROforum.

33. Em consonância com a acção de apoio aos centros de excelência desenvolvida nos últimos anos nos países então candidatos à adesão, seria necessário encarar a possibilidade de reforçar a excelência e a visibilidade onde quer que estas existam, sem todavia estarem ainda suficientemente desenvolvidas, através de iniciativas específicas nas regiões em causa, abrangendo medidas em matéria de recursos humanos, de intercâmbios e de ligação em rede, de desenvolvimento de equipamentos e de avaliação.

3.2. Aproveitamento pleno da complementaridade com os Fundos Estruturais

34. Uma parte dos Fundos Estruturais é consagrada ao apoio ao desenvolvimento das capacidades de investigação: infra-estruturas locais de investigação, recursos humanos e criação de organismos intermediários entre as universidades e as PME. A proposta de reforma da política de coesão faz da "Agenda de Lisboa" um tema privilegiado de intervenção dos Fundos Estruturais nas regiões do Objectivo "Convergência" e que está necessariamente abrangido pelos programas nas regiões do Objectivo "Competitividade regional e emprego".
35. Para tirar plenamente partido desta evolução, conviria:
- reforçar a complementaridade na utilização do orçamento de investigação da União e dos Fundos Estruturais, nomeadamente no âmbito das futuras orientações estratégicas da União para a coesão;
 - aumentar a sua utilização combinada, por exemplo atribuindo um financiamento complementar dos Fundos Estruturais quando um projecto de investigação co-financiado pelo Programa-Quadro é realizado numa região do Objectivo "Convergência".

4. CONCENTRAÇÃO DOS ESFORÇOS DA UNIÃO EM TEMAS-CHAVE

4.1. Identificação dos temas de grande interesse europeu

36. As acções de apoio a equipas individuais de investigação e a investigadores não terão temas pré-determinados. Em todos os outros casos, é necessário identificar os temas em que é mais necessário um apoio a nível europeu: relativamente a acções implementadas por convites à apresentação de propostas, em ligação com a comunidade científica e a indústria, relativamente a iniciativas tecnológicas com base no artigo 171º, em contacto com as plataformas tecnológicas e relativamente a acções de coordenação dos programas, nomeadamente com base no artigo 169º, em concertação com os Estados-Membros.

4.2. Apoio aos objectivos políticos da União

37. Os temas seleccionados que beneficiarão de uma atenção especial, muito particularmente no que diz respeito à investigação em colaboração, são os ligados às políticas da União. Estas acções continuarão a promover o avanço dos

conhecimentos em domínios como a saúde²², a protecção dos consumidores, a energia, o ambiente, a ajuda ao desenvolvimento, a agricultura e a pesca, as biotecnologias, as tecnologias da informação e das comunicações, os transportes, o ensino e a formação, o emprego, os assuntos sociais e a coesão económica, a justiça e os assuntos internos²³.

4.3. Dois novos domínios para a União: o espaço e a segurança

38. Dois novos domínios para a União, nos quais a investigação desempenha um papel determinante, deveriam dar lugar a acções específicas: o espaço e a segurança²⁴.

4.3.1. Contributo para a implementação da política espacial europeia

39. Num contexto de alterações no panorama mundial, está a ser implementada uma política espacial europeia²⁵. O seu instrumento é actualmente um acordo-quadro de cooperação entre a Comissão Europeia e a Agência Espacial Europeia (ESA), que implica o desenvolvimento de uma forte base científica, tecnológica e industrial.

40. No futuro, esta política assentará num "Programa Espacial Europeu", no qual a investigação será um elemento-chave, devendo os esforços incidir em:

- tecnologias de exploração do espaço, nos domínios da navegação (projecto GALILEO), da observação da Terra para a vigilância do ambiente e da segurança (sistema GMES²⁶) e das telecomunicações por satélite;
- tecnologias do transporte espacial, indispensáveis para garantir um acesso independente da Europa ao espaço;
- actividades científicas no espaço, por exemplo no âmbito da utilização da estação espacial internacional, e actividades ligadas à exploração do espaço.

4.3.2. Colocar a investigação ao serviço da segurança

41. A segurança constitui um desafio importante para a Europa: a segurança das pessoas e do Estado, bem como dos transportes e das redes de telecomunicações, face ao crime organizado e ao terrorismo internacional, nomeadamente o bioterrorismo. O seu crescimento implica o desenvolvimento de conhecimentos em matéria de detecção, informação, reconhecimento e vigilância, bem como a análise das causas dos conflitos.

²² Como exemplos recentes é de referir a rede de excelência sobre a prevenção e o controlo de doenças animais criada no âmbito do 6º Programa-Quadro, ou o projecto integrado sobre o impacto das alterações globais nos ecossistemas de águas doces na Europa.

²³ Em complemento do apoio científico e técnico directamente fornecido pelo Centro Comum de Investigação (CCI) para a definição, implementação e acompanhamento das políticas.

²⁴ Estas acções seriam desenvolvidas essencialmente através das seis grandes categorias de modos de intervenção descritas no ponto 2, tendo todavia em conta as especificidades destes dois domínios.

²⁵ COM (2003) 17 de 21.1.2003 e COM (2003) 673 de 11.11.2003.

²⁶ GMES: Vigilância global do ambiente e da segurança (*Global Monitoring for Environment and Security*).

42. No início de 2004, foi lançada uma "acção preparatória" sobre este tema. No seu prolongamento e com base no relatório de um grupo europeu de personalidades especializadas de alto nível, deveria ser implementado um "programa europeu de investigação em matéria de segurança" claramente identificado. Dotado de meios mais importantes, teria como objectivo:
- aumentar a segurança das populações no território europeu, nos domínios da protecção civil, por exemplo, ou do combate ao bioterrorismo;
 - ajudar a União a desempenhar as suas missões de manutenção da paz, de prevenção de conflitos e de reforço da segurança internacional, no espírito dos princípios enunciados na Carta das Nações Unidas.

5. FAZER MELHOR PARA FAZER MAIS

5.1. Utilização dos modos de implementação mais eficazes

43. Em conformidade com os princípios formulados na Comunicação da Comissão de 10 de Fevereiro²⁷, recorrer-se-ia aos modos de execução mais eficazes para a implementação da política de investigação. O objectivo é garantir uma dissociação significativa do aumento do orçamento e dos efectivos da Comissão, reforçando simultaneamente a ligação com as estruturas nacionais.

44. A Comissão assumiria plenamente a sua responsabilidade política e orçamental perante o Conselho e o Parlamento Europeu e asseguraria o acompanhamento científico das acções de uma forma modulada em função do seu envolvimento.

5.1.1. Gestão em parceria

45. A gestão em parceria pelos Estados-Membros, os intervenientes na investigação e a Comissão seria utilizada em acções desenvolvidas com o objectivo de reforçar a coerência dos esforços públicos e privados de investigação, bem como das políticas tecnológicas dos Estados-Membros:

- Acções desenvolvidas com base no artigo 171º do Tratado: tratar-se-ia essencialmente de "iniciativas tecnológicas comuns". Seria necessariamente criada uma estrutura específica de gestão para a sua implementação;
- Acções desenvolvidas com base no artigo 169º do Tratado: é possível, mas não é obrigatória, a criação de uma estrutura específica de gestão.
- Acções de apoio à criação e desenvolvimento de infra-estruturas de interesse europeu, implementadas com base no modelo dos projectos de redes europeias (RTE).

46. Uma característica destas acções é a mobilização de massas críticas de meios em regimes de engenharia financeira que implicam financiamentos do Banco Europeu de

²⁷ COM (2004) 101 de 10.02.2004.

Investimento (BEI) e financiamentos públicos nacionais e privados. Ao adoptar os seus planos de acção "i2i" e seguidamente "Inovação 2010", o BEI intensificou o seu empenhamento no domínio da investigação. A fim de explorar a possibilidade de mobilização de empréstimos do BEI, poderia ser encarada a possibilidade de criação, no âmbito do Programa-Quadro, de um mecanismo de garantia europeu para grandes projectos de investigação tecnológica.

5.1.2. *Gestão externalizada*

47. A gestão externalizada seria utilizada para o apoio às equipas individuais de investigação e aos investigadores. Nos dois casos, trata-se de acções abertas a todos os domínios científicos que abrangem um número limitado de pessoas e implicam um grande número de operações financeiras de volume reduzido.
48. São possíveis várias modalidades para a concretização da ideia de "Conselho Europeu de Investigação": uma agência de execução, uma agência da União de tipo clássico ou uma estrutura específica (por exemplo, uma fundação) criada ao abrigo do artigo 171º do Tratado. O processo político iniciado permitirá determinar qual será a melhor forma de satisfazer os três princípios fundamentais seguintes: supervisão pela comunidade científica, responsabilidade política e financeira da Comissão e carácter comunitário, a fim de evitar os riscos no que diz respeito a um "rendimento justo".

5.1.3. *Gestão pela Comissão em evolução*

49. A gestão pela Comissão seria utilizada para o apoio à investigação em colaboração, por várias ordens de razões:
- O papel da Comissão no estabelecimento e actualização regular dos "programas de trabalho", que estão no cerne destas iniciativas;
 - O seu papel de auxílio à constituição de parcerias e a sua capacidade reconhecida para assegurar a gestão de projectos transnacionais complexos;
 - A relação estreita destas acções com as políticas da União.
50. Com o 6º Programa-Quadro, novas disposições em matéria financeira permitiram a redução das operações contabilísticas em benefício de tarefas de supervisão, controlo e acompanhamento científico. Após identificação das actividades que não exigem a implicação directa dos serviços da Comissão, as tarefas subsistentes de pura execução deveriam ser confiadas a uma estrutura externa.

5.2. **Melhoria do funcionamento do Programa-Quadro**

51. Trata-se paralelamente de melhorar o quadro regulamentar e administrativo. O objectivo é aumentar a transparência do processo de avaliação, reduzir os prazos e reduzir ao mínimo os custos de preparação dos projectos²⁸.

²⁸ Em conformidade com as conclusões do Conselho Europeu da Primavera de Março de 2004 (ponto 26 das conclusões).

52. As disposições financeiras e administrativas devem ser revistas e simplificadas em função da experiência adquirida com as práticas actuais. No seguimento das conclusões do painel para a avaliação dos instrumentos do 6º Programa-Quadro, será iniciado um processo nesse sentido que contará com a participação dos utilizadores dos programas e das estruturas nacionais de investigação. As regras financeiras serão reexaminadas e serão apresentadas propostas ao Conselho e ao Parlamento Europeu no âmbito das propostas de decisão da Comissão para o próximo programa-quadro e respectivas regras de participação.

6. RUMO AO SÉTIMO PROGRAMA-QUADRO

53. As orientações aqui apresentadas devem ser objecto de um duplo debate: político a nível das instituições e entre os intervenientes e utilizadores da investigação na Europa. No início de 2005 e designadamente com base nos resultados deste duplo debate, a Comissão apresentará a sua proposta para o 7º Programa-Quadro de Investigação da União. A par de indicações precisas sobre os regimes de apoio financeiro, a Comissão apresentará aí as suas propostas em matéria de prioridades temáticas de investigação.

**VERSÃO COMPILADA
DO TRATADO
QUE INSTITUI A COMUNIDADE EUROPEIA**

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(*) No que se refere ao texto dos protocolos aprovados em Conferências Intergovernamentais anteriores à de Nice, remete-se o leitor para as páginas 355 e seguintes da Compilação dos Tratados, tomo I, volume I, edição de 1999, publicada pelo Serviço das Publicações Oficiais das Comunidades Europeias, ISBN 92-824-1665-8.

No que se refere ao texto dos protocolos n.ºs 12, 13, 14 e 15, remete-se o leitor para as páginas 213 e seguintes da Compilação dos Tratados, tomo I, volume II, edição de 1995, publicada pelo Serviço das Publicações Oficiais das Comunidades Europeias, ISBN 92-824-1184-2.

- Protocolo (n.º 18) relativo aos Estatutos do Sistema Europeu de Bancos Centrais e do Banco Central Europeu (1992)
- Protocolo (n.º 19) relativo aos Estatutos do Instituto Monetário Europeu (1992)
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- Protocolo (n.º 22) respeitante à Dinamarca (1992)
- Protocolo (n.º 23) respeitante a Portugal (1992)
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- Protocolo (n.º 28) relativo à coesão económica e social (1992)
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- Protocolo (n.º 33) relativo à protecção e ao bem-estar dos animais (1997)
- Protocolo (n.º 34) relativo às consequências financeiras do termo de vigência do Tratado CECA e ao Fundo de Investigação do Carvão e do Aço (2001) (texto a seguir reproduzido)
- Protocolo (n.º 35) relativo ao artigo 67.º do Tratado que institui a Comunidade Europeia (2001) (texto a seguir reproduzido)

Protocolos anexos aos Tratados que instituem a Comunidade Europeia e a Comunidade Europeia da Energia Atómica:

- Protocolo (n.º 36) relativo aos Privilégios e Imunidades das Comunidades Europeias (1965)

SUA MAJESTADE O REI DOS BELGAS, O PRESIDENTE DA REPÚBLICA FEDERAL DA ALEMANHA, O PRESIDENTE DA REPÚBLICA FRANCESA, O PRESIDENTE DA REPÚBLICA ITALIANA, SUA ALTEZA REAL A GRÃ-DUQUESA DO LUXEMBURGO, SUA MAJESTADE A RAINHA DOS PAÍSES BAIXOS ⁽¹⁾,

DETERMINADOS a estabelecer os fundamentos de uma união cada vez mais estreita entre os povos europeus,

DECIDIDOS a assegurar, mediante uma acção comum, o progresso económico e social dos seus países eliminando as barreiras que dividem a Europa,

FIXANDO como objectivo essencial dos seus esforços a melhoria constante das condições de vida e de trabalho dos seus povos,

RECONHECENDO que a eliminação dos obstáculos existentes requer uma acção concertada tendo em vista garantir a estabilidade na expansão económica, o equilíbrio nas trocas comerciais e a lealdade na concorrência,

PREOCUPADOS em reforçar a unidade das suas economias e assegurar o seu desenvolvimento harmonioso pela redução das desigualdades entre as diversas regiões e do atraso das menos favorecidas,

DESEJOSOS de contribuir, mercê de uma política comercial comum, para a supressão progressiva das restrições ao comércio internacional,

PRETENDENDO confirmar a solidariedade que liga a Europa e os países ultramarinos, e desejando assegurar o desenvolvimento da prosperidade destes, em conformidade com os princípios da Carta das Nações Unidas,

RESOLVIDOS a consolidar, pela união dos seus recursos, a defesa da paz e da liberdade e apelando para os outros povos da Europa que partilham dos seus ideais para que se associem aos seus esforços,

DETERMINADOS a promover o desenvolvimento do mais elevado nível possível de conhecimentos dos seus povos, através de um amplo acesso à educação, e da contínua actualização desses conhecimentos,

DECIDIRAM criar uma COMUNIDADE EUROPEIA e para esse efeito, designaram como plenipotenciários:

(lista dos plenipotenciários não reproduzida)

OS QUAIS, depois de terem trocado os seus plenos poderes reconhecidos em boa e devida forma, acordaram no seguinte:

⁽¹⁾ O Reino da Dinamarca, a República Helénica, o Reino de Espanha, a Irlanda, a República da Áustria, a República Portuguesa, a República da Finlândia, o Reino da Suécia e o Reino Unido da Grã-Bretanha e da Irlanda do Norte tornaram-se posteriormente membros da Comunidade Europeia.

PARTE I

OS PRINCÍPIOS

Artigo 1.º

Pelo presente Tratado, as ALTAS PARTES CONTRATANTES instituem entre si uma COMUNIDADE EUROPEIA.

Artigo 2.º

A Comunidade tem como missão, através da criação de um mercado comum e de uma união económica e monetária e da aplicação das políticas ou acções comuns a que se referem os artigos 3.º e 4.º, promover, em toda a Comunidade, o desenvolvimento harmonioso, equilibrado e sustentável das actividades económicas, um elevado nível de emprego e de protecção social, a igualdade entre homens e mulheres, um crescimento sustentável e não inflacionista, um alto grau de competitividade e de convergência dos comportamentos das economias, um elevado nível de protecção e de melhoria da qualidade do ambiente, o aumento do nível e da qualidade de vida, a coesão económica e social e a solidariedade entre os Estados-Membros.

Artigo 3.º

1. Para alcançar os fins enunciados no artigo 2.º, a acção da Comunidade implica, nos termos do disposto e segundo o calendário previsto no presente Tratado:

- a) A proibição entre os Estados-Membros, dos direitos aduaneiros e das restrições quantitativas à entrada e à saída de mercadorias, bem como de quaisquer outras medidas de efeito equivalente;
- b) Uma política comercial comum;
- c) Um mercado interno caracterizado pela abolição, entre os Estados-Membros, dos obstáculos à livre circulação de mercadorias, de pessoas, de serviços e de capitais;
- d) Medidas relativas à entrada e circulação de pessoas de acordo com o disposto no título IV;
- e) Uma política comum no domínio da agricultura e das pescas;
- f) Uma política comum no domínio dos transportes;
- g) Um regime que garanta que a concorrência não seja falseada no mercado interno;
- h) A aproximação das legislações dos Estados-Membros na medida do necessário para o funcionamento do mercado comum;
- i) A promoção de uma coordenação entre as políticas de emprego dos Estados-Membros, com o objectivo de reforçar a sua eficácia, mediante a elaboração de uma estratégia coordenada em matéria de emprego;
- j) Uma política social que inclui um Fundo Social Europeu;
- k) O reforço da coesão económica e social;

- l) Uma política no domínio do ambiente;
- m) O reforço da capacidade concorrencial da indústria da Comunidade;
- n) A promoção da investigação e do desenvolvimento tecnológico;
- o) O incentivo à criação e ao desenvolvimento de redes transeuropeias;
- p) Uma contribuição para a realização de um elevado nível de protecção da saúde;
- q) Uma contribuição para um ensino e uma formação de qualidade, bem como para o desenvolvimento das culturas dos Estados-Membros;
- r) Uma política no domínio da cooperação para o desenvolvimento;
- s) A associação dos países e territórios ultramarinos tendo por objectivo incrementar as trocas comerciais e prosseguir em comum o esforço de desenvolvimento económico e social;
- t) Uma contribuição para o reforço da defesa dos consumidores;
- u) Medidas nos domínios da energia, da protecção civil e do turismo.

2. Na realização de todas as acções previstas no presente artigo, a Comunidade terá por objectivo eliminar as desigualdades e promover a igualdade entre homens e mulheres.

Artigo 4.º

1. Para alcançar os fins enunciados no artigo 2.º, a acção dos Estados-Membros e da Comunidade implica, nos termos do disposto e segundo o calendário previsto no presente Tratado, a adopção de uma política económica baseada na estreita coordenação das políticas económicas dos Estados-Membros, no mercado interno e na definição de objectivos comuns, e conduzida de acordo com o princípio de uma economia de mercado aberto e de livre concorrência.

2. Paralelamente, nos termos do disposto e segundo o calendário e os procedimentos previstos no presente Tratado, essa acção implica a fixação irrevogável das taxas de câmbio conducente à criação de uma moeda única, o ecu, e a definição e condução de uma política monetária e de uma política cambial únicas, cujo objectivo primordial é a manutenção da estabilidade dos preços e, sem prejuízo desse objectivo, o apoio às políticas económicas gerais na Comunidade, de acordo com o princípio de uma economia de mercado aberto e de livre concorrência.

3. Essa acção dos Estados-Membros e da Comunidade implica a observância dos seguintes princípios orientadores: preços estáveis, finanças públicas e condições monetárias sólidas e balança de pagamentos sustentável.

Artigo 5.º

A Comunidade actuará nos limites das atribuições que lhe são conferidas e dos objectivos que lhe são cometidos pelo presente Tratado.

Nos domínios que não sejam das suas atribuições exclusivas, a Comunidade intervém apenas, de acordo com o princípio da subsidiariedade, se e na medida em que os objectivos da acção encarada não possam ser suficientemente realizados pelos Estados-Membros, e possam pois, devido à dimensão ou aos efeitos da acção prevista, ser melhor alcançados ao nível comunitário.

A acção da Comunidade não deve exceder o necessário para atingir os objectivos do presente Tratado.

Artigo 6.º

As exigências em matéria de protecção do ambiente devem ser integradas na definição e execução das políticas e acções da Comunidade previstas no artigo 3.º, em especial com o objectivo de promover um desenvolvimento sustentável.

Artigo 7.º

1. A realização das tarefas confiadas à Comunidade é assegurada por:

- um PARLAMENTO EUROPEU,
- um CONSELHO,
- uma COMISSÃO,
- um TRIBUNAL DE JUSTIÇA,
- um TRIBUNAL DE CONTAS.

Cada instituição actua nos limites das atribuições e competências que lhe são conferidas pelo presente Tratado.

2. O Conselho e a Comissão são assistidos por um Comité Económico e Social e por um Comité das Regiões, com funções consultivas.

Artigo 8.º

São instituídos, de acordo com os procedimentos previstos no presente Tratado, um Sistema Europeu de Bancos Centrais, adiante designado por «SEBC», e um Banco Central Europeu, adiante designado por «BCE», os quais actuarão nos limites das atribuições que lhes são conferidas pelo presente Tratado e pelos Estatutos do SEBC e do BCE, adiante designados por «Estatutos do SEBC», que lhe vêm anexos.

Artigo 9.º

É instituído um Banco Europeu de Investimento, que actuará nos limites das atribuições que lhe são conferidas pelo presente Tratado e pelos Estatutos que lhe vêm anexos.

Artigo 10.º

Os Estados-Membros tomarão todas as medidas gerais ou especiais capazes de assegurar o cumprimento das obrigações decorrentes do presente Tratado ou resultantes de actos das instituições da Comunidade. Os Estados-Membros facilitarão à Comunidade o cumprimento da sua missão.

Os Estados-Membros abster-se-ão de tomar quaisquer medidas susceptíveis de pôr em perigo a realização dos objectivos do presente Tratado.

Artigo 11.º ()*

1. Os Estados-Membros que se proponham instituir entre si uma cooperação reforçada num dos domínios referidos no presente Tratado devem dirigir um pedido nesse sentido à Comissão, que pode apresentar ao Conselho uma proposta para o efeito. Caso não apresente uma proposta, a Comissão informará os referidos Estados-Membros das razões que a motivaram.

2. A autorização para dar início à cooperação reforçada a que se refere o n.º 1 é concedida, no respeito dos artigos 43.º a 45.º do Tratado da União Europeia, pelo Conselho, deliberando por maioria qualificada, sob proposta da Comissão e após consulta ao Parlamento Europeu. Quando a cooperação reforçada vise um domínio abrangido pelo processo previsto no artigo 251.º do presente Tratado, é necessário o parecer favorável do Parlamento Europeu.

Qualquer membro do Conselho pode pedir que o assunto seja levado ao Conselho Europeu. Nessa sequência, o Conselho pode deliberar nos termos do disposto no primeiro parágrafo.

3. Salvo disposição em contrário contida no presente artigo e nos artigos 43.º a 45.º do Tratado da União Europeia, os actos e decisões necessários à execução das acções de cooperação reforçada ficam sujeitos a todas as disposições aplicáveis do presente Tratado.

*Artigo 11.ºA (**)*

Qualquer Estado-Membro que deseje participar numa cooperação reforçada instituída nos termos do artigo 11.º notificará a sua intenção ao Conselho e à Comissão, que apresentará um parecer ao Conselho no prazo de três meses a contar da data de recepção da notificação. No prazo de quatro meses a contar da data de recepção da notificação, a Comissão tomará uma decisão sobre a questão, bem como sobre eventuais disposições específicas que julgue necessárias.

Artigo 12.º

No âmbito de aplicação do presente Tratado, e sem prejuízo das suas disposições especiais, é proibida toda e qualquer discriminação em razão da nacionalidade.

O Conselho, deliberando nos termos do artigo 251.º, pode adoptar normas destinadas a proibir essa discriminação.

Artigo 13.º ()*

1. Sem prejuízo das demais disposições do presente Tratado e dentro dos limites das competências que este confere à Comunidade, o Conselho, deliberando por unanimidade, sob proposta da Comissão e após consulta ao Parlamento Europeu, pode tomar as medidas necessárias para combater a discriminação em razão do sexo, raça ou origem étnica, religião ou crença, deficiência, idade ou orientação sexual.

2. Em derrogação do n.º 1, sempre que adopte medidas de incentivo comunitárias, com exclusão de qualquer harmonização das disposições legislativas e regulamentares dos Estados-Membros, para apoiar as acções dos Estados-Membros destinadas a contribuir para a realização dos objectivos referidos no n.º 1, o Conselho delibera nos termos do artigo 251.º

(*) Artigo com a redacção que lhe foi dada pelo Tratado de Nice.

(**) Artigo inserido pelo Tratado de Nice (antigo n.º 3 do artigo 11.º).

Artigo 14.º

1. A Comunidade adoptará as medidas destinadas a estabelecer progressivamente o mercado interno durante um período que termina em 31 de Dezembro de 1992, nos termos do disposto no presente artigo, nos artigos 15.º e 26.º, no n.º 2 do artigo 47.º, nos artigos 49.º, 80.º, 93.º e 95.º e sem prejuízo das demais disposições do presente Tratado.

2. O mercado interno compreende um espaço sem fronteiras internas no qual a livre circulação das mercadorias, das pessoas, dos serviços e dos capitais é assegurada de acordo com as disposições do presente Tratado.

3. O Conselho, deliberando por maioria qualificada, sob proposta da Comissão, definirá as orientações e condições necessárias para assegurar um progresso equilibrado no conjunto dos sectores abrangidos.

Artigo 15.º

Aquando da formulação das suas propostas destinadas a realizar os objectivos enunciados no artigo 14.º, a Comissão terá em conta a amplitude do esforço que certas economias que apresentam diferenças de desenvolvimento devem suportar durante o período de estabelecimento do mercado interno e pode propor as disposições adequadas.

Se estas disposições tomarem a forma de derrogações, devem ter carácter temporário e implicar o mínimo possível de perturbações no funcionamento do mercado comum.

Artigo 16.º

Sem prejuízo do disposto nos artigos 73.º, 86.º e 87.º, e atendendo à posição que os serviços de interesse económico geral ocupam no conjunto dos valores comuns da União e ao papel que desempenham na promoção da coesão social e territorial, a Comunidade e os seus Estados-Membros, dentro do limite das respectivas competências e no âmbito de aplicação do presente Tratado, zelarão por que esses serviços funcionem com base em princípios e em condições que lhes permitam cumprir as suas missões.

PARTE II

A CIDADANIA DA UNIÃO

Artigo 17.º

1. É instituída a cidadania da União. É cidadão da União qualquer pessoa que tenha a nacionalidade de um Estado-Membro. A cidadania da União é complementar da cidadania nacional e não a substitui.

2. Os cidadãos da União gozam dos direitos e estão sujeitos aos deveres previstos no presente Tratado.

Artigo 18.º (*)

1. Qualquer cidadão da União goza do direito de circular e permanecer livremente no território dos Estados-Membros, sem prejuízo das limitações e condições previstas no presente Tratado e nas disposições adoptadas em sua aplicação.
2. Se, para atingir esse objectivo, se revelar necessária uma acção da Comunidade sem que o presente Tratado tenha previsto poderes de acção para o efeito, o Conselho pode adoptar disposições destinadas a facilitar o exercício dos direitos a que se refere o n.º 1. O Conselho delibera nos termos do artigo 251.º
3. O n.º 2 não se aplica às disposições relativas aos passaportes, aos bilhetes de identidade, às autorizações de residência ou a qualquer outro documento equiparado, nem às disposições respeitantes à segurança social ou à protecção social.

Artigo 19.º

1. Qualquer cidadão da União residente num Estado-Membro que não seja o da sua nacionalidade goza do direito de eleger e de ser eleito nas eleições municipais do Estado-Membro de residência, nas mesmas condições que os nacionais desse Estado. Esse direito será exercido sem prejuízo das modalidades adoptadas pelo Conselho, deliberando por unanimidade, sob proposta da Comissão, e após consulta do Parlamento Europeu; essas regras podem prever disposições derogatórias, sempre que problemas específicos de um Estado-Membro o justifiquem.
2. Sem prejuízo do disposto no n.º 4 do artigo 190.º e das disposições adoptadas em sua aplicação, qualquer cidadão da União residente num Estado-Membro que não seja o da sua nacionalidade, goza do direito de eleger e de ser eleito nas eleições para o Parlamento Europeu no Estado-Membro de residência, nas mesmas condições que os nacionais desse Estado. Esse direito será exercido sem prejuízo das modalidades adoptadas pelo Conselho, deliberando por unanimidade, sob proposta da Comissão, e após consulta do Parlamento Europeu; essas regras podem prever disposições derogatórias, sempre que problemas específicos de um Estado-Membro o justifiquem.

Artigo 20.º

Qualquer cidadão da União beneficia, no território de países terceiros em que o Estado-Membro de que é nacional não se encontre representado, de protecção por parte das autoridades diplomáticas e consulares de qualquer Estado-Membro, nas mesmas condições que os nacionais desse Estado. Os Estados-Membros estabelecem entre si as regras necessárias e encetam as negociações internacionais requeridas para garantir essa protecção.

Artigo 21.º

Qualquer cidadão da União goza do direito de petição ao Parlamento Europeu, nos termos do disposto no artigo 194.º

Qualquer cidadão da União pode dirigir-se ao Provedor de Justiça instituído nos termos do disposto no artigo 195.º

Qualquer cidadão da União pode dirigir-se por escrito a qualquer das instituições ou órgãos a que se refere o presente artigo ou o artigo 7.º numa das línguas previstas no artigo 314.º e obter uma resposta redigida na mesma língua.

(*) Artigo com a redacção que lhe foi dada pelo Tratado de Nice.

Artigo 22.º

A Comissão apresentará ao Parlamento Europeu, ao Conselho e ao Comité Económico e Social, de três em três anos, um relatório sobre a aplicação das disposições da presente Parte. Esse relatório terá em conta o desenvolvimento da União.

Com base nesses relatórios, e sem prejuízo das demais disposições do presente Tratado, o Conselho, deliberando por unanimidade, sob proposta da Comissão, e após consulta do Parlamento Europeu, pode aprovar disposições destinadas a aprofundar os direitos previstos na presente Parte, cuja adopção recomendará aos Estados-Membros, nos termos das respectivas normas constitucionais.

PARTE III

AS POLÍTICAS DA COMUNIDADE

TÍTULO I

A LIVRE CIRCULAÇÃO DE MERCADORIAS

Artigo 23.º

1. A Comunidade assenta numa união aduaneira que abrange a totalidade do comércio de mercadorias e implica a proibição, entre os Estados-Membros, de direitos aduaneiros de importação e de exportação e de quaisquer encargos de efeito equivalente, bem como a adopção de uma pauta aduaneira comum nas suas relações com países terceiros.

2. O disposto no artigo 25.º e no capítulo 2 do presente título é aplicável tanto aos produtos originários dos Estados-Membros, como aos produtos provenientes de países terceiros que se encontrem em livre prática nos Estados-Membros.

Artigo 24.º

Consideram-se em livre prática num Estado-Membro os produtos provenientes de países terceiros em relação aos quais se tenham cumprido as formalidades de importação e cobrado os direitos aduaneiros ou encargos de efeito equivalente exigíveis nesse Estado-Membro, e que não tenham beneficiado de draubaque total ou parcial desses direitos ou encargos.

CAPÍTULO 1

A UNIÃO ADUANEIRA

Artigo 25.º

São proibidos entre os Estados-Membros os direitos aduaneiros de importação e de exportação ou os encargos de efeito equivalente. Esta proibição é igualmente aplicável aos direitos aduaneiros de natureza fiscal.

Artigo 26.º

Os direitos da pauta aduaneira comum são fixados pelo Conselho, deliberando por maioria qualificada, sob proposta da Comissão.

Artigo 27.º

No exercício das funções que lhe são confiadas no presente capítulo, a Comissão orientar-se-á:

- a) Pela necessidade de promover as trocas comerciais entre os Estados-Membros e países terceiros;
- b) Pela evolução das condições de concorrência na Comunidade, desde que essa evolução tenha por efeito aumentar a competitividade das empresas;
- c) Pelas necessidades de abastecimento da Comunidade em matérias-primas e produtos semiacabados cuidando que se não falseiem, entre os Estados-Membros, as condições de concorrência relativas a produtos acabados;
- d) Pela necessidade de evitar perturbações graves na vida económica dos Estados-Membros e de assegurar o desenvolvimento racional da produção e a expansão do consumo na Comunidade.

*CAPÍTULO 2**A PROIBIÇÃO DAS RESTRIÇÕES QUANTITATIVAS ENTRE OS ESTADOS-MEMBROS**Artigo 28.º*

São proibidas, entre os Estados-Membros, as restrições quantitativas à importação, bem como todas as medidas de efeito equivalente.

Artigo 29.º

São proibidas, entre os Estados-Membros, as restrições quantitativas à exportação, bem como todas as medidas de efeito equivalente.

Artigo 30.º

As disposições dos artigos 28.º e 29.º são aplicáveis sem prejuízo das proibições ou restrições à importação, exportação ou trânsito justificadas por razões de moralidade pública, ordem pública e segurança pública; de protecção da saúde e da vida das pessoas e animais ou de preservação das plantas; de protecção do património nacional de valor artístico, histórico ou arqueológico; ou de protecção da propriedade industrial e comercial. Todavia, tais proibições ou restrições não devem constituir nem um meio de discriminação arbitrária nem qualquer restrição dissimulada ao comércio entre os Estados-Membros.

Artigo 31.º

1. Os Estados-Membros adaptarão os monopólios nacionais de natureza comercial, de modo a que esteja assegurada a exclusão de toda e qualquer discriminação entre nacionais dos Estados-Membros, quanto às condições de abastecimento e de comercialização.

O disposto no presente artigo é aplicável a qualquer organismo através do qual um Estado-Membro, de jure ou de facto, controle, dirija ou influencie sensivelmente, directa ou indirectamente, as importações ou as exportações entre os Estados-Membros. Estas disposições são igualmente aplicáveis aos monopólios delegados pelo Estado.

2. Os Estados-Membros abster-se-ão de tomar qualquer nova medida, que seja contrária aos princípios enunciados no n.º 1, ou que restrinja o âmbito da aplicação dos artigos relativos à proibição dos direitos aduaneiros e das restrições quantitativas entre os Estados-Membros.

3. No caso de um monopólio de natureza comercial comportar regulamentação destinada a facilitar o escoamento ou a valorização de produtos agrícolas, devem ser tomadas medidas para assegurar, na aplicação do disposto no presente artigo, garantias equivalentes para o emprego e nível de vida dos produtores interessados.

TÍTULO II

A AGRICULTURA

Artigo 32.º

1. O mercado comum abrange a agricultura e o comércio de produtos agrícolas. Por «produtos agrícolas» entendem-se os produtos do solo, da pecuária e da pesca, bem como os produtos do primeiro estágio de transformação que estejam em relação directa com estes produtos.

2. As regras previstas para o estabelecimento do mercado comum são aplicáveis aos produtos agrícolas, salvo disposição em contrário dos artigos 33.º a 38.º inclusive.

3. Os produtos abrangidos pelo disposto nos artigos 33.º a 38.º inclusive, são enumerados na lista constante do anexo I do presente Tratado.

4. O funcionamento e o desenvolvimento do mercado comum para os produtos agrícolas devem ser acompanhados da adopção de uma política agrícola comum.

Artigo 33.º

1. A política agrícola comum tem como objectivos:

- a) Incrementar a produtividade da agricultura, fomentando o progresso técnico, assegurando o desenvolvimento racional da produção agrícola e a utilização óptima dos factores de produção, designadamente da mão-de-obra;
- b) Assegurar, deste modo, um nível de vida equitativo à população agrícola, designadamente pelo aumento do rendimento individual dos que trabalham na agricultura;
- c) Estabilizar os mercados;
- d) Garantir a segurança dos abastecimentos;
- e) Assegurar preços razoáveis nos fornecimentos aos consumidores.

2. Na elaboração da política agrícola comum e dos métodos especiais que ela possa implicar, tomar-se-á em consideração:

- a) A natureza particular da actividade agrícola decorrente da estrutura social da agricultura e das disparidades estruturais e naturais entre as diversas regiões agrícolas;
- b) A necessidade de efectuar gradualmente as adaptações adequadas;
- c) O facto de a agricultura constituir, nos Estados-Membros, um sector intimamente ligado ao conjunto da economia.

Artigo 34.º

1. A fim de atingir os objectivos definidos no artigo 33.º, é criada uma organização comum dos mercados agrícolas.

Segundo os produtos, esta organização assumirá uma das formas seguintes:

- a) Regras comuns em matéria de concorrência;
- b) Uma coordenação obrigatória das diversas organizações nacionais de mercado;
- c) Uma organização europeia de mercado.

2. A organização comum, sob uma das formas previstas no n.º 1, pode abranger todas as medidas necessárias para atingir os objectivos definidos no artigo 33.º, designadamente: regulamentações dos preços; subvenções tanto à produção como à comercialização dos diversos produtos; medidas de armazenamento e de reporte; e mecanismos comuns de estabilização das importações ou das exportações.

A organização comum deve limitar-se a prosseguir os objectivos definidos no artigo 33.º e deve excluir toda e qualquer discriminação entre produtores ou consumidores da Comunidade.

Uma eventual política comum de preços deve assentar em critérios comuns e em métodos de cálculo uniformes.

3. A fim de permitir que a organização comum referida no n.º 1 atinja os seus objectivos, podem ser criados um ou mais fundos agrícolas de orientação e garantia.

Artigo 35.º

Tendo em vista alcançar os objectivos definidos no artigo 33.º, pode prever-se, no âmbito da política agrícola comum, nomeadamente:

- a) Uma coordenação eficaz dos esforços empreendidos nos domínios da formação profissional, da investigação e da divulgação da agronomia, que pode incluir projectos ou instituições financiados em comum;
- b) Acções comuns destinadas a promover o consumo de certos produtos.

Artigo 36.º

As disposições do capítulo relativo às regras de concorrência só são aplicáveis à produção e ao comércio dos produtos agrícolas, na medida em que tal seja determinado pelo Conselho, no âmbito do disposto nos n.ºs 2 e 3 do artigo 37.º e em conformidade com o processo aí previsto, tendo em conta os objectivos definidos no artigo 33.º

O Conselho pode, nomeadamente, autorizar a concessão de auxílios:

- a) Para a protecção de explorações em situação desfavorável devido a condições estruturais ou naturais;
- b) No âmbito de programas de desenvolvimento económico.

Artigo 37.º

1. A fim de traçar as linhas directrizes de uma política agrícola comum, a Comissão convocará, logo após a entrada em vigor do presente Tratado, uma conferência dos Estados-Membros para proceder à comparação das suas políticas agrícolas, efectuando, nomeadamente, o balanço dos seus recursos e necessidades.

2. A Comissão, tomando em consideração os trabalhos da conferência prevista no n.º 1, após consulta do Comité Económico e Social, apresentará, no prazo de dois anos a contar da data da entrada em vigor do presente Tratado, propostas relativas à elaboração e execução da política agrícola comum, incluindo a substituição das organizações nacionais por uma das formas de organização comum previstas no n.º 1 do artigo 34.º e a execução das medidas especificadas no presente título.

Tais propostas devem ter em conta a interdependência das questões agrícolas mencionadas no presente título.

O Conselho, sob proposta da Comissão, e após consulta do Parlamento Europeu, deliberando por maioria qualificada, adoptará regulamentos ou directivas, ou tomará decisões, sem prejuízo das recomendações que possa formular.

3. O Conselho, deliberando por maioria qualificada, pode substituir, nas condições previstas no número anterior, as organizações nacionais de mercado pela organização comum prevista no n.º 1 do artigo 34.º:

- a) Se a organização comum oferecer aos Estados-Membros, que sejam contrários a esta medida e que disponham eles próprios de uma organização nacional para a produção em causa, garantias equivalentes quanto ao emprego e ao nível de vida dos produtores interessados, tomando em consideração o ritmo das adaptações possíveis e das especializações necessárias; e
- b) Se essa organização assegurar às trocas comerciais na Comunidade condições análogas às que existem num mercado nacional.

4. Se for criada uma organização comum para certas matérias-primas, sem que exista ainda uma organização comum para os correspondentes produtos transformados, essas matérias-primas, quando utilizadas em produtos transformados destinados à exportação para países terceiros, podem ser importadas do exterior da Comunidade.

Artigo 38.º

Quando, em qualquer Estado-Membro, um produto for submetido a uma organização nacional de mercado ou a outra regulamentação interna de efeito equivalente que afecte a concorrência de produção similar noutro Estado-Membro, será aplicado pelos Estados-Membros um direito de compensação à entrada desse produto proveniente do Estado-Membro em que tal organização ou regulamentação exista, a menos que esse Estado aplique um direito de compensação à saída do referido produto.

A Comissão fixará o montante desses direitos, na medida em que tal for necessário para restabelecer o equilíbrio; a Comissão pode igualmente autorizar o recurso a outras medidas, de que fixará as condições e modalidades.

TÍTULO III

A LIVRE CIRCULAÇÃO DE PESSOAS, DE SERVIÇOS E DE CAPITAIS

CAPÍTULO 1

OS TRABALHADORES

Artigo 39.º

1. A livre circulação dos trabalhadores fica assegurada na Comunidade.
2. A livre circulação dos trabalhadores implica a abolição de toda e qualquer discriminação em razão da nacionalidade, entre os trabalhadores dos Estados-Membros, no que diz respeito ao emprego, à remuneração e demais condições de trabalho.
3. A livre circulação dos trabalhadores compreende, sem prejuízo das limitações justificadas por razões de ordem pública, segurança pública e saúde pública, o direito de:
 - a) Responder a ofertas de emprego efectivamente feitas;
 - b) Deslocar-se livremente, para o efeito, no território dos Estados-Membros;
 - c) Residir num dos Estados-Membros a fim de nele exercer uma actividade laboral, em conformidade com as disposições legislativas, regulamentares e administrativas que regem o emprego dos trabalhadores nacionais;
 - d) Permanecer no território de um Estado-Membro depois de nele ter exercido uma actividade laboral, nas condições que serão objecto de regulamentos de execução a estabelecer pela Comissão.
4. O disposto no presente artigo não é aplicável aos empregos na administração pública.

Artigo 40.º

O Conselho, deliberando de acordo com o procedimento previsto no artigo 251.º e após consulta do Comité Económico e Social, tomará, por meio de directivas ou de regulamentos, as medidas necessárias à realização da livre circulação dos trabalhadores, tal como se encontra definida no artigo anterior, designadamente:

- a) Assegurando uma colaboração estreita entre os serviços nacionais de emprego;

- b) Eliminando, tanto por procedimentos e práticas administrativas, como os prazos de acesso aos empregos disponíveis, decorrentes, quer da legislação nacional, quer de acordos anteriormente concluídos entre os Estados-Membros, cuja manutenção constitua obstáculo à liberalização dos movimentos dos trabalhadores;
- c) Eliminando todos os prazos e outras restrições previstas, quer na legislação nacional quer em acordos anteriormente concluídos entre os Estados-Membros, que imponham aos trabalhadores dos outros Estados-Membros condições diferentes das que se aplicam aos trabalhadores nacionais quanto à livre escolha de um emprego;
- d) Criando mecanismos adequados a pôr em contacto as ofertas e pedidos de emprego e a facilitar o seu equilíbrio em condições tais que excluam riscos graves para o nível de vida e de emprego nas diversas regiões e indústrias.

Artigo 41.º

Os Estados-Membros devem fomentar, no âmbito de um programa comum, o intercâmbio de jovens trabalhadores.

Artigo 42.º

O Conselho, deliberando nos termos do artigo 251.º, tomará, no domínio da segurança social, as medidas necessárias ao estabelecimento da livre circulação dos trabalhadores, instituindo, designadamente, um sistema que assegure aos trabalhadores migrantes e às pessoas que deles dependam:

- a) A totalização de todos os períodos tomados em consideração pelas diversas legislações nacionais, tanto para fins de aquisição e manutenção do direito às prestações, como para o cálculo destas;
- b) O pagamento das prestações aos residentes nos territórios dos Estados-Membros.

O Conselho delibera por unanimidade em todo o processo previsto no artigo 251.º

CAPÍTULO 2

O DIREITO DE ESTABELECIMENTO

Artigo 43.º

No âmbito das disposições seguintes, são proibidas as restrições à liberdade de estabelecimento dos nacionais de um Estado-Membro no território de outro Estado-Membro. Esta proibição abrangerá igualmente as restrições à constituição de agências, sucursais ou filiais pelos nacionais de um Estado-Membro estabelecidos no território de outro Estado-Membro.

A liberdade de estabelecimento compreende tanto o acesso às actividades não assalariadas e o seu exercício, como a constituição e a gestão de empresas e designadamente de sociedades, na acepção do segundo parágrafo do artigo 48.º, nas condições definidas na legislação do país de estabelecimento para os seus próprios nacionais, sem prejuízo do disposto no capítulo relativo aos capitais.

Artigo 44.º

1. Para realizar a liberdade de estabelecimento numa determinada actividade, o Conselho, deliberando de acordo com o procedimento previsto no artigo 251.º, e após consulta do Comité Económico e Social, adoptará directivas.
2. O Conselho e a Comissão exercerão as funções que lhes são confiadas nos termos das disposições anteriores, designadamente:
 - a) Dando prioridade, em geral, às actividades em que a liberdade de estabelecimento constitua uma contribuição particularmente útil para o desenvolvimento da produção e das trocas comerciais;
 - b) Assegurando uma colaboração estreita entre os serviços nacionais competentes tendo em vista conhecer as situações especiais, na Comunidade, das diversas actividades em causa;
 - c) Eliminando os procedimentos e práticas administrativas decorrentes, quer da legislação nacional quer de acordos anteriormente concluídos entre os Estados-Membros, cuja manutenção constitua obstáculo à liberdade de estabelecimento;
 - d) Velando por que os trabalhadores assalariados de um dos Estados-Membros, empregados no território de outro Estado-Membro, possam permanecer nesse território, para nele exercerem uma actividade não assalariada, desde que satisfaçam as condições que lhes seriam exigidas se chegassem a esse Estado no momento em que pretendem ter acesso a essa actividade;
 - e) Tornando possível a aquisição e exploração de propriedades fundiárias, situadas no território de um Estado-Membro, por um nacional de outro Estado-Membro, na medida em que não sejam lesados os princípios estabelecidos no n.º 2 do artigo 33.º;
 - f) Aplicando a supressão gradual das restrições à liberdade de estabelecimento em todos os ramos de actividade considerados, por um lado, quanto às condições de constituição de agências, sucursais ou filiais no território de um Estado-Membro e, por outro, quanto às condições que regulam a admissão de pessoal do estabelecimento principal nos órgãos de gestão ou de fiscalização daquelas;
 - g) Coordenando as garantias que, para protecção dos interesses dos sócios e de terceiros, são exigidas nos Estados-Membros às sociedades, na acepção do segundo parágrafo do artigo 48.º, na medida em que tal seja necessário, e a fim de tornar equivalentes essas garantias;
 - h) Certificando-se de que as condições de estabelecimento não sejam falseadas pelos auxílios concedidos pelos Estados-Membros.

Artigo 45.º

As disposições do presente capítulo não são aplicáveis às actividades que, num Estado-Membro, estejam ligadas, mesmo ocasionalmente, ao exercício da autoridade pública.

O Conselho, deliberando por maioria qualificada, sob proposta da Comissão, pode determinar que as disposições do presente capítulo não são aplicáveis a certas actividades.

Artigo 46.º

1. As disposições do presente capítulo e as medidas tomadas em sua execução não prejudicam a aplicabilidade das disposições legislativas, regulamentares e administrativas, que prevejam um regime especial para os estrangeiros e sejam justificadas por razões de ordem pública, segurança pública e saúde pública.

2. O Conselho, deliberando nos termos do artigo 251.º, adoptará directivas para a coordenação das citadas disposições.

Artigo 47.º

1. A fim de facilitar o acesso às actividades não assalariadas e ao seu exercício, o Conselho deliberando de acordo com o procedimento previsto no artigo 251.º, adoptará directivas que visem o reconhecimento mútuo de diplomas, certificados e outros títulos.

2. Para o mesmo fim, o Conselho adoptará, nos termos do artigo 251.º, directivas que visem coordenar as disposições legislativas, regulamentares e administrativas dos Estados-Membros respeitantes ao acesso às actividades não assalariadas e ao seu exercício. O Conselho, deliberando por unanimidade em todo o processo previsto no artigo 251.º, decidirá sobre as directivas cuja execução implique, num Estado-Membro pelo menos, uma alteração dos princípios legislativos existentes do regime das profissões, no que respeita à formação e às condições de acesso de pessoas singulares. Nos outros casos, o Conselho delibera por maioria qualificada.

3. No que diz respeito às profissões médicas, paramédicas e farmacêuticas, a eliminação progressiva das restrições dependerá da coordenação das respectivas condições de exercício nos diversos Estados-Membros.

Artigo 48.º

As sociedades constituídas em conformidade com a legislação de um Estado-Membro e que tenham a sua sede social, administração central ou estabelecimento principal na Comunidade são, para efeitos do disposto no presente capítulo, equiparadas às pessoas singulares, nacionais dos Estados-Membros.

Por «sociedades» entendem-se as sociedades de direito civil ou comercial, incluindo as sociedades cooperativas, e as outras pessoas colectivas de direito público ou privado, com excepção das que não prossigam fins lucrativos.

CAPÍTULO 3

OS SERVIÇOS

Artigo 49.º

No âmbito das disposições seguintes, as restrições à livre prestação de serviços na Comunidade serão proibidas em relação aos nacionais dos Estados-Membros estabelecidos num Estado da Comunidade que não seja o do destinatário da prestação.

O Conselho, deliberando por maioria qualificada, sob proposta da Comissão, pode determinar que as disposições do presente capítulo são extensivas aos prestadores de serviços nacionais de um Estado terceiro e estabelecidos na Comunidade.

Artigo 50.º

Para efeitos do disposto no presente Tratado, consideram-se «serviços» as prestações realizadas normalmente mediante remuneração, na medida em que não sejam reguladas pelas disposições relativas à livre circulação de mercadorias, de capitais e de pessoas.

Os serviços compreendem designadamente:

- a) Actividades de natureza industrial;
- b) Actividades de natureza comercial;
- c) Actividades artesanais;
- d) Actividades das profissões liberais.

Sem prejuízo do disposto no capítulo relativo ao direito de estabelecimento, o prestador de serviços pode, para a execução da prestação, exercer, a título temporário, a sua actividade no Estado onde a prestação é realizada, nas mesmas condições que esse Estado impõe aos seus próprios nacionais.

Artigo 51.º

1. A livre prestação de serviços em matéria de transportes é regulada pelas disposições constantes do título relativo aos transportes.
2. A liberalização dos serviços bancários e de seguros ligados a movimentos de capitais deve efectuar-se de harmonia com a liberalização da circulação dos capitais.

Artigo 52.º

1. Para realizar a liberalização de um determinado serviço, o Conselho, sob proposta da Comissão, e após consulta do Comité Económico e Social e do Parlamento Europeu adoptará directivas, por maioria qualificada.
2. As directivas a que se refere o n.º 1 contemplarão, em geral, prioritariamente os serviços que influem de modo directo nos custos de produção, ou cuja liberalização contribua para fomentar as trocas comerciais de mercadorias.

Artigo 53.º

Os Estados-Membros declaram-se dispostos a proceder à liberalização dos serviços para além do que é exigido por força das directivas adoptadas em execução do n.º 1 do artigo 52.º, caso a sua situação económica geral e a situação do sector em causa lho permitirem.

Para o efeito, a Comissão dirigirá recomendações aos Estados-Membros em causa.

Artigo 54.º

Enquanto não forem suprimidas as restrições à livre prestação de serviços, cada Estado-Membro aplicá-las-á, sem qualquer distinção em razão da nacionalidade ou da residência, a todos os prestadores de serviços referidos no primeiro parágrafo do artigo 49.º

Artigo 55.º

As disposições dos artigos 45.º a 48.º, inclusive, são aplicáveis à matéria regulada no presente capítulo.

*CAPÍTULO 4**OS CAPITAIS E OS PAGAMENTOS**Artigo 56.º*

1. No âmbito das disposições do presente capítulo, são proibidas todas as restrições aos movimentos de capitais entre Estados-Membros e entre Estados-Membros e países terceiros.
2. No âmbito das disposições do presente capítulo, são proibidas todas as restrições aos pagamentos entre Estados-Membros e entre Estados-Membros e países terceiros.

Artigo 57.º

1. O disposto no artigo 56.º não prejudica a aplicação a países terceiros de quaisquer restrições em vigor em 31 de Dezembro de 1993 ao abrigo de legislação nacional ou comunitária adoptada em relação à circulação de capitais provenientes ou com destino a países terceiros que envolva investimento directo, incluindo o investimento imobiliário, estabelecimento, prestação de serviços financeiros ou admissão de valores mobiliários em mercados de capitais.
2. Ao mesmo tempo que se esforça por alcançar, em toda a medida do possível, o objectivo da livre circulação de capitais entre Estados-Membros e países terceiros, e sem prejuízo dos restantes capítulos do presente Tratado, o Conselho, deliberando por maioria qualificada, sob proposta da Comissão, pode adoptar medidas relativas à circulação de capitais provenientes ou com destino a países terceiros que envolva investimento directo, incluindo o investimento imobiliário, estabelecimento, prestação de serviços financeiros ou admissão de valores mobiliários em mercados de capitais. É exigida unanimidade relativamente às medidas a adoptar ao abrigo do presente número que constituam um retrocesso da legislação comunitária em relação à liberalização dos movimentos de capitais provenientes ou com destino a países terceiros.

Artigo 58.º

1. O disposto no artigo 56.º não prejudica o direito de os Estados-Membros:
 - a) Aplicarem as disposições pertinentes do seu direito fiscal que estabeleçam uma distinção entre contribuintes que não se encontrem em idêntica situação no que se refere ao seu lugar de residência ou ao lugar em que o seu capital é investido;
 - b) Tomarem todas as medidas indispensáveis para impedir infracções às suas leis e regulamentos, nomeadamente em matéria fiscal e de supervisão prudencial das instituições financeiras, preverem processos de declaração dos movimentos de capitais para efeitos de informação administrativa ou estatística, ou tomarem medidas justificadas por razões de ordem pública ou de segurança pública.
2. O disposto no presente capítulo não prejudica a possibilidade de aplicação de restrições ao direito de estabelecimento que sejam compatíveis com o presente Tratado.

3. As medidas e procedimentos a que se referem os n.ºs 1 e 2 não devem constituir um meio de discriminação arbitrária, nem uma restrição dissimulada à livre circulação de capitais e pagamentos, tal como definida no artigo 56.º

Artigo 59.º

Sempre que, em circunstâncias excepcionais, os movimentos de capitais provenientes ou com destino a países terceiros causem ou ameacem causar graves dificuldades ao funcionamento da União Económica e Monetária, o Conselho, deliberando por maioria qualificada, sob proposta da Comissão e após consulta do BCE, pode tomar medidas de salvaguarda em relação a países terceiros, por um período não superior a seis meses, se essas medidas forem estritamente necessárias.

Artigo 60.º

1. Se, no caso previsto no artigo 301.º, for considerada necessária uma acção da Comunidade, o Conselho, de acordo com o procedimento previsto no artigo 301.º, pode tomar, relativamente aos países terceiros em causa, as medidas urgentes necessárias em matéria de movimentos de capitais e de pagamentos.

2. Sem prejuízo do disposto no artigo 297.º, e enquanto o Conselho não tiver tomado medidas ao abrigo do n.º 1, um Estado-Membro pode, por razões políticas graves e por motivos de urgência, tomar medidas unilaterais contra um país terceiro relativamente aos movimentos de capitais e aos pagamentos. A Comissão e os outros Estados-Membros serão informados dessas medidas, o mais tardar na data da sua entrada em vigor.

O Conselho, deliberando por maioria qualificada, sob proposta da Comissão, pode decidir que o Estado-Membro em causa deve alterar ou revogar essas medidas. O Presidente do Conselho informará o Parlamento Europeu das decisões tomadas pelo Conselho.

TÍTULO IV

VISTOS, ASILO, IMIGRAÇÃO E OUTRAS POLÍTICAS RELATIVAS À LIVRE CIRCULAÇÃO DE PESSOAS

Artigo 61.º

A fim de criar progressivamente um espaço de liberdade, de segurança e de justiça, o Conselho adoptará:

- a) No prazo de cinco anos a contar da data de entrada em vigor do Tratado de Amesterdão, medidas destinadas a assegurar a livre circulação de pessoas nos termos do artigo 14.º, em conjugação com medidas de acompanhamento, com ela directamente relacionadas, em matéria de controlos na fronteira externa, asilo e imigração, nos termos do disposto nos pontos 2 e 3 do artigo 62.º, no ponto 1, alínea a), e no ponto 2, alínea a), do artigo 63.º, bem como medidas destinadas a prevenir e combater a criminalidade, nos termos da alínea e) do artigo 31.º do Tratado da União Europeia;
- b) Outras medidas em matéria de asilo, imigração e protecção dos direitos de nacionais de países terceiros, nos termos do artigo 63.º;
- c) Medidas no domínio da cooperação judiciária em matéria civil, previstas no artigo 65.º;

- d) Medidas destinadas a incentivar e reforçar a cooperação administrativa a que se refere o artigo 66.º;
- e) Medidas no domínio da cooperação policial e judiciária em matéria penal, destinadas a assegurar um elevado nível de segurança através da prevenção e combate da criminalidade na União, nos termos do Tratado da União Europeia.

Artigo 62.º

O Conselho, deliberando nos termos do artigo 67.º, adoptará, no prazo de cinco anos a contar da data de entrada em vigor do Tratado de Amesterdão:

1. Medidas destinadas a assegurar, de acordo com o artigo 14.º, a ausência de controlos de pessoas, quer se trate de cidadãos da União, quer de nacionais de países terceiros, na passagem das fronteiras internas;
2. Medidas relativas à passagem das fronteiras externas dos Estados-Membros, que conterão:
 - a) As normas e processos a seguir pelos Estados-Membros para a realização dos controlos de pessoas nessas fronteiras;
 - b) Regras em matéria de vistos para as estadias previstas por um período máximo de três meses, nomeadamente:
 - i) a lista dos países terceiros cujos nacionais devem ser detentores de visto na passagem das fronteiras externas e daqueles cujos nacionais estão isentos dessa obrigação,
 - ii) os processos e condições de emissão de vistos pelos Estados-Membros,
 - iii) um modelo-tipo de visto,
 - iv) regras em matéria de visto uniforme;
3. Medidas que estabeleçam as condições da livre circulação de nacionais de países terceiros no território dos Estados-Membros durante um período não superior a três meses.

Artigo 63.º

O Conselho, deliberando nos termos do artigo 67.º, adoptará, no prazo de cinco anos a contar da data de entrada em vigor do Tratado de Amesterdão:

1. Medidas em matéria de asilo concordantes com a Convenção de Genebra, de 28 de Julho de 1951, e o Protocolo, de 31 de Janeiro de 1967, relativos ao estatuto dos refugiados, bem como com os demais tratados pertinentes, nos seguintes domínios:
 - a) Critérios e mecanismos para a determinação do Estado-Membro responsável pela análise de um pedido de asilo apresentado num dos Estados-Membros por um nacional de um país terceiro;
 - b) Normas mínimas em matéria de acolhimento dos requerentes de asilo nos Estados-Membros;

- c) Normas mínimas em matéria de condições a preencher pelos nacionais de países terceiros que pretendam aceder ao estatuto de refugiado;
 - d) Normas mínimas em matéria de concessão ou retirada do estatuto de refugiado nos Estados-Membros;
2. Medidas relativas aos refugiados e às pessoas deslocadas, nos seguintes domínios:
- a) Normas mínimas em matéria de concessão de protecção temporária a pessoas deslocadas de países terceiros que não possam regressar ao seu país de origem, bem como a pessoas que, por outros motivos, necessitem de protecção internacional;
 - b) Medidas tendentes a assegurar uma repartição equilibrada do esforço assumido pelos Estados-Membros ao acolherem refugiados e pessoas deslocadas e suportarem as consequências decorrentes desse acolhimento;
3. Medidas relativas à política de imigração, nos seguintes domínios:
- a) Condições de entrada e de residência, bem como normas relativas aos processos de emissão de vistos de longa duração e autorizações de residência permanente, pelos Estados-Membros, nomeadamente para efeitos de reagrupamento familiar;
 - b) Imigração clandestina e residência ilegal, incluindo o repatriamento de residentes em situação ilegal;
4. Medidas que definam os direitos e condições em que os nacionais de países terceiros que residam legalmente num Estado-Membro podem residir noutros Estados-Membros.

As medidas adoptadas pelo Conselho em aplicação dos pontos 3 e 4 não impedirão os Estados-Membros de manter ou introduzir, nos domínios em causa, disposições nacionais que sejam compatíveis com o presente Tratado e com os acordos internacionais.

O prazo de cinco anos acima previsto não é aplicável às medidas a adoptar nos termos da alínea b) do ponto 2, da alínea a) do ponto 3 e do ponto 4.

Artigo 64.º

1. O disposto no presente título não prejudica o exercício das responsabilidades que incumbem aos Estados-Membros em matéria de manutenção da ordem pública e de garantia da segurança interna.
2. No caso de um ou mais Estados-Membros serem confrontados com uma situação de emergência caracterizada por um súbito afluxo de nacionais de países terceiros, e sem prejuízo do disposto no n.º 1, o Conselho, deliberando por maioria qualificada, sob proposta da Comissão, pode adoptar medidas provisórias, de duração não superior a seis meses, a favor desses Estados-Membros.

Artigo 65.º

As medidas no domínio da cooperação judiciária em matéria civil que tenham uma incidência transfronteiriça, a adoptar nos termos do artigo 67.º e na medida do necessário ao bom funcionamento do mercado interno, terão por objectivo, nomeadamente:

- a) Melhorar e simplificar:
- o sistema de citação e de notificação transfronteiriça dos actos judiciais e extrajudiciais,
 - a cooperação em matéria de obtenção de meios de prova,
 - o reconhecimento e a execução das decisões em matéria civil e comercial, incluindo as decisões extrajudiciais;
- b) Promover a compatibilidade das normas aplicáveis nos Estados-Membros em matéria de conflitos de leis e de jurisdição;
- c) Eliminar os obstáculos à boa tramitação das acções cíveis, promovendo, se necessário, a compatibilidade das normas de processo civil aplicáveis nos Estados-Membros.

Artigo 66.º

O Conselho, deliberando nos termos do artigo 67.º, adoptará medidas destinadas a assegurar uma cooperação entre os serviços competentes das Administrações dos Estados-Membros nos domínios abrangidos pelo presente título, bem como entre esses serviços e a Comissão.

Artigo 67.º ()*

1. Durante um período transitório de cinco anos a contar da data de entrada em vigor do Tratado de Amesterdão, o Conselho delibera por unanimidade, sob proposta da Comissão ou por iniciativa de um Estado-Membro e após consulta ao Parlamento Europeu.
2. Findo esse período de cinco anos:
 - o Conselho delibera sob proposta da Comissão; a Comissão deve instruir qualquer pedido formulado por um Estado-Membro, destinado a constituir uma proposta ao Conselho,
 - o Conselho, deliberando por unanimidade, após consulta ao Parlamento Europeu, toma uma decisão destinada a tornar aplicável o processo previsto no artigo 251.º à totalidade ou a parte dos domínios abrangidos pelo presente título e a adaptar as disposições relativas à competência do Tribunal de Justiça.
3. Em derrogação dos n.ºs 1 e 2, a partir da data de entrada em vigor do Tratado de Amesterdão, as medidas previstas no ponto 2, subalíneas i) e iii) da alínea b), do artigo 62.º serão adoptadas pelo Conselho, deliberando por maioria qualificada, sob proposta da Comissão e após consulta ao Parlamento Europeu.
4. Findo um período de cinco anos a contar da data de entrada em vigor do Tratado de Amesterdão, as medidas previstas no ponto 2, subalíneas ii) e iv) da alínea b), do artigo 62.º serão adoptadas pelo Conselho nos termos do artigo 251.º

(*) Artigo com a redacção que lhe foi dada pelo Tratado de Nice.

5. Em derrogação do n.º 1, o Conselho adopta nos termos do artigo 251.º:

- as medidas previstas no ponto 1 e no ponto 2, alínea a), do artigo 63.º, desde que tenha aprovado previamente, nos termos do n.º 1 do presente artigo, legislação comunitária que defina as normas comuns e os princípios essenciais que passarão a reger essas matérias,
- as medidas previstas no artigo 65.º, com exclusão dos aspectos referentes ao direito da família.

Artigo 68.º

1. O artigo 234.º é aplicável ao presente título, nas circunstâncias e condições a seguir enunciadas: sempre que uma questão sobre a interpretação do presente título ou sobre a validade ou interpretação dos actos adoptados pelas instituições da Comunidade com base no presente título seja suscitada em processo pendente perante um órgão jurisdicional nacional cujas decisões não sejam susceptíveis de recurso judicial previsto no direito interno, esse órgão, se considerar que uma decisão sobre essa questão é necessária ao julgamento da causa, deve pedir ao Tribunal de Justiça que sobre ela se pronuncie.

2. O Tribunal de Justiça não tem competência, em caso algum, para se pronunciar sobre medidas ou decisões tomadas em aplicação do ponto 1 do artigo 62.º relativas à manutenção da ordem pública e à garantia da segurança interna.

3. O Conselho, a Comissão ou um Estado-Membro podem solicitar ao Tribunal de Justiça que se pronuncie sobre uma questão de interpretação do presente título ou de actos adoptados pelas instituições da Comunidade com base nele. A decisão proferida pelo Tribunal de Justiça em resposta a esse pedido não é aplicável às decisões dos órgãos jurisdicionais dos Estados-Membros que constituam caso julgado.

Artigo 69.º

O presente título é aplicável sob reserva do disposto no Protocolo relativo à posição do Reino Unido e da Irlanda e no Protocolo relativo à posição da Dinamarca e sem prejuízo do Protocolo relativo à aplicação de certos aspectos do artigo 14.º do Tratado que institui a Comunidade Europeia ao Reino Unido e à Irlanda.

TÍTULO V

OS TRANSPORTES

Artigo 70.º

No que diz respeito à matéria regulada no presente título, os Estados-Membros prosseguirão os objectivos do Tratado no âmbito de uma política comum dos transportes.

Artigo 71.º

1. Para efeitos de aplicação do artigo 70.º, e tendo em conta os aspectos específicos dos transportes, o Conselho, deliberando nos termos do artigo 251.º e após consulta ao Comité Económico e Social e ao Comité das Regiões, estabelece:

- a) Regras comuns aplicáveis aos transportes internacionais efectuados a partir de ou com destino ao território de um Estado-Membro, ou que atravessem o território de um ou mais Estados-Membros;

- b) As condições em que os transportadores não residentes podem efectuar serviços de transporte num Estado-Membro;
- c) Medidas que permitam aumentar a segurança dos transportes;
- d) Quaisquer outras disposições adequadas.

2. Em derrogação do procedimento previsto no n.º 1, as disposições que incidam sobre os princípios do regime dos transportes e cuja aplicação seja susceptível de afectar gravemente o nível de vida e o emprego em certas regiões, bem como a exploração dos equipamentos de transporte, tendo em conta a necessidade de adaptação ao desenvolvimento económico que vier a resultar do estabelecimento do mercado comum, serão adoptadas pelo Conselho, deliberando por unanimidade, sob proposta da Comissão e após consulta do Parlamento Europeu e do Comité Económico e Social.

Artigo 72.º

Enquanto não forem adoptadas as disposições referidas no n.º 1 do artigo 71.º, e salvo acordo unânime do Conselho, nenhum dos Estados-Membros pode alterar as diversas disposições que regulem a matéria em 1 de Janeiro de 1958, ou quanto aos Estados que aderem à Comunidade, à data da respectiva adesão, de tal modo que elas, nos seus efeitos directos ou indirectos, se tornem, para os transportadores dos restantes Estados-Membros, menos favoráveis do que para os transportadores nacionais desse Estado.

Artigo 73.º

São compatíveis com o presente Tratado os auxílios que vão ao encontro das necessidades de coordenação dos transportes ou correspondam ao reembolso de certas prestações inerentes à noção de serviço público.

Artigo 74.º

Qualquer medida relativa aos preços e condições de transporte, tomada no âmbito do presente Tratado, deve ter em consideração a situação económica dos transportadores.

Artigo 75.º

1. Devem ser suprimidas, no tráfego interno da Comunidade, as discriminações que consistam na aplicação, por parte de um transportador, e idênticas mercadorias e nas mesmas relações de tráfego, de preços e condições de transporte diferentes, em razão do país de origem ou de destino dos produtos transportados.

2. O disposto no n.º 1 não exclui que o Conselho possa tomar outras medidas em execução do n.º 1 do artigo 71.º

3. O Conselho, deliberando por maioria qualificada, sob proposta da Comissão, e após consulta do Comité Económico e Social, adoptará regulamentação para a execução do disposto no n.º 1.

O Conselho pode, designadamente, tomar as medidas necessárias que permitam às instituições da Comunidade velar pelo cumprimento do disposto no n.º 1 e assegurem que os utentes disso tirem pleno benefício.

4. A Comissão, por iniciativa própria ou a pedido de qualquer Estado-Membro, examinará os casos de discriminação previstos no n.º 1 e, após consulta de todos os Estados-Membros interessados, tomará as decisões necessárias, no âmbito da regulamentação adoptada nos termos do n.º 3.

Artigo 76.º

1. Fica proibido a qualquer Estado-Membro, salvo autorização da Comissão, impor aos transportes efectuados na Comunidade preços e condições que impliquem qualquer elemento de apoio ou protecção em benefício de uma ou mais empresas ou indústrias determinadas.

2. A Comissão, por iniciativa própria ou a pedido de qualquer Estado-Membro, analisará os preços e condições referidas no n.º 1, tomando, designadamente, em consideração, por um lado, as exigências de uma política económica regional adequada, as necessidades das regiões subdesenvolvidas e os problemas das regiões gravemente afectadas por circunstâncias políticas e, por outro, os efeitos destes preços e condições na concorrência entre os diferentes modos de transporte.

Após consulta de todos os Estados-Membros interessados, a Comissão tomará as decisões necessárias.

3. A proibição prevista no n.º 1 não é aplicável às tarifas de concorrência.

Artigo 77.º

Os encargos ou taxas que, para além dos preços de transporte, forem cobrados por um transportador na passagem das fronteiras, não devem ultrapassar um nível razoável, tendo em conta os custos reais efectivamente ocasionados por essa passagem.

Os Estados-Membros esforçar-se-ão por reduzir progressivamente esses custos.

A Comissão pode dirigir recomendações aos Estados-Membros, tendo em vista a aplicação do presente artigo.

Artigo 78.º

As disposições do presente título não prejudicam as medidas tomadas na República Federal da Alemanha, desde que sejam necessárias para compensar as desvantagens económicas que a divisão da Alemanha causa na economia de certas regiões da República Federal afectadas por essa divisão.

Artigo 79.º

Um comité consultivo, composto por peritos designados pelos Governos dos Estados-Membros, será instituído junto da Comissão. A Comissão consultá-lo-á em matéria de transportes, sempre que o considere oportuno, sem prejuízo das atribuições do Comité Económico e Social.

Artigo 80.º

1. As disposições do presente título são aplicáveis aos transportes por caminho-de-ferro, por estrada e por via navegável.
2. O Conselho, deliberando por maioria qualificada, pode decidir-se, em que medida, e por que processo, podem ser adoptadas, para os transportes marítimos e aéreos, disposições adequadas.

São aplicáveis as disposições processuais do artigo 71.º

TÍTULO VI

AS REGRAS COMUNS RELATIVAS À CONCORRÊNCIA, À FISCALIDADE E À APROXIMAÇÃO DAS LEGISLAÇÕES

CAPÍTULO 1

AS REGRAS DE CONCORRÊNCIA

SECÇÃO 1

AS REGRAS APLICÁVEIS ÀS EMPRESAS*Artigo 81.º*

1. São incompatíveis com o mercado comum e proibidos todos os acordos entre empresas, todas as decisões de associações de empresas e todas as práticas concertadas que sejam susceptíveis de afectar o comércio entre os Estados-Membros e que tenham por objectivo ou efeito impedir, restringir ou falsear a concorrência no mercado comum, designadamente as que consistam em:
 - a) Fixar, de forma directa ou indirecta, os preços de compra ou de venda, ou quaisquer outras condições de transacção;
 - b) Limitar ou controlar a produção, a distribuição, o desenvolvimento técnico ou os investimentos;
 - c) Repartir os mercados ou as fontes de abastecimento;
 - d) Aplicar, relativamente a parceiros comerciais, condições desiguais no caso de prestações equivalentes colocando-os, por esse facto, em desvantagem na concorrência;
 - e) Subordinar a celebração de contratos à aceitação, por parte dos outros contraentes, de prestações suplementares que, pela sua natureza ou de acordo com os usos comerciais, não têm ligação com o objecto desses contratos.
2. São nulos os acordos ou decisões proibidos pelo presente artigo.
3. As disposições no n.º 1 podem, todavia, ser declaradas inaplicáveis:
 - a qualquer acordo, ou categoria de acordos, entre empresas,

— a qualquer decisão, ou categoria de decisões, de associações de empresas,

e

— a qualquer prática concertada, ou categoria de práticas concertadas,

que contribuam para melhorar a produção ou a distribuição dos produtos ou para promover o progresso técnico ou económico, contanto que aos utilizadores se reserve uma parte equitativa do lucro daí resultante, e que:

- a) Não imponham às empresas em causa quaisquer restrições que não sejam indispensáveis à consecução desses objectivos;
- b) Nem dêem a essas empresas a possibilidade de eliminar a concorrência relativamente a uma parte substancial dos produtos em causa.

Artigo 82.º

É incompatível com o mercado comum e proibido, na medida em que tal seja susceptível de afectar o comércio entre os Estados-Membros, o facto de uma ou mais empresas explorarem de forma abusiva uma posição dominante no mercado comum ou numa parte substancial deste.

Estas práticas abusivas podem, nomeadamente, consistir em:

- a) Impor, de forma directa ou indirecta, preços de compra ou de venda ou outras condições de transacção não equitativas;
- b) Limitar a produção, a distribuição ou o desenvolvimento técnico em prejuízo dos consumidores;
- c) Aplicar, relativamente a parceiros comerciais, condições desiguais no caso de prestações equivalentes colocando-os, por esse facto, em desvantagem na concorrência;
- d) Subordinar a celebração de contratos à aceitação, por parte dos outros contraentes, de prestações suplementares que, pela sua natureza ou de acordo com os usos comerciais, não têm ligação com o objecto desses contratos.

Artigo 83.º

1. Os regulamentos ou directivas necessários à aplicação dos princípios constantes dos artigos 81.º e 82.º serão estabelecidos pelo Conselho, deliberando por maioria qualificada sob proposta da Comissão, após consulta do Parlamento Europeu.

2. Os regulamentos e as directivas referidas no n.º 1 têm por finalidade, designadamente:

- a) Garantir o respeito das proibições referidas no n.º 1 do artigo 81.º e no artigo 82.º, pela cominação de multas e adstricções;

- b) Determinar as modalidades de aplicação do n.º 3 do artigo 81.º, tendo em conta a necessidade, por um lado, de garantir uma fiscalização eficaz e, por outro, de simplificar o mais possível o controlo administrativo;
- c) Definir, quando necessário, o âmbito de aplicação do disposto nos artigos 81.º e 82.º, relativamente aos diversos sectores económicos;
- d) Definir as funções respectivas da Comissão e do Tribunal de Justiça quanto à aplicação do disposto no presente número;
- e) Definir as relações entre as legislações nacionais e as disposições constantes da presente secção ou as adoptadas em execução do presente artigo.

Artigo 84.º

Até à data da entrada em vigor das disposições adoptadas em execução do artigo 83.º, as autoridades dos Estados-Membros decidirão sobre a admissibilidade dos acordos, decisões e práticas concertadas e sobre a exploração abusiva de uma posição dominante no mercado comum, em conformidade com o direito dos seus próprios países e com o disposto no artigo 81.º, designadamente no n.º 3, e no artigo 82.º

Artigo 85.º

1. Sem prejuízo do disposto no artigo 84.º, a Comissão velará pela aplicação dos princípios enunciados nos artigos 81.º e 82.º. A pedido de um Estado-Membro, ou oficiosamente, e em cooperação com as autoridades competentes dos Estados-Membros, que lhe prestarão assistência, a Comissão instruirá os casos de presumível infracção a estes princípios. Se a Comissão verificar que houve infracção, proporá os meios adequados para se lhe pôr termo.

2. Se a infracção não tiver cessado, a Comissão declarará verificada essa infracção aos princípios, em decisão devidamente fundamentada. A Comissão pode publicar a sua decisão e autorizar os Estados-Membros a tomarem as medidas, de que fixará as condições e modalidades, necessárias para sanar a situação.

Artigo 86.º

1. No que respeita às empresas públicas e às empresas a que concedam direitos especiais ou exclusivos, os Estados-Membros não tomarão nem manterão qualquer medida contrária ao disposto no presente Tratado, designadamente ao disposto nos artigos 12.º e 81.º a 89.º, inclusive.

2. As empresas encarregadas da gestão de serviços de interesse económico geral ou que tenham a natureza de monopólio fiscal ficam submetidas ao disposto no presente Tratado, designadamente às regras de concorrência, na medida em que a aplicação destas regras não constitua obstáculo ao cumprimento, de direito ou de facto, da missão particular que lhes foi confiada. O desenvolvimento das trocas comerciais não deve ser afectado de maneira que contrarie os interesses da Comunidade.

3. A Comissão velará pela aplicação do disposto no presente artigo e dirigirá aos Estados-Membros, quando necessário, as directivas ou decisões adequadas.

SECÇÃO 2

OS AUXÍLIOS CONCEDIDOS PELOS ESTADOS*Artigo 87.º*

1. Salvo disposição em contrário do presente Tratado, são incompatíveis com o mercado comum, na medida em que afectem as trocas comerciais entre os Estados-Membros, os auxílios concedidos pelos Estados ou provenientes de recursos estatais, independentemente da forma que assumam, que falseiem ou ameacem falsear a concorrência, favorecendo certas empresas ou certas produções.

2. São compatíveis com o mercado comum:

- a) Os auxílios de natureza social atribuídos a consumidores individuais com a condição de serem concedidos sem qualquer discriminação relacionada com a origem dos produtos;
- b) Os auxílios destinados a remediar os danos causados por calamidades naturais ou por outros acontecimentos extraordinários;
- c) Os auxílios atribuídos à economia de certas regiões da República Federal da Alemanha afectadas pela divisão da Alemanha, desde que sejam necessários para compensar as desvantagens económicas causadas por esta divisão.

3. Podem ser considerados compatíveis com o mercado comum:

- a) Os auxílios destinados a promover o desenvolvimento económico de regiões em que o nível de vida seja anormalmente baixo ou em que exista grave situação de subemprego;
- b) Os auxílios destinados a fomentar a realização de um projecto importante de interesse europeu comum, ou a sanar uma perturbação grave da economia de um Estado-Membro;
- c) Os auxílios destinados a facilitar o desenvolvimento de certas actividades ou regiões económicas, quando não alterem as condições das trocas comerciais de maneira que contrariem o interesse comum;
- d) Os auxílios destinados a promover a cultura e a conservação do património, quando não alterem as condições das trocas comerciais e da concorrência na Comunidade num sentido contrário ao interesse comum;
- e) As outras categorias de auxílios determinadas por decisão do Conselho, deliberando por maioria qualificada, sob proposta da Comissão.

Artigo 88.º

1. A Comissão procederá, em cooperação com os Estados-Membros, ao exame permanente dos regimes de auxílios existentes nesses Estados. A Comissão proporá também aos Estados-Membros as medidas adequadas, que sejam exigidas pelo desenvolvimento progressivo ou pelo funcionamento do mercado comum.

2. Se a Comissão, depois de ter notificado os interessados para apresentarem as suas observações, verificar que um auxílio concedido por um Estado ou proveniente de recursos estatais não é compatível com o mercado comum nos termos do artigo 87.º, ou que esse auxílio está a ser aplicado de forma abusiva, decidirá que o Estado em causa deve suprimir ou modificar esse auxílio no prazo que ela fixar.

Se o Estado em causa não der cumprimento a esta decisão no prazo fixado, a Comissão ou qualquer outro Estado interessado podem recorrer directamente ao Tribunal de Justiça, em derrogação do disposto nos artigos 226.º e 227.º

A pedido de qualquer Estado-Membro, o Conselho, deliberando por unanimidade, pode decidir que um auxílio, instituído ou a instituir por esse Estado, deve considerar-se compatível com o mercado comum, em derrogação do disposto no artigo 87.º ou nos regulamentos previstos no artigo 89.º, se circunstâncias excepcionais justificarem tal decisão. Se, em relação a este auxílio, a Comissão tiver dado início ao procedimento previsto no primeiro parágrafo deste número, o pedido do Estado interessado dirigido ao Conselho terá por efeito suspender o referido procedimento até que o Conselho se pronuncie sobre a questão.

Todavia, se o Conselho não se pronunciar no prazo de três meses a contar da data do pedido, a Comissão decidirá.

3. Para que possa apresentar as suas observações, deve a Comissão ser informada atempadamente dos projectos relativos à instituição ou alteração de quaisquer auxílios. Se a Comissão considerar que determinado projecto de auxílio não é compatível com o mercado comum nos termos do artigo 87.º, deve sem demora dar início ao procedimento previsto no número anterior. O Estado-Membro em causa não pode pôr em execução as medidas projectadas antes de tal procedimento haver sido objecto de uma decisão final.

Artigo 89.º

O Conselho, deliberando por maioria qualificada, sob proposta da Comissão, e após consulta do Parlamento Europeu, pode adoptar todos os regulamentos adequados à execução dos artigos 87.º e 88.º e fixar, designadamente, as condições de aplicação do n.º 3 do artigo 88.º e as categorias de auxílios que ficam dispensadas desse procedimento.

CAPÍTULO 2

DISPOSIÇÕES FISCAIS

Artigo 90.º

Nenhum Estado-Membro fará incidir, directa ou indirectamente, sobre os produtos dos outros Estados-Membros imposições internas, qualquer que seja a sua natureza, superiores às que incidam, directa ou indirectamente, sobre produtos nacionais similares.

Além disso, nenhum Estado-Membro fará incidir sobre os produtos dos outros Estados-Membros imposições internas de modo a proteger indirectamente outras produções.

Artigo 91.º

Os produtos exportados para o território de um dos Estados-Membros não podem beneficiar de qualquer reembolso de imposições internas, superior às imposições que sobre eles tenham incidido, directa ou indirectamente.

Artigo 92.º

Relativamente às imposições que não sejam os impostos sobre o volume de negócios, sobre consumos específicos e outros impostos indirectos, só podem ser concedidas exonerações e reembolsos à exportação para outros Estados-Membros, ou lançados direitos de compensação às importações provenientes de Estados-Membros, desde que as medidas projectadas tenham sido previamente aprovadas pelo Conselho, deliberando por maioria qualificada, sob proposta da Comissão, para vigorarem por um período de tempo limitado.

Artigo 93.º

O Conselho, deliberando por unanimidade, sob proposta da Comissão, e após consulta do Parlamento Europeu e do Comité Económico e Social, adopta as disposições relacionadas com a harmonização das legislações relativas aos impostos sobre o volume de negócios, aos impostos especiais de consumo e a outros impostos indirectos, na medida em que essa harmonização seja necessária para assegurar o estabelecimento e o funcionamento do mercado interno no prazo previsto no artigo 14.º

CAPÍTULO 3

A APROXIMAÇÃO DAS LEGISLAÇÕES

Artigo 94.º

O Conselho, deliberando por unanimidade, sob proposta da Comissão, e após consulta do Parlamento Europeu e do Comité Económico e Social, adopta directivas para a aproximação das disposições legislativas, regulamentares e administrativas dos Estados-Membros que tenham incidência directa no estabelecimento ou no funcionamento do mercado comum.

Artigo 95.º

1. Em derrogação do artigo 94.º e salvo disposição em contrário do presente Tratado, aplicam-se as disposições seguintes à realização dos objectivos enunciados no artigo 14.º. O Conselho, deliberando de acordo com o procedimento previsto no artigo 251.º, e após consulta do Comité Económico e Social, adopta as medidas relativas à aproximação das disposições legislativas, regulamentares e administrativas dos Estados-Membros, que tenham por objecto o estabelecimento e o funcionamento do mercado interno.

2. O n.º 1 não se aplica às disposições fiscais, às relativas à livre circulação das pessoas e às relativas aos direitos e interesses dos trabalhadores assalariados.

3. A Comissão, nas suas propostas previstas no n.º 1 em matéria de saúde, de segurança, de protecção do ambiente e de defesa dos consumidores, basear-se-á num nível de protecção elevado, tendo nomeadamente em conta qualquer nova evolução baseada em dados científicos. No âmbito das respectivas competências, o Parlamento Europeu e o Conselho procurarão igualmente alcançar esse objectivo.

4. Se, após adopção de uma medida de harmonização pelo Conselho ou pela Comissão, um Estado-Membro considerar necessário manter disposições nacionais justificadas por exigências importantes a que se refere o artigo 30.º ou relativas à protecção do meio de trabalho ou do ambiente, notificará a Comissão dessas medidas, bem como das razões que motivam a sua manutenção.

5. Além disso, sem prejuízo do disposto no n.º 4, se, após a adopção de uma medida de harmonização pelo Conselho ou pela Comissão, um Estado-Membro considerar necessário adoptar disposições nacionais baseadas em novas provas científicas relacionadas com a protecção do meio de trabalho ou do ambiente, ou motivadas por qualquer problema específico desse Estado-Membro, que tenha surgido após a adopção da referida medida de harmonização, notificará a Comissão das disposições previstas, bem como dos motivos da sua adopção.

6. No prazo de seis meses a contar da data das notificações a que se referem os n.ºs 4 e 5, a Comissão aprovará ou rejeitará as disposições nacionais em causa, depois de ter verificado que não constituem um meio de discriminação arbitrária ou uma restrição dissimulada ao comércio entre os Estados-Membros, nem um obstáculo ao funcionamento do mercado interno.

Na ausência de decisão da Comissão dentro do citado prazo, considera-se que as disposições nacionais a que se referem os n.ºs 4 e 5 foram aprovadas.

Se a complexidade da questão o justificar, e não existindo perigo para a saúde humana, a Comissão pode notificar o respectivo Estado-Membro de que o prazo previsto no presente número pode ser prorrogado por um novo período de seis meses, no máximo.

7. Se, em aplicação do n.º 6, um Estado-Membro for autorizado a manter ou adoptar disposições nacionais derrogatórias de uma medida de harmonização, a Comissão ponderará imediatamente se deve propor uma adaptação dessa medida.

8. Sempre que um Estado-Membro levante um problema específico em matéria de saúde pública num domínio que tenha sido previamente objecto de medidas de harmonização, informará do facto a Comissão, que ponderará imediatamente se deve propor ao Conselho medidas adequadas.

9. Em derrogação do disposto nos artigos 226.º e 227.º, a Comissão ou qualquer Estado-Membro pode recorrer directamente ao Tribunal de Justiça, se considerar que outro Estado-Membro utiliza de forma abusiva os poderes previstos no presente artigo.

10. As medidas de harmonização acima referidas compreenderão, nos casos adequados, uma cláusula de salvaguarda que autorize os Estados-Membros a tomarem, por uma ou mais razões não económicas previstas no artigo 30.º, medidas provisórias sujeitas a um processo comunitário de controlo.

Artigo 96.º

Se a Comissão verificar que a existência de uma disparidade entre as disposições legislativas, regulamentares ou administrativas dos Estados-Membros falseia as condições de concorrência no mercado comum, provocando assim uma distorção que deve ser eliminada, consultará os Estados-Membros em causa.

Se desta consulta não resultar um acordo que elimine a distorção em causa, o Conselho, sob proposta da Comissão, deliberando por maioria qualificada, adoptará as directivas necessárias para o efeito. A Comissão e o Conselho podem tomar quaisquer outras medidas adequadas previstas no presente Tratado.

Artigo 97.º

1. Quando houver motivo para reear que a adopção ou alteração de uma disposição legislativa, regulamentar ou administrativa possa provocar uma distorção, na acepção do artigo anterior, o Estado-Membro que pretenda tomar essa medida consultará a Comissão. Após ter consultado os Estados-Membros, a Comissão recomendará aos Estados interessados as medidas adequadas, tendentes a evitar a distorção em causa.

2. Se o Estado que pretende adoptar ou alterar disposições nacionais não proceder em conformidade com a recomendação que a Comissão lhe dirigiu, não se pode pedir aos outros Estados-Membros que, por força do artigo 96.º, alterem as suas disposições nacionais a fim de eliminarem tal distorção. Se o Estado-Membro que ignorou a recomendação da Comissão provocar uma distorção em seu exclusivo detrimento, não é aplicável o disposto no artigo 96.º

TÍTULO VII

A POLÍTICA ECONÓMICA E MONETÁRIA

CAPÍTULO 1

A POLÍTICA ECONÓMICA

Artigo 98.º

Os Estados-Membros conduzirão as suas políticas económicas no sentido de contribuir para a realização dos objectivos da Comunidade, tal como se encontram definidos no artigo 2.º, e no âmbito das orientações gerais a que se refere o n.º 2 do artigo 99.º. Os Estados-Membros e a Comunidade actuarão de acordo com o princípio de uma economia de mercado aberto e de livre concorrência, favorecendo uma repartição eficaz dos recursos, e em conformidade com os princípios estabelecidos no artigo 4.º

Artigo 99.º

1. Os Estados-Membros consideram as suas políticas económicas uma questão de interesse comum e coordená-las-ão no Conselho, de acordo com o disposto no artigo 98.º

2. O Conselho, deliberando por maioria qualificada, sob recomendação da Comissão, elabora um projecto de orientações gerais das políticas económicas dos Estados-Membros e da Comunidade e apresentará um relatório ao Conselho Europeu com as suas conclusões.

O Conselho Europeu, deliberando com base no relatório do Conselho, discutirá uma conclusão sobre as orientações gerais das políticas económicas dos Estados-Membros e da Comunidade.

Com base nessa conclusão, o Conselho, deliberando por maioria qualificada, aprovará uma recomendação que estabeleça essas orientações gerais. O Conselho informará o Parlamento Europeu da sua recomendação.

3. A fim de garantir uma coordenação mais estreita das políticas económicas e uma convergência sustentada dos comportamentos das economias dos Estados-Membros, o Conselho, com base em relatórios apresentados pela Comissão, acompanhará a evolução económica em cada Estado-Membro e na Comunidade e verificará a compatibilidade das políticas económicas com as orientações gerais a que se refere o n.º 2, procedendo regularmente a uma avaliação global da situação.

Para efeitos desta supervisão multilateral, os Estados-Membros enviarão informações à Comissão acerca das medidas importantes por eles tomadas no domínio das suas políticas económicas e quaisquer outras informações que considerem necessárias.

4. Sempre que se verificar, no âmbito do procedimento a que se refere o n.º 3, que as políticas económicas de determinado Estado-Membro não são compatíveis com as grandes orientações a que se refere o n.º 2 ou que são susceptíveis de comprometer o bom funcionamento da união económica e monetária, o Conselho, deliberando por maioria qualificada, sob recomendação da Comissão, pode dirigir as recomendações necessárias ao Estado-Membro em causa. O Conselho, deliberando por maioria qualificada, sob proposta da Comissão, pode decidir tornar públicas as suas recomendações.

O Presidente do Conselho e a Comissão apresentarão um relatório ao Parlamento Europeu sobre os resultados da supervisão multilateral. O Presidente do Conselho pode ser convidado a comparecer perante a competente Comissão do Parlamento Europeu, se o Conselho tiver tornado públicas as suas recomendações.

5. O Conselho, deliberando de acordo com o procedimento previsto no artigo 252.º, pode aprovar as regras do procedimento de supervisão multilateral a que se referem os n.ºs 3 e 4 do presente artigo.

Artigo 100.º ()*

1. Sem prejuízo de quaisquer outros procedimentos previstos no presente Tratado, o Conselho, deliberando por maioria qualificada, sob proposta da Comissão, pode decidir das medidas apropriadas à situação económica, nomeadamente em caso de dificuldades graves no aprovisionamento de certos produtos.

2. Sempre que um Estado-Membro se encontre em dificuldades ou sob grave ameaça de dificuldades devidas a calamidades naturais ou ocorrências excepcionais que não possa controlar, o Conselho, deliberando por maioria qualificada, sob proposta da Comissão, pode, sob certas condições, conceder ajuda financeira comunitária ao Estado-Membro em questão. O Presidente do Conselho informará o Parlamento Europeu da decisão tomada.

Artigo 101.º

1. É proibida a concessão de créditos sob a forma de descobertos ou sob qualquer outra forma pelo BCE ou pelos bancos centrais nacionais dos Estados-Membros, adiante designados por «bancos centrais nacionais», em benefício de instituições ou organismos da Comunidade, governos centrais, autoridades regionais, locais, ou outras autoridades públicas, outros organismos do sector público ou empresas públicas dos Estados-Membros, bem como a compra directa de títulos de dívida a essas entidades, pelo BCE ou pelos bancos centrais nacionais.

2. As disposições do n.º 1 não se aplicam às instituições de crédito de capitais públicos às quais, no contexto da oferta de reservas pelos bancos centrais, será dado, pelos bancos centrais nacionais e pelo BCE, o mesmo tratamento que às instituições de crédito privadas.

Artigo 102.º

1. São proibidas quaisquer medidas não baseadas em considerações de ordem prudencial que possibilitem o acesso privilegiado às instituições financeiras por parte das instituições ou organismos da Comunidade, dos governos centrais, das autoridades regionais ou locais, ou outras autoridades públicas, de outros organismos do sector público ou de empresas públicas dos Estados-Membros.

(*) Artigo com a redacção que lhe foi dada pelo Tratado de Nice.

2. O Conselho, deliberando de acordo com o procedimento previsto no artigo 252.º, estabelecerá, até 1 de Janeiro de 1994, as definições para a aplicação da proibição a que se refere o n.º 1.

Artigo 103.º

1. Sem prejuízo das garantias financeiras mútuas para a execução conjunta de projectos específicos, a Comunidade não é responsável pelos compromissos dos governos centrais, das autoridades regionais ou locais, ou de outras autoridades públicas, dos outros organismos do sector público ou das empresas públicas de qualquer Estado-Membro, nem assumirá esses compromissos. Sem prejuízo das garantias financeiras mútuas para a execução conjunta de projectos específicos, os Estados-Membros não são responsáveis pelos compromissos dos governos centrais, das autoridades regionais ou locais, ou de outras autoridades públicas, dos outros organismos do sector público ou das empresas públicas de outros Estados-Membros, nem assumirão esses compromissos.

2. O Conselho, deliberando de acordo com o procedimento previsto no artigo 252.º, pode, se necessário, estabelecer definições para a aplicação das proibições a que se referem o artigo 101.º e o presente artigo.

Artigo 104.º

1. Os Estados-Membros devem evitar défices orçamentais excessivos.

2. A Comissão acompanhará a evolução da situação orçamental e do montante da dívida pública nos Estados-Membros, a fim de identificar desvios importantes. Examinará, em especial, o cumprimento da disciplina orçamental com base nos dois critérios seguintes:

- a) Se a relação entre o défice orçamental programado ou verificado e o produto interno bruto excede um valor de referência, excepto:
 - se essa relação tiver baixado de forma substancial e contínua e tiver atingido um nível que se aproxime do valor de referência,
 - ou, em alternativa, se o excesso em relação ao valor de referência for meramente excepcional e temporário e se aquela relação continuar perto do valor de referência;
- b) Se a relação entre a dívida pública e o produto interno bruto excede um valor de referência, excepto se essa relação se encontrar em diminuição significativa e se estiver a aproximar, de forma satisfatória, do valor de referência.

Os valores de referência encontram-se especificados no Protocolo relativo ao procedimento aplicável em caso de défice excessivo, anexo ao presente Tratado.

3. Se um Estado-Membro não cumprir os requisitos constantes de um ou de ambos estes critérios, a Comissão preparará um relatório. O relatório da Comissão analisará igualmente se o défice orçamental excede as despesas públicas de investimento e tomará em consideração todos os outros factores pertinentes, incluindo a situação económica e orçamental a médio prazo desse Estado-Membro.

A Comissão pode ainda preparar um relatório se, apesar de os requisitos estarem a ser preenchidos de acordo com os critérios enunciados, for de opinião de que existe um risco de défice excessivo em determinado Estado-Membro.

4. O comité a que se refere o artigo 114.º formulará um parecer sobre o relatório da Comissão.

5. Se a Comissão considerar que em determinado Estado-Membro existe ou poderá ocorrer um défice excessivo, enviará um parecer ao Conselho.

6. O Conselho, deliberando por maioria qualificada, sob recomendação da Comissão, e tendo considerado todas as observações que o Estado-Membro interessado pretenda fazer, decidirá, depois de ter avaliado globalmente a situação, se existe ou não um défice excessivo.

7. Sempre que, nos termos do n.º 6, o Conselho decida que existe um défice excessivo, dirigirá recomendações ao Estado-Membro em causa com o objectivo de pôr fim àquela situação num dado prazo. Sem prejuízo do disposto no n.º 8, essas recomendações não serão tornadas públicas.

8. Sempre que verificar que, na sequência das suas recomendações, não foram tomadas medidas eficazes no prazo estabelecido, o Conselho pode tornar públicas as suas recomendações.

9. Se um Estado-Membro persistir em não pôr em prática as recomendações do Conselho, este pode decidir notificar esse Estado-Membro para, num dado prazo, tomar medidas destinadas a reduzir o défice para um nível que o Conselho considerar necessário para obviar à situação.

Nesse caso, o Conselho pode pedir ao Estado-Membro em causa que lhe apresente relatórios de acordo com um calendário específico, a fim de analisar os esforços de ajustamento desse Estado-Membro.

10. O direito de intentar acções previsto nos artigos 226.º e 227.º não pode ser exercido no âmbito dos n.ºs 1 a 9 do presente artigo.

11. Se um Estado-Membro não cumprir uma decisão tomada nos termos do n.º 9, o Conselho pode decidir aplicar, ou eventualmente intensificar, uma ou mais das seguintes medidas:

- exigir que o Estado-Membro em causa divulgue informações complementares, a determinar pelo Conselho, antes de emitir obrigações e títulos,
- convidar o Banco Europeu de Investimento a reconsiderar a sua política de empréstimos em relação ao Estado-Membro em causa,
- exigir do Estado-Membro em causa a constituição, junto da Comunidade, de um depósito não remunerado de montante apropriado, até que, na opinião do Conselho, o défice excessivo tenha sido corrigido,
- impor multas de importância apropriada.

O Presidente do Conselho informará o Parlamento Europeu das decisões tomadas.

12. O Conselho revogará parte ou a totalidade das decisões a que se referem os n.ºs 6 a 9 e 11 na medida em que considere que o défice excessivo no Estado-Membro em causa foi corrigido. Se o Conselho tiver previamente tornado públicas as suas recomendações, deve, logo que a decisão tomada ao abrigo do n.º 8 tiver sido revogada, fazer uma declaração pública de que deixou de existir um défice excessivo no Estado-Membro em causa.

13. Ao tomar as decisões do Conselho a que se referem os n.ºs 7 a 9, 11 e 12, este delibera sob recomendação da Comissão, por maioria de dois terços dos votos dos seus membros, ponderados nos termos do n.º 2 do artigo 205.º, com exclusão dos votos do representante do Estado-Membro em causa.

14. O Protocolo relativo ao procedimento aplicável em caso de défice excessivo, anexo ao presente Tratado, contém outras disposições relacionadas com a aplicação do procedimento descrito no presente artigo.

O Conselho, deliberando por unanimidade, sob proposta da Comissão, e após consulta do Parlamento Europeu e do BCE, aprovará as disposições apropriadas, que substituirão o referido Protocolo.

Sem prejuízo das demais disposições do presente número, o Conselho, deliberando por maioria qualificada, sob proposta da Comissão, e após consulta do Parlamento Europeu, estabelecerá, até 1 de Janeiro de 1994, regras e definições para a aplicação das disposições do citado Protocolo.

CAPÍTULO 2

A POLÍTICA MONETÁRIA

Artigo 105.º

1. O objectivo primordial do SEBC é a manutenção da estabilidade dos preços. Sem prejuízo do objectivo da estabilidade dos preços, o SEBC apoiará as políticas económicas gerais na Comunidade tendo em vista contribuir para a realização dos objectivos da Comunidade tal como se encontram definidos no artigo 2.º. O SEBC actuará de acordo com o princípio de uma economia de mercado aberto e de livre concorrência, incentivando a repartição eficaz dos recursos e observando os princípios definidos no artigo 4.º

2. As atribuições fundamentais cometidas ao SEBC são:

- a definição e execução da política monetária da Comunidade,
- a realização de operações cambiais compatíveis com o disposto no artigo 111.º,
- a detenção e gestão das reservas cambiais oficiais dos Estados-Membros,
- a promoção do bom funcionamento dos sistemas de pagamentos.

3. O terceiro travessão do n.º 2 não obsta à detenção e gestão, pelos Governos dos Estados-Membros, de saldos de tesouraria em divisas.

4. O BCE será consultado:

- sobre qualquer proposta de acto comunitário nos domínios das suas atribuições,
- pelas autoridades nacionais sobre qualquer projecto de disposição legal nos domínios das suas atribuições, mas nos limites e condições definidos pelo Conselho de acordo com o procedimento previsto no n.º 6 do artigo 107.º

O BCE pode apresentar pareceres sobre questões do âmbito das suas atribuições às competentes instituições ou organismos da Comunidade ou às autoridades nacionais.

5. O SEBC contribuirá para a boa condução das políticas desenvolvidas pelas autoridades competentes no que se refere à supervisão prudencial das instituições de crédito e à estabilidade do sistema financeiro.

6. O Conselho, deliberando por unanimidade, sob proposta da Comissão e após consulta do BCE, e depois de ter recebido parecer favorável do Parlamento Europeu, pode conferir ao BCE atribuições específicas no que diz respeito às políticas relativas à supervisão prudencial das instituições de crédito e de outras instituições financeiras, com excepção das empresas de seguros.

Artigo 106.º

1. O BCE tem o direito exclusivo de autorizar a emissão de notas de banco na Comunidade. O BCE e os bancos centrais nacionais podem emitir essas notas. As notas de banco emitidas pelo BCE e pelos bancos centrais nacionais são as únicas com curso legal na Comunidade.

2. Os Estados-Membros podem emitir moedas metálicas, sem prejuízo da aprovação pelo BCE do volume da respectiva emissão. O Conselho, deliberando de acordo com o procedimento previsto no artigo 252.º e após consulta do BCE, pode adoptar medidas para harmonizar as denominações e especificações técnicas de todas as moedas metálicas destinadas à circulação, na medida do necessário para permitir a sua fácil circulação dentro da Comunidade.

Artigo 107.º

1. O SEBC é constituído pelo BCE e pelos bancos nacionais.

2. O BCE tem personalidade jurídica.

3. O SEBC é dirigido pelos órgãos de decisão do BCE, que são o Conselho do BCE e a Comissão Executiva.

4. Os Estatutos do SEBC constam de um Protocolo anexo ao presente Tratado.

5. Os artigos 5.º, n.º 1, 5.º, n.º 2, 5.º, n.º 3, 17.º, 18.º, 19.º, n.º 1, 22.º, 23.º, 24.º, 26.º, 32.º, n.º 2, 32.º, n.º 3, 32.º, n.º 4, 32.º, n.º 6, 33.º, n.º 1 alínea a), e 36.º dos Estatutos do SEBC podem ser alterados pelo Conselho, deliberando quer por maioria qualificada, sob recomendação do BCE, após consulta da Comissão, quer por unanimidade, sob proposta da Comissão e após consulta do BCE. Em qualquer dos casos é necessário o parecer favorável do Parlamento Europeu.

6. O Conselho, deliberando por maioria qualificada, quer sob proposta da Comissão e após consulta do Parlamento Europeu e do BCE quer deliberando sob recomendação do BCE e após consulta do Parlamento Europeu e da Comissão, adoptará as disposições a que se referem os artigos 4.º, 5.º, n.º 4, 19.º, n.º 2, 20.º, 28.º, n.º 1, 29.º, n.º 2, 30.º, n.º 4 e 34.º, n.º 3, dos Estatutos do SEBC.

Artigo 108.º

No exercício dos poderes e no cumprimento das atribuições e deveres que lhes são conferidos pelo presente Tratado e pelos Estatutos do SEBC, o BCE, os bancos centrais nacionais, ou qualquer membro dos respectivos órgãos de decisão não podem solicitar ou receber instruções das instituições ou organismos comunitários, dos Governos dos Estados-Membros ou de qualquer outra entidade. As instituições e organismos comunitários, bem como os Governos dos Estados-Membros, comprometem-se a respeitar este princípio e a não procurar influenciar os membros dos órgãos de decisão do BCE ou dos bancos centrais nacionais no exercício das suas funções.

Artigo 109.º

Cada um dos Estados-Membros assegurará, o mais tardar até à data da instituição do SEBC, a compatibilidade da respectiva legislação nacional, incluindo os estatutos do seu banco central nacional, com o presente Tratado e com os Estatutos do SEBC.

Artigo 110.º

1. Para o desempenho das atribuições cometidas ao SEBC, o BCE, de acordo com as disposições do presente Tratado e nas condições definidas nos Estatutos do SEBC:

- adopta regulamentos na medida do necessário para o exercício das funções definidas no primeiro travessão do artigo 3.º n.º 1, nos artigos 19.º n.º 1, 22.º ou 25.º n.º 2 dos Estatutos do SEBC, e nos casos previstos nos actos do Conselho a que se refere o n.º 6 do artigo 107.º,
- toma as decisões necessárias para o desempenho das atribuições cometidas ao SEBC ao abrigo do presente Tratado e dos Estatutos do SEBC,
- formula recomendações e emite pareceres.

2. O regulamento tem carácter geral. É obrigatório em todos os seus elementos e directamente aplicável em todos os Estados-Membros.

As recomendações e os pareceres não são vinculativos.

A decisão é obrigatória em todos os seus elementos para os destinatários que designar.

Os artigos 253.º, 254.º e 256.º são aplicáveis aos regulamentos e decisões do BCE.

O BCE pode decidir publicar as suas decisões, recomendações e pareceres.

3. Nos limites e condições fixados pelo Conselho, de acordo com o procedimento previsto no n.º 6 do artigo 107.º, o BCE pode aplicar multas ou sanções pecuniárias temporárias às empresas em caso de incumprimento de obrigações decorrentes dos seus regulamentos e decisões.

Artigo 111.º ()*

1. Em derrogação do disposto no artigo 300.º, o Conselho, deliberando por unanimidade, sob recomendação do BCE ou da Comissão e após consulta do BCE, numa tentativa para chegar a um consenso com este último, compatível com o objectivo da estabilidade dos preços, e após consulta do Parlamento Europeu, de acordo com os mecanismos processuais referidos no n.º 3, pode celebrar acordos formais relativos a um sistema de taxas de câmbio do ECU em relação às moedas não comunitárias. O Conselho, deliberando por maioria qualificada, sob recomendação do BCE ou da Comissão e após consulta do BCE, numa tentativa para chegar a um consenso com este último compatível com o objectivo da estabilidade dos preços, pode adoptar, ajustar ou abandonar as taxas, centrais do ECU no sistema de taxas de câmbio. O Presidente do Conselho informará o Parlamento Europeu acerca da adopção, ajustamento ou abandono das taxas centrais do ECU.

2. Na falta de um sistema de taxas de câmbio em relação a uma ou mais moedas não comunitárias a que se refere o n.º 1, o Conselho, deliberando por maioria qualificada, quer sob recomendação da Comissão e após consulta do BCE quer sob recomendação do BCE, pode formular orientações gerais para uma política de taxas de câmbio em relação a essas moedas. Essas orientações gerais não podem prejudicar o objectivo primordial do SEBC de manutenção da estabilidade dos preços.

3. Em derrogação do disposto no artigo 300.º, sempre que a Comunidade tiver de negociar acordos relativos a questões monetárias ou ao regime cambial com um ou mais Estados ou organizações internacionais, o Conselho, deliberando por maioria qualificada, sob recomendação da Comissão, e após consulta do BCE, decide sobre os mecanismos para a negociação e para a celebração dos referidos acordos. Esses mecanismos devem assegurar que a Comunidade expresse uma posição única. A Comissão será plenamente associada a essas negociações.

Os acordos celebrados de acordo com o presente número vinculam as instituições da Comunidade, o BCE e os Estados-Membros.

4. Sem prejuízo do disposto no n.º 1, o Conselho, deliberando por maioria qualificada, sob proposta da Comissão e após consulta do BCE, decide sobre a posição da Comunidade a nível internacional relativamente às questões que se revistam de especial interesse para a União Económica e Monetária e sobre a sua representação de acordo com a repartição de competências previstas nos artigos 99.º e 105.º

5. Sem prejuízo da competência comunitária e dos acordos da Comunidade relativos à União Económica e Monetária, os Estados-Membros podem negociar nas instâncias internacionais e celebrar acordos internacionais.

*CAPÍTULO 3**DISPOSIÇÕES INSTITUCIONAIS**Artigo 112.º*

1. O Conselho do BCE é composto pelos membros da Comissão Executiva do BCE e pelos governadores dos bancos centrais nacionais.

(*) Artigo com a redacção que lhe foi dada pelo Tratado de Nice.

2. a) A Comissão Executiva é composta pelo Presidente, pelo Vice-Presidente e por quatro vogais.
- b) O Presidente, o Vice-Presidente e os vogais da Comissão Executiva são nomeados, de entre personalidades de reconhecida competência e com experiência profissional nos domínios monetário ou bancário, de comum acordo, pelos Governos dos Estados-Membros, a nível de Chefes de Estado ou de Governo, sob recomendação do Conselho e após este ter consultado o Parlamento Europeu e o Conselho do BCE.

A duração do respectivo mandato é de oito anos, não renováveis.

Só nacionais dos Estados-Membros podem ser membros da Comissão Executiva.

Artigo 113.º

1. O Presidente do Conselho e um membro da Comissão podem participar, sem direito de voto, nas reuniões do Conselho do BCE.

O Presidente do Conselho pode submeter moções à deliberação do Conselho do BCE.

2. O Presidente do BCE será convidado a participar nas reuniões do Conselho sempre que este delibere sobre questões relativas aos objectivos e atribuições do SEBC.

3. O BCE enviará anualmente ao Parlamento Europeu, ao Conselho, à Comissão e ainda ao Conselho Europeu um relatório sobre as actividades do SEBC e sobre a política monetária do ano anterior e do ano em curso. O Presidente do BCE apresentará esse relatório ao Conselho e ao Parlamento Europeu, que, com base nesse relatório, pode proceder a um debate de carácter geral.

O Presidente do BCE e os outros membros da Comissão Executiva podem, a pedido do Parlamento Europeu ou por sua própria iniciativa, ser ouvidos pelas competentes comissões do Parlamento Europeu.

Artigo 114.º

1. Com o objectivo de promover a coordenação das políticas dos Estados-Membros na medida do necessário ao funcionamento do mercado interno, é instituído um Comité Monetário de natureza consultiva.

O Comité tem as seguintes funções:

- acompanhar a situação monetária e financeira dos Estados-Membros e da Comunidade, bem como o sistema geral de pagamentos dos Estados-Membros, e apresentar regularmente o correspondente relatório ao Conselho e à Comissão,
- formular pareceres, quer a pedido do Conselho ou da Comissão quer por iniciativa própria, destinados a estas instituições,
- sem prejuízo do disposto no artigo 207.º, contribuir para a preparação dos trabalhos do Conselho a que se referem os artigos 59.º e 60.º, os n.ºs 2, 3, 4 e 5 do artigo 99.º, os artigos 100.º, 102.º, 103.º e 104.º, o n.º 2 do artigo 116.º, o n.º 6 do artigo 117.º, os artigos 119.º e 120.º, o n.º 2 do artigo 121.º e o n.º 1 do artigo 122.º,

- examinar, pelo menos uma vez por ano, a situação relativa aos movimentos de capitais e à liberdade de pagamentos, tal como resultam da aplicação do presente Tratado e das medidas adoptadas pelo Conselho, devendo este exame englobar todas as medidas respeitantes aos movimentos de capitais e aos pagamentos; o Comité informará a Comissão e o Conselho dos resultados deste exame.

Os Estados-Membros e a Comissão nomearão, cada um, dois membros do Comité Monetário.

2. No início da terceira fase é instituído um Comité Económico e Financeiro. O Comité Monetário a que se refere o n.º 1 é dissolvido.

O Comité Económico e Financeiro tem as seguintes funções:

- formular pareceres, quer a pedido do Conselho ou da Comissão quer por iniciativa própria, destinados a estas instituições,
- acompanhar a situação económica e financeira dos Estados-Membros e da Comunidade e apresentar regularmente o correspondente relatório ao Conselho e à Comissão, nomeadamente sobre as relações financeiras com países terceiros e instituições internacionais,
- sem prejuízo do disposto no artigo 207.º, contribuir para a preparação dos trabalhos do Conselho a que se referem os artigos 59.º e 60.º, os n.ºs 2, 3, 4 e 5 do artigo 99.º, os artigos 100.º, 102.º, 103.º e 104.º, o n.º 6 do artigo 105.º, o n.º 2 do artigo 106.º, os n.ºs 5 e 6 do artigo 107.º, os artigos 111.º e 119.º, os n.ºs 2 e 3 do artigo 120.º, o n.º 2 do artigo 122.º, os n.ºs 4 e 5 do artigo 123.º, e exercer outras funções consultivas e preparatórias que lhe forem confiadas pelo Conselho,
- examinar, pelo menos uma vez por ano, a situação relativa aos movimentos de capitais e à liberdade de pagamentos, tal como resultam da aplicação do Tratado e das medidas do Conselho, devendo este exame englobar todas as medidas respeitantes aos movimentos de capitais e aos pagamentos; o Comité informará a Comissão e o Conselho dos resultados deste exame.

Os Estados-Membros, a Comissão e o BCE nomearão, cada um, no máximo, dois membros do Comité.

3. O Conselho, deliberando por maioria qualificada sob proposta da Comissão e após consulta do BCE e do Comité a que se refere o presente artigo, estabelecerá disposições pormenorizadas relativas à composição do Comité Económico e Financeiro. O Presidente do Conselho informará o Parlamento Europeu dessa decisão.

4. Além das funções previstas no n.º 2, o Comité, se e enquanto existirem Estados-Membros que beneficiem de uma derrogação nos termos dos artigos 122.º e 123.º, acompanhará a situação monetária e financeira e o sistema geral de pagamentos desses Estados-Membros e apresentará regularmente o correspondente relatório ao Conselho e à Comissão.

Artigo 115.º

O Conselho ou qualquer dos Estados-Membros pode solicitar à Comissão que apresente uma recomendação ou uma proposta, conforme o caso, relativamente a questões do âmbito de aplicação do n.º 4 do artigo 99.º, do artigo 104.º, com excepção do seu n.º 14, dos artigos 111.º, 121.º, 122.º e dos n.ºs 4 e 5 do artigo 123.º. A Comissão analisa esse pedido e apresenta sem demora as suas conclusões ao Conselho.

*CAPÍTULO 4**DISPOSIÇÕES TRANSITÓRIAS**Artigo 116.º*

1. A segunda fase da realização da união económica e monetária tem início em 1 de Janeiro de 1994.

2. Antes dessa data:

a) Cada Estado-Membro deve:

— adoptar, se necessário, medidas adequadas para dar cumprimento às proibições previstas no artigo 56.º, no artigo 101.º e no n.º 1 do artigo 102.º,

— adoptar, se necessário, tendo em vista permitir a avaliação prevista na alínea b), programas plurianuais destinados a assegurar a convergência duradoura necessária à realização da união económica e monetária, em especial no que se refere à estabilidade dos preços e à solidez das finanças públicas;

b) O Conselho, com base em relatório da Comissão, deve avaliar os progressos alcançados em matéria de convergência económica e monetária, em especial no que diz respeito à estabilidade dos preços e à solidez das finanças públicas, bem como os progressos alcançados com a aplicação da legislação comunitária relativa ao mercado interno.

3. O disposto no artigo 101.º, no n.º 1 do artigo 102.º, no n.º 1 do artigo 103.º e no artigo 104.º, com excepção dos seus n.ºs 1, 9, 11 e 14, é aplicável a partir do início da segunda fase.

O disposto no n.º 2 do artigo 100.º, nos n.ºs 1, 9 e 11 do artigo 104.º, nos artigos 105.º, 106.º, 108.º, 111.º, 112.º e 113.º e nos n.ºs 2 e 4 do artigo 114.º é aplicável a partir do início da terceira fase.

4. Na segunda fase, os Estados-Membros envidarão esforços para evitar défices orçamentais excessivos.

5. No decurso da segunda fase, cada Estado-Membro deve, se for caso disso iniciar o processo conducente à independência do seu banco central, nos termos do artigo 109.º

Artigo 117.º

1. No início da segunda fase, é instituído e entra em funções um Instituto Monetário Europeu, a seguir designado por «IME», que tem personalidade jurídica e é dirigido e gerido por um Conselho, composto por um Presidente e pelos governadores dos bancos centrais nacionais, um dos quais será Vice-Presidente.

O Presidente é nomeado, de comum acordo, pelos Governos dos Estados-Membros a nível de Chefes de Estado ou de Governo, sob recomendação do Conselho do IME e após consulta do Parlamento Europeu e do Conselho. O Presidente é escolhido de entre personalidades de reconhecida competência e com experiência profissional nos domínios monetário ou bancário. Só pode ser Presidente do IME um nacional dos Estados-Membros. O Conselho do IME designa o Vice-Presidente.

Os Estatutos do IME constam de um protocolo anexo ao presente Tratado.

2. O IME deve:

- reforçar a cooperação entre os bancos centrais nacionais,
- reforçar a coordenação das políticas monetárias dos Estados-Membros com o objectivo de garantir a estabilidade dos preços,
- supervisionar o funcionamento do Sistema Monetário Europeu,
- proceder a consultas sobre questões da competência dos bancos centrais nacionais, que afectem a estabilidade das instituições e mercados financeiros,
- assumir as atribuições do Fundo Europeu de Cooperação Monetária, que é dissolvido; as modalidades de dissolução constam dos Estatutos do IME,
- promover a utilização do ECU e supervisionar a sua evolução, incluindo o bom funcionamento do respectivo sistema de compensação.

3. Para a preparação da terceira fase, o IME deve:

- preparar os instrumentos e procedimentos necessários para a execução de uma política monetária única na terceira fase,
- promover, sempre que necessário, a harmonização das normas e práticas que regulam a recolha, organização e divulgação de estatísticas no domínio das suas atribuições,
- preparar as normas para as operações a realizar pelos bancos centrais nacionais no quadro do SEBC,
- promover a eficácia dos pagamentos transnacionais,
- supervisionar a preparação técnica das notas de banco denominadas em ECU.

O mais tardar até 31 de Dezembro de 1996, o IME definirá o quadro administrativo, organizativo e logístico necessário para que o SEBC desempenhe as suas atribuições na terceira fase. Esse quadro será submetido a decisão do BCE, aquando da sua instituição.

4. O IME, deliberando por maioria de dois terços dos membros do respectivo Conselho, pode:
- formular pareceres ou recomendações sobre a orientação global das políticas monetária e cambial, bem como sobre as medidas a elas relativas adoptadas em cada Estado-Membro,
 - apresentar parecer ou recomendações aos governos e ao Conselho sobre políticas que possam afectar a situação monetária interna ou externa na Comunidade e, em especial, o funcionamento do Sistema Monetário Europeu,
 - formular recomendações às autoridades monetárias dos Estados-Membros sobre a condução das respectivas políticas monetárias.
5. O IME, deliberando por unanimidade, pode decidir tornar públicos os seus pareceres e recomendações.
6. O IME será consultado pelo Conselho sobre qualquer proposta de acto comunitário no domínio das suas atribuições.

Nos limites e condições fixados pelo Conselho, deliberando por maioria qualificada, sob proposta da Comissão e após consulta, conforme o caso, do Parlamento Europeu e do IME, este será consultado pelas autoridades dos Estados-Membros sobre qualquer projecto de disposição legal no domínio das suas atribuições.

7. O Conselho, deliberando por unanimidade, sob proposta da Comissão e após consulta do Parlamento Europeu e do IME, pode conferir ao IME outras atribuições relacionadas com a preparação da terceira fase.

8. Sempre que o presente Tratado atribua um papel consultivo ao BCE, as referências ao BCE devem ser entendidas, antes da instituição do BCE, como referências ao IME.

9. Durante a segunda fase, a sigla «BCE» utilizada nos artigos 230.º, 232.º, 233.º, 234.º, 237.º e 288.º deve ser entendida como uma referência ao IME.

Artigo 118.º

A composição do cabaz de moedas do ECU permanece inalterada.

A partir do início da terceira fase, o valor do ECU é irrevogavelmente fixado de acordo com o disposto no n.º 4 do artigo 123.º

Artigo 119.º

1. Se algum Estado-Membro se encontrar em dificuldades, ou sob grave ameaça de dificuldades relativamente à sua balança de pagamentos, quer estas resultem de um desequilíbrio global da sua balança quer do tipo de divisas de que dispõe, e se tais dificuldades forem susceptíveis de, designadamente, comprometer o funcionamento do mercado comum ou a progressiva realização da sua política comercial comum, a Comissão procederá imediatamente à análise da situação desse Estado, bem como da acção que ele empreendeu ou pode empreender, nos termos do presente Tratado, recorrendo a todos os meios de que dispõe. A Comissão indicará as medidas cuja adopção recomenda ao Estado em causa.

Se a acção empreendida por um Estado-Membro e as medidas sugeridas pela Comissão não se afigurarem suficientes para remover as dificuldades ou ameaças de dificuldades existentes, a Comissão recomendará ao Conselho, após consulta do comité a que se refere o artigo 114.º, a concessão de assistência mútua e os métodos adequados para o efeito.

A Comissão manterá o Conselho regularmente informado da situação e da maneira como esta evolui.

2. O Conselho, deliberando por maioria qualificada, concederá a assistência mútua; adoptará as directivas ou decisões, fixando as condições e modalidades dessa assistência, que pode assumir, designadamente, a forma de:

- a) Acção concertada junto de outras organizações internacionais a que os Estados-Membros podem recorrer;
- b) Medidas necessárias para evitar desvios de tráfego, sempre que o Estado em dificuldades mantenha ou restabeleça restrições quantitativas relativamente a países terceiros;
- c) Concessão de créditos limitados por parte de outros Estados-Membros, sob condição de que estes dêem o seu acordo.

3. Se a assistência mútua recomendada pela Comissão não for concedida pelo Conselho ou se a assistência mútua concedida e as medidas tomadas forem insuficientes, a Comissão autorizará o Estado em dificuldades a tomar medidas de protecção, de que fixará as condições e modalidades.

O Conselho, deliberando por maioria qualificada, pode revogar esta autorização e modificar estas condições e modalidades.

4. Sem prejuízo do disposto no n.º 6 do artigo 122.º, o presente artigo deixa de ser aplicável a partir do início da terceira fase.

Artigo 120.º

1. Em caso de crise súbita na balança de pagamentos e se não for imediatamente tomada uma decisão, na acepção do n.º 2 do artigo 119.º, o Estado-Membro em causa pode, a título cautelar, tomar as medidas de protecção necessárias. Estas devem provocar o mínimo de perturbações no funcionamento do mercado comum e não exceder o estritamente indispensável para sanar as dificuldades súbitas que se tenham manifestado.

2. A Comissão e os outros Estados-Membros devem ser informados destas medidas de protecção, o mais tardar no momento da sua entrada em vigor. A Comissão pode recomendar ao Conselho a concessão de assistência mútua nos termos do artigo 119.º

3. Sob parecer da Comissão e após consulta do comité a que se refere o artigo 114.º, o Conselho, deliberando por maioria qualificada, pode decidir que o Estado em causa deve modificar, suspender ou suprimir as medidas de protecção acima referidas.

4. Sem prejuízo do disposto no n.º 6 do artigo 122.º, o presente artigo deixa de ser aplicável a partir do início da terceira fase.

Artigo 121.º

1. A Comissão e o IME apresentarão relatórios ao Conselho sobre os progressos alcançados pelos Estados-Membros no cumprimento das suas obrigações relativas à realização da União Económica e Monetária. Esses relatórios devem conter um estudo da compatibilidade da legislação nacional de cada Estado-Membro, incluindo os estatutos do seu banco central nacional, com o disposto nos artigos 108.º e 109.º do presente Tratado e nos Estatutos do SEBC. Os relatórios analisarão igualmente a realização de um elevado grau de convergência sustentada, com base na observância, por cada Estado-Membro, dos seguintes critérios:

- a realização de um elevado grau de estabilidade dos preços, que será expresso por uma taxa de inflação que esteja próxima da taxa, no máximo, dos três Estados-Membros com melhores resultados em termos de estabilidade dos preços,
- a sustentabilidade das suas finanças públicas, que será traduzida pelo facto de ter alcançado uma situação orçamental sem défice excessivo, determinado nos termos do n.º 6 do artigo 104.º,
- a observância, durante pelo menos dois anos, das margens normais de flutuação previstas no mecanismo de taxas de câmbio do Sistema Monetário Europeu, sem ter procedido a uma desvalorização em relação à moeda de qualquer outro Estado-Membro,
- o carácter duradouro da convergência alcançada pelo Estado-Membro e da sua participação no mecanismo de taxas de câmbio do Sistema Monetário Europeu deve igualmente reflectir-se nos níveis das taxas de juro a longo prazo.

Os quatro critérios a que se refere o presente número e os respectivos períodos durante os quais devem ser respeitados vêm desenvolvidos num Protocolo anexo ao presente Tratado. Os relatórios da Comissão e do IME devem ter, de igual modo, em conta o desenvolvimento do ECU, os resultados da integração dos mercados, o nível e a evolução da balança de transacções correntes e a análise de evolução dos custos unitários de trabalho e de outros índices de preços.

2. Com base nestes relatórios, o Conselho, deliberando por maioria qualificada, sob recomendação da Comissão, avaliará:

- relativamente a cada Estado-Membro, se preenche as condições necessárias para a adopção de uma moeda única,
- se a maioria dos Estados-Membros preenche as condições necessárias para a adopção de uma moeda única;

e transmitirá, sob a forma de recomendação, as suas conclusões ao Conselho, reunido a nível de Chefes de Estado ou de Governo. O Parlamento Europeu será consultado e transmitirá o seu parecer ao Conselho, reunido a nível de Chefes de Estado ou de Governo.

3. Tendo em devida conta os relatórios a que se refere o n.º 1 e o parecer do Parlamento Europeu a que se refere o n.º 2, o Conselho, reunido a nível de Chefes de Estado ou de Governo, deliberando por maioria qualificada, o mais tardar até 31 de Dezembro de 1996:

- decidirá, com base nas recomendações do Conselho a que se refere o n.º 2, se a maioria dos Estados-Membros satisfaz as condições necessárias para a adopção de uma moeda única;

— decidirá se é conveniente que a Comunidade passe para a terceira fase,

e, em caso afirmativo,

— fixará a data para o início da terceira fase.

4. Se, no final de 1997, não tiver sido fixada a data para o início da terceira fase, esta tem início em 1 de Janeiro de 1999. Até 1 de Julho de 1998, o Conselho, reunido a nível de Chefes de Estado ou de Governo, e depois de repetido o procedimento previsto nos n.ºs 1 e 2, com excepção do segundo travessão do n.º 2, tendo em conta os relatórios a que se refere o n.º 1 e o parecer do Parlamento Europeu, e deliberando por maioria qualificada, com base nas recomendações do Conselho a que se refere o n.º 2, confirmará quais os Estados-Membros que satisfazem as condições necessárias para a adopção de uma moeda única.

Artigo 122.º

1. Se tiver sido tomada a decisão de fixar a data, de acordo com o disposto no n.º 3 do artigo 121.º, o Conselho, com base nas suas recomendações a que se refere o n.º 2 do artigo 121.º, deliberando por maioria qualificada, sob recomendação da Comissão, decidirá se alguns Estados-Membros e, em caso afirmativo, quais, devem beneficiar de uma derrogação tal como definida no n.º 3 do presente artigo. Esses Estados-Membros serão adiante designados por «Estados-Membros que beneficiam de uma derrogação».

Se o Conselho tiver confirmado quais os Estados-Membros que satisfazem as condições necessárias para a adopção de uma moeda única, de acordo com o disposto no n.º 4 do artigo 121.º, os Estados-Membros que não satisfaçam essas condições beneficiarão de uma derrogação tal como definida no n.º 3 do presente artigo. Esses Estados-Membros serão adiante designados por «Estados-Membros que não beneficiam de uma derrogação».

2. Pelo menos de dois em dois anos, ou a pedido de um Estado-Membro que beneficie de uma derrogação, a Comissão e o BCE apresentarão relatórios ao Conselho, de acordo com o procedimento previsto no n.º 1 do artigo 121.º. Após ter consultado o Parlamento Europeu e debatido a questão no Conselho, reunido a nível de Chefes de Estado ou de Governo, o Conselho, deliberando por maioria qualificada, sob proposta da Comissão, decidirá quais são os Estados-Membros que beneficiam de uma derrogação que preenchem as condições necessárias com base nos critérios fixados no n.º 1 do artigo 121.º, e revogará as derrogações dos Estados-Membros em causa.

3. A derrogação prevista no n.º 1 implica que os seguintes artigos não sejam aplicáveis ao Estado-Membro em causa: n.ºs 9 e 11 do artigo 104.º, n.ºs 1, 2, 3 e 5 do artigo 105.º, artigos 106.º, 110.º, 111.º e n.º 2, alínea b), do artigo 112.º. A exclusão desse Estado-Membro e do seu banco central nacional dos direitos e obrigações no âmbito do SEBC consta do capítulo IX dos Estatutos do SEBC.

4. Nos n.ºs 1, 2 e 3 do artigo 105.º, nos artigos 106.º, 110.º, 111.º e no n.º 2, alínea b), do artigo 112.º, por «Estados-Membros» deve entender-se «Estados-Membros que não beneficiam de uma derrogação».

5. Os direitos de voto dos Estados-Membros que beneficiem de uma derrogação serão suspensos em relação às decisões do Conselho a que se referem os artigos do presente Tratado enumerados no n.º 3. Neste caso, em derrogação do disposto no artigo 205.º e no n.º 1 do artigo 250.º, a maioria qualificada é definida como dois terços dos votos dos representantes dos Estados-Membros que não beneficiam de uma derrogação, ponderados de acordo com o disposto no n.º 2 do artigo 205.º, e é exigida a unanimidade desses Estados-Membros para todos os actos que exijam unanimidade.

6. O disposto nos artigos 119.º e 120.º continua a ser aplicável aos Estados-Membros que beneficiam de uma derrogação.

Artigo 123.º ()*

1. Imediatamente após ter sido tomada a decisão sobre a data de início da terceira fase, nos termos do disposto no n.º 3 do artigo 121.º ou, se for esse o caso, imediatamente após 1 de Julho de 1998:

- o Conselho adoptará as disposições a que se refere o n.º 6 do artigo 107.º,
- os governos dos Estados-Membros que não beneficiem de uma derrogação nomearão, de acordo com o procedimento previsto no artigo 50.º dos Estatutos do SEBC, o Presidente, o Vice-Presidente e os vogais da Comissão Executiva do BCE. Se existirem Estados-Membros que beneficiem de uma derrogação, o número de membros da Comissão Executiva pode ser menor que o previsto no artigo 11.º 1 dos Estatutos dos SEBC, mas em caso algum será inferior a quatro.

Logo que a Comissão Executiva for nomeada, o SEBC e o BCE consideram-se instituídos e devem preparar-se para o seu pleno funcionamento de acordo com as disposições do presente Tratado e dos Estatutos do SEBC. O pleno exercício das suas competências tem início no primeiro dia da terceira fase.

2. Logo que o BCE esteja instituído, assumirá, se necessário, as atribuições do IME. O IME entra em liquidação aquando da instituição do BCE; as modalidades de liquidação constam dos Estatutos do IME.

3. Sem prejuízo do disposto no n.º 3 do artigo 107.º do presente Tratado, se e enquanto existirem Estados-Membros que beneficiem de uma derrogação, o Conselho Geral do BCE a que se refere o artigo 45.º dos Estatutos do SEBC constitui um terceiro órgão de decisão do BCE.

4. Na data de início da terceira fase, o Conselho, deliberando por unanimidade dos Estados-Membros que não beneficiem de uma derrogação, sob proposta da Comissão e após consulta do BCE, determina as taxas de conversão às quais as suas moedas ficam irrevogavelmente fixadas e as taxas, irrevogavelmente fixadas, a que o ECU substitui essas moedas, e o ECU será uma moeda de direito próprio. Esta medida, só por si, não modifica o valor externo do ECU. O Conselho, deliberando por maioria qualificada dos referidos Estados-Membros, sob proposta da Comissão e após consulta ao BCE, toma as outras medidas necessárias para a rápida introdução do ECU como moeda única desses Estados-Membros. É aplicável o disposto no n.º 5, segundo período, do artigo 122.º

(*) Artigo com a redacção que lhe foi dada pelo Tratado de Nice.

5. Se, de acordo com o procedimento previsto no n.º 2 do artigo 122.º, for decidido revogar uma derrogação, o Conselho, deliberando por unanimidade dos Estados-Membros que não beneficiam de uma derrogação e do Estado-Membro em causa, sob proposta da Comissão e após consulta do BCE, fixa a taxa à qual o ECU substitui a moeda do Estado-Membro em causa e toma as outras medidas necessárias para a introdução do ECU como moeda única no Estado-Membro em causa.

Artigo 124.º

1. Até ao início da terceira fase, cada Estado-Membro tratará a sua política cambial como uma questão de interesse comum. Ao fazê-lo, os Estados-Membros terão em conta a experiência adquirida no âmbito da cooperação no Sistema Monetário Europeu (SME) e com a evolução do ECU, respeitando as competências existentes.

2. A partir do início da terceira fase e enquanto existirem Estados-Membros que beneficiem de uma derrogação, aplica-se à política cambial desses Estados-Membros, por analogia, o disposto no n.º 1.

TÍTULO VIII

EMPREGO

Artigo 125.º

Os Estados-Membros e a Comunidade empenhar-se-ão, nos termos do presente título, em desenvolver uma estratégia coordenada em matéria de emprego e, em especial, em promover uma mão-de-obra qualificada, formada e susceptível de adaptação, bem como mercados de trabalho que reajam rapidamente às mudanças económicas, tendo em vista alcançar os objectivos enunciados no artigo 2.º do Tratado da União Europeia e no artigo 2.º do presente Tratado.

Artigo 126.º

1. Através das suas políticas de emprego, os Estados-Membros contribuirão para a realização dos objectivos previstos no artigo 125.º, de forma coerente com as orientações gerais das políticas económicas dos Estados-Membros e da Comunidade adoptadas em aplicação do n.º 2 do artigo 99.º

2. Tendo em conta as práticas nacionais relativas às responsabilidades dos parceiros sociais, os Estados-Membros considerarão a promoção do emprego uma questão de interesse comum e coordenarão a sua acção neste domínio no âmbito do Conselho, nos termos do disposto no artigo 128.º

Artigo 127.º

1. A Comunidade contribuirá para a realização de um elevado nível de emprego, incentivando a cooperação entre os Estados-Membros, apoiando e, se necessário, completando a sua acção. Ao fazê-lo, respeitará as competências dos Estados-Membros.

2. O objectivo de alcançar um elevado nível de emprego será tomado em consideração na definição e execução das políticas e acções comunitárias.

Artigo 128.º

1. O Conselho Europeu procederá anualmente à avaliação da situação do emprego na Comunidade e adoptará conclusões nessa matéria, com base num relatório anual conjunto do Conselho e da Comissão.
2. Com base nas conclusões do Conselho Europeu, o Conselho, deliberando por maioria qualificada, sob proposta da Comissão e após consulta ao Parlamento Europeu, ao Comité Económico e Social, ao Comité das Regiões e ao Comité do Emprego a que se refere o artigo 130.º, definirá anualmente as orientações que os Estados-Membros devem ter em conta nas respectivas políticas de emprego. Essas orientações deverão ser coerentes com as orientações gerais adoptadas em aplicação do n.º 2 do artigo 99.º
3. Cada Estado-Membro transmitirá ao Conselho e à Comissão um relatório anual sobre as principais medidas tomadas para executar a sua política de emprego, à luz das orientações em matéria de emprego previstas no n.º 2.
4. Com base nos relatórios previstos no n.º 3 e uma vez obtido o parecer do Comité do Emprego, o Conselho analisará anualmente a execução das políticas de emprego dos Estados-Membros, à luz das orientações em matéria de emprego. O Conselho, deliberando por maioria qualificada, sob recomendação da Comissão, pode, se o considerar adequado na sequência dessa análise, dirigir recomendações aos Estados-Membros.
5. Com base nos resultados daquela análise, o Conselho e a Comissão apresentarão anualmente ao Conselho Europeu um relatório conjunto sobre a situação do emprego na Comunidade e a aplicação das orientações em matéria de emprego.

Artigo 129.º

O Conselho, deliberando nos termos do artigo 251.º e após consulta ao Comité Económico e Social e ao Comité das Regiões, pode adoptar acções de incentivo destinadas a fomentar a cooperação entre os Estados-Membros e apoiar a sua acção no domínio do emprego, por meio de iniciativas que tenham por objectivo desenvolver o intercâmbio de informações e de boas práticas, facultar análises comparativas e consultadoria, promover abordagens inovadoras e avaliar a experiência adquirida, em especial mediante o recurso a projectos-piloto.

Essas acções não incluirão a harmonização das disposições legislativas e regulamentares dos Estados-Membros.

Artigo 130.º

O Conselho, após consulta ao Parlamento Europeu, criará um Comité do Emprego, com carácter consultivo, para promover a coordenação das políticas em matéria de emprego e de mercado de trabalho entre os Estados-Membros. O Comité terá por funções:

- acompanhar a evolução da situação do emprego e das políticas de emprego nos Estados-Membros e na Comunidade,
- sem prejuízo do disposto no artigo 207.º, formular pareceres, quer a pedido do Conselho ou da Comissão, quer por iniciativa própria, e contribuir para a preparação das deliberações do Conselho a que se refere o artigo 128.º

No cumprimento do seu mandato, o Comité consultará os parceiros sociais.

Os Estados-Membros e a Comissão nomearão, cada um, dois membros do Comité.

TÍTULO IX

A POLÍTICA COMERCIAL COMUM

Artigo 131.º

Ao instituírem entre si uma união aduaneira, os Estados-Membros propõem-se contribuir, no interesse comum, para o desenvolvimento harmonioso do comércio mundial, para a supressão progressiva das restrições às trocas internacionais e para a redução das barreiras alfandegárias.

A política comercial comum tomará em conta a incidência favorável que a supressão de direitos aduaneiros entre os Estados-Membros possa ter no aumento da capacidade concorrencial das empresas destes Estados.

Artigo 132.º

1. Sem prejuízo dos compromissos assumidos pelos Estados-Membros no âmbito de outras organizações internacionais, os regimes de auxílios concedidos pelos Estados-Membros às exportações para países terceiros serão progressivamente harmonizados na medida em que tal for necessário para evitar que a concorrência entre as empresas da Comunidade seja falseada.

Sob proposta da Comissão, o Conselho, deliberando por maioria qualificada, adoptará as directivas necessárias para o efeito.

2. As disposições precedentes não são aplicáveis aos draubaques de direitos aduaneiros ou de encargos de efeito equivalente, nem aos reembolsos que resultem de imposições indirectas, incluindo os impostos sobre o volume de negócios, os impostos sobre consumos específicos e outros impostos indirectos, concedidos no momento da exportação de uma mercadoria de um Estado-Membro para um país terceiro, na medida em que esses draubaques ou reembolsos não excedam os direitos, encargos ou imposições que tenham incidido, directa ou indirectamente, sobre os produtos exportados.

Artigo 133.º ()*

1. A política comercial comum assenta em princípios uniformes, designadamente no que diz respeito às modificações pautais, à celebração de acordos pautais e comerciais, à uniformização das medidas de liberalização, à política de exportação, bem como às medidas de protecção do comércio, tais como as medidas a tomar em caso de *dumping* e de subvenções.

2. Tendo em vista a execução desta política comercial comum, a Comissão submeterá propostas ao Conselho.

3. Quando devam ser negociados acordos com um ou mais Estados ou organizações internacionais, a Comissão apresentará, para o efeito, recomendações ao Conselho, que a autorizará a encetar as negociações necessárias. Cabe ao Conselho e à Comissão assegurar que os acordos negociados sejam compatíveis com as políticas e normas internas da Comunidade.

(*) Artigo com a redacção que lhe foi dada pelo Tratado de Nice.

A Comissão, no âmbito das directrizes que o Conselho lhe pode dirigir, conduzirá estas negociações, consultando para o efeito um comité especial designado pelo Conselho para a assistir nessas funções. A Comissão apresentará regularmente ao comité especial um relatório sobre a situação das negociações.

São aplicáveis as disposições pertinentes do artigo 300.º

4. No exercício da competência que lhe é atribuída no presente artigo, o Conselho delibera por maioria qualificada.

5. Os n.ºs 1 a 4 são igualmente aplicáveis à negociação e à celebração de acordos nos domínios do comércio de serviços e dos aspectos comerciais da propriedade intelectual, na medida em que os referidos acordos não estejam abrangidos por esses números e sem prejuízo do n.º 6.

Em derrogação do n.º 4, o Conselho delibera por unanimidade no que diz respeito à negociação e à celebração de acordos nos domínios referidos no primeiro parágrafo, sempre que incluam disposições em relação às quais seja exigida a unanimidade para a adopção de normas internas ou sempre que incidam em domínios em que a Comunidade não tenha ainda exercido, através da adopção de normas internas, as suas competências por força do presente Tratado.

O Conselho delibera por unanimidade no que diz respeito à negociação e à celebração de acordos de carácter horizontal na medida em que estejam também abrangidos pelo parágrafo anterior ou pelo segundo parágrafo do n.º 6.

O disposto no presente número não prejudica o direito dos Estados-Membros de manter ou celebrar acordos com países terceiros ou com organizações internacionais, desde que esses acordos respeitem o direito comunitário e os outros acordos internacionais pertinentes.

6. O Conselho não pode celebrar acordos que incluam disposições que excedam as competências internas da Comunidade, tendo nomeadamente por consequência uma harmonização das disposições legislativas e regulamentares dos Estados-Membros num domínio em que o presente Tratado exclua essa harmonização.

A este respeito, em derrogação do primeiro parágrafo do n.º 5, os acordos no domínio do comércio de serviços culturais e audiovisuais, de serviços de educação, bem como de serviços sociais e de saúde humana, são da competência partilhada entre a Comunidade e os seus Estados-Membros, pelo que a sua negociação requer, para além de uma decisão comunitária tomada nos termos do disposto no artigo 300.º, o comum acordo dos Estados-Membros. Os acordos assim negociados são celebrados conjuntamente pela Comunidade e pelos Estados-Membros.

A negociação e a celebração de acordos internacionais no domínio dos transportes continuam a reger-se pelo disposto no título V e no artigo 300.º

7. Sem prejuízo do primeiro parágrafo do n.º 6, o Conselho, deliberando por unanimidade sob proposta da Comissão e após consulta ao Parlamento Europeu, pode alargar a aplicação dos n.ºs 1 a 4 às negociações e acordos internacionais que incidam na propriedade intelectual, na medida em que estes não estejam abrangidos pelo n.º 5.

Artigo 134.º

A fim de garantir que a execução das medidas de política comercial, adoptadas nos termos do presente Tratado por qualquer Estado-Membro, não seja impedida por desvios de tráfego, ou sempre que haja disparidades nessas medidas que provoquem dificuldades económicas em um ou mais Estados, a Comissão recomendará os métodos a empregar pelos outros Estados-Membros para prestarem a cooperação necessária. Na falta dessa cooperação, a Comissão pode autorizar os Estados-Membros a tomarem as medidas de protecção necessárias, de que fixará as condições e modalidades.

Em caso de urgência, os Estados-Membros devem pedir autorização à Comissão, que se pronunciará no mais curto prazo, para tomarem eles próprios as medidas necessárias, notificando-as em seguida aos outros Estados-Membros. A Comissão pode decidir, em qualquer momento, que os Estados-Membros em causa devem modificar ou revogar as medidas tomadas.

Devem ser prioritariamente escolhidas as medidas que provoquem o mínimo de perturbações no funcionamento do mercado comum.

TÍTULO X**COOPERAÇÃO ADUANEIRA***Artigo 135.º*

No âmbito de aplicação do presente Tratado, o Conselho, deliberando nos termos do artigo 251.º, tomará medidas destinadas a reforçar a cooperação aduaneira entre os Estados-Membros e entre estes e a Comissão. Essas medidas não dirão respeito à aplicação do direito penal nacional, nem à administração da justiça nos Estados-Membros.

TÍTULO XI**POLÍTICA SOCIAL, EDUCAÇÃO, FORMAÇÃO PROFISSIONAL E JUVENTUDE****CAPÍTULO 1****DISPOSIÇÕES SOCIAIS***Artigo 136.º*

A Comunidade e os Estados-Membros, tendo presentes os direitos sociais fundamentais, tal como os enunciam a Carta Social Europeia, assinada em Turim, em 18 de Outubro de 1961 e a Carta Comunitária dos Direitos Sociais Fundamentais dos Trabalhadores, de 1989, terão por objectivos a promoção do emprego, a melhoria das condições de vida e de trabalho, de modo a permitir a sua harmonização, assegurando simultaneamente essa melhoria, uma protecção social adequada, o diálogo entre parceiros sociais, o desenvolvimento dos recursos humanos, tendo em vista um nível de emprego elevado e duradouro, e a luta contra as exclusões.

Para o efeito, a Comunidade e os Estados-Membros desenvolverão acções que tenham em conta a diversidade das práticas nacionais, em especial no domínio das relações contratuais, e a necessidade de manter a capacidade concorrencial da economia comunitária.

A Comunidade e os Estados-Membros consideram que esse desenvolvimento decorrerá não apenas do funcionamento do mercado comum, que favorecerá a harmonização dos sistemas sociais, mas igualmente dos processos previstos no presente Tratado e da aproximação das disposições legislativas, regulamentares e administrativas.

Artigo 137.º ()*

1. A fim de realizar os objectivos enunciados no artigo 136.º, a Comunidade apoiará e completará a acção dos Estados-Membros nos seguintes domínios:

- a) Melhoria, principalmente, do ambiente de trabalho, a fim de proteger a saúde e a segurança dos trabalhadores;
- b) Condições de trabalho;
- c) Segurança social e protecção social dos trabalhadores;
- d) Protecção dos trabalhadores em caso de rescisão do contrato de trabalho;
- e) Informação e consulta dos trabalhadores;
- f) Representação e defesa colectiva dos interesses dos trabalhadores e das entidades patronais, incluindo a co-gestão, sem prejuízo do disposto no n.º 5;
- g) Condições de emprego dos nacionais de países terceiros que residam legalmente no território da Comunidade;
- h) Integração das pessoas excluídas do mercado de trabalho, sem prejuízo do disposto no artigo 150.º;
- i) Igualdade entre homens e mulheres quanto às oportunidades no mercado de trabalho e ao tratamento no trabalho;
- j) Luta contra a exclusão social;
- k) Modernização dos sistemas de protecção social, sem prejuízo do disposto na alínea c).

2. Para o efeito, o Conselho pode:

- a) Tomar medidas destinadas a fomentar a cooperação entre os Estados-Membros, através de iniciativas que tenham por objectivo melhorar os conhecimentos, desenvolver o intercâmbio de informações e de boas práticas, promover abordagens inovadoras e avaliar a experiência adquirida, com exclusão de qualquer harmonização das disposições legislativas e regulamentares dos Estados-Membros;
- b) Adotar, nos domínios referidos nas alíneas a) a i) do n.º 1, por meio de directivas, prescrições mínimas progressivamente aplicáveis, tendo em conta as condições e as regulamentações técnicas existentes em cada um dos Estados-Membros. Essas directivas devem evitar impor disciplinas administrativas, financeiras e jurídicas contrárias à criação e ao desenvolvimento de pequenas e médias empresas.

(*) Artigo com a redacção que lhe foi dada pelo Tratado de Nice.

O Conselho delibera nos termos do artigo 251.º, após consulta ao Comité Económico e Social e ao Comité das Regiões, excepto nos domínios referidos nas alíneas c), d), f) e g) do n.º 1 do presente artigo, em que o Conselho delibera por unanimidade, sob proposta da Comissão e após consulta ao Parlamento Europeu e aos referidos comités. O Conselho, deliberando por unanimidade, sob proposta da Comissão e após consulta ao Parlamento Europeu, pode decidir tornar aplicável às alíneas d), f) e g) do n.º 1 do presente artigo o processo previsto no artigo 251.º

3. Qualquer Estado-Membro pode confiar aos parceiros sociais, a pedido conjunto destes, a execução das directivas adoptadas em aplicação do n.º 2.

Nesse caso, assegurará que, o mais tardar na data em que determinada directiva deva ser transposta nos termos do artigo 249.º, os parceiros sociais tenham introduzido, por acordo, as disposições necessárias, devendo o Estado-Membro em questão tomar as medidas indispensáveis para poder garantir, a todo o tempo, os resultados impostos por essa directiva.

4. As disposições adoptadas ao abrigo do presente artigo:

- não prejudicam a faculdade de os Estados-Membros definirem os princípios fundamentais dos seus sistemas de segurança social nem devem afectar substancialmente o equilíbrio financeiro desses sistemas,
- não obstam a que os Estados-Membros mantenham ou introduzam medidas de protecção mais estritas compatíveis com o presente Tratado.

5. O disposto no presente artigo não é aplicável às remunerações, ao direito sindical, ao direito de greve e ao direito de *lock-out*.

Artigo 138.º

1. À Comissão caberá promover a consulta dos parceiros sociais ao nível comunitário e tomar todas as medidas necessárias para facilitar o seu diálogo, assegurando um apoio equilibrado às partes.

2. Para o efeito, antes de apresentar propostas no domínio da política social, a Comissão consultará os parceiros sociais sobre a possível orientação da acção comunitária.

3. Se, após essa consulta, a Comissão considerar desejável uma acção comunitária, consultará os parceiros sociais sobre o conteúdo da proposta prevista. Estes enviarão à Comissão um parecer ou, quando adequado, uma recomendação.

4. Ao efectuarem essa consulta, os parceiros sociais podem informar a Comissão do seu desejo de dar início ao processo previsto no artigo 139.º. A duração deste não pode exceder nove meses, salvo prorrogação decidida em comum por esses parceiros sociais e pela Comissão.

Artigo 139.º ()*

1. O diálogo entre os parceiros sociais ao nível comunitário pode conduzir, se estes o entenderem desejável, a relações contratuais, incluindo acordos.

2. Os acordos celebrados ao nível comunitário serão aplicados, quer de acordo com os processos e práticas próprios dos parceiros sociais e dos Estados-Membros quer, nas matérias abrangidas pelo artigo 137.º, a pedido conjunto das partes signatárias, com base em decisão adoptada pelo Conselho, sob proposta da Comissão.

O Conselho delibera por maioria qualificada, salvo se o acordo em questão contiver uma ou mais disposições relativas a um dos domínios em relação aos quais por força do n.º 2 do artigo 137.º seja exigida a unanimidade. Neste caso, o Conselho delibera por unanimidade.

Artigo 140.º

Tendo em vista a realização dos objectivos do artigo 136.º e sem prejuízo das demais disposições do presente Tratado, a Comissão incentivará a cooperação entre os Estados-Membros e facilitará a coordenação das suas acções nos domínios da política social abrangidos pelo presente capítulo, designadamente em questões relativas:

- ao emprego,
- ao direito do trabalho e às condições de trabalho,
- à formação e ao aperfeiçoamento profissionais,
- à segurança social,
- à protecção contra acidentes e doenças profissionais,
- à higiene no trabalho,
- ao direito sindical e às negociações colectivas entre entidades patronais e trabalhadores.

Para o efeito, a Comissão actuará em estreito contacto com os Estados-Membros, realizando estudos e pareceres e organizando consultas, tanto sobre os problemas que se colocam ao nível nacional, como sobre os que interessam às organizações internacionais.

Antes de formular os pareceres previstos no presente artigo, a Comissão consultará o Comité Económico e Social.

(*) Artigo com a redacção que lhe foi dada pelo Tratado de Nice.

Artigo 141.º

1. Os Estados-Membros assegurarão a aplicação do princípio da igualdade de remuneração entre trabalhadores masculinos e femininos, por trabalho igual ou de valor igual.

2. Para efeitos do presente artigo, entende-se por «remuneração» o salário ou vencimento ordinário, de base ou mínimo, e quaisquer outras regalias pagas, directa ou indirectamente, em dinheiro ou em espécie, pela entidade patronal ao trabalhador em razão do emprego deste último.

A igualdade de remuneração sem discriminação em razão do sexo implica que:

- a) A remuneração do mesmo trabalho pago à tarefa seja estabelecida na base de uma mesma unidade de medida;
- b) A remuneração do trabalho pago por unidade de tempo seja a mesma para um mesmo posto de trabalho.

3. O Conselho, deliberando nos termos do artigo 251.º e após consulta ao Comité Económico e Social, adoptará medidas destinadas a garantir a aplicação do princípio da igualdade de oportunidades e da igualdade de tratamento entre homens e mulheres em matéria de emprego e de trabalho, incluindo o princípio da igualdade de remuneração por trabalho igual ou de valor igual.

4. A fim de assegurar, na prática, a plena igualdade entre homens e mulheres na vida profissional, o princípio da igualdade de tratamento não obsta a que os Estados-Membros mantenham ou adoptem medidas que prevejam regalias específicas destinadas a facilitar o exercício de uma actividade profissional pelas pessoas do sexo sub-representado, ou a prevenir ou compensar desvantagens na sua carreira profissional.

Artigo 142.º

Os Estados-Membros esforçar-se-ão por manter a equivalência existente dos regimes de férias pagas.

Artigo 143.º

A Comissão elaborará anualmente um relatório sobre a evolução na realização dos objectivos a que se refere o artigo 136.º, incluindo a situação demográfica na Comunidade. Esse relatório será enviado ao Parlamento Europeu, ao Conselho e ao Comité Económico e Social.

O Parlamento Europeu pode convidar a Comissão a elaborar relatórios sobre problemas específicos respeitantes à situação social.

Artigo 144.º ()*

O Conselho, após consulta ao Parlamento Europeu, criará um Comité da Protecção Social, com carácter consultivo, para promover a cooperação em matéria de protecção social entre os Estados-Membros e com a Comissão. Compete ao Comité:

- acompanhar a situação social e a evolução das políticas de protecção social nos Estados-Membros e na Comunidade,

(*) Artigo com a redacção que lhe foi dada pelo Tratado de Nice.

- promover o intercâmbio de informações, experiências e boas práticas entre os Estados-Membros e com a Comissão,
- sem prejuízo do disposto no artigo 207.º, preparar relatórios, formular pareceres ou desenvolver outras actividades nos domínios da sua competência, quer a pedido do Conselho ou da Comissão, quer por iniciativa própria.

No cumprimento do seu mandato, o Comité estabelecerá os devidos contactos com os parceiros sociais.

Cada Estado-Membro e a Comissão nomeiam dois membros do Comité.

Artigo 145.º

No seu relatório anual a apresentar ao Parlamento Europeu, a Comissão consagrará um capítulo especial à evolução da situação social na Comunidade.

O Parlamento Europeu pode pedir à Comissão que elabore relatórios sobre problemas específicos respeitantes à situação social.

CAPÍTULO 2

FUNDO SOCIAL EUROPEU

Artigo 146.º

A fim de melhorar as oportunidades de emprego dos trabalhadores no mercado interno e contribuir assim para uma melhoria do nível de vida, é instituído um Fundo Social Europeu, nos termos das disposições seguintes, que tem por objectivo promover facilidades de emprego e a mobilidade geográfica e profissional dos trabalhadores na Comunidade, bem como facilitar a adaptação às mutações industriais e à evolução dos sistemas de produção, nomeadamente através da formação e da reconversão profissionais.

Artigo 147.º

O Fundo é administrado pela Comissão.

Nestas funções a Comissão é assistida por um Comité presidido por um membro da Comissão e composto por representantes dos Governos e das organizações sindicais de trabalhadores e das associações patronais.

Artigo 148.º

O Conselho, deliberando nos termos do artigo 251.º e após consulta ao Comité Económico e Social e ao Comité das Regiões, adoptará as decisões de aplicação relativas ao Fundo Social Europeu.

CAPÍTULO 3

EDUCAÇÃO, FORMAÇÃO PROFISSIONAL E JUVENTUDE

Artigo 149.º

1. A Comunidade contribuirá para o desenvolvimento de uma educação de qualidade, incentivando a cooperação entre Estados-Membros e, se necessário, apoiando e completando a sua acção, respeitando integralmente a responsabilidade dos Estados-Membros pelo conteúdo do ensino e pela organização do sistema educativo, bem como a sua diversidade cultural e linguística.

2. A acção da Comunidade tem por objectivo:

- desenvolver a dimensão europeia na educação, nomeadamente através da aprendizagem e divulgação das línguas dos Estados-Membros,
- incentivar a mobilidade dos estudantes e dos professores, nomeadamente através do incentivo ao reconhecimento académico de diplomas e períodos de estudo,
- promover a cooperação entre estabelecimentos de ensino,
- desenvolver o intercâmbio de informações e experiências sobre questões comuns aos sistemas educativos dos Estados-Membros,
- incentivar o desenvolvimento do intercâmbio de jovens e animadores socioeducativos,
- estimular o desenvolvimento da educação à distância.

3. A Comunidade e os Estados-Membros incentivarão a cooperação com países terceiros e com as organizações internacionais competentes em matéria de educação, especialmente com o Conselho da Europa.

4. Para contribuir para a realização dos objectivos a que se refere o presente artigo, o Conselho adopta:

- deliberando de acordo com o procedimento previsto no artigo 251.º, e após consulta do Comité Económico e Social e do Comité das Regiões, acções de incentivo, com exclusão de qualquer harmonização das disposições legislativas e regulamentares dos Estados-Membros,
- deliberando por maioria qualificada, sob proposta da Comissão, recomendações.

Artigo 150.º

1. A Comunidade desenvolve uma política de formação profissional que apoie e complete as acções dos Estados-Membros, respeitando plenamente a responsabilidade dos Estados-Membros pelo conteúdo e pela organização da formação profissional.

2. A acção da Comunidade tem por objectivo:

- facilitar a adaptação às mutações industriais, nomeadamente através da formação e da reconversão profissionais,

- melhorar a formação profissional inicial e a formação contínua, de modo a facilitar a inserção e a reinserção profissional no mercado de trabalho,
- facilitar o acesso à formação profissional e incentivar a mobilidade de formadores e formandos, nomeadamente dos jovens,
- estimular a cooperação em matéria de formação entre estabelecimentos de ensino ou de formação profissional e empresas,
- desenvolver o intercâmbio de informações e experiências sobre questões comuns aos sistemas de formação dos Estados-Membros.

3. A Comunidade e os Estados-Membros incentivarão a cooperação com países terceiros e com as organizações internacionais competentes em matéria de formação profissional.

4. O Conselho, deliberando nos termos do artigo 251.º, e após consulta ao Comité Económico e Social e ao Comité das Regiões, adoptará medidas que contribuam para a realização dos objectivos a que se refere o presente artigo, com exclusão de qualquer harmonização das disposições legislativas e regulamentares dos Estados-Membros.

TÍTULO XII

CULTURA

Artigo 151.º

1. A Comunidade contribuirá para o desenvolvimento das culturas dos Estados-Membros, respeitando a sua diversidade nacional e regional, e pondo simultaneamente em evidência o património cultural comum.

2. A acção da Comunidade tem por objectivo incentivar a cooperação entre Estados-Membros e, se necessário, apoiar e completar a sua acção nos seguintes domínios:

- melhoria do conhecimento e da divulgação da cultura e da história dos povos europeus,
- conservação e salvaguarda do património cultural de importância europeia,
- intercâmbios culturais não comerciais,
- criação artística e literária, incluindo o sector audiovisual.

3. A Comunidade e os Estados-Membros incentivarão a cooperação com os países terceiros e as organizações internacionais competentes no domínio da cultura, em especial com o Conselho da Europa.

4. Na sua acção ao abrigo de outras disposições do presente Tratado, a Comunidade terá em conta os aspectos culturais, a fim de, nomeadamente, respeitar e promover a diversidade das suas culturas.

5. Para contribuir para a realização dos objectivos a que se refere o presente artigo, o Conselho adopta:

- deliberando de acordo com o procedimento previsto no artigo 251.º, e após consulta do Comité das Regiões, acções de incentivo, com exclusão de qualquer harmonização das disposições legislativas e regulamentares dos Estados-Membros. O Conselho delibera por unanimidade ao aplicar o procedimento previsto no artigo 251.º,
- deliberando por unanimidade, sob proposta da Comissão, recomendações.

TÍTULO XIII

SAÚDE PÚBLICA

Artigo 152.º

1. Na definição e execução de todas as políticas e acções da Comunidade será assegurado um elevado nível de protecção da saúde.

A acção da Comunidade, que será complementar das políticas nacionais, incidirá na melhoria da saúde pública e na prevenção das doenças e afecções humanas e na redução das causas de perigo para a saúde humana. Esta acção abrangerá a luta contra os grandes flagelos, fomentando a investigação sobre as respectivas causas, formas de transmissão e prevenção, bem como a informação e a educação sanitária.

A acção da Comunidade será complementar da acção empreendida pelos Estados-Membros na redução dos efeitos nocivos da droga sobre a saúde, nomeadamente através da informação e da prevenção.

2. A Comunidade incentivará a cooperação entre os Estados-Membros nos domínios a que se refere o presente artigo, apoiando, se necessário, a sua acção.

Os Estados-Membros coordenarão entre si, em articulação com a Comissão, as suas políticas e programas nos domínios a que se refere o n.º 1. A Comissão, em estreito contacto com os Estados-Membros, pode tomar todas as iniciativas adequadas para promover essa coordenação.

3. A Comunidade e os Estados-Membros fomentarão a cooperação com os países terceiros e as organizações internacionais competentes no domínio da saúde pública.

4. O Conselho, deliberando nos termos do artigo 251.º e após consulta ao Comité Económico e Social e ao Comité das Regiões, contribuirá para a realização dos objectivos a que se refere o presente artigo, adoptando:

- a) Medidas que estabeleçam normas elevadas de qualidade e segurança dos órgãos e substâncias de origem humana, do sangue e dos derivados do sangue; essas medidas não podem obstar a que os Estados-Membros mantenham ou introduzam medidas de protecção mais estritas;
- b) Em derrogação do artigo 37.º, medidas nos domínios veterinário e fitossanitário que tenham directamente por objectivo a protecção da saúde pública;

- c) Acções de incentivo destinadas a proteger e melhorar a saúde humana, com exclusão de qualquer harmonização das disposições legislativas e regulamentares dos Estados-Membros.

O Conselho, deliberando por maioria qualificada, sob proposta da Comissão, pode igualmente adoptar recomendações para os fins enunciados no presente artigo.

5. A acção da Comunidade no domínio da saúde pública respeitará plenamente as competências dos Estados-Membros em matéria de organização e prestação de serviços de saúde e de cuidados médicos. Em especial, as medidas a que se refere a alínea a) do n.º 4 em nada afectam as disposições nacionais sobre doação de órgãos e de sangue ou sua utilização para fins médicos.

TÍTULO XIV

DEFESA DOS CONSUMIDORES

Artigo 153.º

1. A fim de promover os interesses dos consumidores e assegurar um elevado nível de defesa destes, a Comunidade contribuirá para a protecção da saúde, da segurança e dos interesses económicos dos consumidores, bem como para a promoção do seu direito à informação, à educação e à organização para a defesa dos seus interesses.
2. As exigências em matéria de defesa dos consumidores serão tomadas em conta na definição e execução das demais políticas e acções da Comunidade.
3. A Comunidade contribuirá para a realização dos objectivos a que se refere o n.º 1 através de:
 - a) Medidas adoptadas em aplicação do artigo 95.º no âmbito da realização do mercado interno;
 - b) Medidas de apoio, complemento e acompanhamento da política seguida pelos Estados-Membros.
4. O Conselho, deliberando nos termos do artigo 251.º e após consulta ao Comité Económico e Social, adoptará as medidas previstas na alínea b) do n.º 3.
5. As medidas adoptadas nos termos do n.º 4 não obstam a que os Estados-Membros mantenham ou introduzam medidas de protecção mais estritas. Essas medidas devem ser compatíveis com o presente Tratado e serão notificadas à Comissão.

TÍTULO XV

REDES TRANSEUROPEIAS

Artigo 154.º

1. A fim de contribuir para a realização dos objectivos enunciados nos artigos 14.º e 158.º e de permitir que os cidadãos da União, os operadores económicos e as colectividades regionais e locais beneficiem plenamente das vantagens decorrentes da criação de um espaço sem fronteiras internas, a Comunidade contribuirá para a criação e o desenvolvimento de redes transeuropeias nos sectores das infra-estruturas dos transportes, das telecomunicações e da energia.

2. No âmbito de um sistema de mercados abertos e concorrenciais, a acção da Comunidade terá por objectivo fomentar a interconexão e a interoperabilidade das redes nacionais, bem como o acesso a essas redes. Terá em conta, em especial, a necessidade de ligar as regiões insulares, sem litoral e periféricas às regiões centrais da Comunidade.

Artigo 155.º

1. A fim de realizar os objectivos enunciados no artigo 154.º, a Comunidade:

- estabelecerá um conjunto de orientações que englobem os objectivos, as prioridades e as grandes linhas das acções previstas no domínio das redes transeuropeias; essas orientações identificarão os projectos de interesse comum,
- realizará todas as acções que possam revelar-se necessárias para assegurar a interoperabilidade das redes, em especial no domínio da harmonização das normas técnicas,
- pode apoiar projectos de interesse comum que beneficiem do apoio dos Estados-Membros, identificados no âmbito das orientações referidas no primeiro travessão, em especial sob a forma de estudos de viabilidade, de garantias de empréstimo ou de bonificações de juros; a Comunidade pode ainda contribuir para o financiamento de projectos específicos na área das infra-estruturas de transportes, nos Estados-Membros, através do Fundo de Coesão, criado nos termos do disposto no artigo 161.º

A acção da Comunidade terá em conta a potencial viabilidade económica dos projectos.

2. Os Estados-Membros coordenarão entre si, em articulação com a Comissão, as políticas desenvolvidas a nível nacional que sejam susceptíveis de ter um impacto significativo na realização dos objectivos enunciados no artigo 154.º. A Comissão, em estreita colaboração com os Estados-Membros, pode tomar quaisquer iniciativas necessárias para promover essa coordenação.

3. A Comunidade pode decidir cooperar com países terceiros para promover projectos de interesse comum e assegurar a interoperabilidade das redes.

Artigo 156.º

As orientações e outras medidas a que se refere o n.º 1 do artigo 155.º serão adoptadas pelo Conselho, deliberando nos termos do artigo 251.º, e após consulta ao Comité Económico e Social e ao Comité das Regiões.

As orientações e projectos de interesse comum que digam respeito ao território de um Estado-Membro exigem a aprovação desse Estado-Membro.

TÍTULO XVI

INDÚSTRIA

Artigo 157.º ()*

1. A Comunidade e os Estados-Membros zelarão por que sejam asseguradas as condições necessárias ao desenvolvimento da capacidade concorrencial da indústria da Comunidade.

Para o efeito, e no âmbito de um sistema de mercados abertos e concorrenciais, a sua acção tem por objectivo:

- acelerar a adaptação da indústria às alterações estruturais,
- incentivar um ambiente favorável à iniciativa e ao desenvolvimento das empresas do conjunto da Comunidade, e nomeadamente das pequenas e médias empresas,
- incentivar um ambiente favorável à cooperação entre empresas,
- fomentar uma melhor exploração do potencial industrial das políticas de inovação, de investigação e de desenvolvimento tecnológico.

2. Os Estados-Membros consultar-se-ão mutuamente em articulação com a Comissão e, na medida do necessário, coordenarão as suas acções. A Comissão pode tomar quaisquer iniciativas necessárias para promover essa coordenação.

3. A Comunidade contribuirá para a realização dos objectivos enunciados no n.º 1 através das políticas e acções por si desenvolvidas em aplicação de outras disposições do presente Tratado. O Conselho, deliberando nos termos do artigo 251.º e após consulta ao Comité Económico e Social, pode decidir adoptar medidas específicas destinadas a apoiar as acções empreendidas nos Estados-Membros para alcançar os objectivos enunciados no n.º 1.

A Comunidade não pode invocar o presente título para introduzir quaisquer medidas que possam conduzir a distorções de concorrência ou que comportem disposições fiscais ou relativas aos direitos e interesses dos trabalhadores assalariados.

TÍTULO XVII

COESÃO ECONÓMICA E SOCIAL

Artigo 158.º

A fim de promover um desenvolvimento harmonioso do conjunto da Comunidade, esta desenvolverá e prosseguirá a sua acção no sentido de reforçar a sua coesão económica e social.

Em especial, a Comunidade procurará reduzir a disparidade entre os níveis de desenvolvimento das diversas regiões e o atraso das regiões e das ilhas menos favorecidas, incluindo as zonas rurais.

(*) Artigo com a redacção que lhe foi dada pelo Tratado de Nice.

Artigo 159.º ()*

Os Estados-Membros conduzirão e coordenarão as suas políticas económicas tendo igualmente em vista atingir os objectivos enunciados no artigo 158.º. A formulação e a concretização das políticas e acções da Comunidade, bem como a realização do mercado interno, terão em conta os objectivos enunciados no artigo 158.º e contribuirão para a sua realização. A Comunidade apoiará igualmente a realização desses objectivos pela acção por si desenvolvida através dos fundos com finalidade estrutural (Fundo Europeu de Orientação e de Garantia Agrícola, secção «Orientação»; Fundo Social Europeu; Fundo Europeu de Desenvolvimento Regional), do Banco Europeu de Investimento e dos demais instrumentos financeiros existentes.

De três em três anos, a Comissão apresentará ao Parlamento Europeu, ao Conselho, ao Comité Económico e Social e ao Comité das Regiões um relatório sobre os progressos registados na realização da coesão económica e social e sobre a forma como os vários meios previstos no presente artigo contribuíram para esses progressos; este relatório será acompanhado, se for caso disso, de propostas adequadas.

Se se verificar a necessidade de acções específicas não inseridas no âmbito dos fundos, e sem prejuízo das medidas decididas no âmbito das outras políticas da Comunidade, essas acções podem ser aprovadas pelo Conselho, deliberando nos termos do artigo 251.º e após consulta ao Comité Económico e Social e ao Comité das Regiões.

Artigo 160.º

O Fundo Europeu de Desenvolvimento Regional tem por objectivo contribuir para a correcção dos principais desequilíbrios regionais na Comunidade através de uma participação no desenvolvimento e no ajustamento estrutural das regiões menos desenvolvidas e na reconversão das regiões industriais em declínio.

Artigo 161.º ()*

Sem prejuízo do disposto no artigo 162.º, o Conselho, deliberando por unanimidade, sob proposta da Comissão, e após parecer favorável do Parlamento Europeu e consulta do Comité Económico e Social e do Comité das Regiões, definirá as missões, os objectivos prioritários e a organização dos fundos com finalidade estrutural, o que poderá implicar o agrupamento desses fundos. O Conselho, deliberando de acordo com o mesmo procedimento, definirá igualmente as regras gerais que lhes serão aplicáveis, bem como as disposições necessárias para garantir a sua eficácia e a coordenação dos fundos entre si e com os demais instrumentos financeiros existentes.

Um Fundo de Coesão, criado pelo Conselho segundo o mesmo procedimento, contribuirá financeiramente para a realização de projectos nos domínios do ambiente e das redes transeuropeias em matéria de infra-estruturas de transportes.

A partir de 1 de Janeiro de 2007, o Conselho delibera por maioria qualificada, sob proposta da Comissão e após parecer favorável do Parlamento Europeu e consulta ao Comité Económico e Social e ao Comité das Regiões, caso tenham sido adoptadas até essa data as perspectivas financeiras plurianuais aplicáveis a partir de 1 de Janeiro de 2007, assim como o respectivo acordo interinstitucional. Caso contrário, o processo previsto no presente parágrafo será aplicável a contar da data da sua adopção.

(*) Artigo com a redacção que lhe foi dada pelo Tratado de Nice.

Artigo 162.º

As decisões de aplicação relativas ao Fundo Europeu de Desenvolvimento Regional serão tomadas pelo Conselho, nos termos do artigo 251.º, e após consulta ao Comité Económico e Social e ao Comité das Regiões.

No que diz respeito ao Fundo Europeu de Orientação e de Garantia Agrícola, secção «Orientação», e ao Fundo Social Europeu, continuam a ser-lhes aplicáveis, respectivamente, os artigos 37.º e 148.º

TÍTULO XVIII

INVESTIGAÇÃO E DESENVOLVIMENTO TECNOLÓGICO

Artigo 163.º

1. A Comunidade tem por objectivo reforçar as bases científicas e tecnológicas da indústria comunitária e fomentar o desenvolvimento da sua capacidade concorrencial internacional, bem como promover as acções de investigação consideradas necessárias ao abrigo de outros capítulos do presente Tratado.

2. Para o efeito, a Comunidade incentivará, em todo o seu território, as empresas, incluindo as pequenas e médias empresas, os centros de investigação e as universidades nos seus esforços de investigação e de desenvolvimento tecnológico de elevada qualidade; apoiará os seus esforços de cooperação, tendo especialmente por objectivo dar às empresas a possibilidade de explorarem plenamente as potencialidades do mercado interno, através, nomeadamente, da abertura dos concursos públicos nacionais, da definição de normas comuns e da eliminação dos obstáculos jurídicos e fiscais a essa cooperação.

3. Todas as acções da Comunidade empreendidas ao abrigo do presente Tratado, incluindo os projectos de demonstração, no domínio da investigação e do desenvolvimento tecnológico serão decididas e realizadas de acordo com as disposições do presente título.

Artigo 164.º

Na prossecução destes objectivos, a Comunidade desenvolverá as seguintes acções, que serão complementares das empreendidas nos Estados-Membros:

- a) Execução de programas de investigação, de desenvolvimento tecnológico e de demonstração, promovendo a cooperação com e entre as empresas, os centros de investigação e as universidades;
- b) Promoção da cooperação em matéria de investigação, de desenvolvimento tecnológico e de demonstração comunitários com países terceiros e com organizações internacionais;
- c) Difusão e valorização dos resultados das actividades em matéria de investigação, de desenvolvimento tecnológico e de demonstração comunitários;
- d) Incentivo à formação e à mobilidade dos investigadores da Comunidade.

Artigo 165.º

1. A Comunidade e os Estados-Membros coordenarão a sua acção em matéria de investigação e de desenvolvimento tecnológico, de forma a assegurar a coerência recíproca das políticas nacionais e da política comunitária.
2. A Comissão, em estreita colaboração com os Estados-Membros, pode tomar todas as iniciativas adequadas para promover a coordenação a que se refere o número anterior.

Artigo 166.º

1. O Conselho, deliberando nos termos do artigo 251.º e após consulta ao Comité Económico e Social, adoptará um programa-quadro plurianual, do qual constarão todas as acções comunitárias.

O programa-quadro:

- estabelecerá os objectivos científicos e tecnológicos a realizar pelas acções previstas no artigo 164.º e as respectivas prioridades,
 - definirá as grandes linhas dessas acções,
 - fixará o montante global máximo e as modalidades da participação financeira da Comunidade no programa-quadro, bem como as quotas-partes respectivas de cada uma das acções previstas.
2. O programa-quadro será adaptado ou completado em função da evolução das situações.
 3. O programa-quadro será posto em prática mediante programas específicos desenvolvidos no âmbito de cada acção. Cada programa específico definirá as regras da respectiva realização, fixará a sua duração e preverá os meios considerados necessários. A soma dos montantes considerados necessários, previstos nos programas específicos, não pode exceder o montante global máximo fixado para o programa-quadro e para cada acção.
 4. Os programas específicos serão adoptados pelo Conselho, deliberando por maioria qualificada, sob proposta da Comissão, e após consulta do Parlamento Europeu e do Comité Económico e Social.

Artigo 167.º

Para a execução do programa-quadro plurianual, o Conselho:

- fixará as regras de participação das empresas, dos centros de investigação e das universidades,
- fixará as regras aplicáveis à difusão dos resultados da investigação.

Artigo 168.º

Na execução do programa-quadro plurianual, pode ser decidido adoptar programas complementares em que apenas participarão alguns Estados-Membros que assegurem o seu financiamento, sem prejuízo da eventual participação da Comunidade.

O Conselho adoptará as regras aplicáveis aos programas complementares, nomeadamente em matéria de difusão dos conhecimentos e de acesso de outros Estados-Membros.

Artigo 169.º

Na execução do programa-quadro plurianual, a Comunidade pode prever, com o acordo dos Estados-Membros interessados, a participação em programas de investigação e de desenvolvimento empreendidos por vários Estados-Membros, incluindo a participação nas estruturas criadas para a execução desses programas.

Artigo 170.º

Na execução do programa-quadro plurianual, a Comunidade pode prever a cooperação em matéria de investigação, de desenvolvimento tecnológico e de demonstração comunitários com países terceiros ou organizações internacionais.

As formas dessa cooperação podem ser objecto de acordos entre a Comunidade e as partes terceiras interessadas, que serão negociados e celebrados nos termos do artigo 300.º

Artigo 171.º

A Comunidade pode criar empresas comuns ou quaisquer outras estruturas necessárias à boa execução dos programas de investigação, de desenvolvimento tecnológico e de demonstração comunitários.

Artigo 172.º

O Conselho, deliberando por maioria qualificada, sob proposta da Comissão, e após consulta ao Parlamento Europeu e ao Comité Económico e Social, adoptará as disposições a que se refere o artigo 171.º

O Conselho, deliberando nos termos do artigo 251.º, e após consulta ao Comité Económico e Social, adoptará as disposições a que se referem os artigos 167.º, 168.º e 169.º. A adopção dos programas complementares requer o acordo dos Estados-Membros interessados.

Artigo 173.º

No início de cada ano, a Comissão apresentará um relatório ao Parlamento Europeu e ao Conselho. Esse relatório incidirá nomeadamente sobre as actividades desenvolvidas em matéria de investigação e de desenvolvimento tecnológico e de difusão dos resultados durante o ano anterior e sobre o programa de trabalhos para o ano em curso.

TÍTULO XIX

AMBIENTE

Artigo 174.º

1. A política da Comunidade no domínio do ambiente contribuirá para a prossecução dos seguintes objectivos:

— a preservação, a protecção e a melhoria da qualidade do ambiente,

- a protecção da saúde das pessoas,
- a utilização prudente e racional dos recursos naturais,
- a promoção, no plano internacional, de medidas destinadas a enfrentar os problemas regionais ou mundiais do ambiente.

2. A política da Comunidade no domínio do ambiente terá por objectivo atingir um nível de protecção elevado, tendo em conta a diversidade das situações existentes nas diferentes regiões da Comunidade. Basear-se-á nos princípios da precaução e da acção preventiva, da correcção, prioritariamente na fonte, dos danos causados ao ambiente e do poluidor-pagador.

Neste contexto, as medidas de harmonização destinadas a satisfazer exigências em matéria de protecção do ambiente incluirão, nos casos adequados, uma cláusula de salvaguarda autorizando os Estados-Membros a tomar, por razões ambientais não económicas, medidas provisórias sujeitas a um processo comunitário de controlo.

3. Na elaboração da sua política no domínio do ambiente, a Comunidade terá em conta:

- os dados científicos e técnicos disponíveis,
- as condições do ambiente nas diversas regiões da Comunidade,
- as vantagens e os encargos que podem resultar da actuação ou da ausência de actuação,
- o desenvolvimento económico e social da Comunidade no seu conjunto e o desenvolvimento equilibrado das suas regiões.

4. A Comunidade e os Estados-Membros cooperarão, no âmbito das respectivas atribuições, com os países terceiros e as organizações internacionais competentes. As formas de cooperação da Comunidade podem ser objecto de acordos entre esta e as partes terceiras interessadas, os quais serão negociados e celebrados nos termos do artigo 300.º

O disposto no parágrafo anterior não prejudica a capacidade dos Estados-Membros para negociar nas instâncias internacionais e celebrar acordos internacionais.

Artigo 175.º ()*

1. O Conselho, deliberando nos termos do artigo 251.º e após consulta ao Comité Económico e Social e ao Comité das Regiões, adoptará as acções a empreender pela Comunidade para realizar os objectivos previstos no artigo 174.º

2. Em derrogação do processo de decisão previsto no n.º 1 e sem prejuízo do disposto no artigo 95.º, o Conselho, deliberando por unanimidade, sob proposta da Comissão e após consulta ao Parlamento Europeu, ao Comité Económico e Social e ao Comité das Regiões, adoptará:

- a) Disposições de carácter fundamentalmente fiscal;

(*) Artigo com a redacção que lhe foi dada pelo Tratado de Nice.

b) As medidas que afectem:

- o ordenamento do território,
- a gestão quantitativa dos recursos hídricos ou que digam respeito, directa ou indirectamente, à disponibilidade desses recursos,
- a afectação dos solos, com excepção da gestão dos lixos;

c) As medidas que afectem consideravelmente a escolha de um Estado-Membro entre diferentes fontes de energia e a estrutura geral do seu aprovisionamento energético.

O Conselho, deliberando nas condições previstas no primeiro parágrafo, pode definir quais os domínios referidos no presente número que devem ser objecto de decisões a tomar por maioria qualificada.

3. Noutros domínios, o Conselho, deliberando nos termos do artigo 251.º, e após consulta ao Comité Económico e Social e ao Comité das Regiões, adoptará programas gerais de acção que fixarão os objectivos prioritários a atingir.

O Conselho, deliberando nas condições previstas no n.º 1 ou no n.º 2, consoante o caso, adoptará as medidas necessárias para a execução desses programas.

4. Sem prejuízo de certas medidas de carácter comunitário, os Estados-Membros assegurarão o financiamento e a execução da política em matéria de ambiente.

5. Sem prejuízo do princípio do poluidor-pagador, nos casos em que uma medida adoptada nos termos do n.º 1 implique custos considerados desproporcionados para as autoridades públicas de um Estado-Membro, o Conselho, ao adoptar essa medida, tomará as disposições apropriadas sob a forma de:

- derrogações de carácter temporário e/ou
- um apoio financeiro proveniente do Fundo de Coesão criado nos termos do artigo 161.º

Artigo 176.º

As medidas de protecção adoptadas por força do artigo 175.º não obstam a que cada Estado-Membro mantenha ou introduza medidas de protecção reforçadas. Essas medidas devem ser compatíveis com o presente Tratado e serão notificadas à Comissão.

TÍTULO XX

COOPERAÇÃO PARA O DESENVOLVIMENTO

Artigo 177.º

1. A política da Comunidade em matéria de cooperação para o desenvolvimento, que é complementar das políticas dos Estados-Membros, deve fomentar:

- o desenvolvimento económico e social sustentável dos países em vias de desenvolvimento, em especial dos mais desfavorecidos,

- a inserção harmoniosa e progressiva dos países em vias de desenvolvimento na economia mundial,
- a luta contra a pobreza nos países em vias de desenvolvimento.

2. A política da Comunidade neste domínio deve contribuir para o objectivo geral de desenvolvimento e de consolidação da democracia e do Estado de direito, bem como para o respeito dos direitos do homem e das liberdades fundamentais.

3. A Comunidade e os Estados-Membros respeitarão os compromissos e terão em conta os objectivos aprovados no âmbito das Nações Unidas e das demais organizações internacionais competentes.

Artigo 178.º

A Comunidade terá em conta os objectivos a que se refere o artigo 177.º nas políticas que puser em prática e que sejam susceptíveis de afectar os países em vias de desenvolvimento.

Artigo 179.º

1. Sem prejuízo das demais disposições do presente Tratado, o Conselho, deliberando nos termos do artigo 251.º, adoptará as medidas necessárias para a prossecução dos objectivos a que se refere o artigo 177.º. Essas medidas podem revestir a forma de programas plurianuais.

2. O Banco Europeu de Investimento contribuirá, nas condições previstas nos respectivos estatutos, para a aplicação das medidas a que se refere o n.º 1.

3. O disposto no presente artigo não afecta a cooperação com os países de África, das Caraíbas e do Pacífico, no âmbito da Convenção ACP-CE.

Artigo 180.º

1. A Comunidade e os Estados-Membros coordenarão as respectivas políticas em matéria de cooperação para o desenvolvimento e concertar-se-ão sobre os seus programas de ajuda, inclusivamente nas organizações internacionais e no decorrer de conferências internacionais. Podem empreender acções conjuntas. Os Estados-Membros contribuirão, se necessário, para a execução dos programas de ajuda comunitários.

2. A Comissão pode tomar todas as iniciativas necessárias para promover a coordenação a que se refere o número anterior.

Artigo 181.º

No âmbito das respectivas competências, a Comunidade e os Estados-Membros cooperarão com os países terceiros e as organizações internacionais competentes. As formas de cooperação da Comunidade podem ser objecto de acordos entre esta e as partes terceiras interessadas, os quais serão negociados e celebrados nos termos do artigo 300.º

O disposto no parágrafo anterior não prejudica a capacidade dos Estados-Membros para negociar nas instâncias internacionais e celebrar acordos internacionais.

TÍTULO XXI (*)

**COOPERAÇÃO ECONÓMICA, FINANCEIRA E TÉCNICA COM OS PAÍSES
TERCEIROS***Artigo 181.ºA*

1. Sem prejuízo das restantes disposições do presente Tratado, nomeadamente das do título XX, a Comunidade realizará, no âmbito das suas competências, acções de cooperação económica, financeira e técnica com países terceiros. Essas acções serão complementares das efectuadas pelos Estados-Membros e coerentes com a política de desenvolvimento da Comunidade.

A política da Comunidade neste domínio contribuirá para o objectivo geral de desenvolvimento e consolidação da democracia e do Estado de direito, bem como para o objectivo de respeito dos direitos humanos e das liberdades fundamentais.

2. O Conselho, deliberando por maioria qualificada, sob proposta da Comissão e após consulta ao Parlamento Europeu, adoptará as medidas necessárias à execução do n.º 1. O Conselho deliberará por unanimidade no que diz respeito aos acordos de associação a que se refere o artigo 310.º e aos acordos a celebrar com os Estados candidatos à adesão à União.

3. No âmbito das respectivas competências, a Comunidade e os Estados-Membros cooperarão com os países terceiros e as organizações internacionais pertinentes. As modalidades de cooperação da Comunidade poderão ser objecto de acordos entre esta e as partes terceiras envolvidas, que serão negociados e celebrados em conformidade com o artigo 300.º

O disposto no primeiro parágrafo não prejudica a competência dos Estados-Membros para negociar nas instâncias internacionais e celebrar acordos internacionais.

PARTE IV

A ASSOCIAÇÃO DOS PAÍSES E TERRITÓRIOS ULTRAMARINOS*Artigo 182.º*

Os Estados-Membros acordam em associar à Comunidade os países e territórios não europeus que mantêm relações especiais com a Dinamarca, a França, os Países Baixos e o Reino Unido. Estes países e territórios, a seguir denominados «países e territórios», vêm enumerados na lista constante do anexo II do presente Tratado.

A finalidade da associação é promover o desenvolvimento económico e social dos países e territórios e estabelecer relações económicas estreitas entre eles e a Comunidade no seu conjunto.

Em conformidade com os princípios enunciados no preâmbulo do presente Tratado, a associação deve servir, fundamentalmente, para favorecer os interesses dos habitantes desses países e territórios e para fomentar a sua prosperidade de modo a conduzi-los ao desenvolvimento económico, social e cultural a que aspiram.

(*) Título aditado pelo Tratado de Nice.

Artigo 183.º

A associação prosseguirá os seguintes objectivos:

1. Os Estados-Membros aplicarão às suas trocas comerciais com os países e territórios o mesmo regime que aplicam entre si por força do presente Tratado.
2. Cada país ou território aplicará às suas trocas comerciais com os Estados-Membros e os outros países e territórios o regime que aplica ao Estado europeu com que mantenha relações especiais.
3. Os Estados-Membros contribuirão para os investimentos exigidos pelo desenvolvimento progressivo destes países ou territórios.
4. No que respeita aos investimentos financiados pela Comunidade, a participação nas adjudicações e fornecimentos estará aberta, em igualdade de condições, a todas as pessoas singulares e colectivas, nacionais dos Estados-Membros e dos países e territórios.
5. Nas relações entre os Estados-Membros e os países e territórios, o direito de estabelecimento dos nacionais e sociedades será regulado em conformidade com as disposições e pela aplicação dos procedimentos previstos no capítulo relativo ao direito de estabelecimento e numa base não discriminatória sem prejuízo das disposições especiais adoptadas por força do artigo 187.º

Artigo 184.º

1. As importações originárias dos países e territórios beneficiarão, ao entrarem nos Estados-Membros, da proibição dos direitos aduaneiros que, nos termos do presente Tratado, se deve proibir entre os Estados-Membros.
2. Em cada país e território, os direitos aduaneiros que incidam sobre as importações provenientes dos Estados-Membros e dos outros países e territórios serão proibidos nos termos do artigo 25.º
3. Os países e territórios podem todavia, cobrar os direitos aduaneiros correspondentes às necessidades do seu desenvolvimento e às exigências da sua industrialização, ou os de natureza fiscal que tenham por fim produzir receita para os seus orçamentos.

Estes direitos não podem exceder aqueles que incidam sobre as importações dos produtos provenientes do Estado-Membro com o qual cada país ou território mantém relações especiais.

4. O disposto no n.º 2 não é aplicável aos países e territórios que, por força das obrigações internacionais especiais a que se encontram vinculados, já apliquem uma pauta aduaneira não discriminatória.
5. A introdução ou modificação de direitos aduaneiros que incidem sobre as mercadorias importadas pelos países e territórios não deve originar, de direito ou de facto, qualquer discriminação directa ou indirecta entre as importações provenientes dos diversos Estados-Membros.

Artigo 185.º

Se o nível dos direitos aplicáveis às mercadorias provenientes de um país terceiro, ao entrarem num país ou território, for, em consequência da aplicação do n.º 1 do artigo 184.º, de ordem a provocar desvios de tráfego em prejuízo de qualquer Estado-Membro, este pode pedir à Comissão que proponha aos outros Estados-Membros as medidas necessárias para sanarem tal situação.

Artigo 186.º

Sem prejuízo das disposições respeitantes à saúde pública, segurança pública e ordem pública, a liberdade de circulação dos trabalhadores dos países e territórios nos Estados-Membros e a dos trabalhadores dos Estados-Membros nos países e territórios será regulada mediante convenções a concluir posteriormente, para as quais se exige a unanimidade dos Estados-Membros.

Artigo 187.º

O Conselho, deliberando por unanimidade, aprovará, a partir dos resultados conseguidos no âmbito da associação entre os países e territórios e a Comunidade e com base nos princípios enunciados no presente Tratado, as disposições relativas às modalidades e ao processo de associação entre os países e territórios e a Comunidade.

Artigo 188.º

As disposições dos artigos 182.º a 187.º são aplicáveis à Gronelândia, sem prejuízo das disposições específicas para a Gronelândia constantes do Protocolo relativo ao regime especial aplicável à Gronelândia, anexo ao presente Tratado.

PARTE V**AS INSTITUIÇÕES DA COMUNIDADE****TÍTULO I****DISPOSIÇÕES INSTITUCIONAIS****CAPÍTULO 1****AS INSTITUIÇÕES****SECÇÃO 1****O PARLAMENTO EUROPEU***Artigo 189.º (*)*

O Parlamento Europeu, composto por representantes dos povos dos Estados reunidos na Comunidade, exerce os poderes que lhe são atribuídos pelo presente Tratado.

O número de deputados do Parlamento Europeu não será superior a setecentos e trinta e dois.

(*) Artigo com a redacção que lhe foi dada pelo Tratado de Nice.

Artigo 190.º ()*

1. Os representantes ao Parlamento Europeu, dos povos dos Estados reunidos na Comunidade, são eleitos por sufrágio universal directo.

2. (**) O número de representantes eleitos em cada Estado-Membro é fixado da seguinte forma:

Bélgica	25
Dinamarca	16
Alemanha	99
Grécia	25
Espanha	64
França	87
Irlanda	15
Itália	87
Luxemburgo	6
Países Baixos	31
Áustria	21
Portugal	25
Finlândia	16
Suécia	22
Reino Unido	87.

Em caso de alteração ao presente número, o número de representantes eleitos em cada Estado-Membro deve assegurar a representação adequada dos povos dos Estados reunidos na Comunidade.

3. Os representantes são eleitos por um período de cinco anos.

4. O Parlamento Europeu elaborará um projecto destinado a permitir a eleição por sufrágio universal directo, segundo um processo uniforme em todos os Estados-Membros ou baseado em princípios comuns a todos os Estados-Membros.

O Conselho, deliberando por unanimidade, após parecer favorável do Parlamento Europeu, que se pronuncia por maioria dos membros que o compõem, aprova as disposições cuja adopção recomendará aos Estados-Membros, nos termos das respectivas normas constitucionais.

5. O Parlamento Europeu estabelecerá o estatuto e as condições gerais de exercício das funções dos seus membros, após parecer da Comissão e mediante aprovação do Conselho, deliberando por maioria qualificada. Quaisquer regras ou condições respeitantes ao regime fiscal dos membros ou ex-membros exigem a unanimidade no Conselho.

Artigo 191.º ()*

Os partidos políticos ao nível europeu desempenham um importante papel como factor de integração na União. Contribuem para a criação de uma consciência europeia e para a expressão da vontade política dos cidadãos da União.

(*) Artigo com a redacção que lhe foi dada pelo Tratado de Nice.

(**) A redacção deste número será alterada, a partir de 1 de Janeiro de 2004, em conformidade com o Protocolo relativo ao alargamento da União Europeia (ver anexo).

O Conselho, deliberando nos termos do artigo 251.º, definirá o estatuto dos partidos políticos ao nível europeu, nomeadamente as regras relativas ao seu financiamento.

Artigo 192.º

Na medida em que o presente Tratado o prevê, o Parlamento Europeu participa no processo conducente à adopção dos actos comunitários, exercendo as suas atribuições no âmbito dos procedimentos definidos nos artigos 251.º e 252.º e emitindo pareceres favoráveis ou formulando pareceres consultivos.

O Parlamento Europeu pode, por maioria dos seus membros, solicitar à Comissão que submeta à sua apreciação todas as propostas adequadas sobre as questões que se lhe afigure requererem a elaboração de actos comunitários para efeitos de aplicação do presente Tratado.

Artigo 193.º

No exercício das suas atribuições, o Parlamento Europeu pode, a pedido de um quarto dos seus membros, constituir uma comissão de inquérito temporária para analisar, sem prejuízo das atribuições conferidas pelo presente Tratado a outras instituições ou órgãos, alegações de infracção ou de má administração na aplicação do direito comunitário, excepto se os factos alegados estiverem em instância numa jurisdição, e enquanto o processo jurisdicional não se encontrar concluído.

A Comissão de inquérito temporária extingue-se com a apresentação do seu relatório.

As formas de exercício do direito de inquérito são determinadas de comum acordo pelo Parlamento Europeu, pelo Conselho e pela Comissão.

Artigo 194.º

Qualquer cidadão da União, bem como qualquer outra pessoa singular ou colectiva com residência ou sede estatutária num Estado-Membro, tem o direito de apresentar, a título individual ou em associação com outros cidadãos ou pessoas, petições ao Parlamento Europeu sobre qualquer questão que se integre nos domínios de actividade da Comunidade e lhe diga directamente respeito.

Artigo 195.º

1. O Parlamento Europeu nomeará um Provedor de Justiça, com poderes para receber queixas apresentadas por qualquer cidadão da União ou qualquer pessoa singular ou colectiva com residência ou sede estatutária num Estado-Membro e respeitantes a casos de má administração na actuação das instituições ou organismos comunitários, com excepção do Tribunal de Justiça e do Tribunal de Primeira Instância no exercício das respectivas funções jurisdicionais.

De acordo com a sua missão, o Provedor de Justiça procederá aos inquéritos que considere justificados, quer por sua própria iniciativa quer com base nas queixas que lhe tenham sido apresentadas, directamente ou por intermédio de um membro do Parlamento Europeu, salvo se os factos invocados forem ou tiverem sido objecto de processo jurisdicional. Sempre que o Provedor de Justiça constatare uma situação de má administração, apresentará o assunto à instituição em causa, que dispõe de um prazo de três meses para lhe apresentar a sua posição. O Provedor de Justiça enviará seguidamente um relatório ao Parlamento Europeu e àquela instituição. A pessoa que apresentou a queixa será informada do resultado dos inquéritos.

O Provedor de Justiça apresentará anualmente ao Parlamento um relatório sobre os resultados dos inquéritos que tenha efectuado.

2. O Provedor de Justiça é nomeado após cada eleição do Parlamento Europeu, pelo período da legislatura. Pode ser reconduzido nas suas funções.

A pedido do Parlamento Europeu, o Tribunal de Justiça pode demitir o Provedor de Justiça, se este deixar de preencher os requisitos necessários ao exercício das suas funções ou tiver cometido falta grave.

3. O Provedor de Justiça exercerá as suas funções com total independência. No cumprimento dos seus deveres, não solicitará nem aceitará instruções de qualquer organismo. Enquanto durarem as suas funções, o Provedor de Justiça não pode exercer qualquer outra actividade profissional, remunerada ou não.

4. O Parlamento Europeu estabelecerá o estatuto e as condições gerais de exercício das funções do Provedor de Justiça, após parecer da Comissão e com aprovação do Conselho, deliberando por maioria qualificada.

Artigo 196.º

O Parlamento Europeu realiza uma sessão anual, reunindo-se por direito próprio na segunda terça-feira de Março.

O Parlamento Europeu pode reunir-se em sessão extraordinária, a pedido da maioria dos seus membros, do Conselho ou da Comissão.

Artigo 197.º

O Parlamento Europeu designa, de entre os seus membros, o Presidente e a Mesa.

Os membros da Comissão podem assistir a todas as reuniões e serão ouvidos em nome dela quando assim o solicitarem.

A Comissão responderá, oralmente ou por escrito, às questões que lhe forem colocadas pelo Parlamento Europeu ou pelos seus membros.

O Conselho será ouvido pelo Parlamento Europeu nas condições por ele estabelecidas no seu regulamento interno.

Artigo 198.º

Salvo disposição em contrário do presente Tratado, o Parlamento Europeu delibera por maioria absoluta dos votos expressos.

O regulamento interno fixará o quórum.

Artigo 199.º

O Parlamento Europeu estabelecerá o seu regulamento interno por maioria dos membros que o compõem.

As actas do Parlamento Europeu serão publicadas nas condições previstas no regulamento.

Artigo 200.º

O Parlamento Europeu discutirá em sessão pública o relatório geral anual que lhe é submetido pela Comissão.

Artigo 201.º

Quando uma moção de censura sobre as actividades da Comissão for submetida à apreciação pelo Parlamento Europeu, este só pode pronunciar-se sobre ela por votação pública e depois de decorridos pelo menos três dias sobre o depósito da referida moção.

Se a moção de censura for adoptada por maioria de dois terços dos votos expressos que representem a maioria dos membros que compõem o Parlamento Europeu, os membros da Comissão devem abandonar colectivamente as suas funções. Continuarão, porém, a gerir os assuntos correntes até à sua substituição, nos termos do artigo 214.º. Neste caso, o mandato dos membros da Comissão designados para os substituir expira na data em que expiraria o mandato dos membros da Comissão obrigados a abandonar funções colectivamente.

SECÇÃO 2

O CONSELHO

Artigo 202.º

Tendo em vista garantir a realização dos objectivos enunciados no presente Tratado e nas condições nele previstas, o Conselho:

- assegura a coordenação das políticas económicas gerais dos Estados-Membros,
- dispõe de poder de decisão,
- atribui à Comissão, nos actos que adopta, as competências de execução das normas que estabelece. O Conselho pode submeter o exercício dessas competências a certas modalidades. O Conselho pode igualmente reservar-se, em casos específicos, o direito de exercer directamente competências de execução. As modalidades acima referidas devem corresponder aos princípios e normas que o Conselho, deliberando por unanimidade, sob proposta da Comissão e após parecer do Parlamento Europeu, tenha estabelecido previamente.

Artigo 203.º

O Conselho é composto por um representante de cada Estado-Membro a nível ministerial, com poderes para vincular o Governo desse Estado-Membro.

A Presidência é exercida sucessivamente por cada Estado-Membro no Conselho, durante um período de seis meses, pela ordem decidida pelo Conselho, deliberando por unanimidade.

Artigo 204.º

O Conselho reúne-se por convocação do seu Presidente, por iniciativa deste, de um dos seus membros ou da Comissão.

Artigo 205.º ()*

1. Salvo disposição em contrário do presente Tratado, as deliberações do Conselho são tomadas por maioria dos seus membros.
2. Relativamente às deliberações do Conselho que exijam maioria qualificada, atribui-se aos votos dos seus membros a seguinte ponderação:

Bélgica	5
Dinamarca	3
Alemanha	10
Grécia	5
Espanha	8
França	10
Irlanda	3
Itália	10
Luxemburgo	2
Países Baixos	5
Áustria	4
Portugal	5
Finlândia	3
Suécia	4
Reino Unido	10.

As deliberações são tomadas se obtiverem pelo menos:

- sessenta e dois votos, sempre que, por força do presente Tratado, devam ser tomadas sob proposta da Comissão,
 - sessenta e dois votos que expressem a votação favorável de, pelo menos, dez membros nos restantes casos.
3. As abstenções dos membros presentes ou representados não impedem que sejam tomadas as deliberações do Conselho que exijam unanimidade.

Artigo 206.º

Em caso de votação, cada membro do Conselho só pode representar, por delegação, um dos outros membros.

*Artigo 207.º (**)*

1. Um Comité, composto pelos representantes permanentes dos Estados-Membros, prepara os trabalhos do Conselho e exerce os mandatos que este lhe confia. O Comité pode adoptar decisões de natureza processual nos casos previstos no regulamento interno do Conselho.

(*) A redacção deste artigo será alterada, a partir de 1 de Janeiro de 2005, em conformidade com o Protocolo relativo ao alargamento da União Europeia (ver anexo).

(**) Artigo com a redacção que lhe foi dada pelo Tratado de Nice.

2. O Conselho é assistido por um Secretariado-Geral, colocado na dependência de um Secretário-Geral, Alto-Representante para a política externa e de segurança comum, que será coadjuvado por um Secretário-Geral Adjunto responsável pela gestão do Secretariado-Geral. O Secretário-Geral e o Secretário-Geral Adjunto são nomeados pelo Conselho, deliberando por maioria qualificada.

O Conselho decide sobre a organização do Secretariado-Geral.

3. O Conselho aprova o seu regulamento interno.

Para efeitos de aplicação do n.º 3 do artigo 255.º, o Conselho estabelecerá no seu regulamento interno as condições de acesso por parte do público aos documentos do Conselho. Para efeitos do presente número, o Conselho determinará os casos em que se deve considerar que actua no exercício dos seus poderes legislativos, a fim de possibilitar um maior acesso aos documentos nesses casos, preservando simultaneamente a eficácia do seu processo decisório. De qualquer modo, sempre que o Conselho actue no exercício de poderes legislativos, os resultados das votações e as declarações de voto, bem como as declarações exaradas em acta, serão tornados públicos.

Artigo 208.º

O Conselho pode solicitar à Comissão que proceda a todos os estudos que ele considere oportunos para realização dos objectivos comuns e que lhe submeta todas as propostas adequadas.

Artigo 209.º

O Conselho estabelecerá, após parecer da Comissão, os estatutos dos comités previstos no presente Tratado.

Artigo 210.º ()*

O Conselho, deliberando por maioria qualificada, fixa os vencimentos, subsídios, abonos e pensões do Presidente e dos membros da Comissão, e ainda do Presidente, dos juízes, dos advogados-gerais e do secretário do Tribunal de Justiça, bem como dos membros e do secretário do Tribunal de Primeira Instância. O Conselho fixa igualmente, por maioria qualificada, todos os subsídios e abonos que substituam a remuneração.

SECÇÃO 3

A COMISSÃO

Artigo 211.º

A fim de garantir o funcionamento e o desenvolvimento do mercado comum, a Comissão:

- vela pela aplicação das disposições do presente Tratado bem como das medidas tomadas pelas instituições, por força deste,

(*) Artigo com a redacção que lhe foi dada pelo Tratado de Nice.

- formula recomendações ou pareceres sobre as matérias que são objecto do presente Tratado, quando este o preveja expressamente ou quando tal seja por ela considerado necessário,
- dispõe de poder de decisão próprio, participando na formação dos actos do Conselho e do Parlamento Europeu, nas condições previstas no presente Tratado,
- exerce a competência que o Conselho lhe atribua para a execução das regras por ele estabelecidas.

Artigo 212.º

A Comissão publicará anualmente, pelo menos um mês antes da abertura da sessão do Parlamento Europeu, um relatório geral sobre as actividades da Comunidade.

Artigo 213.º

1. (*) A Comissão é composta por vinte membros, escolhidos em função da sua competência geral e que ofereçam todas as garantias de independência.

O número de membros da Comissão pode ser modificado pelo Conselho, deliberando por unanimidade.

Só nacionais dos Estados-Membros podem ser membros da Comissão.

A Comissão deve ter, pelo menos, um nacional de cada Estado-Membro, mas o número de membros com a nacionalidade de um mesmo Estado não pode ser superior a dois.

2. Os membros da Comissão exercerão as suas funções com total independência, no interesse geral da Comunidade.

No cumprimento dos seus deveres, não solicitarão nem aceitarão instruções de nenhum Governo ou qualquer outra entidade. Os membros da Comissão abster-se-ão de praticar qualquer acto incompatível com a natureza das suas funções. Os Estados-Membros comprometem-se a respeitar este princípio e a não procurar influenciar os membros da Comissão no exercício das suas funções.

Enquanto durarem as suas funções, os membros da Comissão não podem exercer qualquer outra actividade profissional, remunerada ou não. Além disso, assumirão, no momento da posse, o compromisso solene de respeitar, durante o exercício das suas funções e após a cessação destas, os deveres decorrentes do cargo, nomeadamente os de honestidade e discrição, relativamente à aceitação, após aquela cessação, de determinadas funções ou benefícios. Se estes deveres não forem respeitados, pode o Tribunal de Justiça, a pedido do Conselho ou da Comissão, conforme o caso, ordenar a demissão compulsiva do membro em causa, nos termos do artigo 216.º, ou a perda do seu direito a pensão ou de quaisquer outros benefícios que a substituam.

(*) A redacção deste número será alterada, a partir de 1 de Janeiro de 2005 e posteriormente quando a União contar 27 Estados-Membros, em conformidade com o Protocolo relativo ao alargamento da União Europeia (ver anexo).

Artigo 214.º ()*

1. Os membros da Comissão são nomeados segundo o procedimento previsto no n.º 2, por um período de cinco anos, sem prejuízo da eventual aplicação do disposto no artigo 201.º

Podem ser reconduzidos nas suas funções.

2. O Conselho, reunido a nível de Chefes de Estado ou de Governo e deliberando por maioria qualificada, designa a personalidade que tenciona nomear Presidente da Comissão; essa designação será aprovada pelo Parlamento Europeu.

O Conselho, deliberando por maioria qualificada e de comum acordo com o Presidente designado, aprova a lista das outras personalidades que tenciona nomear membros da Comissão, estabelecida em conformidade com as propostas apresentadas por cada Estado-Membro.

O Presidente e os demais membros da Comissão assim designados são colegialmente sujeitos a um voto de aprovação do Parlamento Europeu. Após a aprovação pelo Parlamento Europeu, o Presidente e os demais membros da Comissão são nomeados pelo Conselho, deliberando por maioria qualificada.

Artigo 215.º ()*

Para além das substituições normais e dos casos de morte, as funções de membro da Comissão cessam individualmente por demissão voluntária ou compulsiva.

O membro demissionário, demitido ou falecido será substituído por um novo membro, nomeado pelo Conselho, deliberando por maioria qualificada, pelo período remanescente do seu mandato. O Conselho, deliberando por unanimidade, pode decidir pela não substituição durante esse período.

Em caso de demissão voluntária ou compulsiva, ou de morte, o Presidente é substituído pelo período remanescente do seu mandato. É aplicável à substituição do Presidente o procedimento previsto no n.º 2 do artigo 214.º

Excepto no caso de demissão compulsiva previsto no artigo 216.º, os membros da Comissão permanecem em funções até serem substituídos ou até o Conselho decidir pela não substituição, em conformidade com o segundo parágrafo do presente artigo.

Artigo 216.º

Qualquer membro da Comissão que deixe de preencher os requisitos necessários ao exercício das suas funções ou tenha cometido falta grave pode ser demitido pelo Tribunal de Justiça, a pedido do Conselho ou da Comissão.

Artigo 217.º ()*

1. A Comissão actuará sob a orientação política do seu Presidente, que decide da sua organização interna, a fim de assegurar a coerência, a eficácia e a colegialidade da sua acção.

(*) Artigo com a redacção que lhe foi dada pelo Tratado de Nice.

2. As responsabilidades que incumbem à Comissão são estruturadas e distribuídas entre os seus membros pelo Presidente. Este pode alterar a distribuição dessas responsabilidades no decurso do mandato. Os membros da Comissão exercem as funções que lhes foram atribuídas pelo Presidente sob a responsabilidade deste.

3. Após aprovação pelo colégio, o Presidente nomeia vice-presidentes de entre os membros da Comissão.

4. Qualquer membro da Comissão deve apresentar a sua demissão se o Presidente lho pedir, após aprovação pelo colégio.

Artigo 218.º

1. O Conselho e a Comissão procederão a consultas recíprocas, organizando, de comum acordo, as modalidades da sua colaboração.

2. A Comissão estabelece o seu regulamento interno, de forma a garantir o seu próprio funcionamento e o dos seus serviços, nas condições previstas no presente Tratado. A Comissão assegura a publicação desse regulamento interno.

Artigo 219.º ()*

As deliberações da Comissão são tomadas por maioria do número de membros previsto no artigo 213.º

A Comissão só pode reunir-se validamente se estiver presente o número de membros fixado no seu regulamento interno.

SECÇÃO 4

O TRIBUNAL DE JUSTIÇA

Artigo 220.º ()*

No âmbito das respectivas competências, o Tribunal de Justiça e o Tribunal de Primeira Instância garantem o respeito do direito na interpretação e aplicação do presente Tratado.

Além disso, nas condições previstas no artigo 225.ºA, podem ser adstritas ao Tribunal de Primeira Instância câmaras jurisdicionais que, em certos domínios específicos, exercerão as competências jurisdicionais previstas pelo presente Tratado.

Artigo 221.º ()*

O Tribunal de Justiça é composto de um juiz por Estado-Membro.

O Tribunal de Justiça reúne-se em secções ou em grande secção, em conformidade com as regras previstas para o efeito no seu Estatuto.

Nos casos previstos no Estatuto, o Tribunal de Justiça pode também reunir em tribunal pleno.

(*) Artigo com a redacção que lhe foi dada pelo Tratado de Nice.

Artigo 222.º ()*

O Tribunal de Justiça é assistido por oito advogados-gerais. Se o Tribunal de Justiça lho solicitar, o Conselho, deliberando por unanimidade, pode aumentar o número de advogados-gerais.

Ao advogado-geral cabe apresentar publicamente, com toda a imparcialidade e independência, conclusões fundamentadas sobre as causas que, nos termos do Estatuto do Tribunal de Justiça, requeiram a sua intervenção.

Artigo 223.º ()*

Os juízes e os advogados-gerais do Tribunal de Justiça, escolhidos de entre personalidades que ofereçam todas as garantias de independência e reúnam as condições exigidas, nos respectivos países, para o exercício das mais altas funções jurisdicionais ou que sejam jurisconsultos de reconhecida competência são nomeados de comum acordo, por seis anos, pelos governos dos Estados-Membros.

De três em três anos, proceder-se-á à substituição parcial dos juízes e dos advogados-gerais, nas condições previstas no Estatuto do Tribunal de Justiça.

Os juízes designam de entre si, por um período de três anos, o Presidente do Tribunal de Justiça, que pode ser reeleito.

Os juízes e os advogados-gerais cessantes podem ser nomeados de novo.

O Tribunal de Justiça nomeia o seu secretário e estabelece o respectivo estatuto.

O Tribunal de Justiça estabelece o seu regulamento de processo. Esse regulamento é submetido à aprovação do Conselho, deliberando por maioria qualificada.

Artigo 224.º ()*

O Tribunal de Primeira Instância é composto de, pelo menos, um juiz por Estado-Membro. O número de juízes é fixado pelo Estatuto do Tribunal de Justiça. O Estatuto pode prever que o Tribunal seja assistido por advogados-gerais.

Os membros do Tribunal de Primeira Instância serão escolhidos de entre pessoas que ofereçam todas as garantias de independência e possuam a capacidade requerida para o exercício de altas funções jurisdicionais; são nomeados de comum acordo, por seis anos, pelos Governos dos Estados-Membros. De três em três anos, proceder-se-á à sua substituição parcial. Os membros cessantes podem ser nomeados de novo.

Os juízes designam de entre si, por um período de três anos, o Presidente do Tribunal de Primeira Instância, que pode ser reeleito.

O Tribunal de Primeira Instância nomeia o seu secretário e estabelece o respectivo estatuto.

O Tribunal de Primeira Instância estabelece o seu regulamento de processo, de comum acordo com o Tribunal de Justiça. Esse regulamento é submetido à aprovação do Conselho, deliberando por maioria qualificada.

Salvo disposição em contrário do Estatuto do Tribunal de Justiça, são aplicáveis ao Tribunal de Primeira Instância as disposições do presente Tratado relativas ao Tribunal de Justiça.

(*) Artigo com a redacção que lhe foi dada pelo Tratado de Nice.

Artigo 225.º (*)

1. O Tribunal de Primeira Instância é competente para conhecer em primeira instância dos recursos referidos nos artigos 230.º, 232.º, 235.º, 236.º e 238.º, com excepção dos atribuídos a uma câmara jurisdicional e dos que o Estatuto reservar para o Tribunal de Justiça. O Estatuto pode prever que o Tribunal de Primeira Instância seja competente para outras categorias de recursos.

As decisões proferidas pelo Tribunal de Primeira Instância ao abrigo do presente número podem ser objecto de recurso para o Tribunal de Justiça limitado às questões de direito, nas condições e limites previstos no Estatuto.

2. O Tribunal de Primeira Instância é competente para conhecer dos recursos interpostos contra as decisões das câmaras jurisdicionais criadas nos termos do artigo 225.ºA.

As decisões proferidas pelo Tribunal de Primeira Instância ao abrigo do presente número podem ser reapreciadas a título excepcional pelo Tribunal de Justiça, nas condições e limites previstos no Estatuto, caso exista risco grave de lesão da unidade ou da coerência do direito comunitário.

3. O Tribunal de Primeira Instância é competente para conhecer das questões prejudiciais, submetidas por força do artigo 234.º, em matérias específicas determinadas pelo Estatuto.

Quando o Tribunal de Primeira Instância considerar que a causa exige uma decisão de princípio susceptível de afectar a unidade ou a coerência do direito comunitário, pode remeter essa causa ao Tribunal de Justiça, para que este delibere sobre ela.

As decisões proferidas pelo Tribunal de Primeira Instância sobre questões prejudiciais podem ser reapreciadas a título excepcional pelo Tribunal de Justiça, nas condições e limites previstos no Estatuto, caso exista risco grave de lesão da unidade ou da coerência do direito comunitário.

Artigo 225.ºA (**)

O Conselho, deliberando por unanimidade, sob proposta da Comissão e após consulta ao Parlamento Europeu e ao Tribunal de Justiça, ou a pedido do Tribunal de Justiça e após consulta ao Parlamento Europeu e à Comissão, pode criar câmaras jurisdicionais encarregadas de conhecer em primeira instância de certas categorias de recursos em matérias específicas.

A decisão que crie uma câmara jurisdicional fixará as regras relativas à composição dessa câmara e especificará o âmbito das competências que lhe forem conferidas.

As decisões das câmaras jurisdicionais podem ser objecto de recurso para o Tribunal de Primeira Instância limitado às questões de direito ou, quando tal estiver previsto na decisão que cria a câmara, que incida também sobre as questões de facto.

(*) Artigo com a redacção que lhe foi dada pelo Tratado de Nice.

(**) Artigo inserido pelo Tratado de Nice.

Os membros das câmaras jurisdicionais serão escolhidos de entre pessoas que ofereçam todas as garantias de independência e possuam a capacidade requerida para o exercício de funções jurisdicionais. São nomeados pelo Conselho, deliberando por unanimidade.

As câmaras jurisdicionais estabelecem o respectivo regulamento de processo, de comum acordo com o Tribunal de Justiça. Esse regulamento é submetido à aprovação do Conselho, deliberando por maioria qualificada.

Salvo disposição em contrário da decisão que cria a câmara jurisdicional, aplicam-se às câmaras jurisdicionais as disposições do presente Tratado relativas ao Tribunal de Justiça e as disposições do seu Estatuto.

Artigo 226.º

Se a Comissão considerar que um Estado-Membro não cumpriu qualquer das obrigações que lhe incumbem por força do presente Tratado, formulará um parecer fundamentado sobre o assunto, após ter dado a esse Estado oportunidade de apresentar as suas observações.

Se o Estado em causa não proceder em conformidade com este parecer no prazo fixado pela Comissão, esta pode recorrer ao Tribunal de Justiça.

Artigo 227.º

Qualquer Estado-Membro pode recorrer ao Tribunal de Justiça, se considerar que outro Estado-Membro não cumpriu qualquer das obrigações que lhe incumbem por força do presente Tratado.

Antes de qualquer Estado-Membro introduzir recurso contra outro Estado-Membro, com fundamento em pretenso incumprimento das obrigações que a este incumbem por força do presente Tratado, deve submeter o assunto à apreciação da Comissão.

A Comissão formulará um parecer fundamentado, depois de os Estados interessados terem tido oportunidade de apresentar, em processo contraditório, as suas observações escritas e orais.

Se a Comissão não tiver formulado parecer no prazo de três meses a contar da data do pedido, a falta de parecer não impede o recurso ao Tribunal de Justiça.

Artigo 228.º

1. Se o Tribunal de Justiça declarar verificado que um Estado-Membro não cumpriu qualquer das obrigações que lhe incumbem por força do presente Tratado, esse Estado deve tomar as medidas necessárias à execução do acórdão do Tribunal de Justiça.

2. Se a Comissão considerar que o Estado-Membro em causa não tomou as referidas medidas, e após ter dado a esse Estado a possibilidade de apresentar as suas observações, formulará um parecer fundamentado especificando os pontos em que o Estado-Membro não executou o acórdão do Tribunal de Justiça.

Se o referido Estado-Membro não tomar as medidas necessárias para a execução do acórdão do Tribunal de Justiça dentro do prazo fixado pela Comissão, esta pode submeter o caso ao Tribunal de Justiça. Ao fazê-lo, indicará o montante da quantia fixa ou progressiva correspondente à sanção pecuniária, a pagar pelo Estado-Membro, que considerar adequada às circunstâncias.

Se o Tribunal de Justiça declarar verificado que o Estado-Membro em causa não deu cumprimento ao seu acórdão, pode condená-lo ao pagamento de uma quantia fixa ou progressiva correspondente a uma sanção pecuniária.

Este procedimento não prejudica o disposto no artigo 227.º

Artigo 229.º

No que respeita às sanções neles previstas, os regulamentos adoptados em conjunto pelo Parlamento Europeu e pelo Conselho, e pelo Conselho, por força das disposições do presente Tratado, podem atribuir plena jurisdição ao Tribunal de Justiça.

Artigo 229.ºA ()*

Sem prejuízo das restantes disposições do presente Tratado, o Conselho, deliberando por unanimidade, sob proposta da Comissão e após consulta ao Parlamento Europeu, pode aprovar disposições destinadas a atribuir ao Tribunal de Justiça, na medida determinada pelo Conselho, competência para decidir sobre litígios ligados à aplicação dos actos adoptados com base no presente Tratado que criem títulos comunitários de propriedade industrial. O Conselho recomendará a adopção dessas disposições pelos Estados-Membros, de acordo com as respectivas normas constitucionais.

*Artigo 230.º (**)*

O Tribunal de Justiça fiscaliza a legalidade dos actos adoptados em conjunto pelo Parlamento Europeu e pelo Conselho, dos actos do Conselho, da Comissão e do BCE, que não sejam recomendações ou pareceres, e dos actos do Parlamento Europeu destinados a produzir efeitos jurídicos em relação a terceiros.

Para o efeito, o Tribunal de Justiça é competente para conhecer dos recursos com fundamento em incompetência, violação de formalidades essenciais, violação do presente Tratado ou de qualquer norma jurídica relativa à sua aplicação, ou em desvio de poder, interpostos por um Estado-Membro, pelo Parlamento Europeu, pelo Conselho ou pela Comissão.

O Tribunal de Justiça é competente, nas mesmas condições, para conhecer dos recursos interpostos pelo Tribunal de Contas e pelo BCE com o objectivo de salvaguardar as respectivas prerrogativas.

Qualquer pessoa singular ou colectiva pode interpor, nas mesmas condições, recurso das decisões de que seja destinatária e das decisões que, embora tomadas sob a forma de regulamento ou de decisão dirigida a outra pessoa, lhe digam directa e individualmente respeito.

Os recursos previstos no presente artigo devem ser interpostos no prazo de dois meses a contar, conforme o caso, da publicação do acto, da sua notificação ao recorrente ou, na falta desta, do dia em que o recorrente tenha tomado conhecimento do acto.

(*) Artigo inserido pelo Tratado de Nice.

(**) Artigo com a redacção que lhe foi dada pelo Tratado de Nice.

Artigo 231.º

Se o recurso tiver fundamento, o Tribunal de Justiça anulará o acto impugnado.

Todavia, no que respeita aos regulamentos, o Tribunal de Justiça indicará, quando o considerar necessário, quais os efeitos do regulamento anulado que se devem considerar subsistentes.

Artigo 232.º

Se, em violação do presente Tratado, o Parlamento Europeu, o Conselho ou a Comissão se abstiverem de pronunciar-se, os Estados-Membros e as outras instituições da Comunidade podem recorrer ao Tribunal de Justiça para que declare verificada essa violação.

Este recurso só é admissível se a instituição em causa tiver sido previamente convidada a agir. Se, decorrido um prazo de dois meses a contar da data do convite, a instituição não tiver tomado posição, o recurso pode ser introduzido dentro de novo prazo de dois meses.

Qualquer pessoa singular ou colectiva pode recorrer ao Tribunal de Justiça, nos termos dos parágrafos anteriores, para acusar uma das instituições da Comunidade de não lhe ter dirigido um acto que não seja recomendação ou parecer.

O Tribunal de Justiça é competente, nas mesmas condições, para conhecer dos recursos interpostos pelo BCE no domínio das suas atribuições ou das acções contra este intentadas.

Artigo 233.º

A instituição ou as instituições de que emane o acto anulado, ou cuja abstenção tenha sido declarada contrária ao presente Tratado, devem tomar as medidas necessárias à execução do acórdão do Tribunal de Justiça.

Esta obrigação não prejudica aquela que decorre da aplicação do segundo parágrafo do artigo 288.º

O presente artigo aplica-se igualmente ao BCE.

Artigo 234.º

O Tribunal de Justiça é competente para decidir, a título prejudicial:

- a) Sobre a interpretação do presente Tratado;
- b) Sobre a validade e a interpretação dos actos adoptados pelas instituições da Comunidade e pelo BCE;
- c) Sobre a interpretação dos estatutos dos organismos criados por acto do Conselho, desde que estes estatutos o prevejam.

Sempre que uma questão desta natureza seja suscitada perante qualquer órgão jurisdicional de um dos Estados-Membros, esse órgão pode, se considerar que uma decisão sobre essa questão é necessária ao julgamento da causa, pedir ao Tribunal de Justiça que sobre ela se pronuncie.

Sempre que uma questão desta natureza seja suscitada em processo pendente perante um órgão jurisdicional nacional cujas decisões não sejam susceptíveis de recurso judicial previsto no direito interno, esse órgão é obrigado a submeter a questão ao Tribunal de Justiça.

Artigo 235.º

O Tribunal de Justiça é competente para conhecer dos litígios relativos à reparação dos danos referidos no segundo parágrafo do artigo 288.º

Artigo 236.º

O Tribunal de Justiça é competente para decidir sobre todo e qualquer litígio entre a Comunidade e os seus agentes, dentro dos limites e condições estabelecidas no estatuto ou decorrentes do regime que a estes é aplicável.

Artigo 237.º

Nos limites a seguir indicados, o Tribunal de Justiça é competente para conhecer dos litígios respeitantes:

- a) À execução das obrigações dos Estados-Membros, decorrentes dos Estatutos do Banco Europeu de Investimento. O Conselho de Administração do Banco dispõe, para o efeito, dos poderes atribuídos à Comissão no artigo 226.º;
- b) Às deliberações do Conselho de Governadores do Banco Europeu de Investimento. Qualquer Estado-Membro, a Comissão e o Conselho de Administração do Banco podem interpor recurso nesta matéria, nos termos do artigo 230.º;
- c) Às deliberações do Conselho de Administração do Banco Europeu de Investimento. Os recursos destas deliberações só podem ser interpostos, nos termos do artigo 230.º, pelos Estados-Membros ou pela Comissão e apenas por violação das formalidades previstas nos n.ºs 2 e 5 a 7, inclusive, do artigo 21.º dos Estatutos do Banco;
- d) À execução das obrigações resultantes do Tratado e dos Estatutos do SEBC pelos bancos centrais nacionais. O Conselho do BCE disporá, neste contexto, em relação aos bancos centrais nacionais, dos poderes atribuídos à Comissão no artigo 226.º em relação aos Estados-Membros. Se o Tribunal de Justiça declarar verificado que um banco central nacional não cumpriu qualquer das obrigações que lhe incumbem por força do presente Tratado, esse banco central deve tomar as medidas necessárias à execução do acórdão do Tribunal de Justiça.

Artigo 238.º

O Tribunal de Justiça é competente para decidir com fundamento em cláusula compromissória constante de um contrato de direito público ou de direito privado, celebrado pela Comunidade ou por sua conta.

Artigo 239.º

O Tribunal de Justiça é competente para decidir sobre qualquer diferendo entre os Estados-Membros, relacionado com o objecto do presente Tratado, se esse diferendo lhe for submetido por compromisso.

Artigo 240.º

Sem prejuízo da competência atribuída ao Tribunal de Justiça pelo presente Tratado, os litígios em que a Comunidade seja parte não ficam, por este motivo, subtraídos à competência dos órgãos jurisdicionais nacionais.

Artigo 241.º

Mesmo depois de decorrido o prazo previsto no quinto parágrafo do artigo 230.º, qualquer parte pode, em caso de litígio que ponha em causa um regulamento adoptado em conjunto pelo Parlamento Europeu e pelo Conselho ou um regulamento do Conselho, da Comissão ou do BCE, recorrer aos meios previstos no segundo parágrafo do artigo 230.º para arguir, no Tribunal de Justiça, a inaplicabilidade desse regulamento.

Artigo 242.º

Os recursos perante o Tribunal de Justiça não têm efeito suspensivo. Todavia, o Tribunal de Justiça pode ordenar a suspensão da execução do acto impugnado, se considerar que as circunstâncias o exigem.

Artigo 243.º

O Tribunal de Justiça, nas causas submetidas à sua apreciação, pode ordenar as medidas provisórias necessárias.

Artigo 244.º

Os acórdãos do Tribunal de Justiça têm força executiva, nos termos do artigo 256.º

Artigo 245.º ()*

O Estatuto do Tribunal de Justiça é fixado em protocolo separado.

O Conselho, deliberando por unanimidade, a pedido do Tribunal de Justiça e após consulta ao Parlamento Europeu e à Comissão, ou a pedido da Comissão e após consulta ao Parlamento Europeu e ao Tribunal de Justiça, pode alterar as disposições do Estatuto, com excepção do título I.

SECÇÃO 5

O TRIBUNAL DE CONTAS

Artigo 246.º

A fiscalização das contas é efectuada pelo Tribunal de Contas.

Artigo 247.º ()*

1. O Tribunal de Contas é composto por um nacional de cada Estado-Membro.

(*) Artigo com a redacção que lhe foi dada pelo Tratado de Nice.

2. Os membros do Tribunal de Contas serão escolhidos de entre personalidades que pertençam ou tenham pertencido, nos respectivos países, a instituições de fiscalização externa ou que possuam uma qualificação especial para essa função. Devem oferecer todas as garantias de independência.

3. Os membros do Tribunal de Contas são nomeados por um período de seis anos. O Conselho, deliberando por unanimidade, após consulta ao Parlamento Europeu, aprova a lista dos membros estabelecida em conformidade com as propostas apresentadas por cada Estado-Membro. Os membros do Tribunal de Contas podem ser nomeados de novo.

Os membros do Tribunal de Contas designam de entre si, por um período de três anos, o Presidente do Tribunal de Contas, que pode ser reeleito.

4. Os membros do Tribunal de Contas exercerão as suas funções com total independência, no interesse geral da Comunidade.

No cumprimento dos seus deveres, não solicitarão nem aceitarão instruções de nenhum Governo ou qualquer entidade e abster-se-ão de praticar qualquer acto incompatível com a natureza das suas funções.

5. Enquanto durarem as suas funções, os membros do Tribunal de Contas não podem exercer qualquer outra actividade profissional, remunerada ou não. Além disso, assumirão, no momento da posse, o compromisso solene de respeitar, durante o exercício das suas funções e após a cessação destas, os deveres decorrentes do cargo, nomeadamente os de honestidade e discrição, relativamente à aceitação, após aquela cessação, de determinadas funções ou benefícios.

6. Para além das substituições normais e dos casos de morte, as funções dos membros do Tribunal de Contas cessam individualmente por demissão voluntária ou compulsiva declarada pelo Tribunal de Justiça, nos termos do n.º 7.

O membro em causa será substituído pelo tempo que faltar para o termo do período de exercício das suas funções.

Salvo no caso de demissão compulsiva, os membros do Tribunal de Contas permanecem em funções até serem substituídos.

7. Os membros do Tribunal de Contas só podem ser afastados das suas funções, ou privados do direito a pensão ou de quaisquer outros benefícios que a substituam, se o Tribunal de Justiça declarar verificado, a pedido do Tribunal de Contas, que deixaram de corresponder às condições exigidas ou de cumprir os deveres decorrentes do cargo.

8. O Conselho, deliberando por maioria qualificada, fixa as condições de emprego, designadamente os vencimentos, subsídios, abonos e pensões do Presidente e dos membros do Tribunal de Contas. O Conselho fixa, igualmente por maioria qualificada, todos os subsídios e abonos que substituam a remuneração.

9. As disposições do Protocolo relativo aos Privilégios e Imunidades das Comunidades Europeias aplicáveis aos juízes do Tribunal de Justiça são igualmente aplicáveis aos membros do Tribunal de Contas.

Artigo 248.º ()*

1. O Tribunal de Contas examina as contas da totalidade das receitas e despesas da Comunidade. O Tribunal de Contas examina igualmente as contas da totalidade das receitas e despesas de qualquer organismo criado pela Comunidade, na medida em que o respectivo acto constitutivo não exclua esse exame.

O Tribunal de Contas envia ao Parlamento Europeu e ao Conselho uma declaração sobre a fiabilidade das contas e a regularidade e legalidade das operações a que elas se referem, que será publicada no *Jornal Oficial das Comunidades Europeias*. Essa declaração pode ser completada por apreciações específicas sobre cada domínio importante da actividade comunitária.

2. O Tribunal de Contas examina a legalidade e a regularidade das receitas e despesas e garante a boa gestão financeira. Ao fazê-lo, assinalará, em especial, quaisquer irregularidades.

A fiscalização das receitas efectua-se com base na verificação dos créditos e dos pagamentos feitos à Comunidade.

A fiscalização das despesas efectua-se com base nas autorizações e nos pagamentos.

Estas fiscalizações podem ser efectuadas antes do encerramento das contas do exercício orçamental em causa.

3. A fiscalização é feita com base em documentos e, se necessário, nas próprias instalações das outras instituições da Comunidade, nas instalações de qualquer organismo que efectue a gestão de receitas ou despesas em nome da Comunidade, e nos Estados-Membros, inclusivamente nas instalações de qualquer pessoa singular ou colectiva beneficiária de pagamentos provenientes do orçamento. A fiscalização nos Estados-Membros é feita em colaboração com as instituições de fiscalização nacionais ou, se estas para isso não tiverem competência, com os serviços nacionais competentes. O Tribunal de Contas e as instituições de fiscalização nacionais dos Estados-Membros cooperarão num espírito de confiança, mantendo embora a respectiva independência. Estas instituições ou serviços darão a conhecer ao Tribunal de Contas a sua intenção de participar na fiscalização.

Todos os documentos ou informações necessários ao desempenho das funções do Tribunal de Contas ser-lhe-ão comunicados, a seu pedido, pelas outras instituições da Comunidade, pelos organismos que efectuem a gestão de receitas ou despesas em nome da Comunidade, pelas pessoas singulares ou colectivas beneficiárias de pagamentos provenientes do orçamento e pelas instituições de fiscalização nacionais ou, se estas não tiverem competência para o efeito, pelos serviços nacionais competentes.

No que respeita à actividade de gestão de despesas e receitas comunitárias exercida pelo Banco Europeu de Investimento, o direito de acesso do Tribunal às informações detidas pelo Banco será regido por um acordo celebrado entre o Tribunal, o Banco e a Comissão. Na ausência de um acordo, o Tribunal terá, contudo, acesso às informações necessárias para efectuar a fiscalização das despesas e receitas comunitárias geridas pelo Banco.

(*) Artigo com a redacção que lhe foi dada pelo Tratado de Nice.

4. O Tribunal de Contas elabora um relatório anual após o encerramento de cada exercício. Este relatório é transmitido às outras instituições da Comunidade e publicado no *Jornal Oficial das Comunidades Europeias*, acompanhado das respostas das referidas instituições às observações do Tribunal de Contas.

O Tribunal de Contas pode ainda, em qualquer momento, apresentar observações, nomeadamente sob a forma de relatórios especiais, sobre determinadas questões e formular pareceres a pedido de uma das outras instituições da Comunidade.

O Tribunal de Contas adopta os relatórios anuais, os relatórios especiais ou os pareceres, por maioria dos membros que o compõem. Todavia, pode criar secções para adoptar determinadas categorias de relatórios ou de pareceres nas condições previstas no seu regulamento interno.

O Tribunal de Contas assiste o Parlamento Europeu e o Conselho no exercício da respectiva função de controlo da execução do orçamento.

O Tribunal de Contas estabelece o seu regulamento interno. Esse regulamento é submetido à aprovação do Conselho, deliberando por maioria qualificada.

CAPÍTULO 2

DISPOSIÇÕES COMUNS A VÁRIAS INSTITUIÇÕES

Artigo 249.º

Para o desempenho das suas atribuições e nos termos do presente Tratado, o Parlamento Europeu em conjunto com o Conselho, o Conselho e a Comissão adoptam regulamentos e directivas, tomam decisões e formulam recomendações ou pareceres.

O regulamento tem carácter geral. É obrigatório em todos os seus elementos e directamente aplicável em todos os Estados-Membros.

A directiva vincula o Estado-Membro destinatário quanto ao resultado a alcançar, deixando, no entanto, às instâncias nacionais a competência quanto à forma e aos meios.

A decisão é obrigatória em todos os seus elementos para os destinatários que designar.

As recomendações e os pareceres não são vinculativos.

Artigo 250.º

1. Sempre que, por força do presente Tratado, um acto do Conselho seja adoptado sob proposta da Comissão, o Conselho só pode adoptar um acto que constitua alteração dessa proposta deliberando por unanimidade, sem prejuízo do disposto nos n.ºs 4 e 5 do artigo 251.º

2. Enquanto o Conselho não tiver deliberado, a Comissão pode alterar a sua proposta em qualquer fase dos procedimentos para a adopção de um acto comunitário.

Artigo 251.º

1. Sempre que no presente Tratado se remeta para o presente artigo para a adopção de um acto, aplicar-se-á o processo a seguir enunciado.

2. A Comissão apresenta uma proposta ao Parlamento Europeu e ao Conselho.

O Conselho, deliberando por maioria qualificada, após parecer do Parlamento Europeu:

- se aprovar todas as emendas constantes do parecer do Parlamento Europeu, pode adoptar o acto proposto assim alterado,
- se o Parlamento Europeu não propuser emendas, pode adoptar o acto proposto,
- nos demais casos, adopta uma posição comum e transmite-a ao Parlamento Europeu. O Conselho informa plenamente o Parlamento Europeu das razões que o conduziram a adoptar a posição comum. A Comissão informa plenamente o Parlamento Europeu da sua posição.

Se, no prazo de três meses após essa comunicação, o Parlamento Europeu:

- a) Aprovar a posição comum ou não se tiver pronunciado, considera-se que o acto em causa foi adoptado nos termos dessa posição comum;
- b) Rejeitar a posição comum por maioria absoluta dos membros que o compõem, considera-se que o acto proposto não foi adoptado;
- c) Propuser emendas à posição comum por maioria absoluta dos membros que o compõem, o texto assim alterado será enviado ao Conselho e à Comissão, que emitirá parecer sobre essas emendas.

3. Se, no prazo de três meses após a recepção das emendas do Parlamento Europeu, o Conselho, deliberando por maioria qualificada, aprovar todas essas emendas, considera-se que o acto em causa foi adoptado sob a forma da posição comum assim alterada; todavia, o Conselho delibera por unanimidade sobre as emendas em relação às quais a Comissão tenha dado parecer negativo. Se o Conselho não aprovar todas as emendas, o Presidente do Conselho, de acordo com o Presidente do Parlamento Europeu, convoca o Comité de Conciliação no prazo de seis semanas.

4. O Comité de Conciliação, que reúne os membros do Conselho ou os seus representantes e igual número de representantes do Parlamento Europeu, tem por missão chegar a acordo sobre um projecto comum, por maioria qualificada dos membros do Conselho ou dos seus representantes e por maioria dos representantes do Parlamento Europeu. A Comissão participa nos trabalhos do Comité de Conciliação e toma todas as iniciativas necessárias para promover uma aproximação das posições do Parlamento Europeu e do Conselho. No cumprimento da sua missão, o Comité de Conciliação analisa a posição comum com base nas emendas propostas pelo Parlamento Europeu.

5. Se, no prazo de seis semanas após ter sido convocado, o Comité de Conciliação aprovar um projecto comum, o Parlamento Europeu e o Conselho disporão de um prazo de seis semanas a contar dessa aprovação para adoptar o acto em causa de acordo com o projecto comum, por maioria absoluta dos votos expressos, no caso do Parlamento Europeu, e por maioria qualificada, no caso do Conselho. Se qualquer destas instituições não aprovar o acto proposto dentro desse prazo, considera-se que não foi adoptado.

6. Quando o Comité de Conciliação não aprovar um projecto comum, considera-se que o acto proposto não foi adoptado.

7. Os prazos de três meses e de seis semanas a que se refere o presente artigo podem ser prorrogados, respectivamente, por um mês e por duas semanas, no máximo, por iniciativa do Parlamento Europeu ou do Conselho.

Artigo 252.º

Sempre que no presente Tratado se remeta para o presente artigo para a adopção de um acto, é aplicável o seguinte procedimento:

- a) O Conselho, deliberando por maioria qualificada, sob proposta da Comissão e após parecer do Parlamento Europeu, adopta uma posição comum;
- b) A posição comum do Conselho é transmitida ao Parlamento Europeu. O Conselho e a Comissão informam plenamente o Parlamento Europeu das razões que conduziram o Conselho a adoptar a sua posição comum, bem como da posição da Comissão.

Se, no prazo de três meses após essa comunicação, o Parlamento Europeu aprovar essa posição comum ou se não se tiver pronunciado nesse prazo, o Conselho adopta definitivamente o acto em causa de acordo com a posição comum;

- c) O Parlamento Europeu pode, no prazo de três meses a que se refere a alínea b), por maioria absoluta dos membros que o compõem, propor alterações à posição comum do Conselho. O Parlamento Europeu pode igualmente, pela mesma maioria, rejeitar a posição comum do Conselho. O resultado das deliberações é transmitido ao Conselho e à Comissão.

Se o Parlamento Europeu tiver rejeitado a posição comum do Conselho, este só pode deliberar em segunda leitura por unanimidade;

- d) A Comissão reexamina, no prazo de um mês, a proposta em que o Conselho se baseou ao adoptar a posição comum, a partir das alterações propostas pelo Parlamento Europeu.

A Comissão transmite ao Conselho, simultaneamente com a sua proposta reexaminada, as alterações do Parlamento Europeu que não tenham recebido o seu acordo, acompanhadas de um parecer sobre estas. O Conselho pode adoptar essas alterações por unanimidade;

- e) O Conselho, deliberando por maioria qualificada, adopta a proposta reexaminada da Comissão.

O Conselho só pode alterar a proposta reexaminada da Comissão por unanimidade;

- f) Nos casos referidos nas alíneas c), d) e e), o Conselho deve deliberar no prazo de três meses. Se não houver decisão nesse prazo, considera-se que a proposta da Comissão não foi adoptada;

- g) Os prazos referidos nas alíneas b) e f) podem ser prorrogados por comum acordo entre o Conselho e o Parlamento Europeu, por um mês, no máximo.

Artigo 253.º

Os regulamentos, directivas e decisões adoptados em conjunto pelo Parlamento Europeu e pelo Conselho, e esses mesmos actos adoptados pelo Conselho e pela Comissão serão fundamentados e referir-se-ão às propostas ou pareceres obrigatoriamente obtidos por força do presente Tratado.

Artigo 254.º (*)

1. Os regulamentos, directivas e decisões adoptados de acordo com o procedimento a que se refere o artigo 251.º são assinados pelo Presidente do Parlamento Europeu e pelo Presidente do Conselho e publicados no *Jornal Oficial das Comunidades Europeias*, entrando em vigor na data por eles fixada ou, na falta desta, no vigésimo dia seguinte ao da publicação.
2. Os regulamentos do Conselho e da Comissão, assim como as directivas destas instituições dirigidas a todos os Estados-Membros, são publicados no *Jornal Oficial das Comunidades Europeias* e entram em vigor na data por eles fixada ou, na falta desta, no vigésimo dia subsequente ao da publicação.
3. As outras directivas, bem como as decisões, são notificadas aos respectivos destinatários produzindo efeitos mediante essa notificação.

Artigo 255.º

1. Todos os cidadãos da União e todas as pessoas singulares ou colectivas que residam ou tenham a sua sede social num Estado-Membro têm direito de acesso aos documentos do Parlamento Europeu, do Conselho e da Comissão, sob reserva dos princípios e condições a definir nos termos dos n.ºs 2 e 3.
2. Os princípios gerais e os limites que, por razões de interesse público ou privado, hão-de reger o exercício do direito de acesso aos documentos serão definidos pelo Conselho, deliberando nos termos do artigo 251.º, no prazo de dois anos a contar da data da entrada em vigor do Tratado de Amesterdão.
3. Cada uma das citadas instituições estabelecerá, no respectivo regulamento interno, disposições específicas sobre o acesso aos seus documentos.

Artigo 256.º

As decisões do Conselho ou da Comissão que imponham uma obrigação pecuniária a pessoas que não sejam Estados constituem título executivo.

A execução é regulada pelas normas de processo civil em vigor no Estado em cujo território se efectuar. A fórmula executória é aposta, sem outro controlo além da verificação da autenticidade do título, pela autoridade nacional que o Governo de cada um dos Estados-Membros designará para o efeito e de que dará conhecimento à Comissão e ao Tribunal de Justiça.

(*) Artigo com a redacção que lhe foi dada pelo Tratado de Nice.

Após o cumprimento destas formalidades a pedido do interessado, este pode promover a execução, recorrendo directamente ao órgão competente, em conformidade com a legislação nacional.

A execução só pode ser suspensa por força de uma decisão do Tribunal de Justiça. No entanto, a fiscalização da regularidade das medidas de execução é da competência dos órgãos jurisdicionais nacionais.

CAPÍTULO 3

O COMITÉ ECONÓMICO E SOCIAL

Artigo 257.º ()*

É instituído um Comité Económico e Social, de natureza consultiva.

O Comité é composto por representantes das diferentes componentes de carácter económico e social da sociedade civil organizada, designadamente dos produtores, agricultores, transportadores, trabalhadores, comerciantes e artífices, das profissões liberais, dos consumidores e do interesse geral.

Artigo 258.º ()*

O número de membros do Comité Económico e Social não será superior a trezentos e cinquenta.

O número de membros do Comité é estabelecido do seguinte modo:

Bélgica	12
Dinamarca	9
Alemanha	24
Grécia	12
Espanha	21
França	24
Irlanda	9
Itália	24
Luxemburgo	6
Países Baixos	12
Áustria	12
Portugal	12
Finlândia	9
Suécia	12
Reino Unido	24.

Os membros do Comité não devem estar vinculados a quaisquer instruções. Exercerão as suas funções com plena independência, no interesse geral da Comunidade.

O Conselho, deliberando por maioria qualificada, fixa os subsídios dos membros do Comité.

(*) Artigo com a redacção que lhe foi dada pelo Tratado de Nice.

Artigo 259.º ()*

1. Os membros do Comité são nomeados por quatro anos, sob proposta dos Estados-Membros. O Conselho, deliberando por maioria qualificada, aprova a lista dos membros estabelecida em conformidade com as propostas apresentadas por cada Estado-Membro. Os membros do Comité podem ser reconduzidos nas suas funções.

2. O Conselho consultará a Comissão, podendo obter o parecer das organizações europeias representativas dos diferentes sectores económicos e sociais interessados nas actividades da Comunidade.

Artigo 260.º

O Comité designa, de entre os seus membros, o Presidente e a Mesa, por um período de dois anos.

O Comité estabelece o seu regulamento interno.

O Comité é convocado pelo Presidente, a pedido do Conselho ou da Comissão. Pode igualmente reunir-se por iniciativa própria.

Artigo 261.º

O Comité compreende secções especializadas para os principais sectores abrangidos pelo presente Tratado.

O funcionamento das secções especializadas exercer-se-á no âmbito das competências gerais do Comité. As secções especializadas não podem ser consultadas independentemente do Comité.

Podem, por outro lado, ser instituídos, no seio do Comité, subcomités, chamados a elaborar projectos de pareceres a submeter à consideração do Comité sobre questões ou em domínios determinados.

O regulamento interno fixará as modalidades de composição e as normas de competência das secções especializadas e dos subcomités.

Artigo 262.º

O Comité será obrigatoriamente consultado pelo Conselho ou pela Comissão nos casos previstos no presente Tratado, podendo igualmente ser consultado por estas instituições sempre que o considerem oportuno. O Comité pode tomar a iniciativa de emitir parecer, sempre que o considere oportuno.

O Conselho ou a Comissão, se o considerarem necessário, fixam ao Comité um prazo para a apresentação do seu parecer, que não pode ser inferior a um mês a contar da data da comunicação para esse efeito enviada ao Presidente. Decorrido o prazo fixado sem que tenha sido recebido o parecer, pode prescindir-se deste.

O parecer do Comité e o da secção especializada, bem como um relatório das deliberações, serão transmitidos ao Conselho e à Comissão.

O Comité pode ser consultado pelo Parlamento Europeu.

(*) Artigo com a redacção que lhe foi dada pelo Tratado de Nice.

CAPÍTULO 4

O COMITÉ DAS REGIÕES

Artigo 263.º ()*

É instituído um comité de natureza consultiva, adiante designado por «Comité das Regiões», composto por representantes das colectividades regionais e locais, quer titulares de um mandato eleitoral a nível regional ou local, quer politicamente responsáveis perante uma assembleia eleita.

O número de membros do Comité das Regiões não será superior a trezentos e cinquenta.

O número de membros do Comité é estabelecido do seguinte modo:

Bélgica	12
Dinamarca	9
Alemanha	24
Grécia	12
Espanha	21
França	24
Irlanda	9
Itália	24
Luxemburgo	6
Países Baixos	12
Áustria	12
Portugal	12
Finlândia	9
Suécia	12
Reino Unido	24.

Os membros do Comité, bem como igual número de suplentes, são nomeados por quatro anos, sob proposta dos respectivos Estados-Membros. Podem ser reconduzidos nas suas funções. O Conselho, deliberando por maioria qualificada, aprova a lista dos membros efectivos e suplentes estabelecida em conformidade com as propostas apresentadas por cada Estado-Membro. O mandato dos membros do Comité cessa automaticamente no termo do mandato, referido no primeiro parágrafo, em virtude do qual foram propostos, sendo substituídos pelo período remanescente do mandato no Comité de acordo com o mesmo processo. Nenhum membro do Comité pode ser simultaneamente membro do Parlamento Europeu.

Os membros do Comité não devem estar vinculados a quaisquer instruções. Exercerão as suas funções com plena independência, no interesse geral da Comunidade.

Artigo 264.º

O Comité das Regiões designa, de entre os seus membros, o Presidente e a Mesa, por um período de dois anos.

O Comité aprova o seu regulamento interno.

(*) Artigo com a redacção que lhe foi dada pelo Tratado de Nice.

O Comité será convocado pelo seu Presidente, a pedido do Conselho ou da Comissão. Pode igualmente reunir-se por iniciativa própria.

Artigo 265.º

O Comité das Regiões será consultado pelo Conselho ou pela Comissão nos casos previstos no presente Tratado e em todos os outros casos, nomeadamente aqueles que digam respeito à cooperação transfronteiriça, em que uma destas instituições o considere oportuno.

O Conselho ou a Comissão, se o considerarem necessário, fixam ao Comité um prazo para a apresentação do seu parecer, que não pode ser inferior a um mês a contar da data da comunicação para o efeito enviada ao Presidente. Decorrido o prazo fixado sem que tenha sido recebido o parecer, pode prescindir-se deste.

Sempre que o Comité Económico e Social seja consultado ao abrigo do artigo 262.º, o Comité das Regiões será informado pelo Conselho ou pela Comissão desse pedido de parecer. Sempre que considerar que estão em causa interesses regionais específicos, o Comité das Regiões pode emitir parecer a esse respeito.

O Comité das Regiões pode ser consultado pelo Parlamento Europeu.

Sempre que o considerar oportuno, o Comité das Regiões pode emitir parecer por sua própria iniciativa.

O parecer do Comité, bem como um relatório das deliberações, serão transmitidos ao Conselho e à Comissão.

CAPÍTULO 5

BANCO EUROPEU DE INVESTIMENTO

Artigo 266.º ()*

O Banco Europeu de Investimento goza de personalidade jurídica.

Os Estados-Membros são os membros do Banco Europeu de Investimento.

Os Estatutos do Banco Europeu de Investimento constam de um protocolo anexo ao presente Tratado. O Conselho, deliberando por unanimidade, a pedido do Banco Europeu de Investimento e após consulta ao Parlamento Europeu e à Comissão, ou a pedido da Comissão e após consulta ao Parlamento Europeu e ao Banco Europeu de Investimento, pode alterar os artigos 4.º, 11.º e 12.º e o n.º 5 do artigo 18.º dos referidos Estatutos.

Artigo 267.º

O Banco Europeu de Investimento tem por missão contribuir, recorrendo ao mercado de capitais e utilizando os seus próprios recursos, para o desenvolvimento equilibrado e harmonioso do mercado comum no interesse da Comunidade. Para o efeito, o Banco facilitará, mediante a concessão de empréstimos e de garantias, sem prosseguir qualquer fim lucrativo, o financiamento dos seguintes projectos, em todos os sectores da economia:

(*) Artigo com a redacção que lhe foi dada pelo Tratado de Nice.

- a) Projectos para a valorização das regiões menos desenvolvidas;
- b) Projectos de modernização ou reconversão de empresas, ou de criação de novas actividades necessárias ao estabelecimento progressivo do mercado comum que, pela sua amplitude ou natureza, não possam ser inteiramente financiados pelos diversos meios existentes em cada um dos Estados-Membros;
- c) Projectos de interesse comum para vários Estados-Membros que, pela sua amplitude ou natureza, não possam ser inteiramente financiados pelos diversos meios existentes em cada um dos Estados-Membros.

No cumprimento da sua missão, o Banco facilitará o financiamento de programas de investimento em articulação com as intervenções dos fundos estruturais e dos demais instrumentos financeiros comunitários.

TÍTULO II

DISPOSIÇÕES FINANCEIRAS

Artigo 268.º

Todas as receitas e despesas da Comunidade, incluindo as relativas ao Fundo Social Europeu, devem ser objecto de previsões para cada exercício orçamental e ser inscritas no orçamento.

As despesas administrativas ocasionadas às instituições pelas disposições do Tratado da União Europeia relativas à política externa e de segurança comum e à cooperação nos domínios da justiça e dos assuntos internos ficarão a cargo do orçamento. As despesas operacionais ocasionadas pela aplicação das referidas disposições podem, nas condições nelas referidas, ficar a cargo do orçamento.

As receitas e despesas previstas no orçamento devem estar equilibradas.

Artigo 269.º

O orçamento é integralmente financiado por recursos próprios, sem prejuízo de outras receitas.

O Conselho, deliberando por unanimidade, sob proposta da Comissão, e após consulta do Parlamento Europeu, aprova as disposições relativas ao sistema de recursos próprios da Comunidade, cuja adopção recomendará aos Estados-Membros, de acordo com as respectivas normas constitucionais.

Artigo 270.º

Para assegurar a manutenção da disciplina orçamental, a Comissão não apresentará propostas de actos comunitários, não alterará as suas propostas nem adoptará medidas de execução susceptíveis de ter uma incidência sensível no orçamento, sem dar a garantia de que essas propostas ou medidas podem ser financiadas nos limites dos recursos próprios da Comunidade decorrentes das disposições estabelecidas pelo Conselho por força do artigo 269.º

Artigo 271.º

Salvo disposição em contrário da regulamentação adoptada por força do artigo 279.º, as despesas inscritas no orçamento são autorizadas para o período de um ano financeiro.

Os créditos que não tenham sido utilizados até ao final do ano financeiro, exceptuando os respeitantes às despesas de pessoal, podem transitar para o ano financeiro seguinte, e unicamente para esse, nas condições que serão fixadas em execução do artigo 279.º

Os créditos são especificados em capítulos, agrupando as despesas segundo a sua natureza ou destino, e subdivididos, quando necessário, em conformidade com a regulamentação adoptada por força do artigo 279.º

As despesas do Parlamento Europeu, do Conselho, da Comissão e do Tribunal de Justiça são objecto de partes separadas do orçamento, sem prejuízo de um regime especial destinado a certas despesas comuns.

Artigo 272.º

1. O ano financeiro tem início em 1 de Janeiro e termina em 31 de Dezembro.
2. Cada uma das instituições da Comunidade elaborará, antes de 1 de Julho, uma previsão das suas despesas. A Comissão reunirá essas previsões num anteprojecto de orçamento, juntando-lhe um parecer que pode incluir previsões divergentes.

Este anteprojecto compreenderá uma previsão das receitas e uma previsão das despesas.

3. A Comissão deve submeter à apreciação do Conselho o anteprojecto do orçamento, o mais tardar até 1 de Setembro do ano que antecede o da execução do orçamento.

O Conselho consultará a Comissão e, se for caso disso, as outras instituições interessadas, sempre que pretenda afastar-se desse anteprojecto.

O Conselho, deliberando por maioria qualificada, elaborará o projecto de orçamento e transmiti-lo-á ao Parlamento Europeu.

4. O projecto de orçamento deve ser submetido à apreciação do Parlamento Europeu o mais tardar até 5 de Outubro do ano que antecede o da execução do orçamento.

O Parlamento Europeu tem o direito de alterar, por maioria dos membros que o compõem, o projecto de orçamento e de propor ao Conselho, por maioria absoluta dos votos expressos, modificações ao projecto, relativas às despesas que decorrem obrigatoriamente do Tratado ou dos actos adoptados por força deste.

Se, no prazo de quarenta e cinco dias após comunicação do projecto de orçamento, o Parlamento Europeu tiver dado a sua aprovação, o orçamento fica definitivamente aprovado. Se, dentro do mesmo prazo, o Parlamento Europeu não tiver alterado o projecto de orçamento nem tiver proposto modificações, o orçamento considerar-se-á definitivamente aprovado.

Se, dentro do mesmo prazo, o Parlamento Europeu tiver adoptado alterações ou proposto modificações, o projecto de orçamento, assim alterado ou incluindo as propostas de modificação, será transmitido ao Conselho.

5. Após discussão do projecto de orçamento com a Comissão e, se for caso disso, com as outras instituições interessadas, o Conselho deliberará nas condições seguintes:

- a) O Conselho pode, deliberando por maioria qualificada, modificar qualquer uma das alterações adoptadas pelo Parlamento Europeu;
- b) No que diz respeito às propostas de modificação:
 - se uma modificação proposta pelo Parlamento Europeu não tiver por efeito aumentar o montante global das despesas de uma instituição, nomeadamente porque o aumento das despesas que ela implica seria expressamente compensado por uma ou várias modificações propostas que comportassem uma correspondente diminuição das despesas, o Conselho pode, deliberando por maioria qualificada, rejeitar essa proposta de modificação. Na falta de uma decisão de rejeição, a proposta de modificação será aceite,
 - se uma modificação proposta pelo Parlamento Europeu tiver por efeito aumentar o montante global das despesas de uma instituição, o Conselho pode, deliberando por maioria qualificada, aceitar essa proposta de modificação. Na falta de uma decisão de aceitação, a proposta de modificação será rejeitada,
 - se, nos termos de um dos dois travessões anteriores, o Conselho tiver rejeitado uma proposta de modificação, pode, deliberando por maioria qualificada, quer manter o montante inscrito no projecto de orçamento quer fixar outro montante.

O projecto de orçamento será modificado em função das propostas de modificação aceites pelo Conselho.

Se, no prazo de quinze dias após comunicação do projecto de orçamento, o Conselho não tiver modificado nenhuma das alterações adoptadas pelo Parlamento Europeu e tiver aceite as propostas de modificação por ele apresentadas, o orçamento considerar-se-á definitivamente aprovado. O Conselho informará o Parlamento Europeu de que não modificou nenhuma das alterações e de que aceitou as propostas de modificação.

Se, dentro do mesmo prazo, o Conselho tiver modificado uma ou várias das alterações adoptadas pelo Parlamento Europeu ou se as propostas de modificação por ele apresentadas tiverem sido rejeitadas ou modificadas, o projecto de orçamento modificado será novamente transmitido ao Parlamento Europeu. O Conselho expor-lhe-á o resultado das suas deliberações.

6. No prazo de quinze dias após comunicação do projecto de orçamento, o Parlamento Europeu, informado sobre o seguimento dado às suas propostas de modificação, pode, deliberando por maioria dos membros que o compõem e três quintos dos votos expressos, alterar ou rejeitar as modificações introduzidas pelo Conselho às suas alterações e, conseqüentemente, aprovar o orçamento. Se, dentro do mesmo prazo, o Parlamento Europeu não tiver deliberado, o orçamento considerar-se-á definitivamente aprovado.

7. Terminado o processo previsto no presente artigo, o Presidente do Parlamento Europeu declarará verificado que o orçamento se encontra definitivamente aprovado.

8. Todavia, o Parlamento Europeu, deliberando por maioria dos membros que o compõem e dois terços dos votos expressos, pode, por motivo importante, rejeitar o projecto de orçamento e solicitar que um novo projecto lhe seja submetido.

9. Para a totalidade das despesas que não sejam as que decorrem obrigatoriamente do Tratado ou dos actos adoptados por força deste, será fixada anualmente uma taxa máxima de aumento, em relação às despesas da mesma natureza do ano financeiro em curso.

A Comissão, após consulta do Comité de Política Económica, fixará esta taxa máxima, que resulta da:

- evolução do produto nacional bruto em volume na Comunidade,
- variação média dos orçamentos dos Estados-Membros,
- e
- evolução do custo de vida durante o último ano financeiro.

A taxa máxima será comunicada, antes de 1 de Maio, a todas as instituições da Comunidade. Estas instituições devem respeitá-la no decurso do processo orçamental, sem prejuízo do disposto nos quarto e quinto parágrafos do presente número.

Se, para as despesas que não sejam as que decorrem obrigatoriamente do Tratado ou dos actos adoptados por força deste, a taxa de aumento resultante do projecto de orçamento elaborado pelo Conselho for superior a metade da taxa máxima, o Parlamento Europeu, no exercício do seu direito de alterar, pode ainda aumentar o montante total das despesas referidas, até ao limite de metade da taxa máxima.

Quando o Parlamento Europeu, o Conselho ou a Comissão entenderem que as actividades das Comunidades exigem que se ultrapasse a taxa estabelecida de acordo com o processo definido no presente número, pode ser fixada uma nova taxa, por acordo entre o Conselho, deliberando por maioria qualificada, e o Parlamento Europeu, deliberando por maioria dos membros que o compõem e três quintos dos votos expressos.

10. Cada instituição exercerá os poderes que lhe são atribuídos pelo presente artigo, no respeito pelas disposições do Tratado e dos actos adoptados por força deste, nomeadamente em matéria de recursos próprios das Comunidades e de equilíbrio entre as receitas e as despesas.

Artigo 273.º

Se, no início de um ano financeiro, o orçamento ainda não tiver sido votado, as despesas podem ser efectuadas mensalmente, por capítulo ou segundo outra subdivisão, em conformidade com a regulamentação adoptada por força do artigo 279.º, e até ao limite de um duodécimo dos créditos abertos no orçamento do ano financeiro anterior. Esta medida não pode ter por efeito colocar à disposição da Comissão créditos superiores ao duodécimo dos previstos no projecto de orçamento em preparação.

O Conselho, deliberando por maioria qualificada, pode, desde que se respeitem as outras condições previstas no primeiro parágrafo, autorizar despesas que excedam o referido duodécimo.

Se esta decisão disser respeito a despesas que não sejam as que decorrem obrigatoriamente do Tratado ou dos actos adoptados por força deste, o Conselho transmiti-la-á imediatamente ao Parlamento Europeu. No prazo de trinta dias, o Parlamento Europeu, deliberando por maioria dos membros que o compõem e três quintos dos votos expressos, pode tomar uma decisão diferente sobre estas despesas, no que diz respeito à parte que excede o duodécimo a que se refere o primeiro parágrafo. Esta parte da decisão do Conselho fica suspensa até que o Parlamento Europeu tenha tomado a sua decisão. Se, dentro do mesmo prazo, o Parlamento Europeu não tiver tomado uma decisão diferente da decisão do Conselho, esta última considera-se definitivamente adoptada.

As decisões a que se referem os segundo e terceiro parágrafos devem prever as medidas necessárias, em matéria de recursos, tendo em vista a aplicação do presente artigo.

Artigo 274.º

A Comissão executa o orçamento nos termos da regulamentação adoptada em execução do artigo 279.º, sob sua própria responsabilidade e até ao limite das dotações concedidas, de acordo com os princípios da boa gestão financeira. Os Estados-Membros cooperarão com a Comissão a fim de assegurar que as dotações sejam utilizadas de acordo com os princípios da boa gestão financeira.

A regulamentação deve prever normas específicas segundo as quais cada instituição participa na execução das suas despesas próprias.

Dentro do orçamento e nos limites e condições fixados pela regulamentação adoptada por força do artigo 279.º, a Comissão pode proceder a transferências de dotações, quer de capítulo para capítulo quer de subdivisão para subdivisão.

Artigo 275.º

A Comissão apresentará todos os anos ao Conselho e ao Parlamento Europeu as contas do ano financeiro findo relativas às operações orçamentais. A Comissão comunicar-lhes-á, além disso, um balanço financeiro que descreva o activo e passivo da Comunidade.

Artigo 276.º

1. O Parlamento Europeu, sob recomendação do Conselho, que delibera por maioria qualificada, dá quitação à Comissão quanto à execução do orçamento. Para o efeito, o Parlamento Europeu examina, posteriormente ao Conselho, as contas e o balanço financeiro a que se refere o artigo 275.º e o relatório anual do Tribunal de Contas, acompanhado das respostas das instituições fiscalizadas às observações do Tribunal de Contas, a declaração de fiabilidade prevista no n.º 1, segundo parágrafo, do artigo 248.º, bem como quaisquer relatórios especiais pertinentes deste Tribunal.

2. Antes de dar quitação à Comissão, ou para qualquer outro efeito relacionado com o exercício das atribuições desta instituição em matéria de execução do orçamento, o Parlamento Europeu pode solicitar que a Comissão seja ouvida sobre a execução das despesas ou o funcionamento dos sistemas de controlo financeiro. A Comissão apresentará ao Parlamento Europeu, a pedido deste, todas as informações necessárias.

3. A Comissão tomará todas as medidas necessárias para dar seguimento às observações que acompanham as decisões de quitação e às demais observações do Parlamento Europeu sobre a execução das despesas, bem como aos comentários que acompanharem as recomendações de quitação aprovadas pelo Conselho.

A pedido do Parlamento Europeu ou do Conselho, a Comissão apresentará um relatório sobre as medidas tomadas em função dessas observações e comentários, e nomeadamente sobre as instruções dadas aos serviços encarregados da execução do orçamento. Esses relatórios serão igualmente enviados ao Tribunal de Contas.

Artigo 277.º

O orçamento será elaborado na unidade de conta fixada em conformidade com a regulamentação adoptada por força do artigo 279.º

Artigo 278.º

A Comissão, desde que informe do facto as autoridades competentes dos Estados-Membros interessados, pode transferir para a moeda de um dos Estados-Membros os haveres que detenha na moeda de outro Estado-Membro, na medida em que se torne necessário utilizar tais haveres para os fins previstos no presente Tratado. A Comissão evitará, na medida do possível, proceder a tais transferências, caso detenha haveres disponíveis ou realizáveis nas moedas de que necessita.

A Comissão tratará com cada um dos Estados-Membros por intermédio da autoridade por este designada. Na execução das operações financeiras, a Comissão recorrerá ao Banco emissor do Estado-Membro interessado ou a qualquer outra instituição financeira por este aprovada.

Artigo 279.º ()*

1. O Conselho, deliberando por unanimidade, sob proposta da Comissão e após consulta ao Parlamento Europeu e parecer do Tribunal de Contas:

- a) Adopta a regulamentação financeira que especifique nomeadamente as modalidades relativas à elaboração e execução do orçamento e à prestação e fiscalização das contas;
- b) Determina as regras relativas à responsabilidade dos auditores financeiros, dos gestores orçamentais e dos contabilistas, assim como ao seu controlo.

A partir de 1 de Janeiro de 2007, o Conselho delibera por maioria qualificada, sob proposta da Comissão e após consulta ao Parlamento Europeu e parecer do Tribunal de Contas.

2. O Conselho, deliberando por unanimidade, sob proposta da Comissão e após consulta ao Parlamento Europeu e parecer do Tribunal de Contas, fixa as modalidades e o processo segundo os quais as receitas orçamentais previstas no regime dos recursos próprios da Comunidade são colocadas à disposição da Comissão e estabelece as medidas a aplicar para fazer face, se necessário, às necessidades de tesouraria.

Artigo 280.º

1. A Comunidade e os Estados-Membros combaterão as fraudes e quaisquer outras actividades ilegais lesivas dos interesses financeiros da Comunidade, por meio de medidas a tomar ao abrigo do presente artigo, que tenham um efeito dissuasor e proporcionem uma protecção efectiva nos Estados-Membros.

(*) Artigo com a redacção que lhe foi dada pelo Tratado de Nice.

2. Para combater as fraudes lesivas dos interesses financeiros da Comunidade, os Estados-Membros tomarão medidas análogas às que tomarem para combater as fraudes lesivas dos seus próprios interesses financeiros.

3. Sem prejuízo de outras disposições do presente Tratado, os Estados-Membros coordenarão as respectivas acções no sentido de defender os interesses financeiros da Comunidade contra a fraude. Para o efeito, organizarão, em conjunto com a Comissão, uma colaboração estreita e regular entre as autoridades competentes.

4. O Conselho, deliberando nos termos do artigo 251.º e após consulta ao Tribunal de Contas, adoptará as medidas necessárias nos domínios da prevenção e combate das fraudes lesivas dos interesses financeiros da Comunidade, tendo em vista proporcionar uma protecção efectiva e equivalente nos Estados-Membros. Estas medidas não dirão respeito à aplicação do direito penal nacional, nem à administração da justiça nos Estados-Membros.

5. A Comissão, em cooperação com os Estados-Membros, apresentará anualmente ao Parlamento Europeu e ao Conselho um relatório sobre as medidas tomadas em aplicação do presente artigo.

PARTE VI

DISPOSIÇÕES GERAIS E FINAIS

Artigo 281.º

A Comunidade tem personalidade jurídica.

Artigo 282.º

Em cada um dos Estados-Membros a Comunidade goza da mais ampla capacidade jurídica reconhecida às pessoas colectivas pelas legislações nacionais, podendo, designadamente, adquirir ou alienar bens móveis e imóveis e estar em juízo. Para o efeito, é representada pela Comissão.

Artigo 283.º

O Conselho, deliberando por maioria qualificada, estabelecerá, sob proposta da Comissão e após consulta das outras instituições interessadas, o Estatuto dos Funcionários das Comunidades Europeias e o Regime Aplicável aos outros Agentes destas Comunidades.

Artigo 284.º

Para o desempenho das funções que lhe são confiadas, a Comissão pode recolher todas as informações e proceder a todas as verificações necessárias, dentro dos limites e condições fixadas pelo Conselho, nos termos do presente Tratado.

Artigo 285.º

1. Sem prejuízo do artigo 5.º do Protocolo relativo aos Estatutos do Sistema Europeu de Bancos Centrais e do Banco Central Europeu, o Conselho, deliberando nos termos do artigo 251.º, adoptará medidas relativas à elaboração de estatísticas, sempre que necessário, para a realização das actividades da Comunidade.

2. A elaboração das estatísticas comunitárias far-se-á no respeito pela imparcialidade, fiabilidade, objectividade, isenção científica, eficácia em relação aos custos e pelo segredo estatístico, não devendo acarretar encargos excessivos para os agentes económicos.

Artigo 286.º

1. A partir de 1 de Janeiro de 1999, os actos comunitários relativos à protecção das pessoas singulares em matéria de tratamento de dados de carácter pessoal e de livre circulação desses dados serão aplicáveis às instituições e órgãos instituídos pelo presente Tratado, ou com base nele.

2. Antes da data prevista no n.º 1, o Conselho, deliberando nos termos do artigo 251.º, criará um órgão independente de supervisão, incumbido de fiscalizar a aplicação dos citados actos comunitários às instituições e órgãos da Comunidade e adoptará as demais disposições que se afigurem adequadas.

Artigo 287.º

Os membros das instituições da Comunidade, os membros dos Comitês, bem como os funcionários e agentes da Comunidade são obrigados, mesmo após a cessação das suas funções, a não divulgar as informações que, por sua natureza, estejam abrangidas pelo segredo profissional, designadamente as respeitantes às empresas e respectivas relações comerciais ou elementos dos seus preços de custo.

Artigo 288.º

A responsabilidade contratual da Comunidade é regulada pela lei aplicável ao contrato em causa.

Em matéria de responsabilidade extracontratual, a Comunidade deve indemnizar, de acordo com os princípios gerais comuns aos direitos dos Estados-Membros, os danos causados pelas suas instituições ou pelos seus agentes no exercício das suas funções.

O parágrafo anterior aplica-se nas mesmas condições aos danos causados pelo Banco Central Europeu ou pelos seus agentes no exercício das suas funções.

A responsabilidade pessoal dos agentes perante a Comunidade é regulada pelas disposições do respectivo Estatuto ou do regime que lhes é aplicável.

Artigo 289.º

A sede das instituições da Comunidade será fixada, de comum acordo, pelos Governos dos Estados-Membros.

Artigo 290.º ()*

Sem prejuízo das disposições previstas no Estatuto do Tribunal de Justiça, o regime linguístico das instituições da Comunidade é fixado pelo Conselho, deliberando por unanimidade.

Artigo 291.º

A Comunidade goza, no território dos Estados-Membros, dos privilégios e imunidades necessários ao cumprimento da sua missão, nas condições definidas no Protocolo de 8 de Abril de 1965 relativo aos Privilégios e Imunidades das Comunidades Europeias. O mesmo regime é aplicável ao Banco Central Europeu, ao Instituto Monetário Europeu e ao Banco Europeu de Investimento.

Artigo 292.º

Os Estados-Membros comprometem-se a não submeter qualquer diferendo relativo à interpretação ou aplicação do presente Tratado a um modo de resolução diverso dos que nele estão previstos.

Artigo 293.º

Os Estados-Membros entabularão entre si, sempre que necessário, negociações destinadas a garantir, em benefício dos seus nacionais:

- a protecção das pessoas, bem como o gozo e a protecção dos direitos, nas mesmas condições que as concedidas por cada Estado aos seus próprios nacionais,
- a eliminação da dupla tributação na Comunidade,
- o reconhecimento mútuo das sociedades, na acepção do segundo parágrafo do artigo 48.º, a manutenção da personalidade jurídica em caso de transferência da sede de um país para outro e a possibilidade de fusão de sociedades sujeitas a legislações nacionais diferentes,
- a simplificação das formalidades a que se encontram subordinados o reconhecimento e a execução recíprocos tanto das decisões judiciais como das decisões arbitrais.

Artigo 294.º

Os Estados-Membros concederão aos nacionais dos outros Estados-Membros o mesmo tratamento que aos seus próprios nacionais, no que diz respeito à participação financeira daqueles no capital das sociedades, na acepção do artigo 48.º, sem prejuízo da aplicação das outras disposições do presente Tratado.

Artigo 295.º

O presente Tratado em nada prejudica o regime da propriedade nos Estados-Membros.

Artigo 296.º

1. As disposições do presente Tratado não prejudicam a aplicação das seguintes regras:

(*) Artigo com a redacção que lhe foi dada pelo Tratado de Nice.

- a) Nenhum Estado-Membro é obrigado a fornecer informações cuja divulgação considere contrária aos interesses essenciais da sua própria segurança;
- b) Qualquer Estado-Membro pode tomar as medidas que considere necessárias à protecção dos interesses essenciais da sua segurança e que estejam relacionadas com a produção ou o comércio de armas, munições e material de guerra; tais medidas não devem alterar as condições de concorrência no mercado comum no que diz respeito aos produtos não destinados a fins especificamente militares.

2. O Conselho, deliberando por unanimidade, sob proposta da Comissão, pode introduzir modificações nesta lista, que foi fixada em 15 de Abril de 1958, dos produtos aos quais se aplicam as disposições da alínea b) do n.º 1.

Artigo 297.º

Os Estados-Membros procederão a consultas recíprocas tendo em vista estabelecer de comum acordo as providências necessárias para evitar que o funcionamento do mercado comum seja afectado pelas medidas que qualquer Estado-Membro possa ser levado a tomar em caso de graves perturbações internas que afectem a ordem pública, em caso de guerra ou de tensão internacional grave que constitua ameaça de guerra, ou para fazer face a compromissos assumidos por esse Estado para a manutenção da paz e da segurança internacional.

Artigo 298.º

Se as medidas tomadas nos casos previstos nos artigos 296.º e 297.º tiverem por efeito falsear as condições de concorrência no mercado comum, a Comissão analisará com o Estado interessado as condições em que tais medidas podem ser adaptadas às disposições constantes do presente Tratado.

Em derrogação do processo previsto nos artigos 226.º e 227.º, a Comissão ou qualquer Estado-Membro podem recorrer directamente ao Tribunal de Justiça, se considerarem que outro Estado-Membro está a fazer utilização abusiva das faculdades previstas nos artigos 296.º e 297.º. O Tribunal de Justiça decide à porta fechada.

Artigo 299.º

1. O presente Tratado é aplicável ao Reino da Bélgica, ao Reino da Dinamarca, à República Federal da Alemanha, à República Helénica, ao Reino de Espanha, à República Francesa, à Irlanda, à República Italiana, ao Grão-Ducado do Luxemburgo, ao Reino dos Países Baixos, à República da Áustria, à República Portuguesa, à República da Finlândia, ao Reino da Suécia e ao Reino Unido da Grã-Bretanha e da Irlanda do Norte.

2. O disposto no presente Tratado é aplicável aos departamentos franceses ultramarinos, aos Açores, à Madeira e às ilhas Canárias.

Todavia, tendo em conta a situação social e económica estrutural dos departamentos franceses ultramarinos, dos Açores, da Madeira e das ilhas Canárias, agravada pelo grande afastamento, pela insularidade, pela pequena superfície, pelo relevo e clima difíceis e pela sua dependência económica em relação a um pequeno número de produtos, factores estes cuja persistência e conjugação prejudicam gravemente o seu desenvolvimento, o Conselho, deliberando por maioria qualificada, sob proposta da Comissão e após consulta ao Parlamento Europeu, adoptará medidas específicas destinadas, em especial, a estabelecer as condições de aplicação do presente Tratado a essas regiões, incluindo as políticas comuns.

O Conselho, ao adoptar as medidas pertinentes a que se refere o parágrafo anterior, terá em consideração domínios como as políticas aduaneira e comercial, a política fiscal, as zonas francas, as políticas nos domínios da agricultura e das pescas, as condições de aprovisionamento em matérias-primas e bens de consumo de primeira necessidade, os auxílios estatais e as condições de acesso aos fundos estruturais e aos programas horizontais da Comunidade.

O Conselho adoptará as medidas a que se refere o segundo parágrafo tendo em conta as características e os condicionalismos especiais das regiões ultraperiféricas, sem pôr em causa a integridade e a coerência do ordenamento jurídico comunitário, incluindo o mercado interno e as políticas comuns.

3. O regime especial de associação definido na parte IV do presente Tratado é aplicável aos países e territórios ultramarinos cuja lista consta do anexo II deste Tratado.

O presente Tratado não é aplicável aos países e territórios ultramarinos que mantenham relações especiais com o Reino Unido da Grã-Bretanha e da Irlanda do Norte não mencionados na lista referida no parágrafo anterior.

4. As disposições do presente Tratado são aplicáveis aos territórios europeus cujas relações externas sejam asseguradas por um Estado-Membro.

5. As disposições do presente Tratado são aplicáveis às ilhas Åland nos termos das disposições constantes do Protocolo n.º 2 do Acto de Adesão da República da Áustria, da República da Finlândia e do Reino da Suécia.

6. Em derrogação do disposto nos números anteriores:

- a) O presente Tratado não é aplicável às ilhas Faroé;
- b) O presente Tratado não é aplicável às zonas de soberania do Reino Unido da Grã-Bretanha e da Irlanda do Norte em Chipre;
- c) As disposições do presente Tratado só são aplicáveis às ilhas anglo-normandas e à ilha de Man na medida em que tal seja necessário para assegurar a aplicação do regime previsto para essas ilhas no Tratado relativo à adesão de novos Estados-Membros à Comunidade Económica Europeia e à Comunidade Europeia da Energia Atómica, assinado em 22 de Janeiro de 1972.

Artigo 300.º (*)

1. Nos casos em que as disposições do presente Tratado prevêm a celebração de acordos entre a Comunidade e um ou mais Estados ou organizações internacionais, a Comissão apresenta recomendações ao Conselho, que a autoriza a dar início às negociações necessárias. Essas negociações são conduzidas pela Comissão em consulta com comités especiais designados pelo Conselho para assistirem nessa tarefa e no âmbito das directrizes que o Conselho lhe pode endereçar.

No exercício das competências que lhe são atribuídas no presente número, o Conselho delibera por maioria qualificada, excepto nos casos em que o primeiro parágrafo do n.º 2 dispõe que o Conselho delibera por unanimidade.

(*) Artigo com a redacção que lhe foi dada pelo Tratado de Nice.

2. Sem prejuízo das competências reconhecidas à Comissão nesta matéria, a assinatura, que poderá ser acompanhada de uma decisão de aplicação provisória antes da entrada em vigor, bem como a celebração dos acordos, são decididas pelo Conselho, deliberando por maioria qualificada, sob proposta da Comissão. O Conselho delibera por unanimidade sempre que o acordo seja relativo a um domínio no qual seja exigida a unanimidade para a adopção de normas internas, bem como no caso dos acordos a que se refere o artigo 310.º

Em derrogação das regras constantes do n.º 3, é aplicável o mesmo processo para decidir da suspensão da aplicação de um acordo, bem como para definir as posições a tomar em nome da Comunidade numa instância criada por um acordo, quando essa instância for chamada a adoptar decisões que produzam efeitos jurídicos, com excepção das decisões que completem ou alterem o quadro institucional do acordo.

O Parlamento Europeu será imediata e plenamente informado de qualquer decisão tomada ao abrigo do presente número que diga respeito à aplicação provisória ou à suspensão de acordos, ou ainda à definição da posição da Comunidade numa instância criada por um acordo.

3. O Conselho celebra os acordos após consulta do Parlamento Europeu, excepto nos casos previstos no n.º 3 do artigo 133.º, inclusivamente quando o acordo seja relativo a um domínio para o qual se exija o procedimento previsto no artigo 251.º ou no artigo 252.º para a adopção de normas internas. O Parlamento Europeu dará o seu parecer num prazo que o Conselho pode fixar em função da urgência da questão. Na falta de parecer nesse prazo, o Conselho pode deliberar.

Em derrogação do disposto no parágrafo anterior, serão celebrados após parecer favorável do Parlamento Europeu os acordos a que se refere o artigo 310.º, bem como os demais acordos que criem um quadro institucional específico mediante a organização de processos de cooperação, os acordos com consequências orçamentais significativas para a Comunidade e os acordos que impliquem a alteração de um acto adoptado segundo o procedimento previsto no artigo 251.º

O Conselho e o Parlamento Europeu podem, em caso de urgência, fixar um prazo para o parecer favorável.

4. Ao celebrar um acordo, o Conselho pode, em derrogação do disposto no n.º 2, conferir poderes à Comissão para aprovar, em nome da Comunidade, as adaptações cuja adopção se encontre prevista nesse acordo por um processo simplificado ou por um órgão criado pelo acordo, acompanhando eventualmente esses poderes de condições específicas.

5. Sempre que o Conselho preveja celebrar um acordo que implique alterações ao presente Tratado, estas devem ser previamente adoptadas segundo o procedimento previsto no artigo 48.º do Tratado da União Europeia.

6. O Parlamento Europeu, o Conselho, a Comissão ou qualquer Estado-Membro podem obter previamente o parecer do Tribunal de Justiça sobre a compatibilidade de um projecto de acordo com as disposições do presente Tratado. Um acordo que tenha sido objecto de parecer negativo do Tribunal de Justiça só pode entrar em vigor nas condições previstas no artigo 48.º do Tratado da União Europeia.

7. Os acordos celebrados nas condições definidas no presente artigo são vinculativos para as instituições da Comunidade e para os Estados-Membros.

Artigo 301.º

Sempre que uma posição comum ou uma acção comum adoptada nos termos das disposições do Tratado da União Europeia relativas à política externa e de segurança comum prevejam uma acção da Comunidade para interromper ou reduzir, total ou parcialmente, as relações económicas com um ou mais países terceiros, o Conselho, deliberando por maioria qualificada, sob proposta da Comissão, toma as medidas urgentes necessárias.

Artigo 302.º

Cabe à Comissão assegurar todas as ligações úteis com os órgãos das Nações Unidas e das suas agências especializadas.

A Comissão assegurará, além disso, com todas as organizações internacionais, as ligações que considere oportunas.

Artigo 303.º

A Comunidade estabelecerá todas as formas úteis de cooperação com o Conselho da Europa.

Artigo 304.º

A Comunidade estabelecerá com a Organização de Cooperação e de Desenvolvimento Económico uma estreita colaboração, cujas modalidades serão fixadas de comum acordo.

Artigo 305.º

1. As disposições do presente Tratado não alteram as do Tratado que institui a Comunidade Europeia do Carvão e do Aço, designadamente no que diz respeito aos direitos e obrigações dos Estados-Membros, aos poderes das instituições dessa Comunidade e às regras fixadas por esse Tratado para o funcionamento do mercado comum do carvão e do aço.

2. As disposições do presente Tratado não prejudicam as do Tratado que institui a Comunidade Europeia da Energia Atómica.

Artigo 306.º

As disposições do presente Tratado não constituem obstáculo à existência e aperfeiçoamento das uniões regionais entre a Bélgica e o Luxemburgo, bem como entre a Bélgica, o Luxemburgo e os Países Baixos, na medida em que os objectivos dessas uniões regionais não sejam atingidos pela aplicação do presente Tratado.

Artigo 307.º

As disposições do presente Tratado não prejudicam os direitos e obrigações decorrentes de convenções concluídas antes de 1 de Janeiro de 1958 ou, em relação aos Estados que aderem à Comunidade, anteriormente à data da respectiva adesão, entre um ou mais Estados-Membros, por um lado, e um ou mais Estados terceiros, por outro.

Na medida em que tais convenções não sejam compatíveis com o presente Tratado, o Estado ou os Estados-Membros em causa recorrerão a todos os meios adequados para eliminar as incompatibilidades verificadas. Caso seja necessário, os Estados-Membros auxiliar-se-ão mutuamente para atingir essa finalidade, adoptando, se for caso disso, uma atitude comum.

Ao aplicar as convenções referidas no primeiro parágrafo, os Estados-Membros terão em conta o facto de que as vantagens concedidas no presente Tratado por cada um dos Estados-Membros fazem parte integrante do estabelecimento da Comunidade, estando, por conseguinte, inseparavelmente ligadas à criação de instituições comuns, à atribuição de competências em seu favor e à concessão das mesmas vantagens por todos os outros Estados-Membros.

Artigo 308.º

Se uma acção da Comunidade for considerada necessária para atingir, no curso de funcionamento do mercado comum, um dos objectivos da Comunidade, sem que o presente Tratado tenha previsto os poderes de acção necessários para o efeito, o Conselho, deliberando por unanimidade, sob proposta da Comissão, e após consulta do Parlamento Europeu, adoptará as disposições adequadas.

Artigo 309.º ()*

1. Se for decidida a suspensão do direito de voto do representante do Governo de um Estado-Membro, nos termos do n.º 3 do artigo 7.º do Tratado da União Europeia, esse direito será igualmente suspenso no que se refere ao presente Tratado.

2. Além disso, sempre que tenha sido verificada, nos termos do n.º 2 do artigo 7.º do Tratado da União Europeia, a existência de uma violação grave e persistente, por parte de um Estado-Membro, de algum dos princípios enunciados no n.º 1 do artigo 6.º desse Tratado, o Conselho, deliberando por maioria qualificada, pode decidir suspender alguns dos direitos decorrentes da aplicação do presente Tratado a esse Estado-Membro. Ao fazê-lo, o Conselho terá em conta as eventuais consequências dessa suspensão nos direitos e obrigações das pessoas singulares e colectivas.

O Estado-Membro em questão continuará, de qualquer modo, vinculado às obrigações que lhe incumbem por força do presente Tratado.

3. O Conselho, deliberando por maioria qualificada, pode posteriormente decidir alterar ou revogar as medidas tomadas ao abrigo do n.º 2, se se alterar a situação que motivou a imposição dessas medidas.

4. Para a adopção das decisões previstas nos n.ºs 2 e 3, o Conselho delibera sem tomar em consideração os votos do representante do Governo do Estado-Membro em questão. Em derrogação do n.º 2 do artigo 205.º, a maioria qualificada é definida de acordo com a mesma proporção dos votos ponderados dos membros do Conselho em causa fixada no n.º 2 do artigo 205.º

O presente número é igualmente aplicável em caso de suspensão do direito de voto nos termos do n.º 1. Nestes casos, as decisões que requeiram unanimidade serão tomadas sem o voto do representante do Governo do Estado-Membro em questão.

Artigo 310.º

A Comunidade pode celebrar com um ou mais Estados ou organizações internacionais acordos que criem uma associação caracterizada por direitos e obrigações recíprocos, acções comuns e procedimentos especiais.

(*) Artigo com a redacção que lhe foi dada pelo Tratado de Nice.

Artigo 311.º

Os protocolos que, de comum acordo entre os Estados-Membros, forem anexados ao presente Tratado, fazem dele parte integrante.

Artigo 312.º

O presente Tratado tem vigência ilimitada.

DISPOSIÇÕES FINAIS*Artigo 313.º*

O presente Tratado será ratificado pelas Altas Partes Contratantes em conformidade com as respectivas normas constitucionais. Os instrumentos de ratificação serão depositados junto do Governo da República Italiana.

O presente Tratado entrará em vigor no primeiro dia do mês seguinte ao do depósito do instrumento de ratificação do Estado signatário que tiver procedido a esta formalidade em último lugar. Todavia, se esse depósito se efectuar menos de quinze dias antes do início do mês seguinte, a entrada em vigor do Tratado será adiada para o primeiro dia do segundo mês seguinte à data desse depósito.

Artigo 314.º

O presente Tratado, redigido num único exemplar, em língua alemã, francesa, italiana e neerlandesa, fazendo fé qualquer dos quatro textos, será depositado nos Arquivos do Governo da República Italiana, o qual remeterá uma cópia autenticada a cada um dos Governos dos outros Estados signatários.

Por força dos Tratados de Adesão, fazem igualmente fé as versões do presente Tratado nas línguas dinamarquesa, espanhola, finlandesa, grega, inglesa, irlandesa, portuguesa e sueca.

EM FÉ DO QUE os plenipotenciários abaixo assinados apuseram as suas assinaturas no final do presente Tratado.

Feito em Roma, aos vinte e cinco de Março de mil novecentos e cinquenta e sete.

(lista dos signatários não reproduzida)

ANEXOS

ANEXO I

LISTA

prevista no artigo 32.º do Tratado

(1) Números da Nomenclatura de Bruxelas	(2) Designação dos produtos
Capítulo 1	Animais vivos
Capítulo 2	Carnes e miudezas, comestíveis
Capítulo 3	Peixes, crustáceos e moluscos
Capítulo 4	Leite e lacticínios; ovos de aves; mel natural
Capítulo 5	
05.04	Tripas, bexigas e buchos de animais, inteiros ou em bocados, com excepção dos de peixe
05.15	Produtos de origem animal, não especificados nem compreendidos noutras posições; animais dos capítulos 1 ou 3, mortos e impróprios para a alimentação humana
Capítulo 6	Plantas vivas e produtos de floricultura
Capítulo 7	Produtos hortícolas, plantas, raízes e tubérculos alimentares
Capítulo 8	Frutas, cascas de citrino e de melões
Capítulo 9	Café, chá e especiarias, com exclusão do mate (n.º 09.03)
Capítulo 10	Cereais
Capítulo 11	Produtos de moagem; malte; amidos e féculas; glúten; inulina
Capítulo 12	Sementes e frutos oleaginosos; sementes e frutos diversos; plantas industriais e medicinais; palhas e forragens
Capítulo 13	
ex 13.03	Pectina
Capítulo 15	
15.01	Banha e outras gorduras de porco e de aves de capoeira, obtidas por expressão ou por fusão
15.02	Sebo de bovinos, ovinos e caprinos em bruto ou obtidos por fusão, compreendendo os sebos de primeira expressão
15.03	Estearina-solar, óleo-estearina; óleo de banha e óleo-margarina não emulsionada, sem qualquer mistura ou preparação
15.04	Gorduras e óleos, mesmo refinados, de peixe e de mamíferos marinhos
15.07	Óleos vegetais fixos, fluidos ou concretos em bruto purificados ou refinados
15.12	Óleos e gorduras, animais ou vegetais, hidrogenados, mesmo refinados, mas não preparados
15.13	Margarina, imitações de banha e outras gorduras alimentares preparadas
15.17	Resíduos provenientes do tratamento das matérias gordas ou das ceras animais ou vegetais
Capítulo 16	Preparados de carne, de peixe, de crustáceos e de moluscos

(1) Números da Nomenclatura de Bruxelas	(2) Designação dos produtos
Capítulo 17	
17.01	Açúcar de beterraba ou de cana, no estado sólido
17.02	Outros açúcares, xaropes; sucedâneos do mel, mesmo misturados com mel natural; açúcar e melaço, caramelizados
17.03	Melaços, mesmo descorados
17.05 (*)	Açúcares, xaropes e melaços aromatizados ou adicionados de corantes (incluindo o açúcar baunilhado ou vanilina), com excepção dos sumos de frutas adicionados de açúcar em qualquer proporção
Capítulo 18	
18.01	Cacau inteiro ou partido, em bruto ou torrado
18.02	Casca, peles, películas e outros resíduos de cacau
Capítulo 20	Preparados de produtos hortícolas, de frutas e de outras plantas ou partes de plantas
Capítulo 22	
22.04	Mosto de uvas parcialmente fermentado, mesmo amuado, excepto com álcool
22.05	Vinhos de uvas frescas; mostos de uvas frescas amuados com álcool
22.07	Sidra, perada, hidromel e outras bebidas fermentadas
ex 22.08 (*)	Álcool etílico, desnaturado ou não, de qualquer teor alcoólico obtido a partir de produtos agrícolas constantes do anexo I ao presente Tratado, com excepção das aguardentes, licores e outras bebidas espirituosas, preparados alcoólicos compostos (designados por extractos concentrados) para o fabrico de bebidas
ex 22.09 (*)	
22.10 (*)	Vinagres e seus sucedâneos, para usos alimentares
Capítulo 23	Resíduos e desperdícios das indústrias alimentares; alimentos preparados para animais
Capítulo 24	
24.01	Tabaco não manipulado; desperdícios de tabaco
Capítulo 45	
45.01	Cortiça natural em bruto e desperdícios de cortiça; cortiça triturada, granulada ou pulverizada
Capítulo 54	
54.01	Linho em bruto, macerado, espadelado ou assedado, penteado ou tratado por qualquer outra forma, mas não fiado; estopa e desperdícios, de linho (incluindo o linho de trapo)
Capítulo 57	
57.01	Cânhamo (<i>cannabis sativa</i>) em bruto, macerado, espadelado ou assedado, penteado ou tratado por qualquer outra forma, mas não fiado; estopa e desperdícios, de cânhamo (incluindo o cânhamo de trapo)

(*) Posição aditada pelo artigo 1.º do Regulamento n.º 7-A do Conselho da Comunidade Económica Europeia, de 18 de Dezembro de 1959 (JO 7 de 30.1.1961, p. 71/61).

*ANEXO II***PAÍSES E TERRITÓRIOS ULTRAMARINOS**

aos quais se aplicam as disposições da parte IV do Tratado

- A Gronelândia
- A Nova Caledónia e dependências
- a Polinésia Francesa
- as terras austrais e antárcticas francesas
- as ilhas Wallis e Futuna
- Mayotte
- São Pedro e Miquelon
- Aruba
- Antilhas Neerlandesas:
 - Bonaire
 - Curaçao
 - Saba
 - Santo Eustáquio
 - São Martinho
- Anguilha
- as ilhas Caimans
- as ilhas Malvinas-Falkland
- Geórgia do Sul e ilhas Sandwich do Sul
- Montserrat
- Pitcairn
- Santa Helena e dependências
- O Território Antártico britânico
- O Território britânico do Oceano Índico
- as Ilhas Turcas e Caiques
- as Ilhas Virgens britânicas
- As Bermudas

PROTOCOLOS APROVADOS EM NICE

PROTOCOLO

RELATIVO AO ALARGAMENTO DA UNIÃO EUROPEIA

AS ALTAS PARTES CONTRATANTES

ACORDARAM nas disposições seguintes, que vêm anexas ao Tratado da União Europeia e aos Tratados que instituem as Comunidades Europeias:

Artigo 1.º

Revogação do Protocolo relativo às instituições

É revogado o Protocolo relativo às instituições na perspectiva do alargamento da União Europeia, anexo ao Tratado da União Europeia e aos Tratados que instituem as Comunidades Europeias.

Artigo 2.º

Disposições relativas ao Parlamento Europeu

1. Em 1 de Janeiro de 2004, e com efeitos a partir do início da legislatura de 2004-2009, no n.º 2 do artigo 190.º do Tratado que institui a Comunidade Europeia e no n.º 2 do artigo 108.º do Tratado que institui a Comunidade Europeia da Energia Atómica, o primeiro parágrafo passa a ter a seguinte redacção:

«O número de representantes eleitos em cada Estado-Membro é fixado da seguinte forma:

Bélgica	22
Dinamarca	13
Alemanha	99
Grécia	22
Espanha	50
França	72
Irlanda	12
Itália	72
Luxemburgo	6
Países Baixos	25
Áustria	17
Portugal	22
Finlândia	13
Suécia	18
Reino Unido	72».

2. Sob reserva do n.º 3, o número total de representantes ao Parlamento Europeu para a legislatura de 2004-2009 é igual ao número de representantes constante do n.º 2 do artigo 190.º do Tratado que institui a Comunidade Europeia e do n.º 2 do artigo 108.º do Tratado que institui a Comunidade Europeia da Energia Atómica, acrescido do número de representantes dos novos Estados-Membros resultante dos tratados de adesão assinados, o mais tardar, em 1 de Janeiro de 2004.

3. Se o número total de deputados previsto no n.º 2 for inferior a setecentos e trinta e dois, o número de representantes a eleger em cada Estado-Membro será corrigido proporcionalmente por forma a que o número total seja o mais próximo possível de setecentos e trinta e dois, sem que esta correcção possa conduzir à eleição, em cada Estado-Membro, de um número de representantes superior ao previsto no n.º 2 do artigo 190.º do Tratado que institui a Comunidade Europeia e no n.º 2 do artigo 108.º do Tratado que institui a Comunidade Europeia da Energia Atómica para a legislatura de 1999-2004.

O Conselho tomará uma decisão para o efeito.

4. Em derrogação do segundo parágrafo do artigo 189.º do Tratado que institui a Comunidade Europeia e do segundo parágrafo do artigo 107.º do Tratado que institui a Comunidade Europeia da Energia Atómica, se entrarem em vigor tratados de adesão depois da aprovação da decisão do Conselho prevista no n.º 3, segundo parágrafo, do presente artigo, o número de deputados ao Parlamento Europeu poderá temporariamente ultrapassar os setecentos e trinta e dois durante o período de aplicação dessa decisão. Será aplicada ao número de representantes a eleger nos Estados-Membros em causa a correcção prevista no n.º 3, primeiro parágrafo, do presente artigo.

Artigo 3.º

Disposições relativas à ponderação dos votos no Conselho

1. Em 1 de Janeiro de 2005:

a) No artigo 205.º do Tratado que institui a Comunidade Europeia e no artigo 118.º do Tratado que institui a Comunidade Europeia da Energia Atómica:

i) O n.º 2 passa a ter a seguinte redacção:

«2. Relativamente às deliberações do Conselho que exijam maioria qualificada, atribui-se aos votos dos seus membros a seguinte ponderação:

Bélgica	12
Dinamarca	7
Alemanha	29
Grécia	12
Espanha	27
França	29
Irlanda	7
Itália	29
Luxemburgo	4
Países Baixos	13
Áustria	10
Portugal	12
Finlândia	7
Suécia	10
Reino Unido	29

As deliberações são tomadas se obtiverem, no mínimo, 169 votos que expressem a votação favorável da maioria dos membros sempre que, por força do presente Tratado, devam ser tomadas sob proposta da Comissão.

Nos restantes casos, as deliberações são tomadas se obtiverem, no mínimo, 169 votos que expressem a votação favorável de, pelo menos, dois terços dos membros.»

ii) é aditado o n.º 4 seguinte:

«4. Sempre que o Conselho tome uma decisão por maioria qualificada, qualquer dos seus membros pode pedir que se verifique se os Estados-Membros que constituem essa maioria qualificada representam, pelo menos, 62 % da população total da União. Se essa condição não for preenchida, a decisão em causa não é adoptada.»

b) No n.º 2 do artigo 23.º do Tratado da União Europeia, o terceiro parágrafo passa a ter a seguinte redacção:

«Os votos dos membros do Conselho serão ponderados nos termos do n.º 2 do artigo 205.º do Tratado que institui a Comunidade Europeia. As deliberações serão tomadas se obtiverem, no mínimo, 169 votos que expressem a votação favorável de, pelo menos, dois terços dos membros. Sempre que o Conselho tome uma decisão por maioria qualificada, qualquer dos seus membros pode pedir que se verifique se os Estados-Membros que constituem essa maioria qualificada representam, pelo menos, 62 % da população total da União. Se essa condição não for preenchida, a decisão em causa não é adoptada.»

c) No artigo 34.º do Tratado da União Europeia, o n.º 3 passa a ter a seguinte redacção:

«3. Se as deliberações do Conselho exigirem maioria qualificada, os votos dos membros serão ponderados nos termos do n.º 2 do artigo 205.º do Tratado que institui a Comunidade Europeia; as deliberações serão tomadas se obtiverem, no mínimo, 169 votos que expressem a votação favorável de, pelo menos, dois terços dos membros. Sempre que o Conselho tome uma decisão por maioria qualificada, qualquer dos seus membros pode pedir que se verifique se os Estados-Membros que constituem essa maioria qualificada representam, pelo menos, 62 % da população total da União. Se essa condição não for preenchida, a decisão em causa não é adoptada.»

2. Aquando de cada adesão, o limiar referido no n.º 2, segundo parágrafo, do artigo 205.º do Tratado que institui a Comunidade Europeia e no n.º 2, segundo parágrafo, do artigo 118.º do Tratado que institui a Comunidade Europeia da Energia Atómica será calculado de forma a que o limiar da maioria qualificada expressa em votos não ultrapasse o resultante do quadro reproduzido na declaração respeitante ao alargamento da União Europeia, incluída na Acta Final da Conferência que aprovou o Tratado de Nice.

Artigo 4.º

Disposições relativas à Comissão

1. Em 1 de Janeiro de 2005, e com efeitos a partir da entrada em funções da primeira Comissão posterior a essa data, o n.º 1 do artigo 213.º do Tratado que institui a Comunidade Europeia e o n.º 1 do artigo 126.º do Tratado que institui a Comunidade Europeia da Energia Atómica passam a ter a seguinte redacção:

«1. Os membros da Comissão são escolhidos em função da sua competência geral e oferecem todas as garantias de independência.

A Comissão é composta por um nacional de cada Estado-Membro.

O número de membros da Comissão pode ser modificado pelo Conselho, deliberando por unanimidade.».

2. Quando a União contar 27 Estados-Membros, o n.º 1 do artigo 213.º do Tratado que institui a Comunidade Europeia e o n.º 1 do artigo 126.º do Tratado que institui a Comunidade Europeia da Energia Atómica passam a ter a seguinte redacção:

«1. Os membros da Comissão são escolhidos em função da sua competência geral e oferecem todas as garantias de independência.

O número de membros da Comissão é inferior ao número de Estados-Membros. Os membros da Comissão são escolhidos com base numa rotação paritária cujas modalidades são definidas pelo Conselho, deliberando por unanimidade.

O número de membros da Comissão é fixado pelo Conselho, deliberando por unanimidade.».

Esta alteração é aplicável a partir da data de entrada em funções da primeira Comissão posterior à data de adesão do vigésimo sétimo Estado-Membro da União.

3. O Conselho, deliberando por unanimidade após a assinatura do tratado de adesão do vigésimo sétimo Estado-Membro da União, define:

- o número de membros da Comissão,
- as modalidades da rotação paritária, incluindo a totalidade das regras e dos critérios necessários à fixação automática da composição dos colégios sucessivos com base nos seguintes princípios:
 - a) Os Estados-Membros são tratados em rigoroso pé de igualdade no que se refere à determinação da ordem de passagem e do tempo de presença de nacionais seus como membros da Comissão; por conseguinte, a diferença entre o número total dos mandatos exercidos por nacionais de quaisquer dois Estados-Membros não pode nunca ser superior a um;
 - b) Sob reserva da alínea a), cada um dos colégios sucessivos deve ser constituído por forma a reflectir satisfatoriamente o leque demográfico e geográfico do conjunto dos Estados-Membros da União.

4. Até que se aplique o n.º 2, qualquer Estado que adira à União tem o direito de, aquando da sua adesão, nomear um nacional seu como membro da Comissão.

PROTOCOLO

RELATIVO AO ESTATUTO DO TRIBUNAL DE JUSTIÇA

AS ALTAS PARTES CONTRATANTES,

DESEJANDO fixar o Estatuto do Tribunal de Justiça, previsto no artigo 245.º do Tratado que institui a Comunidade Europeia e no artigo 160.º do Tratado que institui a Comunidade Europeia da Energia Atómica,

ACORDARAM nas disposições seguintes, que vêm anexas ao Tratado da União Europeia, ao Tratado que institui a Comunidade Europeia e ao Tratado que institui a Comunidade Europeia da Energia Atómica:

Artigo 1.º

O Tribunal de Justiça é constituído e exercerá as suas funções em conformidade com as disposições do Tratado da União Europeia (Tratado UE), do Tratado que institui a Comunidade Europeia (Tratado CE), do Tratado que institui a Comunidade Europeia da Energia Atómica (Tratado CEEA) e do presente Estatuto.

TÍTULO I

ESTATUTO DOS JUÍZES E DOS ADVOGADOS-GERAIS

Artigo 2.º

Antes de assumirem funções, os juízes devem, em sessão pública, prestar o juramento de exercer as suas funções com total imparcialidade e consciência e de respeitar o segredo das deliberações do Tribunal.

Artigo 3.º

Os juízes gozam de imunidade de jurisdição. No que diz respeito aos actos por eles praticados na sua qualidade oficial, incluindo as suas palavras e escritos, continuam a beneficiar de imunidade após a cessação das suas funções.

O tribunal pleno pode levantar a imunidade.

Quando uma acção penal seja exercida contra um juiz após o levantamento da imunidade, este só pode ser julgado, em qualquer dos Estados-Membros, pela instância competente para julgar os magistrados pertencentes ao órgão jurisdicional nacional da mais elevada hierarquia.

O disposto nos artigos 12.º a 15.º e 18.º do Protocolo relativo aos Privilégios e Imunidades das Comunidades Europeias é aplicável aos juízes, advogados-gerais, secretário e relatores adjuntos do Tribunal, sem prejuízo das disposições relativas à imunidade de jurisdição dos juízes, constantes dos parágrafos anteriores.

Artigo 4.º

Os juízes não podem exercer quaisquer funções políticas ou administrativas.

Não podem, salvo derrogação concedida a título excepcional pelo Conselho, exercer qualquer actividade profissional, remunerada ou não.

Os juízes assumem, aquando da sua posse, o compromisso solene de respeitar, durante o exercício das suas funções e após a cessação das mesmas, os deveres decorrentes do cargo, nomeadamente os deveres de honestidade e discrição relativamente à aceitação, após aquela cessação, de determinadas funções ou benefícios.

Em caso de dúvida, o Tribunal decide.

Artigo 5.º

Para além das substituições normais e dos casos de morte, as funções dos juízes cessam individualmente em caso de renúncia.

Em caso de renúncia de um juiz, a carta de renúncia é dirigida ao Presidente do Tribunal para ser transmitida ao Presidente do Conselho. A notificação deste último determina a abertura de vaga no lugar.

Salvo nos casos previstos no artigo 6.º, o juiz permanece no cargo até que o seu sucessor assuma funções.

Artigo 6.º

Os juízes só podem ser afastados das suas funções ou privados do seu direito a pensão ou de outros benefícios que a substituam se, por decisão unânime dos juízes e advogados-gerais do Tribunal, tiverem deixado de corresponder às condições exigidas ou de cumprir os deveres decorrentes do cargo. O interessado não participa nestas deliberações.

O secretário comunica a decisão do Tribunal aos Presidentes do Parlamento Europeu e da Comissão e notifica-a ao Presidente do Conselho.

Em caso de decisão que afaste um juiz das suas funções, a notificação do Presidente do Conselho determina a abertura de vaga no lugar.

Artigo 7.º

Os juízes cujas funções cessem antes de findar o respectivo mandato são substituídos pelo tempo que faltar para o termo daquele mandato.

Artigo 8.º

O disposto nos artigos 2.º a 7.º é aplicável aos advogados-gerais.

TÍTULO II

ORGANIZAÇÃO

Artigo 9.º

A substituição parcial dos juízes, que se realiza de três em três anos, incide alternadamente em oito e sete juízes.

A substituição parcial dos advogados-gerais, que se realiza de três em três anos, incide de cada vez em quatro advogados-gerais.

Artigo 10.º

O secretário presta, perante o Tribunal, o juramento de exercer as suas funções com total imparcialidade e consciência e de respeitar o segredo das deliberações do Tribunal.

Artigo 11.º

O Tribunal regula a substituição do secretário, em caso de impedimento deste.

Artigo 12.º

A fim de assegurar o seu funcionamento, o Tribunal dispõe de funcionários e de outros agentes, que ficam na dependência hierárquica do secretário, sob a autoridade do Presidente.

Artigo 13.º

Sob proposta do Tribunal, o Conselho, deliberando por unanimidade, pode prever a nomeação de relatores adjuntos e estabelecer o respectivo estatuto. Os relatores adjuntos podem ser chamados, nas condições estabelecidas no Regulamento de Processo, a participar na instrução das causas pendentes no Tribunal e a colaborar com o juiz-relator.

Os relatores adjuntos, escolhidos de entre personalidades que ofereçam todas as garantias de independência e que possuam as qualificações jurídicas necessárias, são nomeados pelo Conselho. Os relatores adjuntos prestam, perante o Tribunal, o juramento de exercer as suas funções com total imparcialidade e consciência e de respeitar o segredo das deliberações do Tribunal.

Artigo 14.º

Os juízes, os advogados-gerais e o secretário devem residir no local onde o Tribunal tem a sua sede.

Artigo 15.º

O Tribunal funciona de modo permanente. O Tribunal fixa a duração das férias judiciais, tendo em conta as necessidades do serviço.

Artigo 16.º

O Tribunal constitui secções de três e cinco juízes. Os juízes elegem de entre si os presidentes de secção. Os presidentes das secções de cinco juízes são eleitos por três anos, podendo ser reeleitos uma vez.

A grande secção é composta por onze juízes, sendo presidida pelo Presidente do Tribunal. Fazem igualmente parte da grande secção os presidentes das secções de cinco juízes e outros juízes designados nas condições estabelecidas no Regulamento do Processo.

O Tribunal reúne como grande secção sempre que um Estado-Membro ou uma Instituição das Comunidades que seja parte na instância o solicite.

O Tribunal reúne como tribunal pleno sempre que lhe seja apresentado um requerimento em aplicação do n.º 2 do artigo 195.º, do n.º 2 do artigo 213.º, do artigo 216.º ou do n.º 7 do artigo 247.º do Tratado CE, ou do n.º 2 do artigo 107.º-D, do n.º 2 do artigo 126.º, do artigo 129.º ou do n.º 7 do artigo 160.º-B do Tratado CEEA.

O Tribunal pode também, quando considerar uma causa de excepcional importância, decidir remetê-la ao tribunal pleno, depois de ouvido o advogado-geral.

Artigo 17.º

O Tribunal só pode deliberar validamente com número ímpar de juízes.

As deliberações das secções compostas por três ou por cinco juízes só são válidas se forem tomadas por três juízes.

As deliberações da grande secção só são válidas se estiverem presentes nove juízes.

As deliberações do tribunal pleno só são válidas se estiverem presentes onze juízes.

Em caso de impedimento de um juiz de uma secção, pode ser chamado um juiz de outra secção, nas condições estabelecidas no Regulamento do Processo.

Artigo 18.º

Os juízes e os advogados-gerais não podem exercer funções em causa em que tenham intervindo anteriormente como agentes, consultores ou advogados de uma das partes, ou sobre que tenham sido chamados a pronunciar-se como membros de um tribunal, de uma comissão de inquérito, ou a qualquer outro título.

Se, por qualquer razão especial, um juiz ou um advogado-geral considerar que não deve intervir em determinada causa, deve comunicar o facto ao Presidente. Se o Presidente considerar que um juiz ou um advogado-geral não deve, por qualquer razão especial, intervir em determinada causa ou nela apresentar conclusões, disso informa o interessado.

Em caso de dificuldade na aplicação deste artigo, o Tribunal decide.

As partes não podem invocar a nacionalidade de um juiz, nem o facto de nenhum juiz da sua nacionalidade integrar o Tribunal ou uma das suas secções, para pedir a alteração da composição do Tribunal ou de uma das suas secções.

TÍTULO III PROCESSO

Artigo 19.º

Os Estados-Membros e as instituições das Comunidades são representados no Tribunal por um agente nomeado para cada causa; o agente pode ser assistido por um consultor ou por um advogado.

Os Estados partes no Acordo sobre o Espaço Económico Europeu que não sejam Estados-Membros, bem como o Órgão de Fiscalização da EFTA mencionado no referido acordo, são representados do mesmo modo.

As outras partes devem ser representadas por um advogado.

Só um advogado autorizado a exercer nos órgãos jurisdicionais de um Estado-Membro ou de outro Estado parte no Acordo sobre o Espaço Económico Europeu pode representar ou assistir uma parte no Tribunal.

Os agentes, consultores e advogados que compareçam perante o Tribunal gozam dos direitos e garantias necessários ao exercício independente das suas funções, nas condições estabelecidas no Regulamento do Processo.

O Tribunal goza, em relação aos consultores e advogados que perante ele compareçam, dos poderes normalmente atribuídos nesta matéria aos tribunais, nas condições estabelecidas no referido regulamento.

Os professores nacionais de Estados-Membros cuja legislação lhes reconheça o direito de pleitear gozam, perante o Tribunal, dos direitos reconhecidos por este artigo aos advogados.

Artigo 20.º

O processo perante o Tribunal compreende duas fases, uma escrita e outra oral.

A fase escrita compreende a comunicação às partes e às instituições das Comunidades cujas decisões estejam em causa, das petições e requerimentos, observações, alegações, contestações e respostas e, eventualmente, das réplicas, bem como de todas as peças e documentos em seu apoio ou respectivas cópias autenticadas.

As comunicações são efectuadas pelo secretário segundo a ordem e nos prazos fixados no Regulamento do Processo.

A fase oral compreende a leitura do relatório apresentado pelo juiz-relator, a audição pelo Tribunal dos agentes, consultores e advogados e das conclusões do advogado-geral, bem como, se for caso disso, a audição de testemunhas e peritos.

Quando considerar que não se suscita questão de direito nova, o Tribunal pode, ouvido o advogado-geral, decidir que a causa seja julgada sem conclusões do advogado-geral.

Artigo 21.º

O pedido é apresentado ao Tribunal por petição ou requerimento escrito enviado ao secretário. Da petição ou requerimento deve constar a indicação do nome e domicílio do demandante ou recorrente e a qualidade do signatário, a indicação da parte ou das partes contra as quais o pedido é apresentado, o objecto do litígio, as conclusões e uma exposição sumária dos respectivos fundamentos.

A petição ou requerimento deve ser acompanhado, se for caso disso, do acto cuja anulação seja pedida. No caso a que se referem o artigo 232.º do Tratado CE e o artigo 148.º do Tratado CEEA, a petição ou requerimento deve ser acompanhado de um documento comprovativo da data do convite previsto nesses artigos. Se esses documentos não forem apresentados com a petição ou o requerimento, o secretário convida o interessado a apresentá-los dentro de prazo razoável, sem que possa ser invocada a caducidade no caso de a regularização se efectuar depois de decorrido o prazo para a propositura da acção ou a interposição do recurso.

Artigo 22.º

Nos casos previstos no artigo 18.º do Tratado CEEA, o pedido é apresentado ao Tribunal por requerimento escrito enviado ao secretário. Do requerimento deve constar a indicação do nome e domicílio do requerente e a qualidade do signatário, a indicação da decisão da qual é interposto o recurso, a indicação das partes contrárias, o objecto do litígio, as conclusões e uma exposição sumária dos fundamentos do pedido.

O requerimento deve ser acompanhado de uma cópia autenticada da decisão impugnada do Comité de Arbitragem.

Se o Tribunal não der provimento ao recurso, a decisão do Comité de Arbitragem torna-se definitiva.

Se o Tribunal anular a decisão do Comité de Arbitragem, o processo pode ser reaberto, se for caso disso, por iniciativa de uma das partes em causa, perante o Comité de Arbitragem, o qual fica vinculado aos princípios de direito enunciados pelo Tribunal.

Artigo 23.º

Nos casos previstos no n.º 1 do artigo 35.º do Tratado UE, no artigo 234.º do Tratado CE e no artigo 150.º do Tratado CEEA, a decisão do órgão jurisdicional nacional que suspenda a instância e que suscite a questão perante o Tribunal é a este notificada por iniciativa desse órgão. Esta decisão é em seguida notificada, pelo secretário do Tribunal, às partes em causa, aos Estados-Membros e à Comissão, bem como ao Conselho ou ao Banco Central Europeu, se o acto cuja validade ou interpretação é contestada deles emanar, e ao Parlamento Europeu e ao Conselho, se o acto cuja validade ou interpretação é contestada tiver sido adoptado conjuntamente por estas duas instituições.

No prazo de dois meses a contar desta última notificação, as partes, os Estados-Membros, a Comissão e, se for caso disso, o Parlamento Europeu, o Conselho e o Banco Central Europeu têm o direito de apresentar ao Tribunal alegações ou observações escritas.

Nos casos previstos no artigo 234.º do Tratado CE, a decisão do órgão jurisdicional nacional é igualmente notificada pelo secretário do Tribunal aos Estados partes no Acordo sobre o Espaço Económico Europeu que não sejam Estados-Membros, bem como ao Órgão de Fiscalização da EFTA mencionado no referido acordo, que têm o direito de apresentar ao Tribunal alegações ou observações escritas, no prazo de dois meses a contar da notificação e quando esteja em causa um dos domínios de aplicação desse acordo.

Artigo 24.º

O Tribunal pode pedir às partes que apresentem todos os documentos e prestem todas as informações que considere necessárias. Em caso de recusa, o Tribunal regista-a nos autos.

O Tribunal pode também pedir aos Estados-Membros e às instituições que não sejam partes no processo todas as informações que considere necessárias à apreciação da causa.

Artigo 25.º

O Tribunal pode, em qualquer momento, confiar uma peritagem a qualquer pessoa, instituição, serviço, comissão ou órgão da sua escolha.

Artigo 26.º

Podem ser ouvidas testemunhas, nas condições estabelecidas no Regulamento do Processo.

Artigo 27.º

O Tribunal goza, no que respeita às testemunhas faltosas, dos poderes geralmente atribuídos nesta matéria aos tribunais e pode aplicar sanções pecuniárias, nas condições estabelecidas no Regulamento do Processo.

Artigo 28.º

As testemunhas e os peritos podem ser ouvidos sob juramento, segundo a fórmula estabelecida no Regulamento do Processo ou nos termos previstos na legislação nacional da testemunha ou do perito.

Artigo 29.º

O Tribunal pode determinar que uma testemunha ou um perito sejam ouvidos pela autoridade judiciária do seu domicílio.

O despacho é enviado, para execução, à autoridade judiciária competente, nas condições estabelecidas no Regulamento do Processo. Os documentos resultantes da execução da carta rogatória são enviados ao Tribunal, nas mesmas condições.

O Tribunal suporta as despesas, sem prejuízo de, quando for caso disso, as fazer recair sobre as partes.

Artigo 30.º

Os Estados-Membros consideram qualquer violação dos juramentos das testemunhas e dos peritos como se a infracção tivesse sido cometida perante um tribunal nacional com competência em matéria cível. Por participação do Tribunal, o Estado-Membro em causa processa os autores da infracção perante o órgão jurisdicional nacional competente.

Artigo 31.º

A audiência é pública, salvo se o Tribunal, oficiosamente ou a pedido das partes, por motivos graves, decidir em contrário.

Artigo 32.º

Durante as audiências, o Tribunal pode interrogar os peritos, as testemunhas e as próprias partes. Todavia, estas últimas só podem litigar por intermédio do seu representante.

Artigo 33.º

Em relação a cada audiência é redigida uma acta, assinada pelo Presidente e pelo secretário.

Artigo 34.º

O rol das audiências é fixado pelo Presidente.

Artigo 35.º

As deliberações do Tribunal são e permanecem secretas.

Artigo 36.º

Os acórdãos são fundamentados e mencionam os nomes dos juízes que intervieram na deliberação.

Artigo 37.º

Os acórdãos são assinados pelo Presidente e pelo secretário e lidos em audiência pública.

Artigo 38.º

O Tribunal decide sobre as despesas.

Artigo 39.º

O Presidente do Tribunal pode decidir, em processo sumário que derroge, se necessário, certas disposições deste Estatuto e que é estabelecido no Regulamento do Processo, sobre os pedidos tendentes a obter a suspensão prevista no artigo 242.º do Tratado CE e no artigo 157.º do Tratado CEEA, a aplicação de medidas provisórias nos termos do artigo 243.º do Tratado CE ou do artigo 158.º do Tratado CEEA ou a suspensão da execução em conformidade com o disposto no quarto parágrafo do artigo 256.º do Tratado CE ou no terceiro parágrafo do 164.º do Tratado CEEA.

Em caso de impedimento do Presidente, este é substituído por outro juiz, nas condições estabelecidas no Regulamento do Processo.

O despacho proferido pelo Presidente ou pelo seu substituto tem carácter provisório e não prejudica a decisão do Tribunal sobre o mérito da causa.

Artigo 40.º

Os Estados-Membros e as instituições das Comunidades podem intervir nas causas submetidas ao Tribunal.

O mesmo direito é reconhecido a qualquer pessoa que demonstre interesse na resolução da causa submetida ao Tribunal, excepto se se tratar de causas entre Estados-Membros, entre instituições das Comunidades, ou entre Estados-Membros, de um lado, e Instituições das Comunidades, do outro.

Sem prejuízo do segundo parágrafo, os Estados partes no Acordo sobre o Espaço Económico Europeu que não sejam Estados-Membros, bem como o Órgão de Fiscalização da EFTA mencionado no referido acordo, podem intervir nos litígios submetidos ao Tribunal que incidam sobre um dos domínios de aplicação do acordo.

As conclusões do pedido de intervenção devem limitar-se a sustentar as conclusões de uma das partes.

Artigo 41.º

Se o demandado ou recorrido não apresentar contestação ou resposta escrita, tendo sido devidamente citado, o acórdão é proferido à revelia. O acórdão pode ser impugnado no prazo de um mês a contar da sua notificação. Salvo decisão em contrário do Tribunal, a impugnação não suspende a execução do acórdão proferido à revelia.

Artigo 42.º

Os Estados-Membros, as Instituições das Comunidades e quaisquer outras pessoas singulares ou colectivas podem, nos casos e condições estabelecidos no Regulamento do Processo, impugnar os acórdãos proferidos em processos nos quais não tenham sido chamados a intervir, mediante recurso de oposição de terceiro, se esses acórdãos prejudicarem os seus direitos.

Artigo 43.º

Em caso de dúvida sobre o sentido e o alcance de um acórdão, cabe ao Tribunal interpretá-lo, a pedido de uma parte ou de uma Instituição das Comunidades que nisso demonstre interesse.

Artigo 44.º

A revisão de um acórdão só pode ser pedida ao Tribunal se se descobrir facto susceptível de exercer influência decisiva e que, antes de proferido o acórdão, era desconhecido do Tribunal e da parte que requer a revisão.

O processo de revisão tem início com um acórdão do Tribunal que declare expressamente a existência de facto novo, lhe reconheça as características exigidas para a revisão e declare o pedido admissível com esse fundamento.

Nenhum pedido de revisão pode ser apresentado depois de decorrido o prazo de dez anos a contar da data do acórdão.

Artigo 45.º

O Regulamento do Processo fixa prazos de dilação tendo em consideração as distâncias.

O decurso do prazo não extingue o direito de praticar o acto, se o interessado provar a existência de caso fortuito ou de força maior.

Artigo 46.º

As acções contra as Comunidades em matéria de responsabilidade extracontratual prescrevem no prazo de cinco anos a contar da ocorrência do facto que lhes tenha dado origem. A prescrição interrompe-se, quer pela apresentação do pedido no Tribunal, quer através de pedido prévio que o lesado pode dirigir à Instituição competente das Comunidades. Neste último caso, o pedido deve ser apresentado no prazo de dois meses previsto no artigo 230.º do Tratado CE e no artigo 146.º do Tratado CEEA; o disposto no segundo parágrafo do artigo 232.º do Tratado CE e no segundo parágrafo do artigo 148.º do Tratado CEEA, respectivamente, é aplicável, sendo caso disso.

TÍTULO IV

TRIBUNAL DE PRIMEIRA INSTÂNCIA DAS COMUNIDADES EUROPEIAS

Artigo 47.º

Os artigos 2.º a 8.º, os artigos 14.º e 15.º, os primeiro, segundo, quarto e quinto parágrafos do artigo 17.º e o artigo 18.º aplicam-se ao Tribunal de Primeira Instância e aos seus membros. O juramento referido no artigo 2.º é prestado perante o Tribunal de Justiça e as decisões referidas nos artigos 3.º, 4.º e 6.º são proferidas por este Tribunal, ouvido o Tribunal de Primeira Instância.

O quarto parágrafo do artigo 3.º e os artigos 10.º, 11.º e 14.º do presente Estatuto aplicam-se, *mutatis mutandis*, ao secretário do Tribunal de Primeira Instância.

Artigo 48.º

O Tribunal de Primeira Instância é composto por quinze juízes.

Artigo 49.º

Os membros do Tribunal de Primeira Instância podem ser chamados a exercer as funções de advogado-geral.

Ao advogado-geral cabe apresentar publicamente, com toda a imparcialidade e independência, conclusões fundamentadas sobre algumas das causas submetidas ao Tribunal de Primeira Instância, para assistir este último no desempenho das suas atribuições.

Os critérios de selecção destas causas, bem como as regras de designação dos advogados-gerais, são estabelecidos pelo Regulamento do Processo do Tribunal de Primeira Instância.

O membro do Tribunal de Primeira Instância que seja chamado a exercer funções de advogado-geral numa causa não pode participar na elaboração do acórdão respeitante a essa causa.

Artigo 50.º

O Tribunal de Primeira Instância funciona por secções, compostas por três ou cinco juízes. Os juízes elegem de entre si os presidentes das secções. Os presidentes das secções de cinco juízes são eleitos por três anos, podendo ser reeleitos uma vez.

A composição das secções e a atribuição das causas a cada uma delas são fixadas pelo Regulamento do Processo. Em certos casos, previstos pelo Regulamento do Processo, o Tribunal de Primeira Instância pode reunir em sessão plenária ou funcionar com juiz singular.

O Regulamento do Processo pode também prever que o Tribunal de Primeira Instância reúna em grande secção, nos casos e condições nele previstos.

Artigo 51.º

Em derrogação da regra enunciada no n.º 1 do artigo 225.º do Tratado CE e no n.º 1 do artigo 140.º-A do Tratado CEEA, são da competência do Tribunal de Justiça as acções propostas e os recursos interpostos pelos Estados-Membros, pelas instituições das Comunidades e pelo Banco Central Europeu.

Artigo 52.º

O Presidente do Tribunal de Justiça e o Presidente do Tribunal de Primeira Instância estabelecem, de comum acordo, as condições em que os funcionários e outros agentes vinculados ao Tribunal de Justiça prestam serviço no Tribunal de Primeira Instância, a fim de assegurar o seu funcionamento. Certos funcionários ou outros agentes ficam na dependência hierárquica do secretário do Tribunal de Primeira Instância, sob a autoridade do Presidente deste Tribunal.

Artigo 53.º

O processo no Tribunal de Primeira Instância rege-se pelo título III.

Este processo é precisado e completado, na medida do necessário, pelo Regulamento do Processo. O Regulamento do Processo pode prever derrogações ao quarto parágrafo do artigo 40.º e ao artigo 41.º do presente Estatuto, tendo em consideração as especificidades do contencioso relativo à propriedade intelectual.

Em derrogação do disposto no quarto parágrafo do artigo 20.º, o advogado-geral pode apresentar as suas conclusões fundamentadas por escrito.

Artigo 54.º

Quando uma petição ou qualquer outro documento destinado ao Tribunal de Primeira Instância for dirigido, por erro, ao secretário do Tribunal de Justiça, é por este imediatamente remetido ao secretário do Tribunal de Primeira Instância; do mesmo modo, quando uma petição ou qualquer outro documento destinado ao Tribunal de Justiça for dirigido, por erro, ao secretário do Tribunal de Primeira Instância, é por este imediatamente remetido ao secretário do Tribunal de Justiça.

Quando o Tribunal de Primeira Instância considerar que não é competente para a apreciação de uma acção ou recurso e que o mesmo é da competência do Tribunal de Justiça, remete-lhe o respectivo processo. Quando o Tribunal de Justiça verificar que uma acção ou recurso é da competência do Tribunal de Primeira Instância, remete-lhe o respectivo processo, não podendo o Tribunal de Primeira Instância declinar a sua competência.

Quando forem submetidas ao Tribunal de Justiça e ao Tribunal de Primeira Instância várias questões com o mesmo objecto, que suscitem o mesmo problema de interpretação ou ponham em causa a validade do mesmo acto, o Tribunal de Primeira Instância pode, ouvidas as partes, suspender a instância até que seja proferido o acórdão do Tribunal de Justiça. Quando se trate de pedidos de anulação do mesmo acto, o Tribunal de Primeira Instância pode igualmente declinar a sua competência, a fim de que o Tribunal de Justiça decida sobre esses pedidos de anulação. Nos casos referidos no presente parágrafo, o Tribunal de Justiça pode igualmente decidir suspender a instância; neste caso, o processo perante o Tribunal de Primeira Instância prossegue os seus termos.

Artigo 55.º

As decisões do Tribunal de Primeira Instância que ponham termo à instância, conheçam parcialmente do mérito da causa ou ponham termo a um incidente processual relativo a uma excepção de incompetência ou a uma questão prévia de inadmissibilidade são notificadas pelo secretário do Tribunal de Primeira Instância a todas as partes, aos Estados-Membros e às Instituições das Comunidades, mesmo que não tenham intervindo no processo no Tribunal de Primeira Instância.

Artigo 56.º

Pode ser interposto recurso para o Tribunal de Justiça das decisões do Tribunal de Primeira Instância que ponham termo à instância, bem como das decisões que apenas conheçam parcialmente do mérito da causa ou que ponham termo a um incidente processual relativo a uma excepção de incompetência ou a uma questão prévia de inadmissibilidade. O recurso deve ser interposto no prazo de dois meses a contar da notificação da decisão impugnada.

O recurso pode ser interposto por qualquer das partes que tenha sido total ou parcialmente vencida. Todavia, as partes intervenientes que não sejam os Estados-Membros e as Instituições das Comunidades só podem interpor recurso se a decisão do Tribunal de Primeira Instância as afectar directamente.

Com excepção dos casos relativos a litígios entre as Comunidades e os seus agentes, este recurso pode igualmente ser interposto pelos Estados-Membros e pelas Instituições das Comunidades que não tenham intervindo no litígio no Tribunal de Primeira Instância. Neste caso, esses Estados-Membros e Instituições beneficiam de uma posição idêntica à dos Estados-Membros ou das Instituições que tenham intervindo em primeira instância.

Artigo 57.º

Qualquer pessoa cujo pedido de intervenção tenha sido indeferido pelo Tribunal de Primeira Instância pode recorrer para o Tribunal de Justiça. O recurso deve ser interposto no prazo de duas semanas a contar da notificação da decisão de indeferimento.

As partes no processo podem interpor recurso para o Tribunal de Justiça das decisões do Tribunal de Primeira Instância tomadas ao abrigo do disposto nos artigos 242.º ou 243.º ou no quarto parágrafo do artigo 256.º do Tratado CE ou ao abrigo do disposto nos artigos 157.º ou 158.º ou no terceiro parágrafo do artigo 164.º do Tratado CEEA. O recurso deve ser interposto no prazo de dois meses a contar da notificação dessas decisões.

O recurso referido nos primeiro e segundo parágrafos é processado nos termos do artigo 39.º

Artigo 58.º

O recurso para o Tribunal de Justiça é limitado às questões de direito e pode ter por fundamento a incompetência do Tribunal de Primeira Instância, irregularidades processuais perante este Tribunal que prejudiquem os interesses do recorrente, bem como a violação do direito comunitário pelo Tribunal de Primeira Instância.

Não pode ser interposto recurso que tenha por único fundamento o montante das despesas ou a determinação da parte que as deve suportar.

Artigo 59.º

Em caso de recurso de uma decisão do Tribunal de Primeira Instância, o processo no Tribunal de Justiça compreende uma fase escrita e uma fase oral. Nas condições fixadas no Regulamento do Processo, o Tribunal de Justiça, ouvido o advogado-geral e as partes, pode prescindir da fase oral.

Artigo 60.º

Sem prejuízo do disposto nos artigos 242.º e 243.º do Tratado CE ou nos artigos 157.º e 158.º do Tratado CEEA, o recurso não tem efeito suspensivo.

Em derrogação do disposto no artigo 244.º do Tratado CE e no artigo 159.º do Tratado CEEA, as decisões do Tribunal de Primeira Instância que anulem um regulamento só produzem efeitos depois de expirado o prazo referido no primeiro parágrafo do artigo 56.º do presente Estatuto ou, se tiver sido interposto recurso dentro desse prazo, a contar do indeferimento deste, sem prejuízo, contudo, do direito que assiste a qualquer das partes de requerer ao Tribunal de Justiça, ao abrigo dos artigos 242.º e 243.º do Tratado CE ou dos artigos 157.º e 158.º do Tratado CEEA, que suspenda os efeitos do regulamento anulado ou ordene qualquer outra medida provisória.

Artigo 61.º

Quando o recurso for julgado procedente, o Tribunal de Justiça anula a decisão do Tribunal de Primeira Instância. Pode, neste caso, decidir definitivamente o litígio, se estiver em condições de ser julgado, ou remeter o processo ao Tribunal de Primeira Instância, para julgamento.

Em caso de remessa do processo ao Tribunal de Primeira Instância, este fica vinculado à solução dada às questões de direito na decisão do Tribunal de Justiça.

Quando um recurso interposto por um Estado-Membro ou por uma Instituição das Comunidades que não tenham intervindo no processo no Tribunal de Primeira Instância for julgado procedente, o Tribunal de Justiça pode, se considerar necessário, indicar quais os efeitos da decisão anulada do Tribunal de Primeira Instância que devem ser considerados subsistentes em relação às partes em litígio.

Artigo 62.º

Nos casos previstos nos n.ºs 2 e 3 do artigo 225.º do Tratado CE e nos n.ºs 2 e 3 do artigo 140.º-A do Tratado CEEA, sempre que considere existir um risco grave de lesão da unidade ou da coerência do direito comunitário, o primeiro advogado-geral pode propor ao Tribunal de Justiça que reaprecie a decisão do Tribunal de Primeira Instância.

A proposta deve ser apresentada no prazo de um mês a contar da data em que tiver sido proferida a decisão do Tribunal de Primeira Instância. O Tribunal de Justiça decide, no prazo de um mês a contar da recepção da proposta apresentada pelo primeiro advogado-geral, se a decisão deve ou não ser reapreciada.

TÍTULO V

DISPOSIÇÕES FINAIS

Artigo 63.º

Dos Regulamentos do Processo do Tribunal de Justiça e do Tribunal de Primeira Instância constam todas as disposições indispensáveis para aplicar o presente Estatuto e, se necessário, para completá-lo.

Artigo 64.º

Até à adopção de regras relativas ao regime linguístico aplicável ao Tribunal de Justiça e ao Tribunal de Primeira Instância a incluir no presente Estatuto, continuam a aplicar-se as disposições do Regulamento do Processo do Tribunal de Justiça e do Regulamento do Processo do Tribunal de Primeira Instância relativas ao regime linguístico. Qualquer alteração ou revogação destas disposições deve ser efectuada segundo o procedimento previsto para a alteração do presente Estatuto.

PROTOCOLO

RELATIVO ÀS CONSEQUÊNCIAS FINANCEIRAS DO TERMO DE VIGÊNCIA DO TRATADO CEEA E AO FUNDO DE INVESTIGAÇÃO DO CARVÃO E DO AÇO

AS ALTAS PARTES CONTRATANTES,

DESEJANDO resolver certas questões respeitantes ao termo de vigência do Tratado que institui a Comunidade Europeia do Carvão e do Aço (CECA);

QUERENDO atribuir a propriedade dos fundos CEEA à Comunidade Europeia;

TENDO EM CONTA o desejo de utilizar esses fundos na investigação em sectores relacionados com a indústria do carvão e do aço e a consequente necessidade de estabelecer determinadas regras específicas a esse respeito,

ACORDARAM nas disposições seguintes, que vêm anexas ao Tratado que institui a Comunidade Europeia:

Artigo 1.º

1. A totalidade do activo e do passivo da CEEA existente em 23 de Julho de 2002 será transferida para a Comunidade Europeia em 24 de Julho de 2002.

2. Sob reserva de qualquer acréscimo ou decréscimo que possa resultar das operações de liquidação, o valor líquido do activo e do passivo constantes do balanço da CEEA em 23 de Julho de 2002, será considerado como activo destinado à investigação em sectores relacionados com a indústria do carvão e do aço, sendo referido como «CECA em processo de liquidação». Após o termo deste processo, esse activo será referido como «Activo do Fundo de Investigação do Carvão e do Aço».

3. Os rendimentos resultantes do activo, referidos como «Fundo de Investigação do Carvão e do Aço», serão utilizados exclusivamente na investigação em sectores relacionados com a indústria do carvão e do aço a efectuar fora do programa-quadro de investigação, em conformidade com o disposto no presente Protocolo e nos actos aprovados com base no mesmo.

Artigo 2.º

O Conselho, deliberando por unanimidade, sob proposta da Comissão e após consulta ao Parlamento Europeu, aprova todas as disposições necessárias à execução do presente protocolo, incluindo os princípios essenciais e os processos adequados de tomada de decisão, em particular tendo em vista a adopção de directrizes financeiras plurianuais para a gestão do activo do Fundo de Investigação do Carvão e do Aço e de directrizes técnicas para o programa de investigação desse Fundo.

Artigo 3.º

Salvo disposição em contrário do presente protocolo ou dos actos aprovados com base no mesmo, são aplicáveis as disposições do Tratado que institui a Comunidade Europeia.

Artigo 4.º

O presente protocolo aplica-se a partir de 24 de Julho de 2002.

PROTOCOLO

RELATIVO AO ARTIGO 67.º DO TRATADO QUE INSTITUI A COMUNIDADE EUROPEIA

AS ALTAS PARTES CONTRATANTES,

ACORDARAM na disposição seguinte, que vem anexa ao Tratado que institui a Comunidade Europeia:

Artigo único

A partir de 1 de Maio de 2004, o Conselho delibera por maioria qualificada, sob proposta da Comissão e após consulta ao Parlamento Europeu, para a adopção das medidas a que se refere o artigo 66.º do Tratado que institui a Comunidade Europeia.

CARTA DOS DIREITOS FUNDAMENTAIS DA UNIÃO EUROPEIA

(2000/C 364/01)

PROCLAMACIÓN SOLEMNE

HØJTIDELIG PROKLAMATION

FEIERLICHE PROKLAMATION

ΠΑΝΗΓΥΡΙΚΗ ΔΙΑΚΗΡΥΞΗ

SOLEMN PROCLAMATION

PROCLAMATION SOLENNELLE

FORÓGRA SOLLÚNTA

PROCLAMAZIONE SOLENNE

PLECHTIGE AFKONDIGING

PROCLAMAÇÃO SOLENE

JUHLALLINEN JULISTUS

HÖGTIDLIG PROKLAMATION

El Parlamento Europeo, el Consejo y la Comisión proclaman solemnemente en tanto que Carta de los Derechos Fundamentales de la Unión Europea el texto que figura a continuación.

Europa-Parlamentet, Rådet og Kommissionen proklamerer højtideligt den tekst, der følger nedenfor, som Den Europæiske Unions charter om grundlæggende rettigheder.

Das Europäische Parlament, der Rat und die Kommission proklamieren feierlich den nachstehenden Text als Charta der Grundrechte der Europäischen Union.

Το Ευρωπαϊκό Κοινοβούλιο, το Συμβούλιο και η Επιτροπή διακηρύσσουν πανηγυρικά, ως Χάρτη Θεμελιωδών Δικαιωμάτων της Ευρωπαϊκής Ένωσης, το κείμενο που ακολουθεί.

The European Parliament, the Council and the Commission solemnly proclaim the text below as the Charter of fundamental rights of the European Union.

Le Parlement européen, le Conseil et la Commission proclament solennellement en tant que Charte des droits fondamentaux de l'Union européenne le texte repris ci-après.

Forógraíonn Parlaimint na hEorpa, an Chomhairle agus an Coimisiún go sollúnta an téacs thíos mar an Chairt um Chearta Bunúsacha den Aontas Eorpach.

Il Parlamento europeo, il Consiglio e la Commissione proclamano solennemente quale Carta dei diritti fondamentali dell'Unione europea il testo riportato in appresso.

Het Europees Parlement, de Raad en de Commissie kondigen plechtig als Handvest van de grondrechten van de Europese Unie de hierna opgenomen tekst af.

O Parlamento Europeu, o Conselho e a Comissão proclamam solenemente, enquanto Carta dos Direitos Fundamentais da União Europeia, o texto a seguir transcrito.

Euroopan parlamentti, neuvosto ja komissio juhlistavat julkisesti jäljempänä esitetyn tekstin Euroopan unionin perusoikeuskirjaksi.

Europaparlamentet, rådet och kommissionen tillkännager högtidligt denna text såsom stadga om de grundläggande rättigheterna i Europeiska unionen.

Hecho en Niza, el siete de diciembre del año dos mil.

Udfærdiget i Nice den syvende december to tusind.

Geschehen zu Nizza am siebten Dezember zweitausend.

Έγινε στη Νίκαια, στις επτά Δεκεμβρίου δύο χιλιάδες.

Done at Nice on the seventh day of December in the year two thousand.

Fait à Nice, le sept décembre deux mille.

Arna dhéanamh i Nice, an seachtú lá de Nollaig sa bhliain dhá mhíle.

Fatto a Nizza, addì sette dicembre duemila.

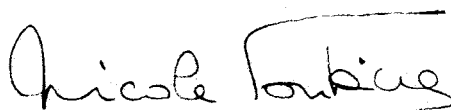
Gedaan te Nice, de zevende december tweeduizend.

Feito em Nice, em sete de Dezembro de dois mil.

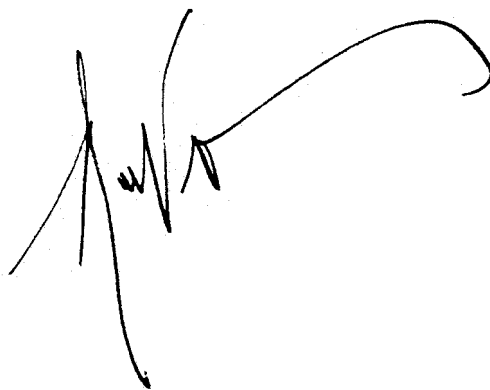
Tehty Nizzassa seitsemäntenä päivänä joulukuuta vuonna kaksituhatta.

Som skedde i Nice den sjunde december tjugohundra.

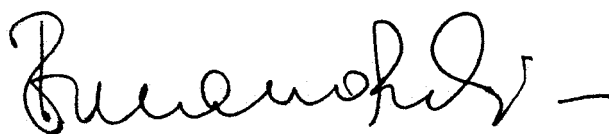
Por el Parlamento Europeo
For Europa-Parlamentet
Für das Europäische Parlament
Για το Ευρωπαϊκό Κοινοβούλιο
For the European Parliament
Pour le Parlement européen
Thar ceann Pharlaimint na hEorpa
Per il Parlamento europeo
Voor het Europees Parlement
Pelo Parlamento Europeu
Euroopan parlamentin puolesta
För Europaparlamentet



Por el Consejo de la Unión Europea
For Rådet for Den Europæiske Union
Für den Rat der Europäischen Union
Για το Συμβούλιο της Ευρωπαϊκής Ένωσης
For the Council of the European Union
Pour le Conseil de l'Union européenne
Thar ceann Chomhairle an Aontais Eorpaigh
Per il Consiglio dell'Unione europea
Voor de Raad van de Europese Unie
Pelo Conselho da União Europeia
Euroopan unionin neuvoston puolesta
För Europeiska unionens råd



Por la Comisión Europea
For Europa-kommissionen
Für die Europäische Kommission
Για την Ευρωπαϊκή Επιτροπή
For the European Commission
Pour la Commission européenne
Thar ceann an Choimisiúin Eorpaigh
Per la Commissione europea
Voor de Europese Commissie
Pela Comissão Europeia
Euroopan komission puolesta
För Europeiska kommissionen



PREÂMBULO

Os povos da Europa, estabelecendo entre si uma união cada vez mais estreita, decidiram partilhar um futuro de paz, assente em valores comuns.

Consciente do seu património espiritual e moral, a União baseia-se nos valores indivisíveis e universais da dignidade do ser humano, da liberdade, da igualdade e da solidariedade; assenta nos princípios da democracia e do Estado de direito. Ao instituir a cidadania da União e ao criar um espaço de liberdade, de segurança e de justiça, coloca o ser humano no cerne da sua acção.

A União contribui para a preservação e o desenvolvimento destes valores comuns, no respeito pela diversidade das culturas e das tradições dos povos da Europa, bem como da identidade nacional dos Estados-Membros e da organização dos seus poderes públicos aos níveis nacional, regional e local; procura promover um desenvolvimento equilibrado e duradouro e assegura a livre circulação das pessoas, dos bens, dos serviços e dos capitais, bem como a liberdade de estabelecimento.

Para o efeito, é necessário, conferindo-lhes maior visibilidade por meio de uma Carta, reforçar a protecção dos direitos fundamentais, à luz da evolução da sociedade, do progresso social e da evolução científica e tecnológica.

A presente Carta reafirma, no respeito pelas atribuições e competências da Comunidade e da União e na observância do princípio da subsidiariedade, os direitos que decorrem, nomeadamente, das tradições constitucionais e das obrigações internacionais comuns aos Estados-Membros, do Tratado da União Europeia e dos Tratados comunitários, da Convenção europeia para a protecção dos direitos do Homem e das liberdades fundamentais, das Cartas Sociais aprovadas pela Comunidade e pelo Conselho da Europa, bem como da jurisprudência do Tribunal de Justiça das Comunidades Europeias e do Tribunal Europeu dos Direitos do Homem.

O gozo destes direitos implica responsabilidades e deveres, tanto para com as outras pessoas individualmente consideradas, como para com a comunidade humana e as gerações futuras.

Assim sendo, a União reconhece os direitos, liberdades e princípios a seguir enunciados.

CAPÍTULO I

DIGNIDADE

Artigo 1.º

Dignidade do ser humano

A dignidade do ser humano é inviolável. Deve ser respeitada e protegida.

Artigo 2.º

Direito à vida

1. Todas as pessoas têm direito à vida.
2. Ninguém pode ser condenado à pena de morte, nem executado.

Artigo 3.º

Direito à integridade do ser humano

1. Todas as pessoas têm direito ao respeito pela sua integridade física e mental.
2. No domínio da medicina e da biologia, devem ser respeitados, designadamente:
 - o consentimento livre e esclarecido da pessoa, nos termos da lei,
 - a proibição das práticas eugénicas, nomeadamente das que têm por finalidade a selecção das pessoas,
 - a proibição de transformar o corpo humano ou as suas partes, enquanto tais, numa fonte de lucro,
 - a proibição da clonagem reprodutiva dos seres humanos.

Artigo 4.º

Proibição da tortura e dos tratos ou penas desumanos ou degradantes

Ninguém pode ser submetido a tortura, nem a tratos ou penas desumanos ou degradantes.

Artigo 5.º

Proibição da escravidão e do trabalho forçado

1. Ninguém pode ser sujeito a escravidão nem a servidão.
2. Ninguém pode ser constrangido a realizar trabalho forçado ou obrigatório.
3. É proibido o tráfico de seres humanos.

CAPÍTULO II

LIBERDADES

Artigo 6.º

Direito à liberdade e à segurança

Todas as pessoas têm direito à liberdade e à segurança.

Artigo 7.º

Respeito pela vida privada e familiar

Todas as pessoas têm direito ao respeito pela sua vida privada e familiar, pelo seu domicílio e pelas suas comunicações.

Artigo 8.º

Protecção de dados pessoais

1. Todas as pessoas têm direito à protecção dos dados de carácter pessoal que lhes digam respeito.
2. Esses dados devem ser objecto de um tratamento leal, para fins específicos e com o consentimento da pessoa interessada ou com outro fundamento legítimo previsto por lei. Todas as pessoas têm o direito de aceder aos dados coligidos que lhes digam respeito e de obter a respectiva rectificação.
3. O cumprimento destas regras fica sujeito a fiscalização por parte de uma autoridade independente.

Artigo 9.º

Direito de contrair casamento e de constituir família

O direito de contrair casamento e o direito de constituir família são garantidos pelas legislações nacionais que regem o respectivo exercício.

Artigo 10.º

Liberdade de pensamento, de consciência e de religião

1. Todas as pessoas têm direito à liberdade de pensamento, de consciência e de religião. Este direito implica a liberdade de mudar de religião ou de convicção, bem como a liberdade de manifestar a sua religião ou a sua convicção, individual ou colectivamente, em público ou em privado, através do culto, do ensino, de práticas e da celebração de ritos.
2. O direito à objecção de consciência é reconhecido pelas legislações nacionais que regem o respectivo exercício.

*Artigo 11.º***Liberdade de expressão e de informação**

1. Todas as pessoas têm direito à liberdade de expressão. Este direito compreende a liberdade de opinião e a liberdade de receber e de transmitir informações ou ideias, sem que possa haver ingerência de quaisquer poderes públicos e sem consideração de fronteiras.
2. São respeitados a liberdade e o pluralismo dos meios de comunicação social.

*Artigo 12.º***Liberdade de reunião e de associação**

1. Todas as pessoas têm direito à liberdade de reunião pacífica e à liberdade de associação a todos os níveis, nomeadamente nos domínios político, sindical e cívico, o que implica o direito de, com outrem, fundarem sindicatos e de neles se filiarem para a defesa dos seus interesses.
2. Os partidos políticos ao nível da União contribuem para a expressão da vontade política dos cidadãos da União.

*Artigo 13.º***Liberdade das artes e das ciências**

As artes e a investigação científica são livres. É respeitada a liberdade académica.

*Artigo 14.º***Direito à educação**

1. Todas as pessoas têm direito à educação, bem como ao acesso à formação profissional e contínua.
2. Este direito inclui a possibilidade de frequentar gratuitamente o ensino obrigatório.
3. São respeitados, segundo as legislações nacionais que regem o respectivo exercício, a liberdade de criação de estabelecimentos de ensino, no respeito pelos princípios democráticos, e o direito dos pais de assegurarem a educação e o ensino dos filhos de acordo com as suas convicções religiosas, filosóficas e pedagógicas.

*Artigo 15.º***Liberdade profissional e direito de trabalhar**

1. Todas as pessoas têm o direito de trabalhar e de exercer uma profissão livremente escolhida ou aceite.
2. Todos os cidadãos da União têm a liberdade de procurar emprego, de trabalhar, de se estabelecer ou de prestar serviços em qualquer Estado-Membro.

3. Os nacionais de países terceiros que sejam autorizados a trabalhar no território dos Estados-Membros têm direito a condições de trabalho equivalentes às que beneficiam os cidadãos da União.

Artigo 16.º

Liberdade de empresa

É reconhecida a liberdade de empresa, de acordo com o direito comunitário e as legislações e práticas nacionais.

Artigo 17.º

Direito de propriedade

1. Todas as pessoas têm o direito de fruir da propriedade dos seus bens legalmente adquiridos, de os utilizar, de dispor deles e de os transmitir em vida ou por morte. Ninguém pode ser privado da sua propriedade, excepto por razões de utilidade pública, nos casos e condições previstos por lei e mediante justa indemnização pela respectiva perda, em tempo útil. A utilização dos bens pode ser regulamentada por lei na medida do necessário ao interesse geral.

2. É protegida a propriedade intelectual.

Artigo 18.º

Direito de asilo

É garantido o direito de asilo, no quadro da Convenção de Genebra de 28 de Julho de 1951 e do Protocolo de 31 de Janeiro de 1967, relativos ao estatuto dos refugiados, e nos termos do Tratado que institui a Comunidade Europeia.

Artigo 19.º

Protecção em caso de afastamento, expulsão ou extradição

1. São proibidas as expulsões colectivas.

2. Ninguém pode ser afastado, expulso ou extraditado para um Estado onde corra sério risco de ser sujeito a pena de morte, a tortura ou a outros tratos ou penas desumanos ou degradantes.

CAPÍTULO III

IGUALDADE

Artigo 20.º

Igualdade perante a lei

Todas as pessoas são iguais perante a lei.

Artigo 21.º

Não discriminação

1. É proibida a discriminação em razão, designadamente, do sexo, raça, cor ou origem étnica ou social, características genéticas, língua, religião ou convicções, opiniões políticas ou outras, pertença a uma minoria nacional, riqueza, nascimento, deficiência, idade ou orientação sexual.
2. No âmbito de aplicação do Tratado que institui a Comunidade Europeia e do Tratado da União Europeia, e sem prejuízo das disposições especiais destes Tratados, é proibida toda a discriminação em razão da nacionalidade.

Artigo 22.º

Diversidade cultural, religiosa e linguística

A União respeita a diversidade cultural, religiosa e linguística.

Artigo 23.º

Igualdade entre homens e mulheres

Deve ser garantida a igualdade entre homens e mulheres em todos os domínios, incluindo em matéria de emprego, trabalho e remuneração.

O princípio da igualdade não obsta a que se mantenham ou adoptem medidas que prevejam regalias específicas a favor do sexo sub-representado.

Artigo 24.º

Direitos das crianças

1. As crianças têm direito à protecção e aos cuidados necessários ao seu bem-estar. Podem exprimir livremente a sua opinião, que será tomada em consideração nos assuntos que lhes digam respeito, em função da sua idade e maturidade.
2. Todos os actos relativos às crianças, quer praticados por entidades públicas, quer por instituições privadas, terão primordialmente em conta o interesse superior da criança.

3. Todas as crianças têm o direito de manter regularmente relações pessoais e contactos directos com ambos os progenitores, excepto se isso for contrário aos seus interesses.

Artigo 25.º

Direitos das pessoas idosas

A União reconhece e respeita o direito das pessoas idosas a uma existência condigna e independente e à sua participação na vida social e cultural.

Artigo 26.º

Integração das pessoas com deficiência

A União reconhece e respeita o direito das pessoas com deficiência a beneficiarem de medidas destinadas a assegurar a sua autonomia, a sua integração social e profissional e a sua participação na vida da comunidade.

CAPÍTULO IV

SOLIDARIEDADE

Artigo 27.º

Direito à informação e à consulta dos trabalhadores na empresa

Deve ser garantida aos níveis apropriados, aos trabalhadores ou aos seus representantes, a informação e consulta, em tempo útil, nos casos e nas condições previstos pelo direito comunitário e pelas legislações e práticas nacionais.

Artigo 28.º

Direito de negociação e de acção colectiva

Os trabalhadores e as entidades patronais, ou as respectivas organizações, têm, de acordo com o direito comunitário e as legislações e práticas nacionais, o direito de negociar e de celebrar convenções colectivas, aos níveis apropriados, bem como de recorrer, em caso de conflito de interesses, a acções colectivas para a defesa dos seus interesses, incluindo a greve.

Artigo 29.º

Direito de acesso aos serviços de emprego

Todas as pessoas têm direito de acesso gratuito a um serviço de emprego.

Artigo 30.º

Protecção em caso de despedimento sem justa causa

Todos os trabalhadores têm direito a protecção contra os despedimentos sem justa causa, de acordo com o direito comunitário e as legislações e práticas nacionais.

Artigo 31.º

Condições de trabalho justas e equitativas

1. Todos os trabalhadores têm direito a condições de trabalho saudáveis, seguras e dignas.
2. Todos os trabalhadores têm direito a uma limitação da duração máxima do trabalho e a períodos de descanso diário e semanal, bem como a um período anual de férias pagas.

*Artigo 32.º***Proibição do trabalho infantil e protecção dos jovens no trabalho**

É proibido o trabalho infantil. A idade mínima de admissão ao trabalho não pode ser inferior à idade em que cessa a escolaridade obrigatória, sem prejuízo de disposições mais favoráveis aos jovens e salvo derrogações bem delimitadas.

Os jovens admitidos ao trabalho devem beneficiar de condições de trabalho adaptadas à sua idade e de uma protecção contra a exploração económica e contra todas as actividades susceptíveis de prejudicar a sua segurança, saúde ou desenvolvimento físico, mental, moral ou social, ou ainda de pôr em causa a sua educação.

*Artigo 33.º***Vida familiar e vida profissional**

1. É assegurada a protecção da família nos planos jurídico, económico e social.
2. A fim de poderem conciliar a vida familiar e a vida profissional, todas as pessoas têm direito a protecção contra o despedimento por motivos ligados à maternidade, bem como a uma licença por maternidade paga e a uma licença parental pelo nascimento ou adopção de um filho.

*Artigo 34.º***Segurança social e assistência social**

1. A União reconhece e respeita o direito de acesso às prestações de segurança social e aos serviços sociais que concedem protecção em casos como a maternidade, doença, acidentes de trabalho, dependência ou velhice, bem como em caso de perda de emprego, de acordo com o direito comunitário e as legislações e práticas nacionais.
2. Todas as pessoas que residam e que se desloquem legalmente no interior da União têm direito às prestações de segurança social e às regalias sociais nos termos do direito comunitário e das legislações e práticas nacionais.
3. A fim de lutar contra a exclusão social e a pobreza, a União reconhece e respeita o direito a uma assistência social e a uma ajuda à habitação destinadas a assegurar uma existência condigna a todos aqueles que não disponham de recursos suficientes, de acordo com o direito comunitário e as legislações e práticas nacionais.

*Artigo 35.º***Protecção da saúde**

Todas as pessoas têm o direito de aceder à prevenção em matéria de saúde e de beneficiar de cuidados médicos, de acordo com as legislações e práticas nacionais. Na definição e execução de todas as políticas e acções da União, será assegurado um elevado nível de protecção da saúde humana.

*Artigo 36.º***Acesso a serviços de interesse económico geral**

A União reconhece e respeita o acesso a serviços de interesse económico geral tal como previsto nas legislações e práticas nacionais, de acordo com o Tratado que institui a Comunidade Europeia, a fim de promover a coesão social e territorial da União.

*Artigo 37.º***Protecção do ambiente**

Todas as políticas da União devem integrar um elevado nível de protecção do ambiente e a melhoria da sua qualidade, e assegurá-los de acordo com o princípio do desenvolvimento sustentável.

*Artigo 38.º***Defesa dos consumidores**

As políticas da União devem assegurar um elevado nível de defesa dos consumidores.

CAPÍTULO V

CIDADANIA

Artigo 39.º

Direito de eleger e de ser eleito nas eleições para o Parlamento Europeu

1. Todos os cidadãos da União gozam do direito de eleger e de ser eleitos para o Parlamento Europeu no Estado-Membro de residência, nas mesmas condições que os nacionais desse Estado.
2. Os membros do Parlamento Europeu são eleitos por sufrágio universal directo, livre e secreto.

Artigo 40.º

Direito de eleger e de ser eleito nas eleições municipais

Todos os cidadãos da União gozam do direito de eleger e de ser eleitos nas eleições municipais do Estado-Membro de residência, nas mesmas condições que os nacionais desse Estado.

Artigo 41.º

Direito a uma boa administração

1. Todas as pessoas têm direito a que os seus assuntos sejam tratados pelas instituições e órgãos da União de forma imparcial, equitativa e num prazo razoável.
2. Este direito compreende, nomeadamente:
 - o direito de qualquer pessoa a ser ouvida antes de a seu respeito ser tomada qualquer medida individual que a afecte desfavoravelmente,
 - o direito de qualquer pessoa a ter acesso aos processos que se lhe refiram, no respeito dos legítimos interesses da confidencialidade e do segredo profissional e comercial,
 - a obrigação, por parte da administração, de fundamentar as suas decisões.
3. Todas as pessoas têm direito à reparação, por parte da Comunidade, dos danos causados pelas suas instituições ou pelos seus agentes no exercício das respectivas funções, de acordo com os princípios gerais comuns às legislações dos Estados-Membros.
4. Todas as pessoas têm a possibilidade de se dirigir às instituições da União numa das línguas oficiais dos Tratados, devendo obter uma resposta na mesma língua.

*Artigo 42.º***Direito de acesso aos documentos**

Qualquer cidadão da União, bem como qualquer pessoa singular ou colectiva com residência ou sede social num Estado-Membro, tem direito de acesso aos documentos do Parlamento Europeu, do Conselho e da Comissão.

*Artigo 43.º***Provedor de Justiça**

Qualquer cidadão da União, bem como qualquer pessoa singular ou colectiva com residência ou sede social num Estado-Membro, tem o direito de apresentar petições ao Provedor de Justiça da União, respeitantes a casos de má administração na actuação das instituições ou órgãos comunitários, com excepção do Tribunal de Justiça e do Tribunal de Primeira Instância no exercício das respectivas funções jurisdicionais.

*Artigo 44.º***Direito de petição**

Qualquer cidadão da União, bem como qualquer pessoa singular ou colectiva com residência ou sede social num Estado-Membro, goza do direito de petição ao Parlamento Europeu.

*Artigo 45.º***Liberdade de circulação e de permanência**

1. Qualquer cidadão da União goza do direito de circular e permanecer livremente no território dos Estados-Membros.
2. Pode ser concedida a liberdade de circulação e de permanência, de acordo com as disposições do Tratado que institui a Comunidade Europeia, aos nacionais de países terceiros que residam legalmente no território de um Estado-Membro.

*Artigo 46.º***Protecção diplomática e consular**

Todos os cidadãos da União beneficiam, no território de países terceiros em que o Estado-Membro de que são nacionais não se encontre representado, de protecção por parte das autoridades diplomáticas e consulares de qualquer Estado-Membro, nas mesmas condições que os nacionais desse Estado.

CAPÍTULO VI

JUSTIÇA

Artigo 47.º

Direito à acção e a um tribunal imparcial

Toda a pessoa cujos direitos e liberdades garantidos pelo direito da União tenham sido violados tem direito a uma acção perante um tribunal.

Toda a pessoa tem direito a que a sua causa seja julgada de forma equitativa, publicamente e num prazo razoável, por um tribunal independente e imparcial, previamente estabelecido por lei. Toda a pessoa tem a possibilidade de se fazer aconselhar, defender e representar em juízo.

É concedida assistência judiciária a quem não disponha de recursos suficientes, na medida em que essa assistência seja necessária para garantir a efectividade do acesso à justiça.

Artigo 48.º

Presunção de inocência e direitos de defesa

1. Todo o arguido se presume inocente enquanto não tiver sido legalmente provada a sua culpa.
2. É garantido a todo o arguido o respeito dos direitos de defesa.

Artigo 49.º

Princípios da legalidade e da proporcionalidade dos delitos e das penas

1. Ninguém pode ser condenado por uma acção ou por uma omissão que no momento da sua prática não constituía infracção perante o direito nacional ou o direito internacional. Do mesmo modo, não pode ser imposta uma pena mais grave do que a aplicável no momento em que a infracção foi praticada. Se, posteriormente à infracção, a lei previr uma pena mais leve, deve ser essa a pena aplicada.
2. O presente artigo não prejudica a sentença ou a pena a que tenha sido condenada uma pessoa por uma acção ou por uma omissão que no momento da sua prática constituía crime segundo os princípios gerais reconhecidos por todas as nações.
3. As penas não devem ser desproporcionadas em relação à infracção.

Artigo 50.º

Direito a não ser julgado ou punido penalmente mais do que uma vez pelo mesmo delito

Ninguém pode ser julgado ou punido penalmente por um delito do qual já tenha sido absolvido ou pelo qual já tenha sido condenado na União por sentença transitada em julgado, nos termos da lei.

CAPÍTULO VII

DISPOSIÇÕES GERAIS*Artigo 51.º***Âmbito de aplicação**

1. As disposições da presente Carta têm por destinatários as instituições e órgãos da União, na observância do princípio da subsidiariedade, bem como os Estados-Membros, apenas quando apliquem o direito da União. Assim sendo, devem respeitar os direitos, observar os princípios e promover a sua aplicação, de acordo com as respectivas competências.
2. A presente Carta não cria quaisquer novas atribuições ou competências para a Comunidade ou para a União, nem modifica as atribuições e competências definidas nos Tratados.

*Artigo 52.º***Âmbito dos direitos garantidos**

1. Qualquer restrição ao exercício dos direitos e liberdades reconhecidos pela presente Carta deve ser prevista por lei e respeitar o conteúdo essencial desses direitos e liberdades. Na observância do princípio da proporcionalidade, essas restrições só podem ser introduzidas se forem necessárias e corresponderem efectivamente a objectivos de interesse geral reconhecidos pela União, ou à necessidade de protecção dos direitos e liberdades de terceiros.
2. Os direitos reconhecidos pela presente Carta, que se baseiem nos Tratados comunitários ou no Tratado da União Europeia, são exercidos de acordo com as condições e limites por estes definidos.
3. Na medida em que a presente Carta contenha direitos correspondentes aos direitos garantidos pela Convenção europeia para a protecção dos direitos do Homem e das liberdades fundamentais, o sentido e o âmbito desses direitos são iguais aos conferidos por essa convenção, a não ser que a presente Carta garanta uma protecção mais extensa ou mais ampla. Esta disposição não obsta a que o direito da União confira uma protecção mais ampla.

*Artigo 53.º***Nível de protecção**

Nenhuma disposição da presente Carta deve ser interpretada no sentido de restringir ou lesar os direitos do Homem e as liberdades fundamentais reconhecidos, nos respectivos âmbitos de aplicação, pelo direito da União, o direito internacional e as convenções internacionais em que são partes a União, a Comunidade ou todos os Estados-Membros, nomeadamente a Convenção europeia para a protecção dos direitos do Homem e das liberdades fundamentais, bem como pelas Constituições dos Estados-Membros.

*Artigo 54.º***Proibição do abuso de direito**

Nenhuma disposição da presente Carta deve ser interpretada no sentido de implicar qualquer direito de exercer actividades ou praticar actos que visem a destruição dos direitos ou liberdades por ela reconhecidos, ou restrições maiores desses direitos e liberdades que as previstas na presente Carta.



COMISSÃO DAS COMUNIDADES EUROPEIAS

Bruxelas, 21.11.2001
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COMUNICAÇÃO DA COMISSÃO

Tornar o espaço europeu de aprendizagem ao longo da vida uma realidade

"Se quiseres um ano de prosperidade, semeia cereais. Se quiseres dez anos de prosperidade, planta árvores. Se quiseres cem anos de prosperidade, educa os homens". Provérbio chinês:
Guanzi (c.645 a.C.)

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SUMÁRIO

O Conselho Europeu de Vila da Feira, que decorreu em Junho de 2000, instou os Estados-Membros, o Conselho e a Comissão, “nas respectivas áreas de competência, a circunscrever estratégias coerentes e medidas práticas destinadas a fomentar a aprendizagem ao longo da vida para todos”. Este mandato corrobora o papel preponderante desempenhado pela aprendizagem ao longo da vida no contexto da estratégia, definida em Lisboa, para fazer da Europa a sociedade do conhecimento mais competitiva e mais dinâmica do mundo.

A presente Comunicação coloca os indivíduos no cerne das suas preocupações. Mais de 12 000 cidadãos participaram no processo de consulta, lançado na sequência do Memorando da Comissão sobre Aprendizagem ao Longo da Vida, divulgado em Novembro do ano transacto. As reacções suscitadas por este documento acentuaram novamente a amplitude dos desafios que nos esperam. As mutações no cenário económico e social, aliadas à transição para a sociedade do conhecimento, representam certamente benesses para a União Europeia e os seus cidadãos - em termos de acréscimo de oportunidades de comunicação, de viagens e emprego - mas acarretam também riscos relacionados com níveis mais elevados de desigualdade e exclusão social. A amplitude destas mutações convida a uma abordagem radicalmente nova da educação e da formação. Além disso, a instabilidade do actual clima económico acentua a ênfase na aprendizagem ao longo da vida, chamando a atenção para a sua importância. As políticas e as instituições tradicionais estão cada vez menos aptas para preparar os cidadãos para enfrentar cabalmente as consequências da globalização, da evolução demográfica, da tecnologia digital e da degradação ambiental. No entanto, a chave para o futuro da Europa reside nos seus cidadãos e nos respectivos conhecimentos e competências.

Um espaço europeu de aprendizagem ao longo da vida

A presente Comunicação contribui para tornar o espaço europeu de aprendizagem ao longo da vida uma realidade, consistindo o seu escopo em um tempo em prover os cidadãos de meios para circular livremente entre espaços de aprendizagem, empregos, regiões e países, capitalizando ao máximo os seus conhecimentos e as suas competências, e em prosseguir os objectivos e as ambições da União Europeia e dos países candidatos de maior prosperidade, inclusive do ponto de vista da tolerância e da democracia.

Para concorrer para a prossecução deste objectivo, há que coligir num quadro global de aprendizagem ao longo da vida a educação e a formação, bem como elementos importantes de processos adoptados a nível europeu, de estratégias e planos no âmbito das políticas de emprego, integração social, juventude e investigação. Não se trata de criar um novo processo ou de harmonizar as leis e os regulamentos nesta óptica, mas sim de utilizar de forma coerente e rentável os instrumentos e meios existentes, incluindo o recurso ao método aberto de coordenação. Estabelecer-se-ão relações estreitas entre o espaço europeu de aprendizagem ao longo da vida e o espaço europeu de investigação, com vista a prosseguir o escopo definido em Lisboa.

Em que consiste a aprendizagem ao longo da vida ?

As respostas recebidas no quadro do processo de consulta sobre o Memorando apontam para a necessidade de uma definição mais lata de aprendizagem ao longo da vida, que não seja reduzida a uma visão puramente económica ou à educação dos adultos. Além de colocar a ênfase na aprendizagem da pré-escolaridade à pós-reforma, a aprendizagem ao longo da vida deveria cobrir integralmente o espectro da aprendizagem formal, não formal e informal. A consulta identificou ainda os objectivos da aprendizagem, incluindo a cidadania activa, o desenvolvimento individual e a inclusão social, bem como aspectos relacionados com o emprego. Os princípios que regulam a aprendizagem ao longo da vida e orientam a sua execução eficaz colocam a tónica no papel central do aprendente, na importância da igualdade de oportunidades e na qualidade e pertinência das oportunidades de aprendizagem.

Estratégias coerentes e globais de aprendizagem ao longo da vida - os módulos constitutivos

No Conselho Europeu de Vila da Feira e no contexto da Estratégia Europeia para o Emprego, os Estados-Membros decidiram elaborar e adoptar estratégias de aprendizagem ao longo da vida. Neste contexto, os módulos constitutivos das estratégias supracitadas são concebidos para prestar assistência aos Estados-Membros e intervenientes a todos os níveis. O princípio subjacente aos módulos constitutivos é o da integração gradual dos contextos de aprendizagem formal, por forma a facultar a todos o acesso às oportunidades de uma aprendizagem de qualidade. A mensagem é inequívoca: os sistemas tradicionais devem ser adaptados, a fim de se tornarem mais abertos e mais flexíveis, obstando a que as desigualdades existentes se perpetuem, facultando aos aprendentes o acesso a percursos individuais de aprendizagem à medida das suas necessidades e interesses, em qualquer estágio da sua existência. Os módulos constitutivos são consentâneos com os critérios de avaliação da aprendizagem ao longo da vida utilizados no Relatório Conjunto sobre o Emprego 2001.

O primeiro módulo constitutivo é o da parceria. Todos os intervenientes, nos e à margem dos sistemas formais, devem operar dentro de um espírito de colaboração, para que as estratégias sejam eficazes na prática. A etapa seguinte consiste em coligir informações sobre as necessidades de aprendizagem do aprendente (potencial), bem como sobre as necessidades das organizações, das comunidades, da sociedade em geral e do mercado de trabalho. Convém abordar em seguida a questão da mobilização eficaz e transparente dos recursos adequados, inclusive em termos de financiamento.

A análise procura em seguida alinhar as oportunidades de aprendizagem pelas necessidades e interesses dos aprendentes, incidindo sobre a forma de facilitar o acesso, promovendo a componente da oferta para que todos possam aprender, em qualquer local, em qualquer momento. É obviamente necessário que o sector formal reconheça e valorize a aprendizagem não formal e informal. A criação de uma cultura de aprendizagem depende em última análise da promoção das oportunidades de aprendizagem, aumentando os níveis de participação e estimulando a procura da aprendizagem. Finalmente, são propostos mecanismos de garantia de qualidade, avaliação e controlo em obediência a uma preocupação constante de excelência.

Acções prioritárias

Propõem-se acções fundadas na dimensão europeia da aprendizagem ao longo da vida, apoiando simultaneamente as estratégias a todos os níveis. As prioridades são apresentadas em conexão com as 6 mensagens-chave na base do processo de consulta organizado a nível europeu.

Uma nova estratégia global europeia com vista à valorização da aprendizagem, partindo do princípio da livre circulação no seio da UE, é entendida como um pré-requisito subjacente a um espaço de aprendizagem ao longo da vida. As propostas incidem sobre a identificação, a avaliação e o reconhecimento da aprendizagem não formal e informal, bem como sobre a transferência e o reconhecimento mútuo dos certificados e diplomas formais. A informação, orientação e consultoria são concebidas sobretudo a nível europeu, tendo as propostas por objecto facilitar o acesso à aprendizagem através de serviços de orientação de qualidade.

Para que as transformações fundamentais inerentes à aprendizagem ao longo da vida sejam possíveis, é indispensável investir tempo e dinheiro na aprendizagem, nomeadamente à luz das conclusões de Lisboa e da Estratégia Europeia para o Emprego, que instam os Estados-Membros a aumentar os níveis globais de investimento na educação e na formação. Não há soluções fáceis sobre a forma de concretizar estes objectivos. São necessários investimentos mais significativos, um financiamento bem definido, bem como mecanismos que permitam acrescer os investimentos privados. As propostas destinadas a encorajar e apoiar as comunidades, cidades e regiões de aprendizagem e a permitir aos locais de trabalho funcionar como organizações de aprendizagem são consideradas como elementos-chave para aproximar a aprendizagem e os aprendentes. É igualmente importante desenvolver centros locais de aprendizagem.

A fim de completar os trabalhos iniciados em Lisboa e Estocolmo sobre as 'novas' competências de base, são apresentadas propostas para garantir a todos os cidadãos o acesso aos fundamentos da aprendizagem ao longo da vida, em todos os estádios da existência e não apenas no quadro da escolaridade obrigatória. Finalmente, as propostas de pedagogias inovadoras têm em conta a transferência que se operou da aquisição de conhecimentos para o desenvolvimento das competências, os novos papéis que esta evolução implica para os docentes e aprendentes.

Progressão da agenda

Todos os intervenientes são convidados a colaborar tendo em vista a progressão da agenda: a Comissão e as restantes instituições europeias, os Estados-Membros, o EEE, os países candidatos, os parceiros sociais, as ONG e as organizações internacionais (como o Conselho da Europa, a OCDE e a UNESCO). A implementação far-se-á graças a processos, programas e instrumentos existentes, no quadro global da aprendizagem ao longo da vida. Este quadro propiciará o intercâmbio de boas práticas e experiências e, por conseguinte, a identificação de problemas, conceitos e prioridades comuns. Para facilitar essa colaboração, a Comissão elaborará uma base de dados que coligirá as boas práticas, as informações e as experiências em matéria de aprendizagem ao longo da vida a todos os níveis.

O acompanhamento do Relatório sobre os Objectivos Concretos dos Sistemas de Educação e Formação será um dos principais instrumentos da cooperação neste domínio, enquanto que a Estratégia Europeia para o Emprego permanecerá centrada nos aspectos da aprendizagem ao longo da vida relacionados com o emprego. Os programas comunitários - Socrates, Leonardo da Vinci e Juventude - serão reforçados à luz da presente Comunicação. Será igualmente realizado um estudo sobre a possibilidade de aumentar o potencial do Fundo Social Europeu (FSE) e da iniciativa comunitária EQUAL, a fim de apoiar a sua execução.

Os progressos serão medidos e acompanhados recorrendo a um número limitado de indicadores existentes ou em curso de elaboração, bem como a um pequeno número de novos indicadores. A implementação recorrerá também a redes e estruturas já estabelecidas, por exemplo no quadro do processo de consulta e a um grupo de alto nível composto por representantes ministeriais competentes principalmente em matéria de aprendizagem ao longo da vida. Este grupo velará pela complementaridade das medidas desenvolvidas no domínio da aprendizagem ao longo da vida, sendo competente no atinente à implementação do programa de trabalho com vista ao acompanhamento do Relatório sobre os Objectivos Concretos dos Sistemas de Educação e Formação, processos, estratégias e planos correlatos a nível europeu. A aprovação dos princípios fundamentais e das principais propostas pelo Conselho de Educação e Juventude, pelo Conselho de Emprego e Política Social, sob a Presidência espanhola, constituem as próximas etapas deste processo. A Comissão intervirá igualmente aquando do Conselho Europeu de Barcelona, que deverá decorrer na Primavera de 2002, em 15 e 16 de Março.

1. INTRODUÇÃO

O Conselho Europeu de Lisboa de Março de 2000 fixou para a União Europeia o seguinte objectivo estratégico, corroborado no Conselho Europeu de Estocolmo de Março de 2001: tornar-se a economia do conhecimento mais competitiva e dinâmica do mundo. A estratégia adoptada nesta óptica prevê várias acções como a adaptação dos sistemas de educação e formação para que os mesmos possam oferecer oportunidades de aprendizagem à medida das necessidades individuais dos cidadãos em todos os estádios da sua existência, promover a empregabilidade e a inclusão social investindo no desenvolvimento dos conhecimentos e das competências dos cidadãos, criar uma sociedade da informação para todos e encorajar a mobilidade.

1.1. O contexto

A sociedade do conhecimento, bem como as tendências económicas e sociais em geral, como a globalização, a evolução das estruturas familiares, a evolução demográfica e o impacto da tecnologia digital, oferecem inúmeras vantagens e colocam vários desafios potenciais para a União Europeia e os seus cidadãos. Estes podem beneficiar de um leque de novas possibilidades de comunicação, viagens e emprego. A aquisição contínua de conhecimentos e competências é essencial para poder tirar partido dessas oportunidades e participar activamente na sociedade. Paralelamente, a vantagem concorrencial depende cada vez mais dos investimentos em termos de capital humano. Por conseguinte, os conhecimentos e as competências são pois um importante catalisador para o crescimento económico. Dado o actual clima de instabilidade económica, investir nos indivíduos assume uma importância acrescida.

Em contrapartida, a sociedade do conhecimento acarreta riscos e incertezas consideráveis, na medida em que é passível de reforçar as desigualdades e a exclusão social. O germe da desigualdade desponta numa fase prematura da existência, constituindo a participação na educação inicial um factor primordial. No ano 2000, apenas 60,3 % das pessoas com idades compreendidas entre 25 e 64 anos na UE atingiram pelo menos o nível do ensino secundário superior¹. Se as disparidades patentes entre os Estados-Membros se diluem graças à melhoria do grau de escolarização de coortes sucessivas de jovens, cerca de 150 milhões de indivíduos sem esse nível imprescindível de educação de base encontram-se ameaçados de um risco mais elevado de marginalização.

A aprendizagem ao longo da vida tem sido objecto de discussões e de desenvolvimentos políticos desde há vários anos. Todavia, a necessidade de aquisição, por parte dos cidadãos, de competências e conhecimentos para poder tirar partido das benesses da sociedade do conhecimento, mas também fazer face aos seus desafios, é mais premente do que nunca. Daí que o Conselho Europeu de Lisboa tenha reiterado que a aprendizagem ao longo da vida é uma componente básica do modelo social europeu.

Em termos económicos, a empregabilidade e adaptabilidade dos cidadãos são vitais para que a Europa possa prosseguir o seu escopo de se tornar a sociedade do conhecimento mais competitiva e dinâmica do mundo. A penúria de mão-de-obra e o déficit de competências são passíveis de coarctar as possibilidades de crescimento da

União Europeia em todos os estádios do ciclo económico. Assim, a aprendizagem ao longo da vida tem um papel crucial a desempenhar no que respeita à remoção das barreiras que vedam o acesso ao mercado de trabalho e entravam a progressão no seio do mesmo. A luta contra a desigualdade e a exclusão social inscreve-se neste processo.

Porém, a aprendizagem ao longo da vida não pode ser reduzida aos aspectos económicos. Concorre igualmente para a prossecução dos objectivos e das ambições dos países europeus, que almejam um maior grau de inclusão, tolerância e democracia. É a promessa de uma Europa na qual os cidadãos têm a oportunidade e os meios de realizar ambições e de participar na edificação de uma sociedade melhor. Com efeito, um inquérito recente da OCDE aponta para a evidência cada vez mais aguda de que a aprendizagem e o investimento no capital humano são corolários não apenas de um aumento do PIB, mas também de uma maior participação cívica, de um bem-estar mais visível e de um nível inferior de criminalidade².

A melhoria dos níveis de educação e formação contínua, quando acessíveis a todos, concorre significativamente para reduzir as desigualdades e prevenir a marginalização. Não obstante, convém reflectir se os sistemas de educação e formação tradicionais permitem acompanhar a evolução supra mencionada. Os dados relativos à participação sublinham a amplitude do desafio. Embora o inquérito sobre as forças de trabalho não contemple todas as faixas etárias e todos os tipos de aprendizagem, os seus resultados não deixam de ser significativos: a participação dos indivíduos de 25-64 anos na educação e formação na UE em 2000 correspondia apenas a 8%. Estamos, pois, longe do ideal da aprendizagem ao longo da vida para todos³. Neste contexto, a Europa está cada vez mais convicta de que as políticas em matéria de educação e formação deveriam ser equacionadas de uma óptica radicalmente nova, no quadro da aprendizagem ao longo da vida. Enquanto que as políticas tradicionais tendem para insistir excessivamente nas disposições institucionais, a aprendizagem ao longo da vida centra-se nas pessoas e nas aspirações colectivas de uma sociedade melhor. O princípio da aprendizagem ao longo da vida tem uma visão de conjunto da oferta e da procura em matéria de oportunidades de aprendizagem. Valoriza os conhecimentos e as competências adquiridas em todas as esferas da vida moderna, úteis pois para fazer face à sociedade moderna. Convém investir mais, melhor e de forma mais equitativa para assegurar a concretização efectiva da aprendizagem ao longo da vida na UE, especialmente se tivermos em conta que poucos Estados-Membros atingem os níveis globais de despesas do Canadá, da Coreia do Sul, da Noruega e dos Estados Unidos⁴.

É por esta razão que o Conselho Europeu de Vila da Feira de Junho de 2000 convidou “os Estados-Membros, o Conselho e a Comissão, nas respectivas áreas de competência, a circunscreverem estratégias coerentes e medidas práticas destinadas a fomentar a aprendizagem ao longo da vida para todos”⁵. A presente Comunicação inscreve-se na linha deste mandato.

1.2. A consulta à escala europeia

Em Novembro de 2000, com base nas conclusões do Ano Europeu da aprendizagem ao longo da vida 1996⁶ e na experiência subsequente adquirida a nível europeu e nacional, a Comissão publicou um Memorando sobre a aprendizagem ao longo da vida. Este memorando constituiu a base para um processo de consulta à escala

européia, no qual os cidadãos desempenharam um papel preponderante, em conformidade com o objectivo da comissão de reformar a governança europeia. Os Estados-Membros, o EEE, os países candidatos conduziram as suas próprias consultas inclusivas e em larga escala que incluíram os organismos nacionais competentes. Os países candidatos participaram plenamente e deram um contributo significativo para o processo de consulta, continuando a concorrer para tornar a aprendizagem ao longo da vida uma realidade.

Ao nível europeu, a Comissão consultou os parceiros sociais, o Parlamento Europeu, o Comité Económico e Social e o Comité das Regiões, tendo ainda organizado uma consulta da sociedade civil europeia, que culminou numa conferência que decorreu em Bruxelas em 10 de Setembro de 2001. A Comissão consultou ainda várias organizações, em particular o Conselho da Europa, a OCDE e a UNESCO.

No total, foram enviadas cerca de 3 000 respostas à Comissão, aos Estados-Membros, aos países do EEE e aos países candidatos, às instituições europeias e a organismos representando a sociedade civil e os parceiros sociais. Aproximadamente 12 000 cidadãos participaram em reuniões e conferências organizadas no quadro deste processo⁷. Os resultados desta consulta em larga escala constituem, pois, uma base sólida para a presente Comunicação.

1.3. Um espaço europeu de aprendizagem ao longo da vida

A consulta sublinhou que a cooperação e a coordenação a nível europeu neste domínio são essenciais. Estão já a decorrer graças a processos, estratégias e planos distintos mas complementares. Cada uma destas iniciativas aborda o tema da educação e formação ao longo da vida de um ângulo específico. Na sequência do desejo expresso no Conselho Europeu de Lisboa, o Conselho de Educação adoptou um Relatório sobre os Objectivos Concretos dos Sistemas de Educação e Formação⁸. Em Setembro de 2001, a Comissão adoptou um relatório contendo um programa de trabalho detalhado sobre o acompanhamento do relatório sobre os objectivos concretos⁹, que constituirá a base para um relatório conjunto, a apresentar, na sequência de um convite formulado no Conselho de Estocolmo¹⁰, no Conselho Europeu da Primavera em 2002. A Estratégia Europeia para o Emprego¹¹ inclui um objectivo horizontal relativo à aprendizagem ao longo da vida e linhas directrizes que incidem sobre os aspectos da aprendizagem ao longo da vida relacionados com o emprego. A Agenda social europeia¹² visa a redução das desigualdades e a coesão social, inclusive do ponto de vista da aprendizagem ao longo da vida. O Plano de Acção em matéria de Competências e Mobilidade¹³ velará por que os mercados de trabalho europeus se tornem abertos e acessíveis a todos até 2005. A iniciativa eLearning¹⁴ (parte do Plano de Acção eEuropa) procura promover uma cultura digital e uma utilização alargada das tecnologias da informação e da comunicação (TIC) na educação e formação. Finalmente, o Livro Branco sobre a Juventude estabelece um quadro comunitário de cooperação em matéria de política da juventude, alicerçado principalmente na participação dos jovens e na sua situação em termos de educação, emprego e inclusão social.

Embora estas componentes apresentem especificidades e objectivos próprios, tendem para a concretização de um espaço europeu de aprendizagem ao longo da vida. Para o efeito, a educação e a formação serão coligidas num quadro de aprendizagem ao longo da vida em sinergia com os elementos pertinentes dos outros processos,

estratégias e planos. A fim de prosseguir o objectivo definido em Lisboa de edificar uma sociedade do conhecimento, o espaço europeu de aprendizagem ao longo da vida será estreitamente associado com o espaço europeu de investigação,¹⁵ nomeadamente em relação com a Comunicação sobre a estratégia de mobilidade para esta área. Uma componente importante desta estratégia para o desenvolvimento do capital humano poderá ser a criação de redes trans-europeias para a ciência e o conhecimento.

Um espaço europeu de aprendizagem ao longo da vida deve visar, por um lado, permitir aos cidadãos fazer face aos desafios da sociedade do conhecimento e circular livremente entre espaços de aprendizagem, empregos, regiões e países no quadro do processo de aprendizagem; permitir à União Europeia e aos países candidatos¹⁶ prosseguir os seus objectivos de melhoria em termos de prosperidade, integração, tolerância e democracia. Em termos concretos, isto implica que os Estados-Membros devem elaborar e adoptar estratégias coerentes e globais de aprendizagem ao longo da vida, o que implica acções concertadas lançadas a nível europeu, em conformidade com as prioridades definidas. Estas acções deveriam simultaneamente reforçar os esforços dos Estados-Membros e emprestar-lhes um valor acrescentado.

1.4. O conceito de aprendizagem ao longo da vida

O Memorando sobre aprendizagem ao longo da vida contém uma definição de aprendizagem ao longo da vida, estabelecida no contexto da Estratégia Europeia para o Emprego, ponto de partida para o debate durante o processo de consulta¹⁷.

A consulta foi particularmente favorável à ideia de que a aprendizagem ao longo da vida deveria incluir todas as fases da aprendizagem, desde a pré-escolaridade à pós-reforma. Todavia, foram emitidas algumas reservas quanto ao facto de na definição de aprendizagem ao longo da vida a tónica ser excessivamente colocada nas dimensões do emprego e do mercado de trabalho. Com efeito, no atinente aos objectivos da aprendizagem ao longo da vida, as respostas constituíam tendencialmente um eco do Memorando, invocando aspectos de carácter mais lato, como as dimensões espiritual e cultural da aprendizagem. Na globalidade, pode presumir-se que foi atingido um consenso em relação a quatro objectivos que se reforçam mutuamente: a realização pessoal, a cidadania activa, a inclusão social e a empregabilidade/adaptabilidade. O facto de que a aprendizagem ao longo da vida promover este leque de objectivos está patente na definição infra, na acepção da qual deverão ser entendidas todas as referências à aprendizagem ao longo da vida no presente documento:

"toda a actividade de aprendizagem em qualquer momento da vida, com o objectivo de melhorar os conhecimentos, as aptidões e competências, no quadro de uma perspectiva pessoal, cívica, social e/ou relacionada com o emprego".

A amplitude desta definição chama também a atenção para o leque de actividades de aprendizagem: aprendizagem formal, aprendizagem não formal e aprendizagem informal¹⁸.

A consulta conduziu ainda a um debate considerável sobre os princípios fundamentais que enformam a aprendizagem ao longo da vida. Uma característica-chave é a proximidade do aprendente no âmbito das experiências de aprendizagem formal, não formal e informal. A igualdade de oportunidades, em ambas as suas vertentes de

igualdade entre os sexos e acessibilidade a todos, é uma preocupação crucial, tanto mais que os conhecimentos e as competências se repercutem sobre as oportunidades na vida dos cidadãos. Respostas ao processo de consulta sublinharam igualmente a importância da qualidade elevada e relevância, uma vez que os investimentos de tempo e dinheiro só são plenamente eficazes se as condições de aprendizagem e os planos políticos e sistemas conexos forem de elevada qualidade. Estes princípios reflectem globalmente os aspectos enunciados nas conclusões do Conselho na sequência do Ano Europeu da Aprendizagem ao Longo da Vida 1996 e da edição de 2001 da análise das políticas da educação da OCDE¹⁹. Estão na base do conceito de aprendizagem ao longo da vida e determinam a sua aplicação.

1.5. A estrutura do documento

As seguintes secções incidem especificamente sobre as medidas práticas para concretizar um espaço europeu de aprendizagem ao longo da vida em todas as esferas. Na secção 2, a fim de concorrer para a execução política, especificam-se os módulos constitutivos das estratégias coerentes e globais. Na secção 3, propõem-se acções prioritárias susceptíveis de reforçar as estratégias propostas. A secção 4 tem por objecto a progressão da agenda, através do reforço de processos, estratégias e planos existentes e do desenvolvimento de indicadores. Por último, a secção 5 explana as próximas etapas.

2. ESTRATÉGIAS COERENTES E GLOBAIS DE APRENDIZAGEM AO LONGO DA VIDA

Na sequência do Conselho Europeu de Vila da Feira e no contexto da Estratégia Europeia para o Emprego, os Estados-Membros acordaram desenvolver e adoptar estratégias coerentes e globais de aprendizagem ao longo da vida a nível nacional. Embora essas estratégias existam já em metade dos Estados-Membros, encontram-se num estágio incipiente de execução; nos Estados-Membros desprovidos de estratégias globais, as medidas tendem a ser fragmentadas²⁰. A presente secção enuncia os módulos constitutivos essenciais ao desenvolvimento e à adopção dessas estratégias. A análise é efectuada à luz das respostas no quadro do processo de consulta lançado na sequência do Memorando e dos planos de acção nacionais dos Estados-Membros para o emprego e a inclusão social, além de outros contributos. Estes módulos foram determinados em função de 4 eixos: a cidadania activa, a realização pessoal, a empregabilidade e a inclusão social. Os princípios de aprendizagem ao longo da vida definidos na secção 1.4. foram igualmente contemplados.

Estes módulos constitutivos são consentâneos com os critérios utilizados no relatório conjunto sobre o emprego 2001 para a avaliação da coerência e exaustividade das estratégias dos Estados-Membros em matéria de aprendizagem ao longo da vida. *Trabalhar em parceria*, *Promover uma cultura da aprendizagem* e *Procurar a Excelência* a fim de garantir a coerência; *Apreender as necessidades de aprendizagem*, *Facilitar o acesso* e *Mobilizar os recursos adequados* para garantir a exaustividade da abordagem.

Aplicam-se principalmente a nível nacional, sendo portanto concebidos para assistir os Estados-Membros a prosseguir o seu empenho em definir e adoptar estratégias coerentes e globais. Não obstante, a abordagem preconizada é válida a todos os níveis.

Efectivamente, por forma a garantir a coerência das estratégias, é crucial uma complementaridade entre os vários níveis de execução. Assim, os módulos têm em conta a dimensão europeia. Por exemplo, no quadro do módulo *Apreensão das necessidades de aprendizagem*, a avaliação das necessidades de competências nos mercados de trabalho europeus – que deve ser equacionada de forma concreta no âmbito dos futuros planos de acção em matéria de competências e mobilidade – é relevante no quadro das previsões em matéria de competências a nível nacional e infra-nacional. De forma análoga, o trabalho em parceria deverá implicar inevitavelmente uma cooperação entre intervenientes a nível nacional e europeu; os fundos europeus terão um impacto sobre a mobilização dos recursos adequados a todos os níveis e a avaliação das estratégias nacionais continuará a processar-se no contexto da estratégia europeia para o emprego.

A partilha dos papéis e das responsabilidades

A seguinte descrição é incluída a título meramente indicativo: os papéis e as responsabilidades dos diferentes intervenientes podem variar em função de práticas, sistemas e contextos díspares, a nível nacional ou a outros níveis. Os parceiros da aprendizagem ao longo da vida a todos os níveis deveriam examinar e desenvolver esses papéis e responsabilidades em função das circunstâncias.

As autoridades públicas são responsáveis pela mobilização dos recursos necessários para e pelo garante do acesso de todos os cidadãos à escolaridade obrigatória, pela provisão do ensino das competências de base para todos os cidadãos após a escolaridade obrigatória e pelas oportunidades de aprendizagem dos adultos. Devem dar o exemplo no que respeita ao desenvolvimento e à implementação de estratégias de aprendizagem ao longo da vida a todos os níveis. Tal inclui o garante dos direitos dos cidadãos em termos de acesso às oportunidades de aquisição e actualização dos conhecimentos e das competências ao longo da vida, (em conformidade com o Preâmbulo do Tratado de Amsterdão), com a assistência dos serviços de orientação. Estão igualmente incumbidas das medidas activas do mercado de trabalho no que respeita aos desempregados e à promoção da aprendizagem para todos, no e fora do mercado de trabalho. Os empregadores são os principais responsáveis pelo desenvolvimento das competências da sua força de trabalho, estando também cada vez mais investidos de responsabilidades sociais mais vastas, nomeadamente quando alargam as suas oportunidades de formação e os seus recursos a um público mais vasto²¹. As organizações sindicais oferecem cada vez mais oportunidades de aprendizagem aos seus membros e participam nas actividades destinadas a promover e a facilitar a aprendizagem junto de membros e de não membros. Os parceiros sociais são co-responsáveis por conduzir o diálogo social a todos os níveis, pela negociação e aplicação de acordos tendo por objecto a educação e a formação no local de trabalho. Os prestadores de serviços educativos são responsáveis pela qualidade e pertinência da sua oferta de aprendizagem, bem como pela coerência da mesma relativamente à oferta global. Os grupos de voluntários e as associações locais ocupam um lugar privilegiado para propor uma aprendizagem à medida das necessidades, promover a aprendizagem dos aprendentes (potenciais) e veicular claramente as necessidades e os interesses destes últimos. Todos os intervenientes comungam da responsabilidade de cooperar no quadro da aprendizagem ao longo da vida (como explicitado no módulo infra consagrado ao trabalho em parceria) e de encorajar os indivíduos a responsabilizarem-se pela sua própria aprendizagem.

Uma conclusão merece ser destacada do processo de consulta, conclusão essa válida para todos os módulos: os Estados-Membros devem transformar radicalmente os sistemas de aprendizagem, inclusive os seus sistemas de educação inicial, por forma a tornar acessíveis a todos e com um carácter permanente as oportunidades de uma aprendizagem de qualidade. As conclusões do processo de consulta corroboram ainda a necessidade de integrar progressivamente os contextos de aprendizagem formal, tornando-os mais abertos e flexíveis, para que as desigualdades existentes não se perpetuem, e permitindo aos aprendentes definir os seus próprios percursos de aprendizagem, em função das suas necessidades e interesses, tirando partido da igualdade de oportunidades.

Trabalho em parceria no âmbito do espectro de aprendizagem

As parcerias reflectem os benefícios partilhados e a responsabilidade pela aprendizagem ao longo da vida. As acções coordenadas/conjuntas, fundadas na experiência, na perícia e em recursos disponíveis, são muitas vezes o meio mais adequado e mais eficaz para dar resposta a várias situações. As estratégias de aprendizagem ao longo da vida devem congregiar todos os intervenientes e ser unanimemente apoiadas pelos mesmos²²:

- além de promover a parceria a todos os níveis - nacional, regional e local - os Governos deveriam dar o exemplo, velando por uma coordenação eficaz e coerente a nível interministerial;
- as parcerias a nível local são essenciais para estratégias de trabalho 'no terreno'. Deveriam incluir autoridades locais, estabelecimentos de ensino, universidades, outros prestadores de ensino e serviços correlatos, nomeadamente de informação, orientação e consultoria, centros de investigação, empresas (no quadro das suas responsabilidades sociais), as ONG operando a nível local, organizações voluntárias e locais, representantes de grupos específicos de aprendentes (potenciais)²³, e intervenientes incumbidos de questões de igualdade entre mulheres e homens;
- os parceiros sociais deveriam participar activamente, sempre que pertinente, dado o seu papel multimodo enquanto consumidores, investidores e promotores da aprendizagem;
- os esforços envidados para viabilizar a aprendizagem ao longo da vida deveriam ser apoiados a nível europeu, nomeadamente através do intercâmbio de ideias, experiências e boas práticas e de acções tendo em vista tornar o espaço de aprendizagem ao longo da vida uma realidade (cf. secções 3 e 4).

A apreensão da procura de aprendizagem

A apreensão das necessidades de aprendizagem dos cidadãos, das comunidades, da sociedade em geral e do mercado de trabalho deveria constituir a base de todas as estratégias de aprendizagem ao longo da vida. Este pressuposto deverá fundar-se em indicações fornecidas a nível local. Trata-se de uma condição prévia para garantir uma abordagem eficaz, centrada no aprendente, bem como a igualdade de oportunidades. Os trabalhos deveriam incidir sobre:

- necessidades de literacia, numeracia, TIC e outras competências de base²⁴: bases para prosseguir a aprendizagem, que deverão ser actualizadas ao longo da vida. Os

cidadãos/grupos mais alienados da aprendizagem, cujas necessidades e interesses são variáveis, poderão necessitar de medidas específicas em função das necessidades;

- equacionar o impacto da aprendizagem ao longo da vida sobre os mediadores de aprendizagem²⁵, como docentes, formadores e educadores de adultos. As estratégias e as parcerias devem definir o seu papel e apoiar a sua adaptação;
- as necessidades dos empregadores em geral, bem como as necessidades específicas das PME, que embora constituam uma parcela significativa da força de trabalho da UE se vêm muitas vezes confrontadas com dificuldades de financiamento ou disponibilidade de tempo para uma formação muitas vezes relevante para as suas necessidades. A motivação dos empregadores é importante a este respeito;
- a apreensão dos interesses dos aprendentes (potenciais), patentes nos inquéritos, nas avaliações, nos resultados dos inquéritos e consultas, os dados sobre os desequilíbrios na participação na aprendizagem (por exemplo, proporção de homens e mulheres na aprendizagem das TIC);
- as implicações da sociedade baseada no conhecimento em termos de necessidades dos aprendentes (novas competências de base, incluindo o espírito empresarial) e dos mercados de trabalho (por exemplo, a importância de prever as competências a fim de obviar défices nas mesmas, o desenvolvimento das competências das pessoas inseridas no mercado de trabalho a fim de evitar a sua exclusão).

Mobilização de recursos adequados

A concretização do ideal da aprendizagem ao longo da vida, com todas as mudanças imprescindíveis de mentalidades, sistemas, estruturas e funcionamento, implica níveis mais elevados de investimento, em conformidade com as conclusões de Lisboa e com a estratégia europeia para o emprego. Estes recursos devem ser mobilizados efectiva e eficazmente²⁶. Designadamente, tal implica o seguinte:

- o aumento dos níveis globais de investimento público e privado. Estes aumentos deverão basear-se numa responsabilidade partilhada entre os governos, as autoridades públicas, os empregadores, os parceiros sociais e os cidadãos;
- a disponibilização de recursos adequados e/ou os recursos existentes devem ser canalizados através do espectro da aprendizagem formal, não formal e informal incluindo a pré-escolaridade. Além disso, a transparência na atribuição de recursos é essencial para respeitar as prioridades em termos de financiamento;
- são necessárias novas modalidades de investimento, passíveis de ter em conta novos tipos de conhecimentos e de competências, necessários ao desenvolvimento da sociedade do conhecimento, tanto do ponto de vista dos aprendentes (potenciais), como dos mediadores de aprendizagem. Deveriam prever-se incentivos fiscais à aprendizagem, e outros, para todos os cidadãos, no ou fora do mercado de trabalho;
- o aumento dos níveis de investimento deve ser correctamente integrado nas estratégias a nível local a fim de obter um impacto máximo;

- a questão das novas funções e dos novos papéis, do recrutamento e da manutenção dos docentes e formadores a todos os níveis deve ser abordada, nomeadamente tendo em conta as necessidades previstas em termos de recrutamentos.

Facilitar o acesso às oportunidades de aprendizagem

A seguinte dicotomia deveria presidir à abordagem do acesso à aprendizagem: tornar as oportunidades existentes mais visíveis, flexíveis, integradas e eficazes, desenvolvendo concomitantemente novos processos, produtos e contextos de aprendizagem²⁷. As estratégias deverão igualmente equacionar os aspectos de igualdade (por exemplo, igualdade de sexos) e da definição de grupos destinatários específicos, por forma a garantir oportunidades de aprendizagem ao longo da vida verdadeiramente acessíveis a todos, especialmente os que estão mais sujeitos ao risco de exclusão, como as pessoas com rendimentos inferiores, os deficientes, as minorias étnicas e os imigrantes, as pessoas que interrompem prematuramente a sua educação, as famílias mono-parentais, os pais que reingressam no mercado de trabalho, os trabalhadores com níveis inferiores de educação e formação, as pessoas fora do mercado de trabalho, os idosos (incluindo os trabalhadores mais velhos) e os ex-reclusos. Essa definição de grupos destinatários específicos deveria ter em conta as necessidades não apenas dos indivíduos em áreas urbanas desfavorecidas, como também as dos habitantes de zonas rurais, passíveis de terem necessidades específicas. Entre os aspectos-chave podemos citar:

- remoção de óbices de natureza social, geográfica, psicológica ou outra, promovendo por exemplo as TIC, a aprendizagem no local de trabalho e em centros locais de aprendizagem, para que os aprendentes possam aprender no momento e ao ritmo que lhes convém, num local que lhes permita cumprir outras obrigações;
- no sector formal, rever os critérios de admissão, progressão e reconhecimento, tendo em conta a aprendizagem não formal e informal;
- completar as disposições gerais com medidas específicas, especialmente no que se refere às competências de base, que tenham em conta as necessidades específicas individuais. Prever disposições específicas para dar resposta a necessidades por satisfazer, encorajando por exemplo os estabelecimentos de ensino superior a acolher as pessoas ameaçadas de exclusão;
- os parceiros sociais deveriam colaborar entre si e com outros intervenientes a fim de garantir uma progressão no sentido de uma maior flexibilidade na organização do trabalho, acompanhada por investimentos adequados dos empregadores na sua força de trabalho - uma dimensão chave da qualidade no trabalho²⁸;
- reconhecer os serviços de informação, orientação e consultoria como uma interface essencial entre as necessidades de aprendizagem e oferta de aprendizagem. São também cruciais para que os aprendentes se possam inserir em sistemas de aprendizagem cada vez mais complexos.

Fomentar uma cultura da aprendizagem

Para que as estratégias possam fomentar uma cultura da aprendizagem para todos, há que adoptar medidas directas para motivar os aprendentes (potenciais) e acrescer os níveis de participação. Para o efeito, é necessário tornar a aprendizagem mais aliciante em termos de cidadania activa, realização pessoal e/ou empregabilidade. Estas medidas deveriam incluir:

- a valorização e a compensação da aprendizagem, especialmente da aprendizagem não formal e informal em todos os sectores, reconhecendo o seu valor intrínseco. A perspectiva de uma recompensa pode constituir um estímulo para o reingresso dos que se encontram mais alienados do processo de aprendizagem;
- uma concepção mais positiva da aprendizagem e a sensibilização para o direito à aprendizagem e as benesses da mesma, por exemplo através de campanhas mediáticas, desde a idade mais tenra – desde o ensino pré-primário até ao ensino superior, junto de organizações de juventude e da população adulta²⁹;
- uma utilização adequada de financiamentos específicos, actividades de promoção e outros métodos de sensibilização dos aprendentes (potenciais);
- valorizar o papel dos prestadores de serviços de informação, orientação e consultoria que colaboram directamente com organizações voluntárias/comunitárias a fim de sensibilizar os cidadãos para as vantagens individuais, sociais e económicas da aprendizagem, e encorajar a diversificação dos estudos e das escolhas de carreira não tradicionais;
- as empresas deveriam ser encorajadas a tornar-se organizações aprendentes, oferecendo a todos os indivíduos a possibilidade de aprender e evoluir no quadro do trabalho, em benefício próprio, dos outros e da organização em geral, divulgando e reconhecendo esforços deste tipo;
- encorajar os prestadores de serviços públicos, as organizações voluntárias e locais, os empregadores e as organizações sindicais a desenvolver e/ou promover oportunidades de aprendizagem concebidas em função das suas necessidades específicas (por exemplo, deficientes);

A procura da excelência

As estratégias deveriam adoptar mecanismos de promoção da qualidade da aprendizagem e dos processos estratégicos/de adopção e dos serviços associados à aprendizagem. A qualidade não é uma simples obrigação, constituindo igualmente um factor de motivação nas decisões adoptadas pelos indivíduos, pelos empregadores e outras entidades, para investir na aprendizagem. As medidas deveriam incluir:

- objectivos ambiciosos nomeadamente em termos de participação, mobilização de recursos, manutenção do pessoal e resultados da aprendizagem. Os progressos obtidos na prossecução destes objectivos deveriam ser avaliados mediante indicadores pré-definidos. Os dados deveriam ser repartidos por sexo e segundo outros factores socio-económicos;

- instrumentos sólidos de garantia de qualidade para a aprendizagem formal e não formal (por exemplo, normas e directrizes internacionais e nacionais, sistemas de inspecção, prémios de recompensa do respeito pelas normas de qualidade e instrumentos financeiros);
- exercícios de avaliação das próprias estratégias à luz de critérios de exaustividade e coerência, dos objectivos nacionais/comuns e dos indicadores acordados³⁰;
- avaliação/revisão regular das estratégias para assegurar a pertinência, eficácia e complementaridade das mesmas relativamente a outras estratégias adoptadas a outros níveis.

3. ACÇÕES PRIORITÁRIAS

As varias 'acções prioritárias' encontram-se em estreita correlação com os módulos constitutivos das estratégias, definidos na secção anterior, contribuindo cada uma delas para a prossecução dos objectivos e princípios de carácter geral enunciados na secção 1.4. Foram elaboradas em função das respostas à consulta, dos resultados e da avaliação das políticas e dos instrumentos existentes a nível europeu e da análise efectuada pela Comissão tendo por objecto as suas políticas. Encontram-se correlacionadas com as 6 mensagens-chave do Memorando. Essas mensagens – ligeiramente modificadas para ter em conta observações pormenorizadas – foram ratificadas pela consulta. A ordem em que são referidas reflecte o nível de execução que têm em vista: as três primeiras prendem-se principalmente com a dimensão europeia da aprendizagem ao longo da vida; as três seguintes implicam uma participação acrescida dos intervenientes a nível nacional, regional e local e um apoio adequado à escala europeia. O Anexo 1 contém propostas ancilares em matéria de investigação e avaliação.

3.1. Valorização da aprendizagem

Estas propostas contribuem essencialmente para *'fomentar uma cultura da aprendizagem'*, *'promover o acesso à aprendizagem'* e para a *'procura da excelência'*.

Para que a cultura da aprendizagem se torne uma realidade há que equacionar de forma coerente o modo de valorizar a aprendizagem formal, não formal e informal³¹. Permitir aos cidadãos desenvolver e combinar a aprendizagem adquirida em estabelecimentos de ensino, universidades, organismos de formação, no trabalho, durante o lazer e no quadro das actividades familiares pressupõe que todas as formas de aprendizagem sejam passíveis de identificação, avaliação e reconhecimento. Impõe-se uma nova abordagem global a fim de inter-relacionar vários contextos e várias formas de aprendizagem, e de *facilitar o acesso* aos vários percursos de aprendizagem. Todos os contributos para a consulta sublinharam que os progressos neste domínio, nomeadamente no que se refere à aprendizagem não formal e informal, constituem um passo crucial no sentido de um espaço europeu de aprendizagem ao longo da vida, fundado no direito à livre circulação na União Europeia, tornando mais concreto o conceito de cidadania.

Foram realizados vários trabalhos a nível nacional e europeu para facilitar a transferência e o reconhecimento mútuo das qualificações formais. Por exemplo, o Conselho e o Parlamento Europeu adoptaram uma Recomendação sobre a mobilidade de estudantes, formandos e professores, tendo os Estados-Membros acordado um plano de acção³². Além disso, foi elaborado um conjunto de regras tendo em vista a garantia do reconhecimento das qualificações com o objectivo de assegurar o acesso às profissões regulamentadas nos diversos Estados-Membros. Todavia, estes trabalhos não permitiram o estabelecimento de um quadro global para a transferência geral de qualificações e competências, entre os níveis de educação e formação formais ou de uma instituição, de um sector ou de um país para outro. É essencial que os prestadores de serviços de aprendizagem, os empregadores e os parceiros sociais *procedam em colaboração* para desenvolver instrumentos de valorização da aprendizagem, e que todos os interessados, inclusive os utilizadores, definam metodologias e sistemas

válidos, fiáveis e legítimos. Outros instrumentos deveriam ainda ser adoptados para ajudar os cidadãos (jovens e adultos) a apresentar as suas qualificações e competências de forma transparente, em qualquer parte da Europa.

Valorização dos diplomas e dos certificados formais

- A Comissão, os Estados-Membros e os parceiros sociais examinarão em conjunto o papel e a natureza das normas de qualidade mínima voluntárias para a educação e formação. O desenvolvimento dessas normas, a par de uma abordagem do tipo avaliação inter-pares, permitirá promover a transparência e a coerência dos sistemas de educação e formação nacionais, criando uma base mais sólida para a confiança e o reconhecimento mútuos das qualificações³³.
- A Comissão elaborará, até ao final de 2002, um guia e um glossário sobre os instrumentos no domínio da transparência dos diplomas e dos certificados, a fim de facilitar a utilização e a procura dos mesmos (por exemplo: sistema europeu de transferência de créditos, suplementos ao diploma e aos certificados, Europass, formato europeu de CV, vários serviços na Internet)³⁴.
- A Comissão propõe a instauração, até ao final de 2001, de um regime de reconhecimento profissional mais uniforme, transparente e flexível (no domínio das profissões regulamentadas). Os Estados-Membros deveriam, em colaboração com a Comissão, garantir o acesso dos cidadãos a informações actualizadas e relevantes sobre estas directivas e questões de reconhecimento em geral. As redes europeias que possuem pontos de contacto nacionais, como NARIC³⁵ e NRCVG³⁶, deveriam desempenhar um papel central a este respeito.
- Em cooperação com os Estados-Membros e com os estabelecimentos do ensino superior, a Comissão apoiará activamente o "processo de Bolonha", no domínio do ensino superior. É na experiência adquirida no quadro deste processo que se fundará a promoção de uma cooperação mais estreita noutros domínios, nomeadamente o da educação e da formação profissionais.
- Ainda em estreita colaboração com os Estados-Membros, os estabelecimentos do ensino superior, as associações profissionais e os parceiros sociais, a Comissão apoiará a criação e a adopção voluntárias de diplomas e certificados europeus, bem como a definição dos critérios que os mesmos deverão satisfazer. O princípio aplica-se tanto às iniciativas no ensino superior como às iniciativas no seio das empresas.

Valorização da aprendizagem não formal e informal: intercâmbio de experiências

- Até ao final de 2002, a Comissão lançará um intercâmbio sistemático de experiências e boas práticas no domínio da identificação, da avaliação e do reconhecimento da aprendizagem não formal. O Fórum europeu sobre a transparência das qualificações, sob a égide da Comissão e do Cedefop, deveria coordenar este processo, em estreita colaboração com os Estados-Membros, os parceiros sociais, as organizações não governamentais, a OCDE, o Cedefop, Eurydice e a FEP.

- Paralelamente às acções empreendidas a nível europeu, os Estados-Membros deveriam associar todos os interessados, incluindo os prestadores de aprendizagem não formal, os parceiros sociais, os representantes da aprendizagem formal (ensino profissionalizante e superior), as ONG que representam grupos excluídos, para o desenvolvimento de metodologias e normas de valorização da aprendizagem não formal e informal.
- Até ao final de 2003, a Comissão estabelecerá, com base num intercâmbio sistemático de experiências, um inventário de metodologias, sistemas e normas de identificação, avaliação e reconhecimento da aprendizagem não formal e informal. Este inventário deveria contemplar os níveis internacional, nacional e sectorial, bem como as empresas. A Comissão recorrerá a este inventário para apoiar e estimular o desenvolvimento de metodologias e normas de avaliação de qualidade a nível europeu, nacional e sectorial.
- Os Estados-Membros serão encorajados a providenciar o quadro jurídico para alargar a identificação, a avaliação e o reconhecimento da aprendizagem não formal e informal. Os Estados-Membros deveriam prever a consagração de um direito individual à avaliação.
- Os Estados-Membros deveriam encorajar as universidades, os estabelecimentos de ensino/formação e outros organismos competentes (como, por exemplo, instituições de investigação) a adoptar sistematicamente medidas de avaliação e reconhecimento da aprendizagem não formal e informal.

Novos instrumentos a nível europeu para apoiar a valorização de todas as formas de aprendizagem³⁷

- Até 2002, a Comissão desenvolverá um sistema de "carteira", passível de ser utilizado pelos cidadãos para coligir, em todos os níveis de educação e ensino, as suas qualificações e competências e apresentar as mesmas. Basear-se-á na experiência adquirida, inclusive com o CV europeu (que serve de 'sumário' das qualificações e competências), solicitado no Conselho Europeu de Lisboa.
- Até 2003, em colaboração com os Estados-Membros, a Comissão desenvolverá um sistema "modular" de acumulação das qualificações, que deverá permitir aos cidadãos combinar educação e formação adquiridas em vários estabelecimentos ou países. Este sistema inspirar-se-á no Sistema Europeu de Transferência de Créditos (ECTS) e em Europass³⁸.

3.2. Informação, orientação e consultoria

Estas propostas contribuem essencialmente para '*facilitar o acesso às oportunidades de aprendizagem*', '*fomentar uma cultura da aprendizagem*' e '*trabalho em parceria*'.

As respostas à consulta confirmaram o papel determinante que os serviços de informação, orientação e consultoria devem desempenhar para facilitar o acesso à aprendizagem, motivando os aprendentes potenciais. Para que esta função possa ser exercida com adequação, é indispensável um diálogo aberto entre os sistemas de orientação, os organismos que ministram educação e formação e os intervenientes no

mercado de trabalho. Os serviços de orientação deveriam promover a igualdade de oportunidades, sendo acessíveis a todos os cidadãos, especialmente os que se encontram em risco de exclusão, respondendo às suas necessidades específicas graças a sistemas coerentes, sólidos, transparentes, imparciais e de qualidade. Os serviços com base nas TIC, em parceria com outros serviços a nível local, como bibliotecas, podem servir de pontos de acesso. Os sistemas devem ser flexíveis e adaptados em função da evolução das necessidades dinâmicas do aprendente (tendo em conta a importância dos serviços de orientação para a realização pessoal), das necessidades do mercado de trabalho e da comunidade em geral. Para o efeito, há que avaliar os recursos existentes para assegurar a transparência e coerência dos serviços propostos, devendo ser estabelecidas redes de serviços para colmatar as limitações existentes. A consulta aponta para a criação de uma parceria a nível europeu para melhorar o intercâmbio de ideias e boas práticas neste âmbito. A fim de promover uma cidadania activa e de estimular a mobilidade, os consultores devem estar ao corrente dos sistemas de educação, de formação e orientação, dos sistemas de organização do mercado de trabalho e dos programas dos outros países.

Reforçar a dimensão europeia da informação, orientação e consultoria

- Até 2002, a Comissão lançará um portal Internet sobre a oferta de aprendizagem, prestando informações sobre a educação e formação ao longo da vida nos Estados-Membros e nos países candidatos. A Comissão convida os Estados-Membros a garantir a disponibilidade das bases de dados em linha relevantes, que podem ser interligadas através do portal³⁹.
- Até ao final de 2002, a Comissão organizará um fórum europeu de orientação, que congregará representantes de todos os interessados, para encorajar o diálogo, o intercâmbio de boas práticas e a identificação de soluções para problemas comuns. Com base no estudo dos serviços de orientação actualmente em curso nos Estados-Membros e nos países candidatos, e em cooperação com a OCDE, este fórum deveria conduzir a uma definição comum de conceitos e princípios de base relacionados com a orientação. Deveria centrar-se em seguida em questões específicas, como a qualidade da oferta, os interesses/a participação dos consumidores, a eficácia dos instrumentos e das práticas, a formação dos orientadores e a melhor forma de medir as necessidades dos grupos ameaçados de exclusão. O fórum reflectirá também sobre a qualidade dos serviços e produtos de orientação, com vista a elaborar directrizes e normas de qualidade comuns.
- Até ao final de 2003, a Comissão examinará as redes europeias e estruturas existentes no domínio da informação, orientação e consultoria (por exemplo: Euroguidance, EURES, Eurodesk, Fedora, EQUAL, Centros de Mobilidade para Investigadores) no domínio da educação e da formação, para coligir os âmbitos de acção e as actividades destas redes num quadro coerente e transectorial de aprendizagem ao longo da vida⁴⁰.

3.3. Investir tempo e dinheiro na aprendizagem

Estas propostas contribuem essencialmente para a '*determinação dos recursos adequados*', para '*facilitar o acesso às oportunidades de aprendizagem*' e para a '*procura da excelência*'.

Da consulta resultou ainda um vasto consenso quanto à necessidade de aumentar significativamente os níveis de investimento em geral com vista à transição para a sociedade do conhecimento, e quanto ao facto de que as despesas relativas à aprendizagem deveriam ser postas em evidência e contabilizadas da mesma forma que as despesas relativas a formas mais tangíveis de capital. É óbvio que um dos aspectos essenciais do investimento na aprendizagem ao longo da vida continuará a ser o das despesas públicas, uma vez que a formação formal ao níveis escolar, profissional, de adultos e do ensino superior, bem como (cada vez mais) ao nível pré-escolar, devem continuar a ser componentes vitais da aprendizagem ao longo da vida. A responsabilidade em termos de aumento dos investimentos é partilhada pelos parceiros sociais, nomeadamente no que respeita a um acesso adequado à aprendizagem, facultado pelos empregadores. 35 horas de aprendizagem por ano, por trabalhador, pode ser um indicador realista. A rentabilidade e a qualidade em termos de resultados são importantes para garantir uma mobilização adequada de recursos. A necessidade de facilitar o acesso a percursos de aprendizagem e de fomentar uma cultura da aprendizagem implica que sejam afectados recursos mais significativos aos serviços de orientação e consultoria e aos novos métodos de valorização da aprendizagem. Convém igualmente tornar a aprendizagem acessível num número mais vasto de meios, através dos mecanismos adequados (por exemplo, para os cuidados à infância). Da mesma forma, são necessários mais recursos para a aprendizagem não formal, em especial para responder às necessidades de aprendizagem dos adultos e da comunidade. Os inquiridos sublinharam a necessidade de conceder a primazia, no que respeita à concessão de recursos, à aprendizagem das crianças no quadro do ensino pré-escolar (para reduzir desigualdades *a posteriori* e fornecer uma base sólida para a aprendizagem futura), aos docentes, formadores e outros mediadores da aprendizagem (para os preparar para os seus novos papéis – vd. secção 3.6), aos trabalhadores mais velhos e aos idosos (para que possam participar mais activamente na sociedade e no mercado de trabalho, inclusive no quadro da aprendizagem inter-gerações)⁴¹. De qualquer forma, permite proceder a uma reforma radical, reconciliando ao mesmo tempo a necessidade de aumentar os níveis globais de investimento e reduzindo as desigualdades na concessão de recursos. Impõem-se escolhas difíceis.

Aumentar os níveis de investimento e tornar os investimentos mais transparentes

- A Comissão insta
 - o Banco Europeu de Investimento, no quadro da sua política de promoção do desenvolvimento do capital humano, e no contexto da sua iniciativa Inovação 2000, a apoiar a concretização da aprendizagem ao longo da vida, descrita na presente Comunicação, por exemplo mediante mecanismos de financiamento de infra-estruturas destinadas aos centros de formação de docentes e aos centros de formação locais, de suportes lógicos e conteúdos de aprendizagem multimédia e de programas de formação concebidos pelas empresas⁴²;
 - o Banco Europeu para a reconstrução e o desenvolvimento e o Banco Europeu de Investimento a investir no desenvolvimento da aprendizagem ao longo da vida, por exemplo nas infra-estruturas e nas PME, nos países candidatos e nos países da Europa Central e de Leste;

- o Fundo Europeu de Investimento a determinar a melhor forma de utilizar os seus instrumentos para favorecer a disponibilização de fundos de capital de risco destinados a apoiar o desenvolvimento do capital humano destinado por exemplo a facilitar o acesso das PME à aprendizagem.
- Os Estados-Membros deveriam fixar objectivos nacionais a fim de aumentar os níveis globais de investimento nos recursos humanos, em conformidade com as conclusões do Conselho Europeu de Lisboa e com as Orientações sobre o Emprego⁴³. Esta fixação de objectivos deveria processar-se de forma transparente, em relação com a forma como os recursos são disponibilizados. Deveria ainda ter em conta os papéis a desempenhar pelo governo, pelos empregadores, pelos indivíduos e outros intervenientes. Além disso, os Estados-Membros deveriam definir objectivos para aumentar a participação no ensino e na formação superiores, indicando o aumento de percentagem de participação que esperam alcançar, por sexo, grupo etário, nível de ensino e grupo destinatário.
- Convidam-se os Estados-Membros a recorrer ao Fundo Social Europeu (FSE), que constitui já o principal instrumento comunitário de financiamento da aprendizagem ao longo da vida, e à iniciativa comunitária EQUAL para apoiar a concretização da aprendizagem ao longo da vida, nomeadamente com vista ao desenvolvimento de parcerias e centros locais de aprendizagem, e para apoiar as oportunidades de aprendizagem no local de trabalho, o acesso às competências de base (incluindo uma "segunda oportunidade" para os aprendentes), a formação de docentes, formadores e outros mediadores da aprendizagem⁴⁴.
- A Comissão elaborará indicadores e outros instrumentos para medir o impacto dos programas FSE sobre a aprendizagem ao longo da vida e apoiará a avaliação da realização de actividades relacionadas com a aprendizagem ao longo da vida, financiadas pelo FSE, no quadro da revisão intercalar do Fundo, prevista para o final de 2003.
- Convidam-se os parceiros sociais a negociar e aplicar acordos a todos os níveis adequados com vista a modernizar a organização do trabalho⁴⁵ por forma a aumentar os investimentos na aprendizagem ao longo da vida e a providenciar mais tempo para a aprendizagem. Por exemplo, deveriam envidar esforços no sentido do reconhecimento de todas as actividades de aprendizagem, inclusive a aprendizagem não formal e informal, e integrar este aspecto em todas as componentes de recursos humanos das políticas e das práticas a nível empresarial.

Propor incentivos e permitir investimentos

- A Comissão avaliará o impacto dos vários tipos de planos de financiamento individuais (por exemplo, as "contas individuais de aprendizagem") sobre os investimentos e os resultados dos programas de aprendizagem. Esta avaliação deverá ter plenamente em conta os trabalhos da OCDE neste domínio, devendo um relatório de avaliação ser apresentado no final de 2002.
- A Comissão apresentará uma proposta com vista a apoiar um estudo consagrado às vantagens, aos custos e ao rendimento dos investimentos na aprendizagem, com base em investigação actual⁴⁶, ao abrigo do 6.º programa-quadro de investigação⁴⁷.

- Com base nas informações transmitidas pelos Estados-Membros, a Comissão avaliará os incentivos fiscais, financiados por particulares e empresas, com vista à identificação e adopção de boas práticas.

Garantia de qualidade elevada dos resultados dos investimentos

- Até ao final de 2003, em cooperação com os Estados-Membros, a Comissão elaborará directrizes e indicadores sobre a qualidade da aprendizagem ao longo da vida⁴⁸, e apoiará as medidas adoptadas nos Estados-Membros através do intercâmbio de boas práticas e de uma avaliação inter-pares.

3.4. Aproximar os aprendentes das oportunidades de aprendizagem

Estas propostas contribuem essencialmente para '*fomentar uma cultura da aprendizagem*', '*trabalhar em parceria*' e '*apreender as necessidades de aprendizagem*'.

O *feedback* da consulta enfatizou a importância de propor oportunidades de educação e formação em número suficiente, abertas e flexíveis a nível local, para aproximar a aprendizagem dos aprendentes (potenciais). O papel de intermediário desempenhado neste contexto pelos serviços de orientação locais foi igualmente colocado em evidência. A este respeito, é particularmente importante favorecer um certo equilíbrio entre a aprendizagem não formal no local de trabalho e em contextos/ambientes sociais, por forma a constituir um reflexo do equilíbrio entre os objectivos da aprendizagem ao longo da vida, a saber a cidadania activa, a realização pessoal, a empregabilidade e a inclusão social. Vários relatórios referiram o valor das oportunidades de aprendizagem (muitas vezes não formal ou informal), facultadas no quadro da educação permanente ou pelo sector associativo, incluindo as ONG e as organizações locais. Os projectos educativos não formais destinados à juventude, por exemplo, promovem as oportunidades de participação dos jovens na sociedade e de aquisição de valores de tolerância e democracia. Para favorecer a emergência de uma cultura da aprendizagem no seio da Europa, é necessário desenvolver comunidades, cidades e regiões de aprendizagem e criar centros locais de aprendizagem multifuncionais⁴⁹. O *feedback* da consulta incidiu igualmente sobre o potencial das TIC, que podem contribuir, com o apoio adequado, para aproximar a aprendizagem do aprendente. As questões relacionadas com as TIC serão abordadas na secção 3.6. do presente documento.

Encorajar e apoiar as comunidades, cidades e regiões de aprendizagem e criar centros locais de aprendizagem

- Convidam-se os Estados-Membros a utilizar as escolas, os estabelecimentos de ensino para adultos, os estabelecimentos do ensino superior e outros estabelecimentos públicos como as bibliotecas, enquanto centros multifunções de aprendizagem ao longo da vida.
- As organizações de juventude deveriam publicar e publicitar regularmente os resultados da educação não formal decorrente das suas actividades.

- Convidam-se os Estados-Membros a recorrer mais ao Fundo Europeu de Desenvolvimento Regional (FEDER) e ao FSE para apoiar a concretização da aprendizagem ao longo da vida, no quadro dos planos de desenvolvimento locais e regionais, e a apoiar a melhoria das competências dos trabalhadores em matéria de TIC, especialmente nas PME.
- A Comissão convida o Comité das Regiões, eventualmente em cooperação com as associações europeias e nacionais a nível local e regional a promover a concretização da aprendizagem ao longo da vida a nível local e regional, nomeadamente para:

- desenvolver as relações entre os centros locais e regionais de aprendizagem através da Europa, graças a acordos de geminação e à utilização das TIC para o intercâmbio de experiências e o estabelecimento de laços entre todas as formas de aprendizagem;
- organizar, em colaboração com a Comissão, uma campanha a nível local e regional para recompensar e divulgar as abordagens mais eficazes da aprendizagem ao longo da vida.

- No âmbito dos seus programas, a Comissão apoiará o estabelecimento de redes entre as regiões e as cidades que adoptaram estratégias avançadas de aprendizagem ao longo da vida, para facilitar o intercâmbio de experiências e boas práticas.

É essencial promover mais activamente o desenvolvimento da aprendizagem no local de trabalho e a conversão das empresas e outras organizações em organizações de aprendizagem. Os parceiros sociais têm um papel-chave a desempenhar para que este ideal se torne uma realidade, e para garantir a igualdade de oportunidades e o acesso à aprendizagem a nível empresarial a todos os trabalhadores, tendo em conta a necessidade de reconciliar a vida profissional, a vida familiar e outras responsabilidades, como a guarda de crianças. Importa nomeadamente apreender as necessidades de aprendizagem nas PME, nas quais a aprendizagem ocorre tradicionalmente num contexto não formal ou informal⁵⁰. A aprendizagem deve ser dispensada de forma flexível, deve ser de elevada qualidade e adaptada às necessidades das empresas individuais. Os fornecedores de serviços educativos, i.e. os estabelecimentos do ensino superior por exemplo, deveriam propor cursos adaptados às suas necessidades específicas. As próprias PME deveriam explorar todas as possibilidades viáveis para facilitar o acesso à aprendizagem (por exemplo, operando em parceria com outras empresas através de redes de aprendizagem e da partilha de competências, e em cooperação com os serviços de orientação). A Comunicação da Comissão "Auxiliar as PME a entrar na era digital" contribui, neste contexto, para providenciar competências nas TIC para as PME.⁵¹

Encorajar e apoiar a aprendizagem no local de trabalho - inclusive nas PME

- Os parceiros sociais a todos os níveis são convidados a aceitar um plano de formação individual para cada trabalhador, baseado numa avaliação das suas competências, em conformidade com as políticas globais de desenvolvimento das competências. Estes planos devem ter em cabalmente em conta as necessidades e as circunstâncias específicas de cada PME e deveriam fornecer aconselhamento de peritos sobre a melhor forma de aferir as necessidades de aprendizagem e competências. Os parceiros sociais deveriam igualmente concorrer para sensibilizar os cidadãos para a importância da aprendizagem e encorajar os trabalhadores e os dirigentes a tornarem-se por seu turno mediadores ou tutores de terceiros.
- A Comissão encoraja os parceiros sociais europeus a precisar, no quadro do processo do diálogo social, um quadro que defina os objectivos comuns com o intuito de promover a aprendizagem ao longo da vida a todos os níveis, inclusive a nível empresarial. A Comissão convida os parceiros sociais a favorecer a elaboração deste quadro à escala nacional através das suas organizações respectivas e dentro do respeito das práticas nacionais.
- Até ao início de 2003, a Comissão lançará um prémio destinado às empresas que investem na aprendizagem ao longo da vida, a fim de recompensar e divulgar as boas práticas neste domínio⁵².

3.5. Competências de base

Estas propostas contribuem essencialmente para *'apreender as necessidades de aprendizagem'*, *'fomentar uma cultura da aprendizagem'* e *'facilitar o acesso às oportunidades de aprendizagem'*.

Os Conselhos Europeus de Lisboa e Estocolmo sublinharam a importância da melhoria das competências de base através de políticas adequadas em matéria de educação e formação ao longo da vida. As aptidões de base incluem a literacia e a numeracia, bem como a capacidade de aprender a aprender e as novas competências definidas em Lisboa - competências em TIC, línguas estrangeiras, espírito empresarial e aptidões sociais. Os resultados da consulta apontam para a importância capital da aquisição de competências de base para permitir aos indivíduos prosseguir o processo de aprendizagem e como base para a realização pessoal, a cidadania activa e a empregabilidade, especialmente tendo em conta as necessidades da sociedade do conhecimento emergente. As bases da aprendizagem ao longo da vida devem ser fornecidas pelos governos através da escolaridade obrigatória. Todavia, os adultos que abandonam prematuramente a escola, antes de terem adquirido as competências necessárias em termos de literacia e numeracia, devem ser encorajados a suprir as suas lacunas.

Determinar o conteúdo do pacote "competências de base"

- A Comissão convidará o Sub-grupo constituído na sequência do Relatório sobre os Objectivos Concretos dos Sistemas de Educação e Formação a abordar a questão da aquisição das competências de base à margem dos sistemas de educação e formação formais, bem como a aquisição de competências de base pelos adultos, a motivação para aprender e a forma de incluir as competências de base, nomeadamente as aptidões sociais e pessoais, bem como as competências científicas e no domínio das TIC nos *curricula* educativos, sem contudo sobrecarregar estes últimos.⁵³

Tornar as aptidões de base verdadeiramente acessíveis a todos, nomeadamente os que se vêem confrontados com dificuldades nas escolas, os que abandonam prematuramente a escola e os aprendentes adultos⁵⁴

- A Carta dos direitos fundamentais reconhece o direito à educação, inclusive o direito de beneficiar gratuitamente do ensino obrigatório e de aceder à formação profissional e contínua⁵⁵. Para conferir a este direito um significado mais concreto, os Estados-Membros deveriam prever o alargamento do direito ao ensino obrigatório a fim de facultar o acesso gratuito às competências de base a todos os cidadãos, independentemente da sua idade.
- Os Estados-Membros deveriam velar por que os jovens adquiram literacia digital de base no quadro da escolaridade obrigatória e deveriam alargar as iniciativas na matéria aos cidadãos em risco de exclusão⁵⁶. Os Estados-Membros deveriam providenciar oportunidades para os desempregados para que estes obtenham certificados reconhecidos atestando o domínio de competências de base no domínio das TIC.
- Convidam-se os parceiros sociais a celebrar acordos sobre a promoção do acesso às oportunidades de aprendizagem, nomeadamente para os trabalhadores pouco qualificados e os trabalhadores mais idosos, com vista a concretizar o objectivo de propiciar a todos os trabalhadores a oportunidade de adquirir uma cultura da sociedade da informação até 2003⁵⁷.
- A Comissão convida as ONG a nível europeu a identificar os factores que obstam ou favorecem a aquisição de competências de base e a participação na oferta global de aprendizagem ao longo da vida por parte dos cidadãos em risco de exclusão. Os resultados deste estudo deveriam servir de base à elaboração de políticas adequadas, ao nível adequado, sobre a aprendizagem flexível, as acções centradas no aprendente, o apoio a projectos educativos locais destinados às pessoas de regiões ou grupos desfavorecidos, e a organização de serviços de guarda de crianças ou outras pessoas a cargo dos interessados.

3.6. Pedagogias inovadoras

As propostas contribuem essencialmente para '*apreender as necessidades de aprendizagem*', '*trabalhar em parceria*' e '*procurar a excelência*'.

Os resultados da consulta enfatizam a transição do "conhecimento" para a "competência" e do ensino para a aprendizagem, *conferindo ao aprendente o papel do protagonista*. Esta transição implica que desde a mais tenra idade os indivíduos devem "aprender a aprender". Os aprendentes devem, na medida do possível, assumir a responsabilidade da sua própria aprendizagem e procurar activamente adquirir conhecimentos e desenvolver as suas competências. São necessários vários métodos, consoante a situação do aprendente, o mediador da aprendizagem e o meio (por exemplo, centros locais, local de trabalho, em casa). A aprendizagem no trabalho, a aprendizagem no quadro de projectos ou de "círculos de estudos" são abordagens particularmente interessantes. Os novos métodos didácticos e pedagógicos desafiam os papéis e as responsabilidades tradicionais dos docentes, dos formadores e outros mediadores da aprendizagem. Há, pois, uma necessidade premente de adaptar a sua formação, inclusive do ponto de vista das suas competências multiculturais, a fim de os preparar e motivar face aos novos desafios que se lhes colocam e, por conseguinte, de promover os valores da democracia e da tolerância. Seria igualmente pertinente prever a reforma e a melhoria das abordagens pedagógicas da aprendizagem, tanto formal como não formal. O intercâmbio de experiências entre estabelecimentos de ensino, organizações voluntárias e de formação de adultos, centros de protecção das minorias étnicas, universidades e empresas deveria permitir a apreensão mais cabal das necessidades de aprendizagem neste domínio. Os estabelecimentos do ensino superior e de investigação, por exemplo, deveriam realizar estudos e propor formações (ou envidar mais esforços nesse sentido) no domínio da aprendizagem ao longo da vida. Todos os contributos para a consulta reconheceram que o recurso às TIC no quadro da aprendizagem oferece um enorme potencial para repensar e reformar os processos de aprendizagem, sem deixar de reconhecer ao mesmo tempo o risco de um "abismo digital" induzido pelas novas tecnologias. A iniciativa eLearning e o Plano de Acção eLearning abordam várias questões importantes nesta área, no contexto da coordenação das acções dos Estados-Membros para adaptar os sistemas de educação e formação à sociedade da informação⁵⁸. Vários relatórios sublinham que a aprendizagem com base nas TIC deveria ser combinada com outros modos de aprendizagem com um carácter mais social (por exemplo, grupos de aprendizagem, aprendizagem em família, aprendizagem colectiva no trabalho) e com serviços individuais de assistência e técnicas regulares. Num mercado em crescimento rápido, a qualidade e a relevância do material didáctico, dos serviços e processos de aprendizagem são elementos importantes, particularmente em termos de protecção dos consumidores, de motivação e de utilização eficaz de recursos⁵⁹.

Os novos métodos pedagógicos e o novo papel dos docentes, formadores e outros mediadores da aprendizagem

- No quadro dos seus programas Sócrates e Leonardo da Vinci, a Comissão apoiará o desenvolvimento de uma rede de formação de docentes e formadores. Estabelecida com base nas redes existentes, como por exemplo o Cedefop, esta rede visará a análise e o intercâmbio de experiências inovadoras nos contextos formal e não formal, criando ao mesmo tempo as condições para a transferência no seio da Comunidade. Contribuirá também para a construção de um quadro comum de referência para as competências e qualificações dos docentes e dos formadores e para corresponder aos desafios da aprendizagem com base nas TIC. Os Estados-Membros, as autoridades locais e regionais, os mediadores da aprendizagem, os representantes dos docentes e as ONG, inclusive as organizações activas na educação dos jovens à margem do quadro da escola, deveriam contribuir para este objectivo, oferecendo oportunidades de desenvolvimento aos mediadores da aprendizagem de outros Estados-Membros ou de países candidatos. Será concedida especial atenção à melhoria da formação em sectores como a educação de adultos, nos quais os docentes de alguns Estados-Membros não são obrigados a ter seguido um programa de ensino formal e em que a necessidade de melhorar a qualidade do ensino constitui, portanto, uma prioridade.
- Dada a importância atribuída à aprendizagem não formal e informal, é necessário apoiar o papel dos mediadores da aprendizagem. Os parceiros sociais, as ONG (por exemplo organizações de juventude) e outros interessados deveriam, em cooperação com a Comissão e os Estados-Membros, proceder ao intercâmbio sistemático de experiências neste domínio.
- A Comissão proporá o apoio da investigação e da experimentação em matéria de aprendizagem nos contextos formal, não formal e informal, e sobre a integração das TIC nos processos de aprendizagem ao abrigo do 6.º Programa-quadro de Investigação, por intermédio dos programas Leonardo da Vinci, Sócrates e Juventude, das acções piloto de eLearning, do programa IST (*Information Society Technologies*)⁶⁰ e da iniciativa comunitária EQUAL. Dever-se-ia assim promover o desenvolvimento de métodos pedagógicos eficazes destinados a vários grupos de aprendentes, incluindo os grupos sub-representados e os aprendentes não tradicionais⁶¹.
- Até 2003, e em cooperação com os Estados-Membros, os parceiros sociais e as ONG internacionais, a Comissão desenvolverá recomendações europeias em matéria de qualidade, destinadas a organizações de aprendizagem à margem do quadro da formação e da educação formais, a utilizar num regime de voluntariado. Dever-se-ia apor um rótulo europeu de qualidade às organizações que se conformarem a essas recomendações.

As TIC veículo da aprendizagem ao longo da vida

- A Comissão, em estreita colaboração com os Estados-Membros, examinará as iniciativas adoptadas a nível nacional para criar rótulos de qualidade para o material didáctico baseado nas TIC, nomeadamente *software* de aprendizagem,

com vista à sua eventual adaptação a nível europeu a fim de garantir a coerência e a protecção dos consumidores.

- A Comissão apoiará projectos ao abrigo dos programas Socrates e Leonardo da Vinci e da iniciativa eLearning, com vista a desenvolver a aprendizagem a fim de desenvolver a dimensão europeia da aprendizagem fundada nas TIC, por exemplo através da constituição de "círculos de estudo virtuais" a nível transnacional.

4. PROGRESSÃO DA AGENDA

4.1. Um quadro global de aprendizagem ao longo da vida

O conteúdo e a organização dos sistemas de educação e formação⁶² são da plena responsabilidade dos Estados-Membros, não sendo o papel da UE harmonizar as legislações ou os regulamentos na matéria. Paralelamente, existem não obstante funções estratégicas específicas, relacionadas com a aprendizagem ao longo da vida, que fazem parte das atribuições da Comissão. Para além da adopção da política de formação profissional⁶³, o Tratado confere à Comunidade um papel essencial na melhorada qualidade da educação, graças à cooperação europeia neste domínio. A União Europeia tem um papel especial a desempenhar no que se refere a: cidadania, livre circulação para efeitos de aprendizagem ou do emprego, desenvolvimento dos mercados de trabalho europeus⁶⁴, coordenação da política a favor do emprego e inclusão social. Para alguns cidadãos, a transnacionalidade da educação, da formação e do emprego constituem já uma realidade. Apesar disso, subsistem inúmeros óbices à aprendizagem, ao exercício de uma profissão ou à estada num Estado-Membro que não seja o Estado-Membro originário.

Assim, a União Europeia e os Estados-Membros, num regime de cooperação mútua, devem desempenhar um papel crucial no quadro do apoio e da promoção da aprendizagem ao longo da vida na Comunidade. Convém no entanto adaptar as intervenções estratégicas aos contextos locais e nacionais, em razão das idiossincrasias que existem na Europa a nível dos sistemas de educação e formação e dos mercados de trabalho. O principal desafio consiste, portanto, em garantir que os Estados-Membros manterão a liberdade de definir as suas estratégias coerentes e globais e conceber e gerir os seus próprios sistemas, sem deixar de visar os mesmos objectivos. Deve proceder-se de forma coerente, coordenada e economicamente viável. Quando a UE não for competente no plano legislativo ou quando os objectivos do Tratado não puderem ser prosseguidos graças aos processos existentes, convém recorrer aos seguintes métodos, incluindo o método aberto de coordenação:

- a identificação dos problemas, ideias e prioridades comuns, através do intercâmbio de conhecimentos, boas práticas e experiências (e através das avaliações inter-pares), para permitir a prossecução de acções em todos os Estados-Membros ou em Estados-Membros específicos e/ou graças a instrumentos e processos europeus;
- o reforço da transparência das políticas e sistemas, permitindo aos cidadãos aceder às instituições e aos serviços ao seu dispor e utilizar plenamente os mesmos;

- o garante da complementaridade e da sinergia à escala europeia entre os vários processos, estratégias e planos que se prendem com a concretização da aprendizagem ao longo da vida;
- o desenvolvimento de sinergias entre as políticas dos Estados-Membros no domínio da aprendizagem ao longo da vida.

Até ao final de 2003 a Comissão constituirá uma base de dados sobre as boas práticas, as informações e as experiências tendo por objecto os aspectos essenciais da aprendizagem ao longo da vida em todas as esferas a fim de apoiar a execução da aprendizagem ao longo da vida. Serão seleccionados casos em função de critérios claros e estruturados numa base temática e por interveniente. A base de dados não incluirá apenas dados emanados de instrumentos comunitários (programas de educação, formação e juventude, FSE, FEDER e iniciativas comunitárias), mas também provenientes dos níveis nacionais, regionais, locais e sectoriais, dos países terceiros, das organizações internacionais, dos parceiros sociais e da sociedade civil. Esta base de dados assentará nas iniciativas existentes e no diálogo com todos os intervenientes, estará acessível na Internet e será actualizada em função das necessidades reais⁶⁵.

4.2. Capitalização dos resultados a nível europeu

A implementação da aprendizagem ao longo da vida, incluindo as prioridades de acção identificadas na secção 3, processar-se-á graças aos processos, instrumentos e programas existentes⁶⁶:

- o programa de trabalho sobre a continuidade do Relatório sobre os Objectivos Concretos dos Sistemas de Educação e Formação será um dos principais vectores para reforçar a cooperação e o intercâmbio de boas práticas entre os Estados-Membros no domínio da aprendizagem ao longo da vida;
- as prioridades de acção definidas na presente comunicação, que se relacionam com a empregabilidade, serão plenamente tidas em conta nas próximas negociações sobre a estratégia europeia para o emprego; serão igualmente equacionadas no Plano de acção em matéria de Competências e de Mobilidade. Da mesma forma, as vertentes da inclusão social e da igualdade de oportunidades da aprendizagem ao longo da vida serão integradas na Agenda da Política Social;
- vários outros projectos e acções centrados na aprendizagem ao longo da vida serão promovidos e apoiados no quadro de programas e acções comunitárias em curso. Os programas Socrates, Leonardo da Vinci e Juventude têm um papel fundamental a desempenhar neste contexto. A Comissão reforçará substancialmente e alargará as acções conjuntas que apoiam projectos no âmbito de um ou mais destes programas, e facilitará uma participação mais activa das ONG e PME nos mesmos programas. Determinadas prioridades serão igualmente concretizadas no quadro do plano de acção eLearning;
- o Fundo Social Europeu é o principal instrumento comunitário de financiamento da aprendizagem ao longo da vida. O Fundo Europeu de Desenvolvimento Regional é igualmente um meio importante de financiamento. A Comissão, em colaboração

com os Estados-Membros, velará por que, no que se refere à aprendizagem ao longo da vida, a revisão em 2003 de ambos os instrumentos de financiamento referidos tenha em conta as prioridades identificadas no presente documento. A iniciativa comunitária EQUAL desempenhará também um papel essencial na adopção das novas abordagens em matéria de aprendizagem ao longo da vida;

- o 6.º Programa-quadro de investigação é crucial para criar novas oportunidades com vista a reforçar a investigação em matéria de aprendizagem ao longo da vida, capitalizando os resultados obtidos neste domínio graças a programas anteriores. Esta investigação realizar-se-á sobretudo ao abrigo da Prioridade 7 ('Os cidadãos numa sociedade fundada no conhecimento em mutação')⁶⁷. (As prioridades de investigação e avaliação encontram-se elencadas no Anexo 1).

4.3. Indicadores⁶⁸

É essencial dispor de informações comparáveis e de dados indicadores estatísticos para desenvolver e adoptar estratégias coerentes e globais de aprendizagem ao longo da vida. As estatísticas e indicadores constituem já parte essencial das iniciativas existentes no domínio da aprendizagem ao longo da vida com vista a avaliar os progressos no que respeita à prossecução dos objectivos definidos e à implementação dos objectivos políticos.

Encontram-se já disponíveis alguns indicadores-chave. A Comunicação de 2001 sobre Indicadores Estruturais⁶⁹ propõe três indicadores relacionados com a aprendizagem ao longo da vida. Prendem-se com⁷⁰ o investimento, a participação e o abandono prematuro da escolaridade. Além destes, outros cinco indicadores⁷¹ definem medidas para medir os progressos em três dos domínios de acção prioritários supramencionados: *investir tempo e dinheiro na aprendizagem*, *competências de base* e *pedagogias inovadoras* (eLearning⁷² é particularmente relevante para esta prioridade).

Estão actualmente a ser desenvolvidos indicadores suplementares⁷³ no contexto da estratégia europeia para o emprego, da Agenda Social Europeia⁷⁴, da Comunicação sobre a qualidade no trabalho⁷⁵ e do acompanhamento do relatório sobre os objectivos concretos. Além disso, a *Task Force* sobre a medição da aprendizagem ao longo da vida⁷⁶ definiu um quadro global com vista a alargar as informações estatísticas no domínio da aprendizagem ao longo da vida e lançou um processo tendo em vista a revisão das metodologias estatísticas para identificar as fontes adicionais neste domínio, as quais devem ser desenvolvidas a nível da UE a curto e a médio prazo. Na sequência de uma consulta a 36 países europeus⁷⁷, foram identificadas áreas para desenvolver indicadores em matéria de qualidade aprendizagem ao longo da vida. O grupo 'Indicadores' do Comité para o Emprego procura igualmente desenvolver indicadores comuns destinados a acompanhar a implementação das orientações ao abrigo da Estratégia Europeia para o Emprego.

O desenvolvimento de um conjunto limitado de novos indicadores deverá assentar na abordagem que privilegia o aprendente no contexto da aprendizagem formal, não formal e informal. Estes trabalhos procurarão em particular colmatar lacunas existentes em vários domínios da aprendizagem ao longo da vida, recolhendo informações quantitativas directamente junto dos aprendentes. Encorajam igualmente o desenvolvimento de fontes de informações qualitativas, designadamente nos

domínios da avaliação e do reconhecimento, da informação, da orientação e consultoria, assim como da formação de docentes e formadores⁷⁸ Procuram garantir a complementaridade em relação ao desenvolvimento de indicadores sobre empregabilidade, adaptabilidade e inclusão social, na perspectiva da Estratégia Europeia para o Emprego e da Agenda da Política Social europeia.

A coordenação e a coerência relativamente ao desenvolvimento de novos indicadores serão, em princípio objecto de supervisão pela rede de grupos de peritos constituída para assegurar o acompanhamento do Relatório sobre os Objectivos Concretos dos Sistemas de Educação e Formação. Os sub-grupos desempenharão também um papel valioso na identificação de boas práticas, a divulgar no seio dos Estados-Membros.

Convidam-se os Estados-Membros e outros países europeus a apoiar estes trabalhos. Em particular, no contexto da sua cooperação no quadro do Sistema Estatístico Europeu (ESS), os Estados-Membros e os outros países europeus deveriam procurar otimizar a comparatividade dos seus indicadores e sistemas estatísticos. Para desenvolver novos indicadores, a Comissão inspirar-se-á nas fontes nacionais e internacionais existentes, nomeadamente em colaboração com a OCDE. Tal como as outras fontes disponíveis, as fontes e estruturas existentes no ESS serão exploradas ao máximo, nomeadamente pelo grupo de trabalho "estatísticas sobre a educação e formação", incumbido dos aspectos técnicos.

4.4. Aproveitar o impulso

A criação de um espaço europeu de aprendizagem ao longo da vida deverá ser apoiada por formas inovadoras de parceria, cooperação e coordenação a todos os níveis entre os intervenientes. A consulta em larga escala sobre o Memorando providenciou a oportunidade para a constituição, pela primeira vez, de uma panóplia completa de estruturas de coordenação e consulta. Estas representam o espectro dos sectores e dos interesses de aprendizagem ao longo da vida não apenas à escala europeia, mas também nos Estados-Membros, nos Estados do EEE e nos países candidatos, bem como à escala regional, no seio das ONG europeias ou entre as mesmas, a nível de outros representantes da sociedade civil e dos parceiros sociais. A Comissão propõe que, em conformidade com o seu Livro Branco sobre a Governança, estas estruturas inovadoras e dinâmicas sirvam a todos os níveis de plataforma para garantir que se prossiga na senda deste impulso despoletado na sequência do Memorando:

- A elaboração de uma política à escala europeia e a coordenação das políticas nacionais implica a criação de um grupo de alto nível de representantes experimentados oriundos dos ministérios responsáveis pela aprendizagem ao longo da vida. Este grupo contribuirá para garantir além disso a complementaridade das medidas adoptadas no domínio da aprendizagem ao longo da vida, inclusive a implementação do programa de trabalho sobre o acompanhamento do Relatório sobre os Objectivos Concretos dos Sistemas de Educação e Formação, em conjunto com processos, estratégias e planos correlatos a nível europeu. As suas incumbências deverão alargar-se a todos os aspectos da aprendizagem ao longo da vida (escolas, ensino superior, educação de adultos, formação profissional, aprendizagem dos jovens em contexto não formal, etc.). O grupo de coordenadores nacionais em matéria de aprendizagem ao longo da vida, constituído aquando da

consulta pã-europeia, e os sub-grupos instituídos no quadro do acompanhamento do Relatório sobre os Objectivos Concretos, deveriam prestar assistência.

- Os Estados-Membros, os países do EEE e os países candidatos deveriam prolongar e, sempre que necessário, reforçar e alargar as estruturas de coordenação interministeriais existentes para promover a coerência intrínseca da política. Em geral, as redes de consulta sobre a aprendizagem ao longo da vida deveriam ser aprofundadas a todos os níveis (nacional, regional ou local) para apoiar a execução.
- A Comissão intensificará a sua consulta dos parceiros sociais no domínio da aprendizagem ao longo da vida. Aliás, a Comissão acolhe favoravelmente todas as reflexões e contributos dos parceiros sociais sobre as prioridades definidas na presente comunicação, no quadro do processo de diálogo social.
- A Comissão desenvolverá igualmente a plataforma de consulta existente com a sociedade civil e as ONG competentes em matéria de aprendizagem ao longo da vida. Assegurar-se-á de que a composição desta plataforma de consulta é suficientemente representativa dos vários intervenientes, bem como dos grupos ameaçados de exclusão.
- As plataformas de trabalho providenciadas pelo fórum europeu sobre transparência, o fórum europeu sobre qualidade e o fórum europeu sobre orientação deveriam definir o âmbito das suas áreas respectivas com vista a uma colaboração futura.
- A Comissão encorajará o Cedefop, Eurydice e FEF a intensificar a cooperação existente no domínio da aprendizagem ao longo da vida, em particular para participar no desenvolvimento de uma base de dados sobre aprendizagem ao longo da vida (cf. secção 4.1).
- A Comissão continuará a cooperar activamente com organizações internacionais como a OCDE, o Conselho da Europa e a UNESCO no quadro do desenvolvimento da política de aprendizagem ao longo da vida.

5. PRÓXIMAS ETAPAS

As próximas etapas para tornar o espaço europeu de aprendizagem ao longo da vida uma realidade serão as seguintes:

- a análise e a discussão do presente documento pelo Parlamento Europeu, o Comité Económico e Social e o Comité das Regiões, após o que cada instituição emitirá um parecer;
- a aprovação dos princípios gerais e das propostas contidos na presente Comunicação e da abordagem sugerida no domínio da aprendizagem ao longo da vida pelo Conselho (Conselho "Educação" e "Juventude" e Conselho "Emprego e Política Social"), sob a égide da presidência espanhola;

- o contributo da Comissão para o tema no Conselho da Primavera, a realizar em Barcelona, de 15 a 16 de Março de 2002;
- a Comissão apresentará um relatório ao Conselho Europeu e ao Parlamento Europeu sobre os progressos no sentido da concretização da aprendizagem ao longo da vida até ao final de 2003.

ANEXO I: PROPOSTAS EM MATÉRIA DE INVESTIGAÇÃO E AVALIAÇÃO (ATÉ AO FINAL DE 2003)

- A Comissão proporá que sejam efectuadas mais investigações sobre as vantagens, os custos e o retorno dos investimentos consagrados à aprendizagem, a partir da investigação em curso⁷⁹, com o apoio do 6º programa-quadro de investigação⁸⁰.
- A Comissão proporá que as investigações e experiências levadas a cabo sobre os modos de aquisição dos conhecimentos no contexto da aprendizagem formal, não formal e informal bem como sobre as modalidades de utilização das TIC nestes processos, sejam financiadas ao abrigo do 6º programa-quadro de investigação, por intermédio dos programas Leonardo da Vinci, Socrates e Juventude e das acções piloto de e-Learning, do programa "tecnologias da sociedade da informação"⁸¹ (TSI) e da iniciativa EQUAL. Esta medida deveria contribuir para dar um impulso à adopção de abordagens pedagógicas eficazes, destinadas a vários grupos de aprendentes, nomeadamente os grupos sub-representados⁸².
- A Comissão realizará um estudo de viabilidade sobre a adopção de um quadro para o registo dos níveis dos investimentos públicos e privados na aprendizagem ao longo da vida, a nível nacional, regional e empresarial, com vista a melhorar a transparência. Este estudo assentará nos dados transmitidos regularmente, por exemplo sobre a repartição dos recursos entre a aprendizagem formal, não formal e informal, e entre vários sectores de oferta da aprendizagem (repartição por sexo, grupo etário, níveis de educação precedentes e grupos destinatários).
- Em cooperação com os parceiros sociais a nível europeu, a Comissão lançará um inquérito sobre a aprendizagem nas PME, com especial incidência na aprendizagem não formal e informal, incluindo os aspectos da qualidade e dos resultados.
- A Comissão apoiará a realização de uma avaliação, baseada em estudos casuísticos, que incidirá sobre os factores susceptíveis de conferir um carácter sustentável e eficaz às parcerias de aprendizagem ao longo da vida.
- A Comissão lançará ainda um estudo de viabilidade sobre uma abordagem comunitária da realização de um inquérito sobre as competências de base e a literacia dos adultos, a realizar numa base periódica.
- A Comissão avaliará os mecanismos existentes que conferem aos indivíduos o acesso às competências de base e/ou à aprendizagem ao longo da vida, bem como o seu impacto sobre a participação nas oportunidades de aprendizagem.
- Com base em elementos concretos⁸³, a Comissão identificará os entraves à participação na aprendizagem ao longo da vida, que se colocam aos grupos sub-representados (óbices ligados aos recursos ou de ordem financeira, incluindo a falta de serviços de guarda de crianças, de meios de transporte ou de acesso a suportes de aprendizagem) e os factores-chave que contribuem para remover estes óbices.

- Além das propostas mencionadas, a Comissão concederá o seu apoio a investigações mais vastas no domínio da aprendizagem ao longo da vida, inclusive graças ao programa "tecnologias da sociedade da informação" no âmbito do 6º programa-quadro de investigação.

ANEXO II: GLOSSÁRIO

O presente glossário explicita determinados conceitos de base utilizados na presente comunicação

cidadania activa

a participação na vida cultural, económica, política/democrática e/ou social dos cidadãos na sociedade como um todo e na sua comunidade

adaptabilidade⁸⁴

a capacidade para se adaptar às novas tecnologias, às novas condições do mercado de trabalho e às novas modalidades de trabalho das empresas e dos trabalhadores no seio das mesmas

avaliação

termo genérico que engloba o conjunto dos métodos utilizados para apreciar/julgar o desempenho de um indivíduo ou de um grupo

certificado/diploma

documento oficial que atesta formalmente o nível de qualificação atingido por um indivíduo

certificação

o processo de emissão de certificados ou diplomas que atestam formalmente o nível de qualificação atingido por um indivíduo

sociedade civil

'sector terciário' da sociedade, distinto do Estado e do mercado, constituído por instituições, grupos e associações (estruturadas ou informais) susceptíveis de exercer uma função de mediação entre os poderes públicos e os cidadãos⁸⁵

aprendizagem compensatório

provisão de aprendizagem que deveria ter sido adquirida no quadro da escolaridade obrigatória

competência

capacidade para utilizar eficazmente a experiência, os conhecimentos e as qualificações

responsabilidade civil

o empenho de uma empresa em operar de forma sustentável nos planos social, económico e ambiental, tendo em conta os interesses dos intervenientes internos e externos

abismo digital

separação entre aqueles que podem ter acesso às tecnologias da informação e da comunicação (TIC) e utilizá-las eficazmente e aqueles aos quais esse acesso se encontra vedado

literacia digital

capacidade para utilizar eficazmente as TIC

eLearning

acção de aprendizagem recorrendo às TIC

empregabilidade⁸⁶

capacidade do indivíduo para manter um emprego, prende-se não apenas com a adequação dos seus conhecimentos e competências, mas também com as motivações e oportunidades oferecidas aos indivíduos para procurar emprego

participação activa

o processo que consiste em investir os indivíduos do poder de assumir iniciativas responsáveis com vista a determinar a sua própria vida e a da sua comunidade ou sociedade em termos económicos, sociais e políticos

governança europeia

a administração dos assuntos europeus, passando pela interacção das autoridades políticas tradicionais e da 'sociedade civil': partes interessadas no sector privado, organizações públicas e cidadãos

aprendizagem formal

aprendizagem tradicionalmente dispensada por um estabelecimento de ensino ou de formação, estruturada (em termos de objectivos, duração e recursos), conducente à certificação. É intencional do ponto de vista do aprendente

orientação

leque de actividades concebidas para assistir os indivíduos na tomada de decisões sobre a sua vida (em matéria de educação, formação, realização pessoal) e na implementação das mesmas

identificação (de competências)

processo que consiste em delimitar o âmbito e a natureza das competências

aprendizagem informal

aprendizagem decorrente das actividades da vida quotidiana, relacionadas com o trabalho, a família ou o lazer. Não é estruturada (em termos de objectivos, duração e

recursos) e tradicionalmente não conduz à certificação. Pode ser intencional mas, na maioria dos casos, não o é (carácter 'fortuito'/aleatório)

aprendizagem inter-geracional

aprendizagem que se processa por intermédio da transferência de experiências, conhecimentos ou competências, de uma geração para outra

sociedade baseada no conhecimento (ou sociedade do conhecimento)

sociedade cujos processos e práticas assentam na produção, divulgação e utilização dos conhecimentos

comunidade de aprendizagem

comunidade que promove em larga escala uma cultura da aprendizagem, desenvolvendo uma cooperação eficaz entre todos os seus intervenientes e que apoia e motiva a participação dos indivíduos e das organizações na aprendizagem

mediador de aprendizagem

todo o indivíduo que facilita a aquisição de conhecimentos e competências, criando um contexto propício à aprendizagem, inclusive docentes, formadores e orientadores. O mediador orienta o aprendiz, fornecendo-lhe directrizes, respostas e aconselhamento ao longo do processo de aprendizagem, além de prestar assistência no processo de desenvolvimento dos conhecimentos e das competências

organização de aprendizagem

toda a organização que encoraja a aprendizagem a todos os níveis (individuais ou colectivos) e que evolui continuamente na sequência do processo de aprendizagem

região de aprendizagem

região na qual todos os intervenientes colaboram a fim de suprir as necessidades locais específicas em matéria de aprendizagem e adoptam soluções conjuntas para problemas comuns

aprendizagem ao longo da vida (lifelong)

toda a actividade da aprendizagem ao longo da vida, com o objectivo de melhorar os conhecimentos, as qualificações e as competências numa perspectiva pessoal, cívica, Social e/ou relacionada com o emprego

aprendizagem em todas as esferas da vida (lifewide)

Toda a gama de actividades de aprendizagem formal, não formal ou informal

aprendizagem não formal

aprendizagem não dispensada por um estabelecimento de ensino ou de formação, que não conduz tradicionalmente à certificação. É, todavia, estruturada (em termos de objectivos, duração e recursos). É intencional do ponto de vista do aprendente

reconhecimento das competências

1) processo global que consiste em conferir um estatuto oficial às competências, obtidas (fala-se então de *reconhecimento formal*)

- formalmente (através da emissão de certificados) ou

- num contexto não formal ou informal (concedendo a equivalência ou unidades de crédito ou validando as competências adquiridas);

e/ou

2) o reconhecimento do valor das competências pelas entidades económica ou socialmente competentes (fala-se então de *reconhecimento social*)

inclusão social

sempre que os indivíduos podem participar plenamente na vida económica, social e civil, aceder de forma suficiente aos rendimentos e outros recursos (de ordem pessoal, familiar, social e cultural) para poderem beneficiar de um nível e de uma qualidade de vida reputados aceitáveis pela sociedade a que pertencem, e podem beneficiar integralmente dos seus direitos fundamentais

valorização da aprendizagem

processo de reconhecimento da participação na aprendizagem (formal, não formal ou informal) e dos resultados obtidos, tendo em vista a sensibilização para o seu valor intrínseco e a acreditação da aprendizagem.

¹ Fonte: Inquérito às forças de trabalho, 2000

² “The well-being of nations: the role of human and social capital” (p. 33) Tom Healy, Sylvian Côté; OCDE, 2001.

³ Para a maioria dos Estados-Membros, a taxa de participação constante do IFT refere-se à participação na educação e na formação das pessoas com idades compreendidas entre os 25 e os 64 anos previamente ao inquérito. Não obstante, para Portugal, a França e os Países Baixos, os dados só são recolhidos se a participação estiver em curso no momento do inquérito.

⁴ Fonte: OCDE; despesas directas e indirectas de fontes públicas ou privadas nos estabelecimentos de ensino, 1998.

⁵ Conclusões do Conselho Europeu de Feira, n.º 33.

⁶ Decisão do Conselho 'Educação' de 20 de Dezembro de 2001 sobre uma estratégia de aprendizagem ao longo da vida (97/C 7/02).

⁷ Encontram-se disponíveis os relatórios de síntese e de análise das respostas dos Estados-Membros, dos países do EEE, dos países candidatos e da sociedade civil.

⁸ Decisão do Conselho 'Educação' de 14 de Fevereiro de 2001, com base numa proposta da Comissão (COM(2001) 59 final). O Relatório relativo aos Objectivos Concretos dos Sistemas de Educação e Formação foi aprovado pelo Conselho Europeu de Estocolmo em Março de 2001.

⁹ Comunicação da Comissão: Projecto de programa de trabalho pormenorizado para o seguimento do relatório relativo aos objectivos concretos dos sistemas de educação e formação. COM(2001) 501 final.

¹⁰ Conclusões do Conselho Europeu de Estocolmo, nº 11.

¹¹ Em conformidade com o Tratado de Amsterdão, que introduz um novo título sobre o emprego, esta estratégia assenta em prioridades temáticas, agrupadas em quatro pilares e descritas nas Orientações para as Políticas de Emprego. Cf. Projecto de Relatório Conjunto sobre o Emprego 2001 COM(2001) 438 final e Orientações para as Políticas de Emprego 2001: Jornal Oficial das Comunidades Europeias L22/18 de 24.1.2001.

¹² O Conselho Europeu de Nice de Dezembro de 2000 aprovou a Agenda Social Europeia (Cf. Comunicação da Comissão ao Conselho, Parlamento Europeu, Comité Económico e Social e Comité das Regiões, COM(2000) 379 final.

¹³ O Conselho Europeu de Estocolmo de Março de 2001 convidou a Comissão a criar uma *task force* de alto nível sobre competências e mobilidade com vista a apresentar um plano de acção no Conselho Europeu que deverá decorrer em Barcelona, em Março de 2002 (Cf. Comunicação da Comissão ao Conselho - 'Novos Mercados de Trabalho Europeus, Abertos a Todos, Acessíveis a Todos, COM(2001)116 final.

¹⁴ No quadro do Plano de Acção eEuropa, a iniciativa eLearning inscreve-se no prolongamento das conclusões do Conselho Europeu de Lisboa. Cf. Comunicação da Comissão eLearning - pensar o futuro da educação, COM(2000) 318 final.

¹⁵ Cf. Comunicação da Comissão: Rumo a um espaço europeu da investigação. COM(2000) 6 final; Comunicação da Comissão: Estratégia de mobilidade no espaço Europeu da investigação (COM(2001) 331 final.

¹⁶ Os países candidatos participaram plenamente no processo de consulta, para o qual deram um contributo significativo. Quando os instrumentos e os processos relevantes assim o permitirem, a participação contínua dos países candidatos será favoravelmente acolhida.

¹⁷ A definição de aprendizagem ao longo da vida constante do Memorando era a seguinte: "toda e qualquer actividade de aprendizagem, com um objectivo, empreendida numa base contínua e visando melhorar conhecimentos, aptidões e competências".

¹⁸ Cf. Glossário (Anexo II).

¹⁹ A edição de 2001 da análise das políticas da educação, realizada pela OCDE, estuda igualmente as características do conceito de aprendizagem ao longo da vida.

²⁰ A Comissão e o Conselho verificaram recentemente que estas estratégias foram adoptadas em cerca de sete Estados-Membros. Relatório Conjunto sobre o Emprego 2001 COM(2001) 438 final.

²¹ Cf. Livro Verde da Comissão sobre a "promoção de um enquadramento europeu para a responsabilidade social das empresa". COM(2001) 366 final.

²² Cf. Objectivo 3.1 do *Seguimento do relatório relativo aos objectivos concretos dos sistemas de educação e formação*: 'Reforçar as ligações com o mundo do trabalho, a investigação e a sociedade em geral'

²³ O termo aprendente 'potencial' é utilizado para designar as pessoas que não podem aprender de forma activa, por exemplo porque o acesso às oportunidades de aprendizagem lhes coloca dificuldades (por exemplo: pessoas deficientes) ou porque já não estão habituadas a aprender (caso dos idosos). Este termo pode também referir-se a pessoas que não exploram os conhecimentos adquiridos no quotidiano no quadro da aprendizagem informal.

²⁴ Ver secção 3.5.

²⁵ O termo mediador de aprendizagem é utilizado ao longo do presente documento referindo-se aos docentes, formadores ou outras pessoas que prestem assistência ao aprendente no contexto da aprendizagem não formal e informal.

²⁶ Cf. Objectivo 1.5 do *Seguimento do relatório relativo aos objectivos concretos dos sistemas de educação e formação*: 'Utilizar os recursos da melhor forma'

²⁷ Cf. Objectivo 2.1 do *Seguimento do relatório relativo aos objectivos concretos dos sistemas de educação e formação*: 'Ambiente de aprendizagem aberto'

²⁸ Cf. Comunicação da Comissão: 'Emprego e políticas sociais: um quadro para investir na qualidade'. COM(2001) 313 final.

²⁹ Cf. Objectivo 2.2 do *Seguimento do relatório relativo aos objectivos concretos dos sistemas de educação e formação*: 'Tornar a aprendizagem atractiva'

³⁰ Esta abordagem é adoptada a nível europeu - cf. Relatório Conjunto sobre o Emprego 2001.

³¹ Cf. Objectivo 2.2 do *Seguimento do relatório relativo aos objectivos concretos dos sistemas de educação e formação*: 'Tornar a aprendizagem atractiva'

³² Recomendação do Parlamento Europeu e do Conselho (2001/613/CE).

³³ Os trabalhos neste domínio deverão incluir as actividades do Fórum Europeu sobre a Transparência das Qualificações e do Fórum Europeu sobre a Qualidade da Formação Profissional.

³⁴ A pertinência desta acção prioritária que incidirá em especial sobre os novos mercados de trabalho europeus será explicitada no próximo plano de acção da Comissão em matéria de competências e mobilidade.

³⁵ Centros nacionais de reconhecimento académico e informação

³⁶ Centros nacionais de recursos para a orientação profissional

³⁷ A pertinência desta acção prioritária que incidirá em especial sobre os novos mercados de trabalho europeus será explicitada no próximo plano de acção da Comissão em matéria de competências e mobilidade.

³⁸ Terá em conta as experiências na sequência do projecto 'Harmonização' (Abril 2001-Junho 2002) e do projecto de acção conjunta 'Construção de pontes entre as qualificações: um sistema de transferência e acumulação de créditos de formação para a aprendizagem ao longo da vida' (Novembro 2001-Fevereiro 2003).

³⁹ A Comissão está igualmente a constituir um site que contém informações sobre a mobilidade e deverá servir de ponto de acesso ao portal sobre as oportunidades de aprendizagem, bem como à base de dados EURES e ao projecto de portal Internet sobre a política da juventude. A pertinência desta acção prioritária que incidirá em especial sobre os novos mercados de trabalho europeus será explicitada no próximo plano de acção da Comissão em matéria de competências e mobilidade. A Comissão está igualmente a constituir um site que contém informações sobre a mobilidade e deverá

servir de ponto de acesso ao portal sobre as oportunidades de aprendizagem, bem como à base de dados EURES e ao projecto de portal Internet sobre a política da juventude. A pertinência desta acção prioritária que incidirá em especial sobre os novos mercados de trabalho europeus será explicitada no próximo plano de acção da Comissão em matéria de competências e mobilidade.

⁴⁰ A pertinência desta acção prioritária que incidirá em especial sobre os novos mercados de trabalho europeus será explicitada no próximo plano de acção da Comissão em matéria de competências e mobilidade.

⁴¹ Orientações para as Políticas de Emprego 2001, por exemplo Orientação n° 3

⁴² A iniciativa "Innovation 2000", adoptada pelo BEI após Lisboa EIB através da elaboração de um programa de empréstimos específico de 12-15 biliões de euros, deveria constituir um apoio substancial à aprendizagem ao longo da vida

⁴³ Vd. Conclusões do Conselho Europeu de Lisboa, n° 26 e Orientações para as Políticas de Emprego 2001, objectivo horizontal sobre a aprendizagem ao longo da vida.

⁴⁴ No decurso do actual período de programação (2000-2006), o Fundo Social Europeu (FSE) deverá contribuir com pelo menos 12 biliões de euros para a promoção da aprendizagem ao longo da vida. Além disso, a iniciativa comunitária EQUAL incluiu a aprendizagem ao longo da vida nas suas oito prioridades temáticas, contando esta prioridade com o segundo orçamento temático mais elevado dos Estados-Membros.

⁴⁵ Orientações para as Políticas de Emprego, Orientação n° 13.

⁴⁶ Por exemplo, investigações realizadas nos Estados-Membros e na OCDE.

⁴⁷ COM(2001) 94 final. Proposta de decisão do Parlamento Europeu e do Conselho relativa ao programa-quadro plurianual 2002-2006 da Comunidade Europeia de acções em matéria de investigação, desenvolvimento tecnológico e demonstração que visa contribuir para a realização do Espaço Europeu da Investigação. Área temática prioritária. 'Cidadãos e governança na sociedade do conhecimento europeia'. Os resultados dos projectos de investigação já financiados pela Comissão ao abrigo do 5º Programa-quadro deveriam ser tidos em conta.

⁴⁸ Com base no relatório da *Task Force* da Comissão incumbida de medir a aprendizagem ao longo da vida, no relatório sobre a qualidade do ensino oficial, no relatório intercalar do grupo de peritos sobre os indicadores da qualidade da aprendizagem ao longo da vida e nos trabalhos do Fórum sobre a qualidade da formação profissional.

⁴⁹ Conclusões do Conselho Europeu de Lisboa, n° 26; Orientações para as Políticas de Emprego 2001; plano de acção eLearning (COM 2001 172 Final), p. 11

⁵⁰ Na EU, existem cerca de 112 milhões de trabalhadores, dos quais 74 milhões nas PME; destes, 38 milhões em empresas que contam com menos de 10 trabalhadores. Fonte: "Empresas na Europa, edição de 2001, Eurostat"

⁵¹ Vd. Terceira linha de acção da Comunicação da Comissão "Auxiliar as PME a entrar na Era Digital" (COM(2001) 136 final)

⁵² Na sequência do pedido formulado nas Conclusões do Conselho Europeu de Lisboa, n° 29.

⁵³ A Comissão estabeleceu ainda, em Setembro de 2001, um grupo de acompanhamento para as TIC, congregando representantes dos Estados-Membros, para analisar e avaliar a procura e a oferta em matéria de competências nas TIC, em função das necessidades da indústria. Vd. <http://europa.eu.int/comm/enterprise/policy/ict-skills.htm>.

⁵⁴ Esta prioridade corresponde exactamente a um dos aspectos identificados no objectivo 1.2 do relatório sobre os objectivos

⁵⁵ Carta dos direitos fundamentais da União Europeia (2000/C 364/01).

⁵⁶ Orientações para as Políticas de Emprego 2001; relatório do ESDIS sobre e-inclusão; grupo de alto nível da Comissão e dos Estados-Membros sobre o emprego e a dimensão social na sociedade da informação.

⁵⁷ Orientações para as Políticas de Emprego 2001, Orientações nº 3 e nº 15; eEurope; iniciativa eLearning (2001/C 204/02) e plano de acção eLearning (COM 2001 172 Final).

⁵⁸ Iniciativa eLearning (2001/C 204/02); plano de acção eLearning (COM 2001 172 Final).

⁵⁹ Estes aspectos serão abordados à escala europeia no contexto do prolongamento do relatório sobre os objectivos. No objectivo 1.5 'Utilizar os recursos da melhor forma', um dos principais aspectos é assim definido: "Apoiar sistemas de avaliação e garantia de qualidade utilizando indicadores e critérios de aferição." - explorar os resultados do processo de Bolonha e do fórum sobre a qualidade da formação profissional.

⁶⁰ Parte do 5º programa-quadro de investigação. Os projectos de investigação do programa IST abordam vários aspectos do domínio da aprendizagem ao longo da vida, nomeadamente as tecnologias, os sistemas e serviços, as infra-estruturas e as aplicações utilizadas no estabelecimentos de ensino, nas universidades, nos contextos da formação e da aprendizagem não formal.

⁶¹ Os resultados dos projectos de investigação já financiados pela Comissão ao abrigo do 5º Programa-quadro deveriam ser tidos em conta.

⁶² Nos termos do disposto no artigo 149º do Tratado, “a Comunidade contribuirá para o desenvolvimento de uma educação de qualidade, incentivando a cooperação entre Estados-Membros e, se necessário, apoiando e completando a sua acção, respeitando integralmente a responsabilidade dos Estados-Membros pelo conteúdo do ensino e pela organização do sistema educativo...”.

⁶³ Cf. Tratado, artigo 150º.

⁶⁴ Cf. Tratado, artigo 125º.

⁶⁵ Encontra-se disponível um documento que contém exemplos de práticas de aprendizagem ao longo da vida em vários países europeus, bem como informações pormenorizadas sobre vários indicadores na matéria (documento de trabalho da Comissão "Práticas e indicadores sobre a aprendizagem ao longo da vida").

⁶⁶ A implementação das actividades a prosseguir a nível comunitário no quadro da aprendizagem ao longo da vida será financiada graças a programas e processos já propostos ou adoptados, não implicando, por conseguinte, recursos adicionais(financeiros ou humanos) neste estádio.

⁶⁷ As investigações em matéria de educação e formação serão essencialmente adoptadas no quadro do 7º domínio prioritário ("Os cidadãos numa sociedade fundada no conhecimento em mutação"); o acesso à educação e formação faz igualmente parte das prioridades de investigação, sob o tema "sociedade europeia do conhecimento".

⁶⁸ Encontra-se disponível um documento que contém exemplos de práticas de aprendizagem ao longo da vida em vários países europeus, bem como informações pormenorizadas sobre vários indicadores na matéria (documento de trabalho da Comissão "Práticas e indicadores sobre a aprendizagem ao longo da vida").

⁶⁹ Comunicação da Comissão sobre Indicadores Estruturais, que apresenta 35 indicadores a utilizar no relatório de síntese COM(2001) 619. Cf. igualmente COM(2000) 594.

⁷⁰ Despesas públicas consagradas à educação em percentagem do PIB, fonte: Unesco-OCDE-Eurostat UOE., Percentagem da população com idades compreendidas entre os 25 e os 64 anos que participa na educação e formação, fonte: Inquérito às forças de trabalho (IFT); Proporção de pessoas com idades compreendidas entre os 18 e os 24 anos cujo nível de escolaridade não ultrapassa o ensino secundário inferior e que não seguem uma aprendizagem ou formação, fonte: Inquérito às forças de trabalho (IFT).

⁷¹ Proporção que representam para as empresas os custos da educação/formação em relação ao total das despesas, fonte: Inquérito sobre a formação profissional contínua (CVTS); parte dos orçamentos dos agregados familiares consagrada à educação, fonte: Inquérito sobre os orçamentos dos agregados familiares(HBS); participação na educação/formação por área de estudos, fonte: UOE; aprendizagem nas empresas por método de aprendizagem (CVTS); número médio de alunos por computador em linha nas escolas, fonte: Eurobarómetro.

⁷² eLearning, fonte: Comunicação de 2001 sobre Indicadores Estruturais COM (2001) 619.

⁷³ Para informações técnicas pormenorizadas sobre os indicadores em matéria de aprendizagem ao longo da vida, consulte-se o documento de trabalho dos serviços da Comissão: "Práticas e indicadores sobre a aprendizagem ao longo da vida".

⁷⁴ O sub-grupo 'Indicadores' do Comité 'Protecção Social' está a preparar um relatório para o Conselho Europeu de Laeken, que contém uma lista de indicadores consensualmente acordados sobre inclusão social.

⁷⁵ COM(2001) 313 de 20.6.2001 - "Emprego e políticas sociais: um quadro para investir na qualidade"

⁷⁶ Cf. relatório da *Task Force* e acta da conferência de Parma sobre a avaliação da educação e da formação ao longo da vida no site: http://forum.europa.eu.int/Public/irc/dsis/ceies/library?l=/seminars/measuring_lifelong&vm=detailed&sb=Title

⁷⁷ Foi apresentado um relatório (a publicar dentro em breve) na Conferência de Riga, que decorreu em 28 e 29 de Junho de 2001.

⁷⁸ As questões chave, que se aplicam tanto aos indicadores qualitativos como aos indicadores quantitativos são as seguintes: modo de aprendizagem dos indivíduos; domínios de aprendizagem; motivação, obstáculos e eficácia. As três etapas principais são a preparação do módulo ad hoc para 2003 sobre a formação dos adultos, o inquérito sobre a educação de adultos proposto pela Comissão e previsto para 2005, bem como um terceiro inquérito a realizar sobre a formação na empresa (CVTS). A Comissão velará pela harmonização de vários outros inquéritos, com o objectivo de adoptar um sistema coerente de recolha de dados.

⁷⁹ Por exemplo, investigação realizada pelos Estados membros ou pela OCDE.

⁸⁰ COM(2001) 94 final. Proposta de decisão do Parlamento Europeu e do Conselho relativa ao programa-quadro plurianual 2002-2006 da Comunidade Europeia de acções em matéria de investigação, desenvolvimento tecnológico e demonstração que visa contribuir para a realização do Espaço Europeu da Investigação. Área temática prioritária.' Cidadãos e governança na sociedade do conhecimento europeia'. Os resultados dos projectos de investigação já financiados pela Comissão ao abrigo do 5º Programa-quadro deveriam ser tidos em conta.

⁸¹ Parte do 5º programa-quadro de investigação. Os projectos de investigação do programa IST abordam vários aspectos do domínio da aprendizagem ao longo da vida, nomeadamente as tecnologias,

os sistemas e serviços, as infra-estruturas e as aplicações utilizadas no estabelecimentos de ensino, nas universidades, nos contextos da formação e da aprendizagem não formal.

⁸² Os resultados dos projectos de investigação já financiados pela Comissão ao abrigo do 5º Programa-quadro deveriam ser tidos em conta.

⁸³ Por exemplo, o estudo dos estraves que obstam à participação dos adultos no ensino superior, realizado no contexto do programa-quadro de investigação.

⁸⁴ Cf. Comunicação da Comissão aprovada na Cimeira Extraordinária do Emprego, que lançou a estratégia europeia para o emprego:
http://europa.eu.int/comm/employment_social/elm/summit/en/papers/guide.htm

⁸⁵ Cf. definição elaborada pelo ECOSOC no seu Parecer de 22 de Setembro de 1999, que será utilizada em futuras orientações sobre consulta e diálogo com a sociedade civil (na sequência do Livro Branco sobre a Governança Europeia): Jornal Oficial das Comunidades Europeias (1999/C329/10)

⁸⁶ Cf. Comunicação da Comissão aprovada na Cimeira Extraordinária do Emprego, que lançou a estratégia europeia para o emprego:
http://europa.eu.int/comm/employment_social/elm/summit/en/papers/guide.htm



COMISSÃO DAS COMUNIDADES EUROPEIAS

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**COMUNICAÇÃO DA COMISSÃO AO CONSELHO, AO PARLAMENTO
EUROPEU, AO COMITÉ ECONÓMICO E SOCIAL EUROPEU E AO COMITÉ DAS
REGIÕES**

“i2010 –Uma sociedade da informação europeia para o crescimento e o emprego”

{SEC(2005) 717}

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(Texto relevante para efeitos do EEE)

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1. INTRODUÇÃO

Ao lançar a parceria para o crescimento e o emprego como recomeço da estratégia de Lisboa, o Conselho Europeu da Primavera de 2005 classificou o conhecimento e a inovação como os motores do crescimento sustentável e declarou ser essencial construir uma sociedade da informação totalmente inclusiva, baseada na utilização generalizada das tecnologias da informação e das comunicações (TIC) nos serviços públicos, nas PME e a nível doméstico.

As tecnologias da informação e das comunicações são um poderoso motor de crescimento e emprego. Um quarto do crescimento do PIB da União Europeia e 40% do crescimento da produtividade devem-se às TIC. As diferenças de desempenho económico entre os países industrializados explicam-se, em grande medida, pelo nível de investimento, de investigação e de utilização das TIC e pela competitividade das empresas ligadas à sociedade da informação e aos *media*¹. Os serviços, as competências, os *media* e os conteúdos TIC representam uma parte crescente da economia e da sociedade.

Nos últimos anos, as TIC evoluíram a um ritmo acelerado, estando prestes a atingir o limiar do crescimento explosivo no que respeita à sociedade da informação e aos *media*, graças à generalização das comunicações rápidas, que ligam múltiplos aparelhos. Os conteúdos tradicionais (filmes, vídeo, música) encontram-se agora disponíveis em formatos digitais e assiste-se à emergência de novos serviços “digitais à nascença”, como o software interactivo. A **convergência digital de serviços, redes e equipamentos ligados à sociedade da informação e aos *media*** está finalmente a tornar-se uma realidade do dia-a-dia: as TIC ganharão em inteligência, miniaturização, segurança, rapidez e facilidade de utilização, garantindo uma ligação permanente, e os conteúdos evoluirão para formatos multimedia tridimensionais.

Impõe-se a adopção de políticas proactivas para responder às profundas mudanças tecnológicas. A convergência digital exige uma **convergência de políticas** e a vontade de adaptar os enquadramentos regulamentares quando necessário, para os tornar coerentes com a economia digital emergente.

A Comissão propõe um novo **quadro estratégico, i2010 – Sociedade Europeia da Informação 2010 - que define as grandes orientações políticas**. Esse quadro promove uma economia digital aberta e concorrencial e coloca a tónica nas TIC enquanto factor de inclusão e de qualidade de vida. Pilar da estratégia renovada de Lisboa para o

¹ Os sectores dos serviços da sociedade da informação e dos *media* já foram descritos no Livro Verde de 1998 relativo à convergência dos sectores das telecomunicações, dos meios de comunicação social e das tecnologias da informação e às suas implicações na regulamentação - Para uma abordagem centrada na sociedade da informação - COM(97) 623 - e, tomando em conta os novos desenvolvimentos, na Comunicação de 2003 sobre o futuro da política europeia de regulação audiovisual - COM(2003) 784. Estes serviços reflectem a convergência a que agora se assiste entre serviços de comunicações electrónicas, serviços da sociedade da informação e serviços de radiodifusão e a consequente emergência de novos serviços de conteúdos.

crescimento e o emprego, a iniciativa i2010 **pautar-se-á por uma abordagem integrada das políticas da sociedade da informação e do audiovisual na UE.**

Baseando-se numa análise global dos desafios da sociedade da informação e nas amplas consultas às partes interessadas sobre iniciativas e instrumentos anteriores², a Comissão propõe três prioridades para as políticas europeias da sociedade da informação e dos *media*:

- i) a criação de um **espaço único europeu da informação**, que promova um mercado interno dos serviços da sociedade da informação e de *media* aberto e concorrencial;
- ii) o reforço da **inovação e do investimento** em investigação na área das TIC, com vista a promover o crescimento e a criação de mais e melhores empregos;
- iii) a realização de uma **sociedade da informação europeia inclusiva**, que promova o crescimento e o emprego de um modo compatível com o desenvolvimento sustentável e que dê prioridade à melhoria dos serviços públicos e da qualidade de vida.

As secções seguintes traçam os objectivos da iniciativa i2010 e as principais actividades previstas, as quais se integram plena e coerentemente no novo ciclo de governação de Lisboa.

2. UM ESPAÇO ÚNICO EUROPEU DA INFORMAÇÃO

A sociedade da informação encontra-se num momento de viragem: os progressos tecnológicos recentes são enormes e as TIC estão a entrar numa fase de implantação em massa, que pode alterar radicalmente o nosso modo de trabalhar, viver e interagir. Começam a estar disponíveis conteúdos multimédia ricos, em formatos novos e diversificados, que podem ser entregues a qualquer hora e em qualquer local, moldados às preferências ou necessidades de cada cidadão. Em termos técnicos, as redes de comunicações, os *media*, os conteúdos, os serviços e os aparelhos estão em plena convergência digital. As melhorias nas redes, aliadas às novas técnicas de compressão, criam novos canais de distribuição, mais rápidos, e fazem surgir novos formatos de conteúdos e novos serviços (por exemplo, Voice over IP (comunicação vocal através do Protocolo Internet), Web TV e música em linha).

A criação de novos conteúdos, serviços e modelos de actividade económica está a contribuir para o crescimento e o emprego. Por exemplo, prevê-se que os mercados dos conteúdos em linha da Europa Ocidental tripliquem até 2008 (e que a parte do consumo decuplique)³. Estes desenvolvimentos multiplicar-se-ão previsivelmente em todo o sector, que hoje já representa 8% do PIB da UE. No entanto, o impacto da convergência digital sentir-se-á em todo o mundo e conduzirá ao aumento da concorrência a nível

² A saber, as iniciativas eEurope e a Comunicação sobre o futuro da política europeia de regulação audiovisual, COM(2003) 784.

³ Observatório Europeu das Tecnologias da Informação (OETI) 2005.

internacional. Para que a Europa beneficie inteiramente do seu potencial económico, é necessária uma **abordagem política proactiva** que estimule a evolução favorável dos mercados e promova a sociedade do conhecimento (aprendizagem ao longo da vida, criatividade e inovação), a protecção do consumidor e uma sociedade da informação europeia saudável e segura.

A criação de um espaço único europeu da informação deve, à partida, procurar dar resposta a quatro grandes desafios colocados pela convergência digital:

- **velocidade:** serviços de banda larga de débito mais elevado na Europa para a entrega de conteúdos ricos, como vídeo de alta definição;
- **conteúdos ricos:** maior segurança jurídica e económica para encorajar o surgimento de novos serviços e conteúdos em linha;
- **interoperabilidade:** aperfeiçoar os aparelhos e as plataformas que “dialogam entre si” e os serviços que admitem a portabilidade entre plataformas;
- **segurança:** proteger mais a Internet contra a fraude, os conteúdos nocivos e as falhas técnicas, de modo a aumentar a confiança dos investidores e dos consumidores.

Objectivo 1: Um espaço único europeu da informação que ofereça comunicações de elevada largura de banda, seguras e a um preço acessível, conteúdos ricos e diversificados e serviços digitais.

A convergência digital exige **um sistema coerente de regras para a sociedade da informação e os media**. Neste domínio, o mercado interno rege-se por um vasto conjunto de regras que abrangem, por exemplo, os meios audiovisuais, a televisão digital, as operações financeiras em linha, os direitos de propriedade intelectual e medidas de apoio à criação e à circulação de conteúdos europeus. Parte da regulamentação (como, por exemplo, a Directiva relativa ao comércio electrónico) é recente e tem em conta a convergência digital. Outra parte, nomeadamente a Directiva “Televisão sem Fronteiras”, deve ser revista. A Comissão propõe-se rever as regras que afectam a economia digital com vista a dar-lhes um cunho mais coerente e orientado para as realidades económicas e tecnológicas. No concreto, a Comissão fará o seguinte:

- até ao final de 2005, proporá uma revisão da Directiva ‘Televisão sem Fronteiras’ com o objectivo de modernizar as regras relativas aos serviços audiovisuais;
- até 2007, e já examinado o acervo comunitário que afecta os serviços da sociedade da informação e de *media*, a Comissão apresentará propostas de alteração do que for necessário.

Através de políticas complementares promover-se-á a **implementação rápida e eficaz** dos quadros regulamentares actualizados e continuará a ser dado apoio à criação e à circulação de **conteúdos e conhecimentos europeus**⁴.

A regulamentação das comunicações electrónicas sofreu transformações na última década. O quadro regulamentar europeu das comunicações electrónicas, em vigor desde 2003, constitui um exemplo de melhores práticas. Nos casos em que foi implementado efectiva e coerentemente, contribuiu para instaurar a concorrência, encorajando a descida dos preços e o investimento. A regulamentação deve acompanhar o ritmo da evolução tecnológica e do mercado. Por conseguinte, na avaliação do quadro regulamentar que será efectuada em 2006, a Comissão examinará aprofundadamente os seus princípios e modo de aplicação, em especial os casos em que existem obstáculos à oferta de **serviços de banda larga mais rápidos, mais inovadores e mais competitivos**.

As novas aplicações de elevado débito e sem fios estão a fazer aumentar a procura de **radiofrequências**⁵. A política é facilitar o acesso ao espectro em toda a UE através dos mecanismos do mercado, o que será apoiado pela cessação progressiva da televisão terrestre analógica, cujo fim definitivo está previsto para 2012. A Comissão consolidará as suas propostas definindo, **em 2005, uma estratégia para a gestão eficaz do espectro**, a qual será implementada quando se proceder à revisão do quadro das comunicações electrónicas em 2006.

A convergência digital exige aparelhos, plataformas e serviços **interoperáveis**. A Comissão tenciona utilizar todos os instrumentos ao seu dispor para impulsionar as tecnologias que “comunicam” entre si, através da investigação, da promoção de normas abertas, do apoio ao diálogo entre os interessados e, se necessário, de instrumentos vinculativos. Esta combinação de políticas foi a base do êxito da telefonia móvel na Europa. No âmbito da iniciativa i2010, a Comissão procurará igualmente estabelecer **uma abordagem abrangente para a gestão eficaz e interoperável dos direitos digitais**.

A **existência de tecnologias da informação e das comunicações (TIC) de confiança, seguras e fiáveis** é crucial para uma aceitação ampla dos serviços digitais convergentes. No decurso de 2006, a Comissão proporá uma **estratégia para uma sociedade da informação segura** que conjugue e actualize os instrumentos disponíveis, incluindo a sensibilização para a necessidade de auto-protecção, vigilância e monitorização das ameaças e de resposta rápida e eficaz a ataques e falhas no sistema. Será dado apoio à investigação orientada para a integração da segurança na concepção e às medidas de implantação que testem soluções para questões fundamentais como a gestão da identidade. Se necessário, equacionar-se-á a revisão da regulamentação, por exemplo, no que toca à protecção da privacidade, às assinaturas electrónicas ou ao desincentivo aos conteúdos ilícitos e nocivos.

⁴ Através dos programas MEDIA, eLearning e eContent e seus sucessores.

⁵ Caso das redes de banda larga móveis, das redes sem fios locais e alargadas (WiFi & WiMax) e da TV digital.

Sintetizando, a agenda da iniciativa i2010 para o espaço único europeu da informação acelerará os dividendos económicos da convergência digital através das seguintes medidas:

Revisão do quadro regulamentar das comunicações electrónicas (2006), incluindo a definição de uma estratégia eficaz para a gestão do espectro (2005).

Criação de um quadro coerente dentro do mercado interno para os serviços da sociedade da informação e de media

- modernizando o quadro jurídico dos serviços audiovisuais, começando pela apresentação, em 2005, de uma proposta da Comissão de revisão da Directiva “Televisão sem Fronteiras”;
- analisando e fazendo as adaptações necessárias da parte do acervo comunitário que afecta os serviços da sociedade da informação e de *media* (2007);
- promovendo activamente a implementação rápida e eficaz do acervo regulamentar existente e actualizado, que rege os serviços da sociedade da informação e de *media*.

Continuação do apoio à criação e à circulação de conteúdos europeus.

Definição e implementação de uma estratégia para uma sociedade da informação europeia segura (2006).

Identificação e promoção de acções focalizadas em matéria de interoperabilidade, em particular a gestão dos direitos digitais (2006/2007).

3. INOVAÇÃO E INVESTIMENTO NA INVESTIGAÇÃO

As TIC dão um contributo fundamental para o crescimento e o emprego na Europa. O sector das TIC representa uma parte importantíssima da economia, sendo a adopção e a aplicação inteligente dessas tecnologias um dos factores que mais contribuem para a produtividade e o crescimento de toda a economia, conduzindo a inovações na actividade económica em sectores-chave.

Investigação e inovação: a Europa representa cerca de um terço das vendas mundiais de TIC, que registam um crescimento de 5% ao ano; nos mercados emergentes, como a Índia e a China, esse crescimento atinge valores de dois dígitos. A Europa é líder mundial nas comunicações electrónicas, representando cerca de 40 a 50% das receitas dos principais intervenientes mundiais⁶. A Europa também é forte em sectores como a nanoelectrónica, os microssistemas e os sistemas incorporados.

O investimento em investigação e inovação é crucial para que o sector das TIC continue a criar empregos e a ser motor de crescimento a curto e longo prazos. No entanto, como mostra o quadro 1, o investimento nestas tecnologias na Europa é manifestamente insuficiente.

⁶ Panorama das tecnologias da informação - OCDE 2004.

Quadro 1 – Investimento em investigação na área das TIC (2002)⁷

I&D na área das TIC ⁸	UE-15	EUA	Japão
Investimentos do sector privado	23 000 M€	83 000 M€	40 000 M€
Investimentos do sector público	8 000 M€	20 000 M€	11 000 M€
Habitantes	383 milhões	296 milhões	127 milhões
Investimento por habitante	80 €	350€	400€
I&D em TIC em % da I&D total	18%	34%	35%

Fonte: IDATE (para a UE-15); OCDE

É necessária uma estratégia para a investigação na área das TIC para assegurar a liderança da Europa em áreas em que é reconhecidamente forte (como a nanoelectrónica, os sistemas incorporados, as comunicações) e em áreas emergentes (como os serviços Web, os sistemas cognitivos). A investigação deve ser direccionada para as soluções integradas, a facilidade de utilização e a segurança, com vista a eliminar os estrangulamentos. Este será também um modo de apoiar a competitividade internacional da Europa em domínios cruciais como as normas e as decisões sobre a localização das actividades de R&D. A Europa precisa de um maior investimento em investigação sobre as tecnologias da informação e das comunicações, por forma a atingir o objectivo de Barcelona de 3% do PIB em I&D.

Implantação e adopção das TIC: A investigação por si só não é suficiente. Os benefícios das TIC advêm da sua incorporação em produtos e serviços e da adopção de novos modelos de actividade, de alterações na organização do trabalho e de novas competências. As empresas estão a obter ganhos de produtividade com as TIC, mas ainda se vêem confrontadas com a falta de interoperabilidade, fiabilidade e segurança, com dificuldades de reorganização e de integração das TIC no local de trabalho e com o custo elevado da assistência. As PME em particular têm dificuldades em adoptar as TIC.

Estamos no dealbar de uma era de “**soluções para negócios electrónicos**”, que tem por base soluções TIC integradas, serviços Web protegidos e “ferramentas de colaboração” para aumentar a produtividade dos trabalhadores. Os novos desenvolvimentos indicam que a utilização das TIC pelas empresas aumentará nos próximos anos. É também essencial adaptar o ambiente de trabalho utilizando eficientemente as TIC no local de trabalho e para a organização flexível de um trabalho seguro e de alta qualidade.

Objectivo 2: Investigação e inovação de classe mundial nas TIC, aproximando o desempenho da Europa do dos seus principais concorrentes.

⁷ Os dados comparativos relativos à UE-25 estarão disponíveis antes do final de 2005.

⁸ "Investment in ICT Research, Comparative Study", IDATE 2002.

A Estratégia de Lisboa põe a tónica no investimento em investigação e inovação como factor gerador de crescimento e emprego. Na Europa, os bons inventos nem sempre se traduzem em inovação. A iniciativa **i2010 procurará, pois, activamente reduzir as barreiras entre os resultados da investigação e os correspondentes proventos económicos.**

A Comissão lançou recentemente duas importantes propostas destinadas a fortalecer a posição da Europa em matéria de TIC: o Sétimo Programa-Quadro de Investigação (7ºPQ) e o Programa “Competitividade e Inovação” (PCI)⁹. Na sua proposta de 7ºPQ, a Comissão pede um aumento substancial do orçamento atribuído à investigação no domínio das TIC. Se bem complementado com aumentos dos gastos privados e públicos com a investigação, esse reforço orçamental contribuirá para eliminar a distância que nos separa, em matéria de TIC, de outras economias de topo.

A Comissão encorajará a transformação do progresso tecnológico em aplicações e serviços inovadores nos sectores público e privado. Apoiará abordagens de alto risco e criativas, que construam escala através de parcerias público-privado¹⁰ que mobilizem o “know-how”, as capacidades e os recursos financeiros das empresas e dos organismos de investigação para as prioridades da investigação estratégica¹¹. A Comissão dará prioridade, na sua investigação estratégica, aos domínios em que existe maior valor acrescentado europeu e que exercem maior impacto no crescimento e no emprego. No 7.ºPQ, os **pilares tecnológicos** são os seguintes:

- tecnologias ao serviço do conhecimento, dos conteúdos e da criatividade – incluindo a cognição, a simulação e a visualização;
- redes de comunicações avançadas e abertas;
- *software* seguro e fiável;
- sistemas incorporados;
- nanoelectrónica.

A coordenação dos instrumentos de investigação e de implantação da Comissão será reforçada através da sua centragem nos **principais nós de estrangulamento**, como a interoperabilidade, a segurança e a fiabilidade, a gestão da identidade, a gestão dos direitos e a facilidade de utilização. Os instrumentos de investigação e de implantação serão coordenados para demonstrar soluções tecnológicas e organizacionais nos domínios em que uma abordagem partilhada a nível da UE pode ajudar a construir economias de escala e encorajar os investidores.

⁹ O 7ºPQ propõe-se atribuir 1 800 M€ anuais às TIC. O programa de apoio à política das TIC, incluído no PCI, propõe 800 M€ para o período 2007-2013 para incentivar a aceitação e a utilização das TIC.

¹⁰ Incluindo Plataformas Tecnológicas Europeias ou Iniciativas Tecnológicas Conjuntas.

¹¹ A investigação em nanoelectrónica será apoiada e coordenada pela Comissão nos termos da proposta de 7ºPQ e em consonância com a visão e a agenda de investigação estratégica da Plataforma Tecnológica Europeia para a Nanoelectrónica.

A Comissão tenciona igualmente encorajar o investimento em investigação e inovação na área das TIC na Europa através de **medidas complementares**. A Comissão apoiará a cooperação estratégica entre os programas de investigação dedicados às TIC, congregando as actividades realizadas a nível nacional e a nível europeu e tirando partido da experiência com infra-estruturas partilhadas, como a rede GÉANT. A Comissão monitorizará a eficiência dos gastos, tanto do sector público como do privado, e promoverá ainda políticas de ensino e formação, para que a Europa disponha das competências de que necessita para realizar investigação, inovar e utilizar as TIC.

Como forma de apoio à **aceitação das TIC**, a Comissão tenciona propor uma política integrada para os negócios electrónicos (“e-business”) especialmente atenta às PME. Essa política deverá ser complementada por apoios provenientes dos Fundos Estruturais e do Fundo de Desenvolvimento Rural.

Em resumo, para lançar a agenda da iniciativa i2010 que visa aumentar o investimento na investigação e na inovação, a Comissão:

Proporá um aumento de 80% do apoio financeiro comunitário à investigação na área das TIC até 2010 e convidará os Estados-Membros a fazerem o mesmo.

Na investigação estratégica na área das TIC, centrará as prioridades nos principais pilares tecnológicos do 7º PQ (2007).

Lançará iniciativas de investigação e implantação para eliminar os principais nós de estrangulamento que exigem soluções quer tecnológicas quer organizacionais (2006).

Definirá medidas complementares para encorajar os investimentos privados na investigação e na inovação na área das TIC (2006)

Formulará propostas específicas sobre uma sociedade da informação para todos nas Orientações Estratégicas Comunitárias sobre Coesão, 2007-2013.

Definirá políticas em matéria de negócios electrónicos (“e-business”) destinadas a eliminar os obstáculos tecnológicos, organizacionais e legais à adopção das TIC, centrando as atenções nas PME.

Desenvolverá ferramentas para apoiar novos padrões de trabalho que favoreçam a inovação nas empresas e a adaptação às novas necessidades em matéria de competências.

4. INCLUSÃO, MELHORES SERVIÇOS PÚBLICOS E QUALIDADE DE VIDA

O aumento da utilização das TIC tem um impacto crescente na sociedade. Reconhecendo esse facto, a iniciativa i2010 propõe-se agir em três vertentes: garantir que as TIC **beneficiem todos os cidadãos; melhorar a qualidade, a relação custo/eficácia e a acessibilidade dos serviços públicos;** e melhorar a **qualidade de vida**.

A utilização das TIC está a generalizar-se, sendo cada vez maior o número de pessoas que delas beneficiam. Mas, neste momento, mais de metade da população da UE ou não aproveita os seus benefícios inteiramente ou o acesso a essas tecnologias está-lhe completamente vedado. Reforçar a coesão social, económica e territorial **tornando os**

produtos e serviços TIC mais acessíveis, nomeadamente nas regiões mais atrasadas, é um imperativo económico, social, ético e político. Na iniciativa i2010, atribui-se especial importância à plena participação e à formação das pessoas, sendo o objectivo dotá-las de competências digitais básicas.

Os serviços públicos representam uma parte importante da economia europeia. Os contratos públicos, por exemplo, representam 16% do PIB. Um dos principais desafios é **melhorar a qualidade** desses serviços e torná-los **mais acessíveis e mais rentáveis**. Na implantação de serviços públicos apoiados nas TIC fizeram-se avanços consideráveis, havendo já casos de sucesso: por exemplo, as declarações de imposto em linha permitem economizar milhões de horas por ano. No entanto, muito há ainda a fazer para demonstrar o impacto económico e a aceitação social.

As TIC podem dar um forte contributo para a melhoria da **qualidade de vida**. Estas tecnologias permitem melhorar a saúde dos nossos cidadãos através dos novos serviços médicos e de assistência social nelas apoiados. Perante os desafios demográficos que a Europa enfrenta, as TIC podem contribuir para a maior eficiência e eficácia dos sistemas públicos de saúde e assistência social. Podem desempenhar um papel de peso no reforço da diversidade cultural da Europa, tornando o nosso património e criações culturais disponíveis a um leque mais alargado de cidadãos. As TIC são também uma ferramenta para a sustentabilidade do ambiente, permitindo, nomeadamente, a monitorização e a gestão de catástrofes e processos de produção limpos, com baixo consumo de energia e eficientes¹². As TIC podem contribuir para tornar os transportes mais seguros, mais limpos e mais eficientes no consumo de energia.

Objectivo 3: Uma Sociedade da Informação inclusiva, que ofereça serviços públicos de alta qualidade e promova a qualidade de vida

A convergência digital traz novos desafios em matéria de **info-inclusão**. A Comissão adoptará, por conseguinte, uma abordagem abrangente. Ao longo de 2005, atacará o problema da info-acessibilidade através de uma combinação de investigação e de medidas de estímulo, para tornar os sistemas TIC mais fáceis de utilizar por uma gama mais vasta de pessoas. Fornecerá orientações para aumentar a cobertura geográfica da banda larga nas zonas mal servidas e fará a revisão do âmbito da Directiva Serviço Universal em 2005 e de toda a Directiva em 2006. Também em 2006, a Comissão fará a avaliação da contribuição das TIC e da literacia digital para os objectivos de aquisição de competências fundamentais visados pela iniciativa “Ensino e Formação 2010”.

Por outro lado, a Comissão tenciona propor, em 2008, uma **iniciativa europeia para a info-inclusão**, que abordará aspectos como a igualdade de oportunidades, as qualificações na área das TIC e as fracturas regionais nesta matéria. A iniciativa será preparada através de acções sobre a monitorização activa, a literacia digital e a investigação de soluções tecnológicas acessíveis. Deverão ser empregues todos os instrumentos disponíveis, incluindo a integração nas orientações estratégicas para os

¹² A iniciativa i2010 explorará estas oportunidades conjuntamente com o Plano de Acção sobre Tecnologias Ambientais (ETAP).

Fundos Estruturais, o Fundo de Desenvolvimento Rural, o apoio nacional, a intervenção regulamentar e a investigação.

A Comissão tenciona promover **serviços públicos apoiados nas TIC**, em primeiro lugar através do seu próprio projecto de Comissão electrónica (e-Commission), mais transparentes, mais acessíveis e com uma melhor relação custo/eficácia. No entanto, há ainda inúmeros desafios pela frente. Tecnicamente, são necessárias interfaces comuns, portabilidade da identidade inter-sistemas e sistemas de autenticação. Em termos organizacionais, as mudanças necessárias prendem-se com a introdução de novas práticas, novas competências e regras diferentes. A melhor forma de tratar estas questões é de um modo integrado, através de iniciativas como os recentes planos de acção “e-Health” (saúde em linha) e “e-Procurement” (contratos públicos em linha). A Comissão proporá também um **plano de acção em matéria de “e-Government” (administração pública em linha)** e orientações estratégicas para os serviços públicos apoiados nas TIC. A Comissão apoiará estes esforços utilizando um conjunto limitado de demonstradores de grande perfil para testar soluções técnicas, jurídicas e organizacionais. As prioridades e o âmbito destes projectos serão decididos em parceria com os Estados-Membros.

A contribuição vital das TIC para a **qualidade de vida** nem sempre é reconhecida e a sua aceitação é limitada. Para aumentar a visibilidade, a Comissão propõe-se lançar **iniciativas emblemáticas que impliquem as TIC** para responder aos desafios sociais fundamentais. As três prioridades iniciais são: **as necessidades de uma sociedade envelhecida, transportes seguros e limpos e diversidade cultural**. A primeira iniciativa terá como tema **a prestação de cuidados numa sociedade envelhecida** e incidirá nas tecnologias de apoio ao bem-estar, à autonomia e à saúde. A segunda terá como tema os **veículos inteligentes - mais inteligentes, mais seguros e mais limpos**, e procurará dar resposta aos problemas ambientais e de segurança decorrentes da intensificação do tráfego rodoviário. A terceira terá como tema as **bibliotecas digitais** e visará tornar mais fácil e mais interessante a utilização das fontes multimédia. Tomando por base a riqueza patrimonial da Europa, combinará o multiculturalismo e o multilinguismo com os avanços tecnológicos e os novos modelos económicos.

Em resumo, para lançar a agenda societal da iniciativa i2010, a Comissão:

Divulgará orientações políticas sobre a info-acessibilidade e a cobertura da banda larga (2005).

Proporá uma iniciativa europeia sobre info-inclusão (2008)

Adoptará um plano de acção sobre administração pública em linha e orientações estratégicas sobre serviços públicos apoiados nas TIC (2006).

Lançará projectos de demonstração para testar, a uma escala operacional, soluções tecnológicas, jurídicas e organizacionais para pôr em linha os serviços públicos (2007).

Porá em marcha, numa primeira fase, três iniciativas emblemáticas para a utilização das TIC em prol da qualidade de vida (2007).

5. CONCLUSÃO: A INICIATIVA i2010 NO NOVO CICLO DE GOVERNAÇÃO DE LISBOA

A União Europeia deu novo fôlego à estratégia de Lisboa, colocando a tónica na parceria para o crescimento e o emprego. A iniciativa **i2010** contribuirá para tornar a Europa um local mais atraente para o investimento e a inovação em bens e serviços baseados no conhecimento. Cada actor tem um papel a desempenhar no seu domínio de responsabilidade:

- A **Comissão Europeia**, através do programa comunitário de Lisboa e, em particular, da iniciativa i2010, assumirá a responsabilidade de:
 - elaborar propostas de actualização dos quadros regulamentares das comunicações electrónicas, dos serviços da sociedade da informação e de *media*, com vista a explorar todo o potencial do mercado interno;
 - utilizar os instrumentos financeiros comunitários para estimular o investimento em investigação estratégica e eliminar os entraves a uma generalização da inovação no domínio das TIC;
 - apoiar as políticas que favoreçam a info-inclusão e a qualidade de vida.
- **Os Estados-Membros**, através dos programas nacionais de reforma, que devem ser adoptados até meados de Outubro de 2005, devem definir **prioridades para a sociedade da informação** consonantes com as Orientações Integradas para o crescimento e o emprego, que sublinham a importância da aceitação das TIC, da infra-estrutura das TIC e das próprias TIC para o emprego e a educação. Estes programas poderão ajudar os Estados-Membros a:
 - garantir a transposição rápida e integral dos novos quadros regulamentares que afectam a convergência digital, colocando a tónica em mercados abertos e concorrenciais;
 - aumentar a fatia que os gastos em investigação na área das TIC representam na despesa nacional;
 - desenvolver serviços públicos modernos e interoperáveis apoiados nas TIC;
 - utilizar o seu potencial considerável de compra como motor de inovação na área das TIC;
 - adoptar objectivos ambiciosos para o avanço da sociedade da informação a nível nacional.
- Deverão envolver-se outros interessados num diálogo aberto e construtivo, de apoio a uma sociedade do conhecimento inovadora. Os parceiros industriais, em particular, deverão traçar o objectivo de aumentar os investimentos em investigação no domínio das TIC e nas próprias tecnologias, ao mesmo tempo que devem ser feitos esforços construtivos nos domínios em que existem importantes bloqueios à evolução da economia digital.

Os Estados-Membros deverão comunicar anualmente as suas realizações nos relatórios de execução dos programas nacionais de reforma, nos termos do novo ciclo de governação de Lisboa. Os progressos realizados serão analisados no relatório anual de progresso da Comissão sobre a Estratégia de Lisboa.

A Comissão simultaneamente alargará e reforçará o diálogo com os interessados e trabalhará com os Estados-Membros sobre o modo abordar essas matérias, nomeadamente através do método aberto de coordenação¹³. A Comissão pode, por exemplo, promover o intercâmbio de boas práticas e monitorizar a aceitação dos serviços de banda larga, dos serviços de eBusiness e eGovernment, o investimento em investigação na área das TIC, as disparidades sociais e económicas e a literacia digital através dos relatórios de progresso. Para isso não serão precisos novos mecanismos de comunicação de informações para os Estados-Membros para além dos relatórios de execução dos programas nacionais de reforma.

Com a iniciativa i2010, a Comissão lança uma nova política integrada para a sociedade da informação. Em consonância total com o novo ciclo de governação da Estratégia de Lisboa relançada, a iniciativa i2010 contribuirá para o objectivo central da Estratégia de Lisboa: o crescimento sustentado e o emprego.

¹³

Working together for growth and jobs. Next steps in implementing the revised Lisbon strategy - SEC(2005) 622 (não disponível em português).



COMISSÃO DAS COMUNIDADES EUROPEIAS

Bruxelas, 19.5.2006
COM(2006) 215 final

**COMUNICAÇÃO DA COMISSÃO AO CONSELHO, AO PARLAMENTO
EUROPEU, AO COMITÉ ECONÓMICO E SOCIAL EUROPEU E AO COMITÉ DAS
REGIÕES**

**i2010 – Primeiro Relatório Anual
sobre a Sociedade da Informação Europeia**

{SEC(2006) 604}

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COMUNICAÇÃO DA COMISSÃO AO CONSELHO, AO PARLAMENTO EUROPEU, AO COMITÉ ECONÓMICO E SOCIAL EUROPEU E AO COMITÉ DAS REGIÕES

i2010 – Primeiro Relatório Anual sobre a Sociedade da Informação Europeia

1. INTRODUÇÃO

A iniciativa i2010 da Comissão Europeia¹ está no centro da renovada Estratégia de Lisboa para o crescimento e o emprego. A iniciativa procura responder aos principais desafios de uma sociedade da informação moderna e promove uma parceria entre a Comissão, os Estados-Membros e todas as partes interessadas relevantes, de modo a preparar a Europa para a economia digital. A iniciativa identificou uma série de acções-chave a implementar entre 2005 e 2010. A presente comunicação actualiza as acções previstas pelas políticas da sociedade da informação e dos media para o período 2006-2007 e tem por base o documento de trabalho dos serviços da Comissão sobre a mesma matéria, que faz uma reavaliação das acções-chave da iniciativa i2010 perante a evolução das tecnologias da informação e das comunicações na UE.

A iniciativa i2010 foi aprovada pela UE. Os Estados-Membros comprometeram-se a implementá-la e a contribuir para a revisão das estratégias políticas no âmbito do Grupo de Alto Nível i2010². O Parlamento Europeu é fortemente favorável a uma sociedade da informação centrada no cidadão e no interesse público. O Conselho Europeu da Primavera de 2006 pediu aos Estados-Membros e à Comissão que implementassem com determinação a estratégia i2010. A presente comunicação é a primeira sequência dada ao Conselho da Primavera e confirma o papel determinante da iniciativa i2010 para a realização dos objectivos de Lisboa.

2. IMPLEMENTAR A INICIATIVA i2010 NA PERSPECTIVA DA ESTRATÉGIA DE LISBOA RENOVADA

2.1. Tendências recentes

O crescimento económico da União Europeia melhorou em 2005 e, segundo as previsões, andarà à volta dos 2% em 2006³. Mas esta taxa de crescimento é bem inferior à taxa anual de crescimento do PIB nos Estados Unidos entre 2000 e 2005, que foi de 2,7%. A Europa apresenta ainda um desempenho medíocre em termos de produtividade e um fraco investimento em I&D, que, em 2004, representou apenas 1,9% do PIB⁴. Reconhece-se que as tecnologias da informação e das comunicações (TIC) são um elemento fundamental para o crescimento da produtividade e que a sua utilização contribui para a prosperidade das

¹ COM(2005) 229

² Decisão 2006/215/CE

³ COM(2006) 30

⁴ COM(2006) 30

economias modernas. No entanto, tal reconhecimento não se tem traduzido em acções adequadas.

Face ao enfraquecimento da posição da UE a nível mundial em termos de competitividade, as TIC são uma fonte de crescimento e competitividade. O sector das TIC continuou a registar uma taxa de crescimento superior à média, estimando-se que o aumento das receitas tenha sido de 3,6%⁵ em 2005. É o sector mais inovador e que envolve mais investigação na UE, representando 25% do esforço total de investigação e 5,6% do PIB entre 2000 e 2003. As TIC são também responsáveis por, pelo menos, 45% dos ganhos de produtividade na UE entre 2000 e 2004.

Mas a contribuição das TIC não é suficiente para melhorar a posição da UE a nível mundial. Números recentes mostram que o investimento comunitário em investigação no domínio das TIC está ainda aquém do dos nossos concorrentes. Os EUA investiram nas TIC, a uma cadência constante, praticamente o dobro da UE desde 2000. A China tornou-se o maior exportador de produtos TIC, tendo ultrapassado o Japão e a UE em 2003 e os EUA em 2004⁶. Na UE, a adesão das empresas às TIC continua a ser lenta. Por último, a contribuição das TIC para a produtividade diminuiu significativamente em relação aos últimos cinco anos da década de 90, sendo ainda cerca de metade da dos EUA. **Em geral, nenhum indicador aponta para uma alteração da tendência ou para uma aceleração na evolução das TIC que coloque a UE numa via sustentável de crescimento e competitividade.**

No entanto, observam-se algumas tendências positivas. A convergência digital está finalmente a tornar-se realidade. Os investimentos em redes começaram em 2004 e 2005 e as assinaturas de banda larga cresceram cerca de 60% em 2005. Os operadores de telecomunicações e de cabo oferecem serviços assentes na convergência, como os serviços ‘triple-play’ (triplos)⁷ ou de televisão pelo Protocolo Internet (IP). Mas as receitas destes serviços não compensam a perda de receitas dos serviços vocais, além de que o crescimento global das receitas das comunicações electrónicas está a abrandar. É necessário progredir mais rapidamente a nível da convergência para manter o sector das comunicações electrónicas na Europa numa posição de liderança.

A UE precisa de passar a uma velocidade superior para não se verificar um abrandamento na transição para a economia do conhecimento.

2.2. Iniciativa i2010 no centro da Agenda de Lisboa para o crescimento e o emprego

A iniciativa i2010 faz parte da estratégia de Lisboa renovada. A nova abordagem da agenda de Lisboa renovada, assente em parcerias, está a ser posta à prova e a dar bons resultados: A nível da UE, têm-se feito progressos significativos no programa de Lisboa a nível comunitário e a nível nacional, tendo os Estados-Membros apresentado, em Outubro de 2005, os seus programas nacionais de reforma (PNR) para os próximos três anos.

⁵ Na ausência de outra referência, ver as fontes no documento de trabalho dos serviços da Comissão em anexo.

⁶ OECD Information Technology Outlook 2006 (panorama das tecnologias da informação em 2006, da OCDE), a publicar brevemente.

⁷ Serviços de voz, dados e vídeo oferecidos por um único operador/fornecedor de serviços

Todos os Estados-Membros mencionaram as políticas de investigação e inovação como uma das grandes prioridades e referem-se às TIC nos seus PNR⁸, escolhendo como áreas de intervenção principalmente a administração pública em linha (“eGovernment”), a banda larga e a literacia digital. Metade dos Estados-Membros menciona também a adesão às TIC por parte das empresas e dos agregados domésticos, a aplicação do quadro regulamentar das comunicações electrónicas e a segurança das redes. No geral, os programas nacionais de reforma consideram as TIC como desafios e, por conseguinte, apoiam uma adopção mais generalizada das mesmas, embora as medidas propostas não incluam elementos mais voltados para o futuro, como a convergência digital ou a investigação e inovação no domínio das TIC. Muitos PNR também fazem referência ao quadro comunitário da iniciativa i2010, reconhecendo assim objectivos comuns

O Relatório Anual de Progresso sobre Crescimento e Emprego publicado pela Comissão em Janeiro de 2006 identifica quatro acções prioritárias a realizar quer pelos Estados-Membros quer pela Comissão: i) Investir mais em conhecimento e inovação; ii) Libertar o potencial das empresas, em especial das PME; iii) Dar resposta à globalização e ao envelhecimento da população; e iv) Avançar para uma política energética comunitária eficiente e integrada⁹. As TIC têm um papel crucial a desempenhar em todas estas prioridades, que a iniciativa i2010, com os seus três pilares - espaço único da informação; inovação e investimento na investigação; inclusão - pode albergar. O Relatório Aho¹⁰ apresenta várias propostas pertinentes no domínio da investigação e da inovação no sector das TIC: a Europa deve apoiar as tecnologias ubíquas e promover o desenvolvimento de mercados inovadores e criativos. O Relatório Aho cita como exemplos de mercados com essas potencialidades, o da saúde em linha e o dos conteúdos digitais. É necessário constituir parcerias de investigação que envolvam instituições, Estados-Membros e indústria e, nesta matéria, as plataformas tecnológicas europeias desempenham um importante papel. Por último, deve ser criado um mercado para produtos e serviços inovadores, através da harmonização dos quadros regulamentares, de uma utilização óptima da normalização e da utilização dos contratos públicos, para impulsionar a procura de produtos inovadores e promover uma cultura de inovação. Algumas destas propostas foram incluídas na primeira acção prioritária identificada no Relatório Anual de Progresso da Comissão.

Relativamente às segunda e terceira acções prioritárias, “Libertar o potencial das empresas” e “Dar resposta à globalização e ao envelhecimento da população”, as medidas tomadas pelos Estados-Membros em matéria de “eGovernment” podem ser consideradas pertinentes. Os Estados-Membros reconhecem que o “eGovernment” é um instrumento potencial para legislar melhor e simplificar os procedimentos, assim como para dar resposta à procura crescente de serviços sociais e de saúde que inevitavelmente acompanhará uma sociedade europeia envelhecida. Mas são muito poucos os Estados-Membros que estabelecem uma ligação explícita entre as suas prioridades em matéria de TIC e os objectivos gerais de Lisboa.

⁸ De acordo com a orientação integrada nº9: Para facilitar a divulgação e a utilização eficaz das TIC e criar uma sociedade da informação plenamente inclusiva”

⁹ COM(2006) 30

¹⁰ “*Creating an Innovative Europe*”, Relatório do grupo de peritos independentes para as questões de I&D e Inovação designado após a Cimeira de Hampton Court e presidido por Esko Aho, Janeiro de 2006

3. PRIORIDADES POLÍTICAS PARA O FUTURO

3.1. O Espaço Único Europeu da Informação

A iniciativa i2010 faz da convergência digital o principal motor da mudança e propõe-se garantir que a UE tire pleno partido das oportunidades e perspectivas de reforço do mercado único. Para isso, traça quatro reptos em matéria de convergência: velocidade, conteúdos multilingues ricos e diversificados, interoperabilidade e segurança. A iniciativa apela ao estabelecimento de um quadro coerente para os serviços da sociedade da informação e os serviços de comunicação, para promover o investimento e a concorrência, preservando ao mesmo tempo os objectivos de interesse público e garantindo a protecção dos interesses dos consumidores.

Em 2005, a Comissão iniciou a **revisão do quadro regulamentar das comunicações electrónicas** para garantir um ambiente concorrencial que aumente os benefícios para os consumidores e para estimular o investimento e a inovação. No âmbito dessa revisão, que estará concluída em 2006, será também revista a recomendação sobre os mercados relevantes. A Comissão está também a preparar um regulamento destinado a fazer baixar os elevados custos do “roaming” internacional nas redes móveis e reforçar o mercado único.

A Comissão irá ainda apresentar propostas de reforma da gestão do espectro, para facilitar o acesso às radiofrequências. Uma abordagem coerente a nível europeu terá um impacto directo no crescimento e no emprego na União Europeia, nomeadamente graças à libertação de radiofrequências resultante do abandono das transmissões televisivas analógicas (o que poderá, por sua vez, estimular a banda larga sem fios e o desenvolvimento de novos serviços pan-europeus). A Comissão avaliará igualmente a evolução da normalização e da interoperabilidade no que respeita à TV móvel.

Em 2005, a Comissão adoptou uma proposta de directiva “**Televisão sem Fronteiras**” **modernizada** para garantir condições equitativas a todas as companhias que oferecem serviços de tipo televisivo, independentemente da tecnologia utilizada para o efeito. Esta proposta será agora submetida ao procedimento de co-decisão entre o Conselho e o Parlamento Europeu.

Com a emergência de novos dispositivos, redes e serviços, **a União Europeia terá de responder a um número crescente de novos desafios**, como a oferta a nível europeu de material digital protegido por direitos de autor, a implantação de soluções para a gestão dos direitos digitais (DRM), a necessidade de actualizar as regras de protecção dos consumidores e dos dados ou o combate à distribuição em linha de conteúdos ilícitos. A Recomendação relativa à gestão transfronteiriça colectiva do direito de autor e dos direitos conexos no domínio dos serviços musicais em linha legais¹¹ constitui um primeiro passo para demonstrar o empenho da Comissão em desenvolver um Espaço Único da Informação, através da remoção progressiva dos obstáculos aos serviços pan-europeus que dependem de direitos de autor no ambiente em linha.

Os cidadãos e os consumidores europeus podem extrair uma vasta gama de benefícios da convergência, desde uma maior facilidade de acesso a uma maior variedade de informações até uma maior capacidade para criarem e distribuírem os seus próprios conteúdos. Em 2006, a

¹¹ Recomendação 2005/737/CE

Comunicação sobre conteúdos em linha, que toma por base a iniciativa da Comissão “Film Online”, lançada em 2005, abordará estas questões. No entanto, muitas pessoas estão ainda renitentes em utilizar os serviços da sociedade da informação e os serviços de comunicação, devido a receios no que respeita à segurança e à protecção da vida privada. A comunicação sobre mensagens electrónicas não solicitadas e software maligno, a comunicação sobre cibercriminalidade, que aborda as novas formas de actividades criminosas na Internet, e a nova estratégia para a segurança darão uma resposta aos problemas gerais de segurança.

Em 2006-2007, a Comissão:

- apresentará propostas para a revisão do quadro regulamentar das comunicações electrónicas, incluindo uma proposta de revisão da Recomendação sobre os mercados relevantes e um regulamento sobre roaming internacional;
- promoverá a gestão eficiente do espectro;
- avaliará a evolução registada a nível da normalização e da interoperabilidade no que respeita aos serviços de TV móvel;
- alargará a iniciativa Film Online aos conteúdos em linha (Content Online) e apresentará propostas numa comunicação prevista para o final de 2006;
- abordará as questões da confiança, da protecção da vida privada e da segurança na próxima comunicação sobre uma estratégia comunitária para a segurança (prevista para breve) e nas comunicações sobre cibercriminalidade e sobre mensagens não solicitadas e software maligno (malware);
- fará a revisão do quadro regulamentar relativo à protecção do consumidor, tendo em conta os novos progressos técnicos;
- prosseguirá, em cooperação com os Estados-Membros, através do Grupo de Alto Nível i2010, a sua análise das implicações políticas da convergência.

3.2. Inovação e investimento em investigação

Investigação e inovação

O Relatório Anual de Progresso de 2006 sobre a Estratégia de Lisboa para o crescimento e o emprego deixou claro que **a UE, no que respeita à despesa com I&D, ficará provavelmente aquém do objectivo de 3% do PIB**. No entanto, a investigação continua a ser uma das principais prioridades das Perspectivas Financeiras, e as prioridades da investigação no domínio das TIC propostas pela Comissão no Sétimo Programa-Quadro (PQ7) de I&D receberam um amplo apoio do Conselho e do Parlamento. O Relatório Anual de Progresso sobre Lisboa formulou propostas concretas de aumento do investimento em conhecimento e inovação, inspirando-se, nomeadamente, no relatório Aho. O Relatório Anual de Progresso menciona, por exemplo, os contratos públicos como um domínio com um potencial de inovação considerável.

Em 2005, a Comissão tomou uma série de medidas no domínio das TIC que foram no sentido das propostas do relatório Aho:

- Foi reforçada a parceria para actividades de investigação com a criação de nove plataformas tecnológicas europeias relacionadas com as TIC, duas¹² das quais estão a trabalhar com a Comissão e os Estados-Membros com vista a criar iniciativas tecnológicas comuns¹³. Deram-se os primeiros passos para melhorar a articulação entre os programas de I&D comunitários e dos Estados-Membros.
- A Comissão organizou consultas sobre os sistemas de inovação relacionados com as TIC e sobre os modos de reforçar a sua ligação à investigação. Um dos domínios focados foi a normalização: com a adopção do programa de trabalho de 2006 sobre a normalização das TIC, estas tecnologias são igualmente reconhecidas como elemento importante no Plano de Acção Europeu para a Normalização, que reavaliará a política de normalização em 2006 e 2007. Os Estados-Membros lançaram um debate sobre os contratos públicos pré-comerciais em matéria de produtos e serviços inovadores a nível comunitário, com vista a promover a investigação e a inovação no domínio das TIC. Algumas destas questões poderão ser abordadas na próxima comunicação sobre investigação e inovação em matéria de TIC.
- A Comissão lançou iniciativas (INNOVA e PRO-INNO) destinadas a melhorar as políticas de inovação e a sua aplicação em domínios como as normas, os contratos, o acesso ao financiamento, a agregação, a transferência de tecnologias, os DPI e a gestão da inovação.

Convém ainda referir a adopção, pela Comissão, do Programa Competitividade e Inovação. Este programa inclui o programa de apoio à política das TIC, que visa promover a adesão a estas tecnologias, matéria que está directamente associada às prioridades da iniciativa i2010. A Comissão criou também uma Task Force para as TIC, tal como previsto na Comunicação relativa à política industrial de Outubro de 2005¹⁴, composta por representantes de todas as partes interessadas, cuja missão é avaliar a competitividade do sector das TIC.

Em 2006-2007, a Comissão:

- adoptará o programa de trabalho do PQ7;
- proporá duas iniciativas tecnológicas comuns (em matéria de nanoelectrónica e de sistemas incorporados);
- publicará uma comunicação sobre investigação e inovação no domínio das TIC;
- analisará a possível aplicação das directivas relativas aos contratos públicos aos contratos pré-comerciais e de inovação com vista a promover a adopção dos resultados da I&D;
- fará a revisão da normalização das TIC;
- adoptará o programa de trabalho do programa de apoio à política das TIC;

¹² Nanoelectrónica e sistemas incorporados.

¹³ As iniciativas tecnológicas conjuntas são um novo tipo de parcerias público-privadas previstas no PQ7. Serão estabelecidas para implementar as Agendas Estratégicas de Investigação definidas por certas plataformas tecnológicas e a sua escala é de tal modo ambiciosa que exigem a mobilização de investimentos e de recursos para investigação públicos e privados substanciais.

¹⁴ COM(2005) 474

- avaliará a competitividade do sector no âmbito da Task Force para as TIC e, subsequentemente, no âmbito do Grupo de Alto Nível i2010.

Adopção das TIC

Comparativamente aos Estados Unidos, a Europa investiu menos e mais tarde nas tecnologias da informação e das comunicações. Os Estados Unidos também são mais eficientes na utilização das TIC e mais rápidos a colher os dividendos do investimento nestas tecnologias. O desenvolvimento dos negócios electrónicos (eBusiness) poderá beneficiar das importantes mudanças que se estão a operar na indústria do software, em que a venda de produtos está a dar lugar à oferta de serviços a pedido. Esta nova situação está a provocar alterações significativas nos segmentos inovadores e competitivos da economia global e tem contribuído para a recuperação dos mercados das TI, que, em 2005, cresceram cerca de 4,1% na UE e 4,8% no mundo¹⁵.

As novas arquitecturas de software e de serviços permitem não só a integração de processos de negócio dentro das companhias, mas também a ligação em rede das companhias, criando novos ambientes de colaboração. As principais tecnologias genéricas (enabling) que estão na base destes avanços são as tecnologias Grid¹⁶ e as arquitecturas orientadas para os serviços, domínios em que a Europa lidera a investigação. As TIC podem ter um efeito perturbador nas empresas e nos mercados, como já é dado observar no fabrico ou no comércio retalhista com a difusão da tecnologia RFID (Radio Frequency Identification). A Comissão está a efectuar consultas sobre questões como a normalização, a interoperabilidade, a necessidade de radiofrequências e os problemas da protecção da vida privada e dos dados no que respeita à RFID, e apresentará propostas políticas ainda em 2006.

Estes desenvolvimentos traduzir-se-ão em ganhos de eficiência se, a par do investimento em TIC, as empresas se dispuserem a reorganizar os processos empresariais. Nesta matéria, as qualificações e as competências ainda constituem uma importante condicionante que o European eSkills Forum pretende solucionar. A eBSN (European eBusiness Support Network para as PME) tem por objectivo melhorar as sinergias entre as iniciativas em curso na Europa em matéria de política de eBusiness (negócios electrónicos) e promover a concorrência das PME através da utilização das TIC. O Relatório Anual de Progresso propõe como segunda acção prioritária para o crescimento e o emprego na UE “Libertar o potencial das empresas, em especial das PME”. A iniciativa i2010, por sua vez, procura responder à necessidade de eliminar as barreiras tecnológicas, organizacionais e legais à adopção das TIC pelas empresas. Em 2006, a prioridade será identificar e analisar as novas tendências e avaliar a necessidade de medidas políticas. O trabalho nestes domínios pode basear-se em iniciativas respeitantes, por exemplo, aos sistemas GRID, na interoperabilidade ou nos ecossistemas digitais e na melhor integração dos resultados da investigação nos processos empresariais.

¹⁵ EITO 2006

¹⁶ As tecnologias Grid fornecem um enorme potencial de computação e de conhecimento a pedido, graças à utilização dos recursos de inúmeros computadores individuais ligados a uma rede (normalmente a Internet).

Em 2006-2007, a Comissão:

- Concluirá um debate público sobre a RFID e publicará uma comunicação no final de 2006;
- Fará a avaliação das políticas e das tendências a nível dos negócios electrónicos (2006) e definirá as medidas políticas necessárias (2007)

3.3. Inclusão, melhores serviços públicos e qualidade de vida

Inclusão

Com o seu terceiro pilar, a iniciativa i2010 **insere as diversas políticas em matéria de info-inclusão num quadro coerente e coordenado**, em apoio do crescimento sustentável e do modelo social europeu. As políticas para a info-inclusão, tal como definidas na iniciativa i2010, cobrem o envelhecimento da população, a acessibilidade, as clivagens digitais, a administração pública em linha e a literacia e cultura digitais. Enquanto as clivagens geográficas, a acessibilidade e a literacia digital são objecto de políticas comunitárias bem definidas e fortemente ligadas à sociedade da informação, a próxima iniciativa para a info-inclusão terá um âmbito mais vasto. Em 2005 e início de 2006, fizeram-se grandes progressos com as Comunicações “Pôr fim aos desníveis em matéria de banda larga”¹⁷ e ‘Info-acessibilidade’¹⁸. A Conferência Ministerial de 2006 sobre info-inclusão, a realizar em Riga, será o ponto de partida da iniciativa europeia de 2008 em matéria de info-inclusão.

Em 2006-2007, a Comissão:

- dará seguimento aos compromissos assumidos na comunicação sobre info-acessibilidade;
- apoiará a criação de uma plataforma de informação para intercâmbio das melhores práticas em matéria de banda larga e organizará uma grande conferência sobre banda larga no que respeita às comunidades rurais;
- preparará com os Estados-Membros a Declaração Ministerial da Conferência de Riga sobre info-inclusão;
- dará seguimento aos trabalhos sobre literacia digital: conferência sobre aprendizagem em linha, comunicação sobre as TIC no ensino e na formação como forma de apoiar a aprendizagem ao longo da vida e a inovação.

Melhores serviços públicos

A Estratégia de Lisboa renovada põe em destaque o papel dos serviços públicos na realização do objectivo de crescimento e competitividade. A utilização das TIC nos serviços públicos pode contribuir para o cumprimento das prioridades gerais da UE, destacadas no Relatório Anual de Progresso sobre Crescimento e Emprego – tornar as finanças públicas sustentáveis e

¹⁷ COM(2006) 129

¹⁸ COM(2005) 425

simplificar os procedimentos administrativos. Estas prioridades são partilhadas por todos os Estados-Membros na abordagem seguida em relação à administração pública em linha e a outros serviços públicos, incluindo a Comissão Europeia com a sua iniciativa “e-Commission” (Comissão em linha)¹⁹. Foram feitos progressos na realização destes objectivos, nomeadamente graças ao acordo sobre os principais elementos catalisadores e as metas para uma implementação coordenada de serviços públicos apoiados nas TIC.

A Declaração Ministerial sobre eGovernment (administração pública em linha) adoptada em Novembro de 2005 estabelece as **prioridades da UE no que respeita aos serviços públicos apoiados nas TIC**. A adopção do **Plano de Acção para a saúde em linha** em 2004 e a sua implementação contribuíram significativamente para acelerar a reforma dos sistemas de saúde. O trabalho nesta área enquadra-se nos dois objectivos de Lisboa - “Responder à globalização e ao envelhecimento da população” e “Libertar o potencial das empresas”. Em Fevereiro de 2006, Comissão adoptou uma Comunicação relativa à interoperabilidade dos serviços pan-europeus de administração em linha²⁰, que identifica os vários aspectos da interoperabilidade necessária a estes serviços e apela à colaboração dos Estados-Membros para que se alcance a interoperabilidade a nível europeu. O Plano de Acção para a administração pública em linha (eGovernment), adoptado em Abril de 2006, estabelece um roteiro para a realização de um leque de objectivos nesta matéria até 2010, e a Comissão publicou, em Março de 2006, um documento de trabalho dos seus serviços sobre a interoperabilidade no domínio da saúde em linha, que será seguido de uma Recomendação em 2007.

Os contratos públicos electrónicos são um elemento-chave da estratégia para melhorar os serviços públicos, sendo a interoperabilidade, a identidade e a autenticação temas comuns desenvolvidos nos domínios da administração pública em linha e da saúde em linha. Enquanto o desenvolvimento de serviços eficientes e centrados no utilizador é feito principalmente a nível nacional, os projectos-piloto a nível da UE incidem na dimensão pan-europeia e no papel dos serviços públicos em linha como catalisadores fundamentais, focalizando-se na gestão da identidade, na interoperabilidade e na segurança. A experiência mostra que os projectos precisam de adquirir massa crítica para produzirem o máximo impacto e garantirem um certo grau de interoperabilidade transfronteiras. No programa de trabalho de 2005 do programa IDABC foram incluídas acções preparatórias, que estão a ser implementadas. Para 2006, parte dos esforços do programa eTEN concentrar-se-á na preparação de projectos-piloto de grande escala que serão executados no âmbito do programa CIP (ou PCI - competitividade e inovação) a partir de 2007.

Em 2006/2007, a Comissão:

- lançará o Plano de Acção para a administração pública em linha e proporá orientações estratégicas para os serviços públicos apoiados nas TIC;
- criará o portal da União Europeia para a saúde pública e preparará uma recomendação sobre a interoperabilidade na saúde em linha;
- lançará projectos-piloto para testar, a uma escala operacional, soluções tecnológicas, legais e organizacionais para pôr em linha os serviços públicos (2007).

¹⁹ Decisão C(2005) 4473

²⁰ COM(2006) 45

Qualidade de vida

A contribuição das TIC para a qualidade de vida e o desenvolvimento sustentável nem sempre tem sido reconhecida. A iniciativa i2010 visa, por isso, dar mais visibilidade a essa questão lançando iniciativas emblemáticas sobre desafios sociais de primordial importância: envelhecimento da sociedade, transportes seguros e “verdes” e diversidade cultural. Para cada uma destas áreas foi proposta uma iniciativa emblemática assente nas TIC.

Em 2005, lançaram-se iniciativas no domínio das bibliotecas digitais e dos veículos inteligentes. Em 2006, será apresentada uma proposta de recomendação sobre digitalização e preservação digital. O significativo impacto das bibliotecas digitais e das redes TIC nas avaliações científicas pelos pares, nos modelos de publicações e no Espaço Europeu de Investigação será objecto de uma comunicação a apresentar em 2006. Foi criado um Grupo de Alto Nível para a Biblioteca Digital Europeia que reúne os principais interessados da indústria e de instituições culturais e que irá debruçar-se sobre questões como a colaboração entre o sector público e o privado em matéria de digitalização e de direitos de autor. A terceira iniciativa – “As TIC ao serviço da autonomia numa sociedade envelhecida” – será lançada em 2006.

Além disso, as TIC podem contribuir activamente para a redução do impacto ambiental da indústria e da sociedade e para o desenvolvimento de importantes ferramentas que permitirão realizar os objectivos comunitários em matéria de desenvolvimento sustentável. Por conseguinte, a Comissão irá propor uma quarta iniciativa emblemática para 2007, que promoverá a utilização do potencial das TIC para o crescimento sustentável, tendo como temas centrais a eficiência energética e a redução dos resíduos.

Em 2006-2007, a Comissão:

- lançará a iniciativa emblemática “As TIC ao serviço da autonomia numa sociedade envelhecida”;
- implementará a iniciativa emblemática “Veículos inteligentes”;
- implementará a iniciativa emblemática “Bibliotecas digitais”, proporá uma recomendação sobre digitalização e preservação digital e redigirá uma comunicação sobre bibliotecas digitais de informação científica;
- proporá uma quarta iniciativa emblemática - “As TIC ao serviço do desenvolvimento sustentável”.

4. CONCLUSÃO

Os desafios identificados na iniciativa i2010 permanecem válidos, mas exigem uma resposta mais vigorosa. Os decisores políticos devem não só tomar mais consciência da necessidade de acelerar os progressos no domínio das TIC, como também definir políticas que reforcem as tendências positivas neste sector. Entre as prioridades, destacam-se a implementação de estratégias para a banda larga, de abordagens coerentes no que respeita aos conteúdos e ao espectro, de estratégias integradas para a investigação e a inovação e de serviços públicos mais ambiciosos. Hoje, mais do que nunca, é necessário que a Europa defina as políticas

correctas em matéria de TIC para poder vencer a distância que ainda a separa dos seus principais concorrentes a nível mundial.

Na base da iniciativa i2010 continuarão, pois, a figurar, no período 2006-2007, três mensagens:

- **Urgência:** O crescente reconhecimento do papel das TIC no crescimento e na criação de empregos deve converter-se em acção, através da adopção, nos Programas Nacionais de Reforma, de uma abordagem estratégica que permita aproveitar as oportunidades oferecidas pela convergência digital e que combine os níveis macro e micro das políticas. Além disso, é necessário dispensar às propostas legislativas apresentadas no âmbito da iniciativa i2010 um tratamento expedito, para que a Europa tire integralmente partido dos efeitos acelerados da convergência digital no crescimento e na competitividade.
- **Parceria:** Acção e responsabilidade conjuntas da Comissão, dos Estados-Membros e das partes interessadas no âmbito da Agenda de Lisboa e da iniciativa i2010, não só para se identificarem os obstáculos à inovação, mas também para se avançar decididamente para a coordenação de políticas em toda a Europa, tendo em vista a criação de um espaço único de informação que abranja os 25 Estados-Membros da UE.
- **Acção:** A UE deve aproveitar o consenso existente em torno da importância das TIC no crescimento, no emprego e na qualidade de vida para passar à acção, implementando de forma determinada a regulamentação e as políticas que apoiam a competitividade e utilizando o peso económico das administrações públicas para promover a emergência de serviços inovadores para benefício dos cidadãos e para o crescimento e o emprego.



COMISSÃO DAS COMUNIDADES EUROPEIAS

Bruxelas, 30.3.2007
COM(2007) 146 final

**COMUNICAÇÃO DA COMISSÃO AO PARLAMENTO EUROPEU, AO
CONSELHO, AO COMITÉ ECONÓMICO E SOCIAL EUROPEU E AO COMITÉ
DAS REGIÕES**

i2010 – Relatório Anual de 2007 sobre a Sociedade da Informação

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i2010 – Relatório Anual de 2007 sobre a Sociedade da Informação

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1. INTRODUÇÃO

i2010 é a iniciativa da Comissão para as políticas da sociedade da informação e dos meios de comunicação social. Esta iniciativa garante a coerência das diversas políticas da Comissão para a sociedade da informação e os meios de comunicação social e pretende reforçar a importante contribuição das tecnologias da informação e das comunicações (TIC) para o desempenho das nossas economias e a estratégia de Lisboa renovada. A iniciativa i2010 intervém num contexto caracterizado pela rápida mudança, exigindo, por conseguinte, actualizações e acertos regulares. O presente relatório representa a segunda dessas actualizações e prepara o terreno para uma revisão intercalar mais profunda, que terá lugar em 2008.

O balanço de 2006 é, no geral, positivo¹. Os principais indicadores apontam no bom sentido, continuando as TIC a ser um grande motor de crescimento e de inovação. O cepticismo que, há quatro ou cinco anos, travava os investimentos nas TIC, deu lugar a maior confiança na nossa capacidade para desenvolver e implantar aplicações TIC em benefício próprio no campo económico e social. No que respeita às acções políticas, as diversas iniciativas a nível comunitário anunciadas aquando do lançamento da iniciativa i2010 em Junho de 2005 estão em bom andamento. A nível dos Estados-Membros, todos os planos nacionais de reforma de 2006 dão mais relevo à integração horizontal das políticas das TIC.

A Comissão executa a iniciativa i2010 em estreita cooperação com os Estados-Membros através do Grupo de Alto Nível i2010. Em 2006, e como parte da sua política industrial, lançou uma Task Force para as TIC², representativa da indústria e da sociedade civil, para avaliar se as suas actuais políticas favorecem a competitividade do sector das TIC ou se são precisos ajustamentos. Este trabalho e o relatório da Task Force, em particular, levaram a Comissão a concluir que o actual quadro político é, nas suas grandes linhas, adequado. A Comissão seguirá as recomendações da Task Force, sempre que divirjam das políticas actualmente em vigor, propondo acções específicas.

2. EVOLUÇÃO DA SOCIEDADE DA INFORMAÇÃO EM 2006

Seis anos após o rebentamento da bolha da Internet, a sociedade da informação entrou numa via de crescimento estável. Uma década de investimento nas TIC está a dar os seus frutos, acelerando a inovação em diversos domínios e transformando a União Europeia numa economia baseada no conhecimento. Desde 2005, o sector das TIC tem cada vez mais como motor a expansão do mercado do software e relativamente menos o segmento das comunicações electrónicas, o que reflecte as tendências a nível da inovação, que exige produtos de software mais transversais. O grande número de vendas de software de sistemas e de aplicações de negócios electrónicos indica que as empresas estão a adoptar, nesta matéria, soluções novas e mais maduras, mesmo que esses novos investimentos se limitem ainda às grandes companhias ou aos primeiros utilizadores de soluções avançadas.

Os utilizadores estão rapidamente a aderir aos novos serviços possibilitados pela convergência. Em muitos Estados-Membros, os níveis de adesão à banda larga são neste

¹ Esta avaliação tem por base a UE25. Os dados da UE27 estarão disponíveis a partir de 2007.

² <http://ec.europa.eu/enterprise/ict/taskforce.htm>

momento elevados, o que, por sua vez, estimula o desenvolvimento de serviços avançados inovadores. A transformação do mercado dos conteúdos está já patente no crescimento das vendas de música em linha e nos novos dispositivos digitais. A distribuição de filmes e a televisão em linha estão igualmente a avançar. A mudança da distribuição tradicional de conteúdos para a disponibilidade de conteúdos em linha é acompanhada por uma explosão de conteúdos criados pelos utilizadores.

O sector público não se deixou ficar para trás. Os serviços públicos em linha estão a atingir a maturidade e a produzir ganhos de eficiência visíveis: mais serviços foram postos em linha, os serviços disponíveis tornaram-se mais sofisticados e um maior número de europeus lida com o sector público em linha. À cabeça do processo está a administração pública, no que é seguida de perto pela saúde e a educação.

A UE pode basear-se nestes progressos para prosseguir as suas políticas de crescimento e inovação e todos os Estados-Membros reconhecem o papel fundamental das TIC na consecução dos objectivos de Lisboa. Relativamente a 2005, os planos nacionais de reforma de 2006 colocam mais a tónica na integração horizontal das políticas em matéria de TIC³. As TIC são consideradas motores de inovação, ferramentas de transformação dos modelos de governo e de negócio e instrumentos para melhorar a nossa qualidade de vida. A banda larga, a administração pública em linha e a literacia digital – áreas identificadas como prioritárias em 2005 – revelam francos progressos, apesar de irregulares, nos Estados-Membros. A investigação e desenvolvimento em matéria de TIC, as questões da confiança e da segurança e as medidas destinadas a reduzir os custos administrativos para as empresas e as administrações surgem como novas prioridades numa série de países. Ainda existem disparidades entre os Estados-Membros, mas, nalgumas áreas, como a adesão à banda larga, a emergência de novos serviços ou a administração pública em linha, os países de vanguarda na União Europeia são também líderes mundiais.

3. EXECUÇÃO DA INICIATIVA i2010 EM 2006 E ACÇÕES PARA 2007/2008

3.1. Espaço da informação

A convergência digital está finalmente a atingir a maioria. Embora o processo não esteja de modo algum concluído, a convergência é agora, inegavelmente, uma realidade. Os decisores políticos devem garantir que a legislação com impacto nos sectores convergentes ofereça a segurança jurídica de que as partes interessadas necessitam para inovar. O objectivo é responder às mudanças tecnológicas de um modo que promova a concorrência, consolide o mercado interno e beneficie os utilizadores. Uma análise das principais questões políticas em jogo indica que o quadro jurídico e regulamentar, no seu conjunto, é favorável a um maior desenvolvimento da convergência⁴.

As acções previstas no primeiro pilar da iniciativa i2010, tendentes a criar um espaço único europeu da informação, foram, na sua maior parte, lançadas. Em 2006, o **quadro regulamentar das comunicações electrónicas** foi revisto e, até meados de 2007, serão apresentadas as propostas de alteração. A discussão prosseguirá em 2007, com o lançamento de um Livro Verde sobre o futuro do serviço universal nas comunicações electrónicas.

³ “Execução da estratégia de Lisboa renovada para o crescimento e o emprego – Um ano de realizações”, COM(2006) 816 de 12.12.2006

⁴ "The challenges of convergence", documento de trabalho para o Grupo de Alto Nível i2010, 12.12.2006

Elemento importante da revisão do quadro regulamentar foi a promoção de uma utilização melhor e mais eficiente do espectro de radiofrequências, nomeadamente através da introdução de uma maior flexibilidade⁵. Seguir-se-lhe-ão propostas de abordagens comuns para a utilização colectiva do espectro e o dividendo digital. A Comissão procurará igualmente combater as ameaças e dissipar os receios dos consumidores quanto ao respeito da vida privada revelados pela consulta pública organizada em 2006 sobre a tecnologia de **identificação por radiofrequências (RFID)**.

A Comissão acrescentará mais alguns elementos aos alicerces da **política europeia do audiovisual**, fazendo avançar o debate sobre o pluralismo nos meios de comunicação social e a medioliteracia. O novo programa MEDIA 2007, para o período de 2007-2013, continuará a fornecer apoio financeiro ao sector audiovisual europeu. Além disso, a Comissão delineará as medidas de apoio à introdução e à implantação da **televisão móvel** em toda a UE.

Com o surgimento de novos serviços em linha, os intervenientes no mercado estão a iniciar um processo de aprendizagem com vista a desenvolverem **novos conteúdos, multilingues e inovadores**. A Carta Europeia do Cinema em Linha, estabelecida por iniciativa da Comissão e aprovada pelos dirigentes das empresas em 2006, constitui um primeiro marco nesta matéria. A Comissão está agora a estudar de que modo a Carta pode abrir caminho a uma política mais geral para os conteúdos em linha que encoraje o desenvolvimento de conteúdos em linha de elevada qualidade e inovadores.

No plano político, o próximo desafio consiste em garantir que os **utilizadores** se sintam confiantes ao utilizarem os novos serviços. Em 2006, a Comissão propôs um regulamento destinado a limitar as tarifas do *roaming* internacional para os utilizadores de serviços móveis e, em Fevereiro de 2007, lançou uma consulta pública sobre a revisão do acervo em matéria de protecção dos consumidores a nível europeu⁶.

Por último, a Comissão complementou a sua nova estratégia para uma **sociedade da informação segura** com uma comunicação relativa ao combate ao *spam* (correio não solicitado), ao *spyware* (software espião) e ao *malware* (software malévolo) e abordará a cibercriminalidade em 2007. Avaliará o funcionamento da Agência Europeia para a Segurança das Redes e da Informação (ENISA), com vista a decidir se o mandato desta agência deve ser prolongado, e fará o acompanhamento da aplicação das medidas de segurança, com vista a determinar a necessidade de acções suplementares até 2008.

Em 2007-2008, a Comissão:

- formulará propostas para a revisão do quadro regulamentar das comunicações electrónicas, lançará um debate sobre o futuro do serviço universal e continuará a desenvolver um quadro coordenado para uma gestão flexível e eficiente do espectro, designadamente no respeitante à utilização colectiva do espectro e ao dividendo digital;
- avaliará a necessidade de políticas para a medioliteracia e proporá abordagens gerais para a RFID e a televisão móvel;

⁵ “Acesso rápido ao espectro para os serviços de comunicações electrónicas sem fios através da introdução de maior flexibilidade”, COM(2007) 50 de 8.2.2007

⁶ Livro verde sobre a revisão do acervo relativo à defesa do consumidor, COM(2006) 744 de 8.2.2007, http://ec.europa.eu/consumers/cons_int/safe_shop/acquis/index_en.htm

- promoverá uma abordagem geral para o desenvolvimento de conteúdos inovadores de alta qualidade;
- garantirá o acompanhamento da estratégia para a segurança com uma comunicação sobre cibercriminalidade, avaliará a ENISA com vista a decidir do prolongamento do seu mandato e avaliará a necessidade de acções adicionais no domínio da segurança (2008).

3.2. Inovação e I&D em tecnologias da informação e das comunicações (TIC)

No centro da estratégia da Comissão para o crescimento e o emprego está o incremento à investigação e inovação. A UE traçou o objectivo de dedicar 3% do seu PIB à I&D, 2% dos quais deverão provir do sector privado. Com apenas 1,9% do PIB gastos hoje em dia em I&D, esse objectivo está ainda longe de ser atingido. O Relatório Anual de Progresso de 2006 sobre a estratégia de Lisboa salienta que todos os Estados-Membros estabeleceram um objectivo nacional de investimento em I&D e que, se todos esses objectivos forem cumpridos, a UE atingirá um nível de investimento em I&D da ordem dos 2,6% do PIB em 2010.

O sector das TIC é responsável por uma grande quota-parte das despesas agregadas das empresas em I&D (26% em 2003⁷). Como sublinhado pela Task Force para as TIC, o aumento da despesa com I&D consagrada às TIC é fundamental para a consecução do objectivo de 3% fixado pela União Europeia. A investigação e a inovação europeias recebem um importante incentivo com o lançamento do **Sétimo Programa-Quadro de Investigação (PQ7)**, que cobrirá o período de 2007-2013. A UE investirá mais de 9000 M€ nas TIC, que constituem a maior rubrica do programa. A Comissão continuará a cooperar com as nove Plataformas Tecnológicas Europeias para as TIC, criadas para reforçar a parceria com as empresas e obter uma massa crítica de investigação em domínios estratégicos. Duas dessas plataformas fornecerão a base para **iniciativas tecnológicas conjuntas (ITC)**, um novo tipo de iniciativas que reunirão fundos da UE, dos Estados-Membros e das empresas em parcerias público-privadas destinadas a promover a investigação europeia de ponta.

A UE está igualmente empenhada em melhorar as condições-quadro para a inovação⁸, tendo identificado, para esse efeito, 10 acções-chave⁹. A Comissão está a procurar identificar as diferenças nas políticas sobre esta matéria, para garantir que a **política de normalização** da UE para o sector das TIC responda ao desafio que representam actualmente os mercados em rápida evolução. A Comissão encorajará igualmente as autoridades a cooperarem e a reforçarem o papel do sector público da UE enquanto primeiro comprador de **produtos e serviços inovadores e/ou pré-comerciais**, abrindo com isso novas oportunidades de mercados-piloto para, entre outros, produtos e serviços baseados nas TIC.

A inovação não resulta apenas da investigação, sendo cada vez mais induzida pelos utilizadores das tecnologias ou pela mudança organizacional. O programa de apoio à política das TIC do **Programa para a Competitividade e a Inovação (PCI)** estimula a inovação e a competitividade através da promoção de uma maior e melhor utilização das TIC pelos cidadãos, os governos e as empresas, em particular as PME. Em 2007, o programa de apoio à política das TIC focar-se-á no papel do sector público enquanto utilizador e abordará três

⁷ Estimativa dos serviços da Comissão, baseada no inquérito da OCDE/Eurostat aos gastos em I&D em 2003.

⁸ “Uma Europa moderna e aberta à inovação”, COM(2006) 589 de 12.10.2006

⁹ “O conhecimento em acção: uma estratégia alargada para a UE no domínio da inovação”, COM(2006) 502 de 13.9.2006

temas principais: serviços da administração pública em linha eficientes e interoperáveis; as TIC para responder aos problemas da acessibilidade, do envelhecimento e da integração social; e as TIC para serviços de saúde sustentáveis e interoperáveis. Em 2007, a Comissão continuará a examinar as necessidades políticas de promoção e facilitação dos **negócios electrónicos** no quadro do Observatório dos negócios electrónicos (*eBusiness W@tch*) e da rede europeia de apoio electrónico às empresas (eBSN)¹⁰. Responderá ao apelo da Task Force para as TIC no sentido de se conceber uma estratégia de longo prazo para as **competências digitais (eSkills)**, fazendo, nomeadamente, a ligação com o ensino e a formação.

Os Estados-Membros e as regiões são encorajados a apoiar a difusão das TIC em função das suas necessidades, tendo em vista o desenvolvimento quer de produtos e serviços TIC, quer da infra-estrutura. No âmbito dos Fundos Estruturais, a UE consagrou cerca de 7000 M€, entre 2000 e 2006, a projectos na área das TIC. Estas tecnologias são também uma das prioridades consideradas nas Orientações Estratégicas Comunitárias para 2007-2013 em matéria de coesão¹¹.

Em 2007-2008, a Comissão:

- proporá Iniciativas Tecnológicas Conjuntas (ICT) no domínio da nanoelectrónica (ENIAC) e dos sistemas incorporados (ARTEMIS) com vista a uma tomada de decisão pelo Conselho;
- examinará a normalização em matéria de TIC;
- estudará o potencial das compras públicas de produtos na fase pré-comercial para melhorar a qualidade dos serviços públicos e o desempenho da Europa em termos de inovação;
- prosseguirá a coordenação de políticas a favor da adopção das TIC, fará a revisão das políticas e das tendências relativas aos negócios electrónicos e definirá as medidas políticas eventualmente necessárias;
- avaliará a necessidade de agir no campo das competências digitais e da empregabilidade no contexto do seguimento dos trabalhos da Task Force para as TIC.

3.3. Inclusão, melhoria dos serviços públicos e qualidade de vida

Inclusão

À medida que a inovação vai transformando o papel dos utilizadores, é cada vez mais importante não deixar nenhum utilizador pelo caminho. A conferência de Riga sobre a info-inclusão marcou o início deste processo de reflexão com uma Declaração Ministerial que estabelece orientações políticas para as acções futuras. Como etapa seguinte, a Comissão apresentará em linhas gerais a sua visão para a **iniciativa eInclusion 2008**, com base em amplas consultas. Examinará os progressos realizados no domínio da acessibilidade dos

¹⁰ <http://www.ebusiness-watch.org/> e http://ec.europa.eu/enterprise/e-bsn/index_en.html

¹¹ COM (2006) 386 de 13.7.2006

produtos e serviços em linha (**eAccessibility**) e avaliará a necessidade de novas acções, nomeadamente de propostas de medidas de carácter jurídico¹².

A Comissão continuará a dar o seu apoio às acções que tenham em vista facilitar o **acesso** de todos os europeus à **banda larga de elevado débito**, alimentando, com isso, a ambiciosa iniciativa da Comissão “As regiões e a mudança económica”, lançada a título dos Fundos Estruturais¹³. Em cumprimento dos compromissos da Declaração de Riga, a Comissão reexaminará as medições e as políticas relativas à **literacia digital**, em estreita relação com o ensino e a formação.

Em 2007-2008, a Comissão:

- definirá a sua visão sobre uma política geral para a info-inclusão (2007) e preparará a iniciativa europeia sobre a info-inclusão prevista para 2008 (eInclusion 2008);
- analisará os progressos realizados a nível da eAccessibility e proporá novas acções, se necessário;
- contribuirá para a sensibilização (importante evento sobre a banda larga nas comunidades rurais em 2007) e para o intercâmbio de boas práticas (sítio Web) em matéria de facilitação do acesso de todos os europeus à banda larga de elevado débito;
- lançará as redes regionais “Melhores ligações entre as regiões com base nas TIC” e “Levar a administração pública em linha às regiões e às empresas”, integradas na iniciativa “As regiões e a mudança económica”;
- reexaminará as medições e as políticas relativas à literacia digital.

Melhoria dos serviços públicos

Em 2006, os serviços públicos em linha amadureceram mais visivelmente nos domínios do governo electrónico e da saúde em linha. Os Estados-Membros estão a progredir nas suas iniciativas nacionais no domínio da **administração pública em linha** e a cooperar em actividades comuns a nível da UE para atingirem os ambiciosos objectivos do plano de acção para a administração pública em linha até 2010. Em 2006, foi lançado o portal da UE dedicado à saúde em linha (eHealth). Todos os Estados-Membros completaram as suas estratégias e será disponibilizada uma compilação das boas práticas nacionais no domínio da **saúde em linha**.

Os Estados-Membros reconhecem a dimensão europeia dos serviços públicos baseados nas TIC e identificaram os principais vectores da interoperabilidade transfronteiras. No âmbito do programa IDABC, a Comissão irá rever, em 2007, o quadro europeu da interoperabilidade¹⁴. Além disso, publicará uma recomendação sobre interoperabilidade no domínio da saúde em linha e lançará medidas de apoio em favor de um mercado da saúde em linha propício à inovação no domínio da vigilância e da gestão da saúde pessoal. Até 2008, o objectivo é

¹² A Comissão incluirá, por exemplo, nas suas propostas de alteração à Directiva relativa aos serviços de comunicação social audiovisuais, uma disposição destinada a tornar os serviços de comunicação social audiovisuais acessíveis às pessoas com incapacidade visual ou auditiva.

¹³ As regiões e a mudança económica, COM(2006) 675 de 8.11.2006

¹⁴ <http://ec.europa.eu/idabc/en/document/6227>

implantar redes de informação sobre saúde baseadas nas comunicações fixas e sem fios em banda larga, assim como nas infra-estruturas móveis e nas tecnologias Grid.

Em 2007 e 2008, **projectos-piloto de grande escala no âmbito do programa de apoio à política das TIC** continuarão a apoiar a melhoria dos serviços públicos em domínios como a identificação electrónica, a transmissão segura de documentos entre administrações, os contratos públicos electrónicos, a participação electrónica, os dados sobre doentes de urgências e as receitas médicas electrónicas. Os projectos-piloto de grande escala nos domínios dos contratos públicos electrónicos e da identificação electrónica também serão apoiados pelos trabalhos actualmente realizados pelo programa IDABC nestes domínios.

Em 2007-2008, a Comissão:

- continuará a apoiar a implementação do plano de acção para a administração pública em linha, nomeadamente prosseguindo os seus esforços para integrar e transformar a sua própria administração, e fará a revisão do quadro europeu da interoperabilidade;
- publicará uma recomendação sobre a interoperabilidade na saúde em linha, promoverá a criação de um mercado da saúde em linha propício à inovação e estabelecerá uma rede interoperável de informação sobre saúde (2008);
- lançará projectos-piloto de grande escala no âmbito do programa PCI.

Qualidade de vida

As TIC não são apenas um motor de competitividade e inovação, mas mudam também os modos de vida e de comunicação das pessoas. A iniciativa i2010 tem isso em conta ao centrar-se em domínios em que as inovações tecnológicas podem melhorar significativamente a qualidade de vida: o envelhecimento, a diversidade cultural, os veículos inteligentes e as alterações climáticas.

Em 2007, a Comissão lançará uma iniciativa emblemática sobre o tema **Envelhecer bem na sociedade da informação**. Incluirá uma iniciativa no domínio da investigação sobre Assistência à autonomia no domicílio (AAD), baseada no artigo 169.º do Tratado da União Europeia, integrando as tecnologias nos produtos e serviços para garantir uma continuidade entre a investigação avançada e a implantação dos produtos. A iniciativa será complementada pelas actividades de investigação a mais longo prazo no âmbito dos sexto e sétimo programas-quadro e pelas actividades de implantação no âmbito do PCI, como os cuidados ao domicílio para idosos.

As **iniciativas emblemáticas Bibliotecas Digitais e Veículo Inteligente** estão em fase de execução. A Comissão publicou orientações sobre a digitalização, a acessibilidade em linha do material cultural e a preservação digital, e sobre os recursos científicos. Pediu-se aos Estados-Membros que relançassem o sistema de chamada de emergência a bordo dos veículos (eCall). Em 2007, a Comissão avaliará os progressos realizados a nível do Veículo Inteligente e nas negociações sobre a introdução voluntária do sistema eCall nos veículos.

As novas tecnologias baseadas nas TIC são essenciais para conseguir não só uma maior eficiência dos recursos, mas também mudanças qualitativas para padrões de consumo económicos e sociais radicalmente diferentes e mais sustentáveis. Em 2007, será preparada

uma iniciativa emblemática i2010 centrada em prioridades como **a eficiência energética e a sustentabilidade ambiental**.

Em 2007-2008, a Comissão:

- lançará a iniciativa emblemática “Envelhecer bem na sociedade da informação”, proporá a iniciativa AAD ao abrigo do artigo 169.º e lançará projectos-piloto no âmbito do PCI focados na autonomia de vida e na vigilância de doenças crónicas;
- examinará a aplicação da recomendação sobre digitalização e acessibilidade em linha do material cultural e preservação digital (2008);
- avaliará a implementação da iniciativa emblemática “Veículo Inteligente” e do sistema eCall;
- preparará uma iniciativa emblemática sobre as TIC ao serviço do crescimento sustentável.

4. IDENTIFICAÇÃO DAS FUTURAS TENDÊNCIAS

A estratégia de Lisboa fez da inovação uma prioridade absoluta e a UE estabeleceu uma agenda política geral para esse efeito. As TIC são amplamente reconhecidas como um vector determinante de inovação. Para tirar partido dos êxitos obtidos com a iniciativa i2010 em 2005 e 2006, a UE tem de adoptar uma abordagem mais voltada para o futuro e melhorar a articulação entre as políticas das TIC e as prioridades de Lisboa. Os responsáveis políticos devem também compreender de que modo a nova evolução económica e social pode fazer chegar os benefícios da sociedade da informação a novos grupos, dinamizar a concorrência e reforçar a liderança industrial europeia, ao mesmo tempo chamando toda a sociedade a participar. Assim, na revisão intercalar da iniciativa i2010, que será efectuada em 2008, devem ser abordadas três questões, que apresentaremos em seguida.

Uma nova onda de inovação nas redes e na Internet

A sociedade da informação está a tornar-se uma realidade. Redes de baixo custo, extensíveis através de redes móveis ou sem fios, permitem uma ligação sem discontinuidades e a utilização de aplicações e serviços integrados, cuja utilização, pelo seu lado, está a generalizar-se em toda a sociedade.

Esta mudança tem na base as tendências tecnológicas emergentes, como a migração para as redes de altíssimo débito, as tecnologias sem fios ubíquas, a Web 2.0, a Internet das coisas, as redes *Grid*, as novas arquitecturas de rede, os serviços assentes na Web, as interfaces de utilizador, os conteúdos criados pelo utilizador e as redes de contactos sociais. Estas tendências terão efeitos nas actividades económicas e nos ambientes de trabalho, oferecendo novas oportunidades às empresas e novas soluções para os negócios electrónicos e o emprego, permitindo assim melhorar o equilíbrio entre vida privada e vida profissional. Os utilizadores também verão reforçado o seu papel de inovadores, que, aliás, já é visível na explosão de conteúdos criados por eles próprios.

Embora muitos aspectos das futuras redes e da Internet demorem ainda algum tempo a ser materializados, os obstáculos ao desenvolvimento da sociedade da informação podem já ser identificados. São de vária ordem: desde o investimento em maior largura de banda à

neutralidade da rede, passando pela disponibilidade de espectro e a segurança. Convém debater, o mais depressa possível, com as partes interessadas, a evolução a longo prazo e, nesse contexto, avaliar a necessidade de uma eventual acção política.

A inovação na perspectiva do utilizador

Com a emergência de novos serviços, o próximo desafio é o utilizador. O surgimento de conteúdos criados pelos utilizadores começa a abrir novas perspectivas de uma sociedade da informação mais criativa e inovadora. Da mesma maneira que os utilizadores exploraram as potencialidades do software de fonte aberta para desenvolverem novos processos de colaboração, agora começam a utilizar as TIC para criar e trocar os seus próprios conteúdos por meios inovadores. Esta evolução coloca novos desafios, nomeadamente no respeitante à responsabilidade legal pela distribuição dos conteúdos, à reutilização de materiais protegidos por direitos de autor e à protecção da vida privada.

Consequentemente, a visão tradicional dos utilizadores altera-se na sociedade da informação. As políticas que visam eliminar os obstáculos à utilização generalizada das TIC – definidas na iniciativa i2010 – não se tornarão, porém, obsoletas. Com a iniciativa sobre a info-inclusão, prevista para 2008, a i2010 terá uma vertente própria focada nos utilizadores, sendo que, nas políticas da Comissão relativas às TIC, o interesse dos consumidores já está presente. Um exemplo recente é a proposta da Comissão sobre o *roaming*, que pretende eliminar os encargos injustificados para os consumidores.

Os serviços e produtos TIC começam a ser utilizados por novos segmentos da população. Uma preocupação crescente dos utilizadores são as questões da eventual violação da vida privada, da falta de interoperabilidade, da falta de transparência das condições contratuais e da formação de preços, da excessiva complexidade das aplicações e da falta de eficácia dos mecanismos de resolução de litígios. Os responsáveis políticos têm agora de dar resposta a estas preocupações.

Melhoria das condições gerais

A estratégia da UE para a inovação considera a realização do mercado interno a via para garantir uma concorrência efectiva e proporcionar escala suficiente para ajudar as grandes empresas e muitas PME a desafiarem a concorrência a nível mundial. Por conseguinte, a Comissão planeou uma revisão da estratégia para o mercado interno apostada em reforçar a inovação e em melhorar a legislação.

Um dos principais objectivos da iniciativa i2010 é criar um espaço único da informação. Até agora, as atenções têm-se centrado nas redes e na regulamentação dos conteúdos. Com os seus 27 mercados distintos, a União Europeia – apesar dos progressos – ainda está longe de ser um espaço único da informação. Apesar de os mercados dos serviços em linha serem já mundiais, muitos consumidores da UE evitam comprar bens e serviços a outro Estado-Membro através da Internet. Os problemas legais ainda são um obstáculo à adesão das empresas aos negócios electrónicos e, nalgumas áreas, foram identificadas barreiras regulamentares que criam potenciais obstáculos à competitividade¹⁵.

¹⁵ <http://ec.europa.eu/enterprise/ict/taskforce.htm>

Precisamos de uma perspectiva mais ampla que tenha em conta as novas tendências. Por exemplo, a Internet permite que os doentes procurem tratamento em qualquer local da UE ou fora dela e que também os médicos, por sua vez, prestem serviços à distância. Estas novas possibilidades têm impacto na organização dos serviços e implicações nas finanças públicas. A reflexão sobre o mercado interno deve, por conseguinte, ir além da avaliação dos obstáculos legais abordados na revisão do quadro regulamentar das comunicações electrónicas e na Directiva relativa aos serviços de comunicação social audiovisuais. Tomando por base o trabalho da Task Force para as TIC, a reflexão deve procurar uma solução para as barreiras que dificultam a oferta de serviços pan-europeus em linha, estudar o modo como as TIC podem reforçar o mercado interno e procurar avaliar o custo e os riscos da fragmentação da sociedade da informação europeia.

5. ROTEIRO PARA FUTURAS ACÇÕES NA PERSPECTIVA DA REVISÃO INTERCALAR DA INICIATIVA i2010

Para preparar as discussões sobre a revisão intercalar, em 2008, da iniciativa i2010, a Comissão propõe um maior envolvimento dos Estados-Membros, do Grupo de Alto Nível i2010, da indústria, da sociedade civil e de outras partes interessadas na definição dos diferentes temas. A Comissão:

- desenvolverá os temas identificados na capítulo 4 em cooperação com o Grupo de Alto Nível i2010;
- lançará uma consulta pública que envolva todas as partes interessadas, para validar as abordagens propostas para a definição dos temas centrais;
- abordará as principais questões a ter em conta na revisão intercalar num evento de alto nível consagrado à iniciativa i2010 a realizar em 2008.

O resultado dessas discussões inspirará o Conselho Europeu da Primavera de 2008, que se debruçará sobre as questões da próxima geração de redes e da Internet. A revisão intercalar da iniciativa i2010 deverá garantir que ela continue a ser um quadro de referência válido para as políticas europeias em matéria de sociedade da informação e de meios de comunicação social, permitindo à Europa tirar pleno partido dos progressos realizados na execução da agenda de Lisboa para o crescimento e o emprego.

DECISÃO 2006/1720/CE DO PARLAMENTO EUROPEU E DO CONSELHO**de 15 de Novembro de 2006****que estabelece um programa de acção no domínio da aprendizagem ao longo da vida**

O PARLAMENTO EUROPEU E O CONSELHO DA UNIÃO EUROPEIA,

Tendo em conta o Tratado que institui a Comunidade Europeia, nomeadamente o n.º 4 do artigo 149.º e o n.º 4 do artigo 150.º,

Tendo em conta a proposta da Comissão,

Tendo em conta o parecer do Comité Económico e Social Europeu ⁽¹⁾,

Tendo em conta o parecer do Comité das Regiões ⁽²⁾,

Deliberando nos termos do artigo 251.º do Tratado ⁽³⁾,

Considerando o seguinte:

- (1) A Decisão n.º 1999/382/CE do Conselho ⁽⁴⁾ estabeleceu a segunda fase do programa comunitário de acção em matéria de formação profissional «Leonardo da Vinci».
- (2) A Decisão n.º 253/2000/CE do Parlamento Europeu e do Conselho ⁽⁵⁾ estabeleceu a segunda fase do programa de acção comunitário «Sócrates» em matéria de educação.
- (3) A Decisão n.º 2318/2003/CE do Parlamento Europeu e do Conselho ⁽⁶⁾ estabeleceu um programa plurianual para a integração efectiva das tecnologias da informação e comunicação (TIC) nos sistemas europeus de educação e formação (Programa eLearning).
- (4) A Decisão n.º 791/2004/CE do Parlamento Europeu e do Conselho ⁽⁷⁾ instituiu um programa de acção comunitário para a promoção de organismos activos no plano europeu no domínio da educação e da formação e o apoio a actividades pontuais neste domínio.
- (5) A Decisão n.º 2241/2004/CE do Parlamento Europeu e do Conselho ⁽⁸⁾ estabeleceu um quadro único para a transparência das qualificações e competências (Europass).
- (6) A Decisão n.º 2317/2003/CE do Parlamento Europeu e do Conselho ⁽⁹⁾ criou um programa que visa o reforço da qualidade do ensino superior e a promoção da compreensão intercultural através da cooperação com países terceiros (Erasmus Mundus) (de 2004 a 2008).

⁽¹⁾ JO C 221 de 8.9.2005, p. 134.

⁽²⁾ JO C 164 de 5.7.2005, p. 59.

⁽³⁾ Parecer do Parlamento Europeu emitido em 25 de Outubro de 2005 (ainda não publicado no Jornal Oficial), posição comum do Conselho emitida em 24 de Julho de 2006 (JO C 251 E de 17.10.2006, p. 37), posição do Parlamento Europeu emitida em 25 de Outubro de 2006 (ainda não publicada no Jornal Oficial).

⁽⁴⁾ JO L 146 de 11.6.1999, p. 33. Decisão com a última redacção que lhe foi dada pelo Regulamento (CE) n.º 885/2004 (JO L 168 de 1.5.2004, p. 1).

⁽⁵⁾ JO L 28 de 3.2.2000, p. 1. Decisão com a última redacção que lhe foi dada pelo Regulamento (CE) n.º 885/2004.

⁽⁶⁾ JO L 345 de 31.12.2003, p. 9.

⁽⁷⁾ JO L 138 de 30.4.2004, p. 31.

⁽⁸⁾ JO L 390 de 31.12.2004, p. 6.

⁽⁹⁾ JO L 345 de 31.12.2003, p. 1.

(7) A Declaração de Bolonha, assinada pelos Ministros da Educação de 29 países europeus em 19 de Junho de 1999, estabeleceu um processo intergovernamental com o objectivo de criar um «espaço europeu do ensino superior» até 2010, para o que é necessário apoio a nível comunitário.

(8) O Conselho Europeu de Lisboa de 23 e 24 de Março de 2000 estabeleceu um objectivo estratégico para a União Europeia, a saber, tornar-se na economia baseada no conhecimento mais dinâmica e competitiva do mundo, capaz de garantir um crescimento económico sustentável, com mais e melhores empregos e com maior coesão social, e convidou o Conselho (Educação) a proceder a uma reflexão geral sobre os objectivos futuros concretos dos sistemas educativos, centrada nas preocupações e prioridades comuns mas respeitando simultaneamente a diversidade nacional.

(9) Uma sociedade do conhecimento avançada é a chave do aumento das taxas de crescimento e de emprego. A educação e a formação são prioridades essenciais para a União Europeia com vista à consecução dos objectivos de Lisboa.

(10) Em 12 de Fevereiro de 2001, o Conselho aprovou um relatório sobre os objectivos futuros concretos dos sistemas de educação e formação. Posteriormente, em 14 de Junho de 2002, aprovou um programa de trabalho pormenorizado sobre o seguimento desses objectivos, para o qual é necessário apoio a nível comunitário.

(11) O Conselho Europeu de Göteborg de 15 e 16 de Junho de 2001 aprovou uma estratégia para o desenvolvimento sustentável e acrescentou uma dimensão ambiental ao processo de Lisboa relativo ao emprego, à reforma económica e à coesão social.

(12) O Conselho Europeu de Barcelona de 15 e 16 de Março de 2002 estabeleceu o objectivo de tornar os sistemas de educação e formação europeus numa referência mundial de qualidade até 2010 e apelou à prossecução da acção com vista a melhorar o domínio das competências de base, nomeadamente através do ensino de pelo menos duas línguas estrangeiras desde uma idade muito precoce.

- (13) A Comunicação da Comissão e a Resolução do Conselho de 27 de Junho de 2002 ⁽¹⁾ sobre a aprendizagem ao longo da vida afirmam que a aprendizagem ao longo da vida deve ser potenciada através de acções e políticas desenvolvidas no quadro dos programas comunitários neste domínio.
- (14) A Resolução do Conselho de 19 de Dezembro de 2002 ⁽²⁾ estabeleceu um processo de cooperação europeia reforçada nesta matéria, para o qual é necessário apoio a nível comunitário. A Declaração de Copenhaga, aprovada pelos Ministros da Educação de 31 países europeus em 30 de Novembro de 2002, associou os parceiros sociais e os países candidatos a este processo.
- (15) A Comunicação da Comissão sobre o plano de acção para as competências e a mobilidade observa que continua a ser necessário desenvolver acções a nível europeu para melhorar o reconhecimento das qualificações em matéria de educação e formação profissional.
- (16) A Comunicação da Comissão relativa a um plano de acção destinado a promover a aprendizagem das línguas e a diversidade linguística indica acções a realizar a nível europeu no período de 2004 a 2006 e prevê medidas de acompanhamento.
- (17) A promoção do ensino e da aprendizagem de línguas e a diversidade linguística deverão constituir uma prioridade da acção comunitária no domínio da educação e da formação profissional. O ensino e a aprendizagem de línguas assumem especial relevância entre Estados-Membros vizinhos.
- (18) Os relatórios de avaliação intercalar dos actuais programas Sócrates e Leonardo da Vinci e a consulta pública sobre a acção futura da Comunidade no domínio da educação e da formação mostraram que o prosseguimento das actividades de cooperação e mobilidade nestes domínios a nível europeu constitui uma necessidade importante e, em certos aspectos, crescente. Os relatórios puseram também em destaque a importância de assegurar uma melhor ligação dos programas comunitários à evolução das políticas de educação e formação, formularam o desejo de que a acção comunitária fosse estruturada de modo a responder melhor ao paradigma da aprendizagem ao longo da vida e apelaram a uma abordagem mais simples, mais convivial e mais flexível com vista à execução desta acção.
- (19) Com base no princípio de boa gestão financeira, a execução do programa pode ser simplificada recorrendo a um financiamento por montantes fixos, quer no tocante ao apoio concedido aos participantes nos programas, quer no tocante ao apoio comunitário para as estruturas criadas a nível nacional para a gestão do programa.
- (20) A integração do apoio comunitário à cooperação e à mobilidade transnacionais no domínio da educação e da formação num programa único traria vantagens significativas, uma vez que permitiria obter maiores sinergias entre os diversos domínios de acção, reforçaria a capacidade de apoiar o desenvolvimento da aprendizagem ao longo da vida e proporcionaria modos de gestão mais coerentes, racionais e eficientes. Um programa único favorecerá ainda uma melhor cooperação entre os vários níveis de educação e formação profissional.
- (21) Deverá, por conseguinte, ser criado um Programa de Aprendizagem ao Longo da Vida, a fim de contribuir, através da aprendizagem ao longo da vida, para o desenvolvimento da União Europeia enquanto sociedade de conhecimento avançada, caracterizada por um crescimento económico sustentável, com mais e melhores empregos e uma maior coesão social.
- (22) Tendo em conta as especificidades dos sectores escolar, do ensino superior, da formação profissional e da educação de adultos, e a consequente necessidade de a acção comunitária se basear em objectivos, formas de acção e estruturas organizativas adaptadas a estes domínios, convém manter, no quadro do Programa de Aprendizagem ao Longo da Vida, programas específicos para cada um destes quatro sectores e maximizar a coerência e os elementos comuns entre esses programas.
- (23) Na sua Comunicação intitulada «Construir o nosso futuro em comum: desafios políticos e recursos orçamentais da União alargada — 2007-2013», a Comissão estabeleceu uma série de objectivos quantificados a cumprir pela nova geração de programas comunitários de educação e formação, que pressupõem um aumento significativo das acções de mobilidade e parceria.
- (24) Tendo em conta não só os efeitos benéficos comprovados da mobilidade transnacional para as pessoas e para os sistemas de educação e formação, como também o grande volume da procura de mobilidade não satisfeita em todos os sectores e a importância de que se reveste esta actividade no contexto do objectivo de Lisboa, torna-se necessário aumentar substancialmente o volume do apoio à mobilidade transnacional nos quatro subprogramas sectoriais.
- (25) A fim de cobrir de forma mais adequada os custos adicionais efectivos suportados pelos estudantes no estrangeiro, o montante da bolsa padrão para a mobilidade dos estudantes deve ser mantido, ao longo do período de vigência do programa, num nível médio de 200 EUR em termos reais por mês.
- (26) Deverão ser adoptadas disposições suplementares para ter em conta as necessidades individuais de mobilidade dos alunos do ensino secundário e dos estudantes em idade adulta, que até ao momento não se encontram abrangidos por programas comunitários, mediante a introdução de um novo tipo de acção de mobilidade no âmbito dos programas Comenius e Grundtvig. Convirá ainda aproveitar cabalmente as possibilidades oferecidas pela mobilidade dos professores a fim de desenvolver uma cooperação duradoura entre estabelecimentos de ensino situados em regiões vizinhas.

⁽¹⁾ JO C 163 de 9.7.2002, p. 1.

⁽²⁾ JO C 13 de 18.1.2003, p. 2.

- (27) As pequenas e médias empresas desempenham um papel de relevo na economia europeia. Até ao momento, porém, a participação dessas empresas no programa Leonardo da Vinci foi diminuta. Deverão, pois, ser tomadas medidas para melhorar o atractivo das iniciativas comunitárias para as referidas empresas, nomeadamente através da garantia de que haverá mais oportunidades para os formandos no plano da mobilidade. Deverão ser previstas disposições adequadas, análogas às que existem no âmbito do programa Erasmus, com vista ao reconhecimento dos resultados deste tipo de mobilidade.
- (28) Tendo em conta os desafios educativos específicos com que se encontram confrontados os filhos dos trabalhadores que exercem profissões itinerantes e dos trabalhadores móveis na Europa, deverão ser inteiramente aproveitadas as oportunidades existentes no âmbito do programa Comenius de apoio às actividades transnacionais orientadas para as suas necessidades.
- (29) O aumento da mobilidade à escala europeia deverá ser indissociável de uma constante melhoria da qualidade.
- (30) A fim de dar resposta à crescente necessidade de apoiar a realização de actividades a nível europeu para atingir estes objectivos políticos, e no intuito de estabelecer um instrumento de apoio a actividades trans-sectoriais nos domínios das línguas e das TIC e de reforçar a divulgação e exploração dos resultados do programa, é oportuno complementar os quatro subprogramas sectoriais com um programa transversal.
- (31) Para atender à crescente necessidade de informação e de diálogo sobre o processo de integração europeia e a sua evolução, é importante estimular a excelência no âmbito do ensino, da investigação e da reflexão neste domínio através do apoio a estabelecimentos de ensino superior especializados no estudo do processo de integração europeia, a associações europeias da área da educação e formação e à Acção Jean Monnet.
- (32) É necessário assegurar a flexibilidade suficiente na formulação da presente decisão para que as acções do Programa de Aprendizagem ao Longo da Vida possam ser ajustadas de modo a reflectirem a evolução das necessidades ao longo do período de 2007 a 2013, evitando as disposições excessivamente pormenorizadas das anteriores fases dos programas Sócrates e Leonardo da Vinci.
- (33) Em conformidade com o n.º 2 do artigo 3.º do Tratado, a Comunidade deverá ter por objectivo eliminar as desigualdades e promover a igualdade entre homens e mulheres em todas as suas actividades.
- (34) Nos termos do artigo 151.º do Tratado, a Comunidade deverá ter em conta os aspectos culturais na sua acção ao abrigo de outras disposições do Tratado, nomeadamente a fim de respeitar e promover a diversidade das suas culturas. Deverá ser dada especial atenção às sinergias entre a cultura, a educação e a formação. O diálogo intercultural deverá também ser incentivado.
- (35) É necessário promover uma cidadania activa bem como o respeito dos direitos humanos e da democracia, e intensificar a luta contra todas as formas de exclusão, incluindo o racismo e a xenofobia.
- (36) Na implementação de todas as partes do programa, é necessário alargar o acesso às pessoas oriundas de grupos desfavorecidos e atender de modo activo às necessidades especiais no domínio da aprendizagem das pessoas com deficiência, nomeadamente através do aumento do montante das bolsas para reflectir os custos adicionais dos participantes com deficiência e da prestação de apoio à aprendizagem e utilização da linguagem gestual e do Braille.
- (37) Importa registar os resultados obtidos por ocasião do Ano Europeu da Educação pelo Desporto (2004) e os potenciais benefícios em termos de educação resultantes da cooperação entre instituições de ensino e organizações desportivas, evidenciados durante esse ano.
- (38) Os países candidatos à adesão à União Europeia e os países da EFTA que fazem parte do EEE podem participar nos programas comunitários em conformidade com acordos a celebrar entre a Comunidade e esses países.
- (39) O Conselho Europeu de Salónica de 19 e 20 de Junho de 2003 aprovou as Conclusões do Conselho de 16 de Junho de 2003 sobre os Balcãs Ocidentais, incluindo o respectivo Anexo «Agenda de Salónica para os Balcãs Ocidentais: em direcção a uma Integração Europeia», nos termos do qual os programas comunitários devem estar abertos aos países do Processo de Estabilização e de Associação, com base em acordos-quadro a celebrar entre a Comunidade e esses países.
- (40) A Comunidade e a Confederação Suíça declararam a sua intenção de iniciar negociações tendo em vista a celebração de acordos em domínios de interesse comum, como os programas comunitários relativos à educação, à formação e à juventude.
- (41) O Programa de Aprendizagem ao Longo da Vida deverá ser objecto de um acompanhamento e de uma avaliação regulares, em regime de cooperação entre a Comissão e os Estados-Membros, por forma a permitir reajustamentos, nomeadamente no que respeita às prioridades para a execução das medidas. A avaliação deverá incluir uma avaliação externa conduzida por organismos independentes e imparciais.
- (42) Na sua Resolução de 28 de Fevereiro de 2002 sobre a execução do programa Sócrates ⁽¹⁾, o Parlamento Europeu chamou a atenção para os procedimentos administrativos excessivamente pesados para os candidatos a bolsas ao abrigo da segunda fase do programa.

⁽¹⁾ JO C 293 E de 28.11.2002, p. 103.

(43) O Regulamento (CE, Euratom) n.º 1605/2002 do Conselho, de 25 de Junho de 2002, que institui o Regulamento Financeiro aplicável ao orçamento geral das Comunidades Europeias ⁽¹⁾ e o Regulamento (CE, Euratom) n.º 2342/2002 da Comissão, de 23 de Dezembro de 2002, que estabelece as normas de execução do Regulamento (CE, Euratom) n.º 1605/2002 do Conselho ⁽²⁾, os quais protegem os interesses financeiros da Comunidade, devem ser aplicados tendo em conta os princípios da simplicidade e da coerência na escolha dos instrumentos orçamentais, a limitação do número de casos em que a Comissão mantém a responsabilidade directa pela sua execução e gestão, e a necessária proporcionalidade entre o montante dos recursos e a carga administrativa ligada à sua utilização.

(44) Para a correcta aplicação do programa, é essencial uma simplificação administrativa drástica. É conveniente que o esforço administrativo e contabilístico seja proporcionado em relação à natureza da subvenção.

(45) Importa igualmente tomar medidas adequadas para prevenir irregularidades e fraudes e efectuar as diligências necessárias para recuperar os fundos perdidos, pagos indevidamente ou utilizados incorrectamente.

(46) É conveniente assegurar um encerramento adequado do Programa de Aprendizagem ao Longo da Vida, em especial para garantir a continuidade dos mecanismos plurianuais aplicáveis à sua gestão, tais como o financiamento de assistência técnica e administrativa. A partir de 1 de Janeiro de 2014, a assistência técnica e administrativa deverá garantir, se necessário, a gestão de acções ainda não concluídas até ao final de 2013, incluindo acções de acompanhamento e de auditoria.

(47) Uma vez que o objectivo da presente decisão, nomeadamente a contribuição da cooperação europeia para a qualidade da educação e da formação profissional, não pode ser suficientemente realizado pelos Estados-Membros, devido à necessidade de promover parcerias multilaterais, acções de mobilidade transnacional e intercâmbios de informação à escala comunitária, e pode por isso, em razão da natureza das acções e das medidas necessárias, ser concretizados com maior eficácia a nível da Comunidade, esta poderá adoptar medidas em conformidade com o princípio da subsidiariedade enunciado no artigo 5.º do Tratado. De acordo com o princípio da proporcionalidade, consagrado no mesmo artigo, a presente decisão não excede o necessário para atingir esse objectivo.

(48) A presente decisão estabelece, para todo o período de vigência do programa, um enquadramento financeiro que constitui, para a autoridade orçamental, o principal ponto de referência na acepção do ponto 37 do Acordo Interinstitucional de 17 de Maio de 2006 entre o Parlamento Europeu, o Conselho e a Comissão sobre a disciplina orçamental e a boa gestão financeira do processo orçamental ⁽³⁾.

(49) As medidas necessárias à execução da presente decisão devem ser aprovadas nos termos da Decisão 1999/468/CE do Conselho, de 28 de Junho de 1999, que fixa as regras de exercício das competências de execução atribuídas à Comissão ⁽⁴⁾,

DECIDEM:

TÍTULO I

DISPOSIÇÕES GERAIS

CAPÍTULO I

Programa de Aprendizagem ao Longo da Vida

Artigo 1.º

Estabelecimento do Programa de Aprendizagem ao Longo da Vida

1. A presente decisão estabelece um programa para uma acção comunitária no domínio da aprendizagem ao longo da vida, a seguir designado por «Programa de Aprendizagem ao Longo da Vida».

2. O Programa de Aprendizagem ao Longo da Vida tem como objectivo geral contribuir, através da aprendizagem ao longo da vida, para o desenvolvimento da Comunidade enquanto sociedade avançada baseada no conhecimento, caracterizada por um crescimento económico sustentável, com mais e melhores empregos e uma maior coesão social, assegurando ao mesmo tempo a protecção adequada do ambiente para as gerações futuras. O programa destina-se a promover, em particular, os intercâmbios, a cooperação e a mobilidade entre os sistemas de ensino e formação na Comunidade, a fim de que estes passem a constituir uma referência mundial de qualidade.

3. O Programa de Aprendizagem ao Longo da Vida tem os seguintes objectivos específicos:

- Contribuir para o desenvolvimento de uma aprendizagem de qualidade ao longo da vida e promover elevados níveis de desempenho, bem como a inovação e uma dimensão europeia nos sistemas e práticas existentes neste domínio;
- Apoiar a criação de um espaço europeu de aprendizagem ao longo da vida;
- Contribuir para melhorar a qualidade das possibilidades de aprendizagem ao longo da vida existentes nos Estados-Membros, tornando-as mais atractivas e acessíveis;
- Reforçar o contributo da aprendizagem ao longo da vida para a coesão social, a cidadania activa, o diálogo intercultural, a igualdade entre homens e mulheres e a realização pessoal;
- Contribuir para a promoção da criatividade, da competitividade e da empregabilidade, bem como para o desenvolvimento do espírito empresarial;

⁽⁴⁾ JO L 184 de 17.7.1999, p. 23. Decisão alterada pela Decisão 2006/512/CE (JO L 200 de 22.7.2006, p. 11).

⁽¹⁾ JO L 248 de 16.9.2002, p. 1.

⁽²⁾ JO L 357 de 31.12.2002, p. 1. Regulamento com a última redacção que lhe foi dada pelo Regulamento (CE, Euratom) n.º 1248/2006 (JO L 227 de 19.8.2006, p. 3).

⁽³⁾ JO C 139 de 14.6.2006, p. 1.

- f) Contribuir para aumentar a participação na aprendizagem ao longo da vida de pessoas de todas as idades, incluindo as pessoas com necessidades especiais e os grupos desfavorecidos, independentemente da sua origem socioeconómica;
- g) Promover a aprendizagem de línguas e a diversidade linguística;
- h) Apoiar o desenvolvimento de conteúdos, de serviços, de pedagogias e práticas para a aprendizagem ao longo da vida, inovadoras e baseadas nas TIC;
- i) Reforçar o papel da aprendizagem ao longo da vida na criação de um sentido de cidadania europeia, baseada na compreensão e no respeito dos direitos humanos e da democracia, incentivando a tolerância e o respeito pelos outros povos e culturas;
- j) Promover a cooperação em matéria de garantia de qualidade em todos os sectores da educação e da formação na Europa;
- k) Incentivar a melhor utilização possível dos resultados e dos produtos e processos inovadores e assegurar o intercâmbio de boas práticas nos domínios abrangidos pelo Programa de Aprendizagem ao Longo da Vida, no intuito de melhorar a qualidade nos sectores da educação e da formação.
4. Em conformidade com as disposições administrativas enunciadas no anexo, o Programa de Aprendizagem ao Longo da Vida apoiará e completará a acção dos Estados-Membros, respeitando simultaneamente de forma plena a sua responsabilidade pelo conteúdo da educação e da formação profissionais e a sua diversidade linguística e cultural.
5. Tendo em vista a consecução dos objectivos do Programa de Aprendizagem ao Longo da Vida, serão postos em prática quatro programas sectoriais, um programa transversal e o programa Jean Monnet, a seguir designados no seu conjunto por «subprogramas», em conformidade com o disposto no artigo 3.º
6. A presente decisão será executada durante o período compreendido entre 1 de Janeiro de 2007 e 31 de Dezembro de 2013. No entanto, a partir da data da sua entrada em vigor poderão ser levadas a cabo medidas preparatórias, incluindo decisões adoptadas pela Comissão em conformidade com o artigo 9.º
- Artigo 2.º**
- Definições**
- Para efeitos da presente decisão, entende-se por:
1. «Pré-escolar», a actividade educativa organizada que tem lugar antes do início do ensino primário obrigatório;
 2. «Aluno», qualquer pessoa inscrita numa escola para fins de aprendizagem;
 3. «Escola», qualquer tipo de estabelecimento de ensino geral (pré-escolar, primário ou secundário), de educação profissional ou técnica, e, excepcionalmente, no caso de medidas de promoção da aprendizagem de línguas, estabelecimentos não escolares que prestem formação em regime de aprendizagem;
 4. «Professores/pessoal docente», pessoas que, pelas suas funções, participam directamente no processo educativo nos Estados-Membros;
 5. «Formadores», pessoas que, pelas suas funções, participam directamente no processo de educação e de formação profissional nos Estados-Membros;
 6. «Estudante», qualquer pessoa inscrita num estabelecimento de ensino superior, independentemente da área de estudos, com a finalidade de efectuar estudos superiores para obtenção de um grau reconhecido ou de outra qualificação reconhecida de nível superior, incluindo o nível de doutoramento;
 7. «Formando», uma pessoa que recebe formação profissional numa instituição ou organismo de formação ou no local de trabalho;
 8. «Educando adulto», um educando que participa numa acção de educação de adultos;
 9. «Pessoa presente no mercado de trabalho», um trabalhador por conta própria ou por conta de outrem ou uma pessoa disponível para efeitos de emprego;
 10. «Estabelecimento de ensino superior»:
 - a) Qualquer tipo de estabelecimento de ensino superior, em conformidade com a legislação ou as práticas nacionais, que confira graus reconhecidos ou outras qualificações reconhecidas de nível superior, independentemente da denominação desses estabelecimentos nos Estados-Membros;
 - b) Qualquer estabelecimento que ofereça educação ou formação profissional de nível superior;
 11. «Mestrados conjuntos», cursos de mestrado do ensino superior que:
 - a) Abranjam pelo menos três estabelecimentos de ensino superior de três Estados-Membros diferentes;
 - b) Apliquem um programa curricular que abranja um período de estudos em pelo menos dois desses três estabelecimentos;
 - c) Disponham de mecanismos integrados para o reconhecimento dos períodos de estudos efectuados nos estabelecimentos de ensino parceiros, com base no Sistema de Transferência de Créditos da União Europeia ou compatíveis com esse sistema;
 - d) Culminem na atribuição, pelos estabelecimentos participantes, de diplomas conjuntos, duplos ou múltiplos, reconhecidos ou acreditados pelos Estados-Membros;
 12. «Formação profissional», qualquer tipo de educação ou de formação profissional inicial, incluindo o ensino técnico e profissional e os sistemas de formação em regime de aprendizagem, que contribua para a obtenção de uma qualificação profissional reconhecida pelas autoridades

- competentes do Estado-Membro em que for adquirida, bem como qualquer formação profissional efectuada por uma pessoa na Comunidade durante a sua vida activa;
13. «Educação de adultos», qualquer forma de aprendizagem não profissional seguida por adultos, com carácter formal, não formal ou informal;
 14. «Visita de estudo», uma visita breve efectuada com o objectivo de estudar um determinado aspecto da aprendizagem ao longo da vida noutro Estado-Membro;
 15. «Mobilidade», passar um determinado período noutro Estado-Membro com o objectivo de efectuar um período de estudos, obter experiência profissional ou realizar outra actividade de aprendizagem ou de ensino, ou uma actividade administrativa conexa, eventualmente acompanhada de cursos de preparação ou de reciclagem na língua do país de acolhimento ou numa língua de trabalho;
 16. «Estágio», passar um determinado período numa empresa ou organização situada noutro Estado-Membro, eventualmente acompanhado de cursos de preparação ou de reciclagem na língua do país de acolhimento ou numa língua de trabalho, tendo em vista facilitar o ajustamento aos requisitos do mercado laboral comunitário, adquirir uma aptidão específica e melhorar o conhecimento da cultura social e económica do país em questão no contexto da aquisição de experiências de trabalho;
 17. «Unilateral», que envolve uma única instituição;
 18. «Bilateral», que envolve parceiros de dois Estados-Membros;
 19. «Multilateral», que envolve parceiros de pelo menos três Estados-Membros. A Comissão pode considerar multilaterais as associações ou outros organismos que contem com membros provenientes de três ou mais Estados-Membros;
 20. «Parceria», um acordo bilateral ou multilateral entre um grupo de estabelecimentos ou de organismos de Estados-Membros diferentes, que vise a realização de acções europeias conjuntas no domínio da aprendizagem ao longo da vida;
 21. «Rede», um agrupamento formal ou informal de organismos activos num determinado domínio, disciplina ou sector da aprendizagem ao longo da vida;
 22. «Projecto», uma acção de cooperação com termo definido, desenvolvida em conjunto por um agrupamento formal ou informal de organismos ou estabelecimentos;
 23. «Coordenador de projecto», a organização ou o estabelecimento responsável pela implementação do projecto efectuado pelo agrupamento multilateral;
 24. «Parceiros do projecto», as organizações ou estabelecimentos, excluindo o coordenador, que integram o agrupamento multilateral;
 25. «Empresa», qualquer empresa do sector público ou privado que exerça uma actividade económica, independentemente da dimensão, do estatuto jurídico ou do sector económico em que opere, incluindo a economia social;
 26. «Parceiros sociais»: a nível nacional, as organizações de empregadores e de trabalhadores, em conformidade com a legislação e/ou as práticas nacionais; a nível comunitário, as organizações de empregadores e de trabalhadores que participem no diálogo social a nível comunitário;
 27. «Orientação e aconselhamento», todo o leque de actividades, como a informação, a avaliação, a orientação e o aconselhamento, destinadas a ajudar os educandos, os professores e outro pessoal a fazer opções em matéria de programas de educação e de formação ou de oportunidades de emprego;
 28. «Divulgação e exploração de resultados», as actividades destinadas a assegurar que os resultados do Programa de Aprendizagem ao Longo da Vida e dos programas que o precedem sejam devidamente reconhecidos, demonstrados e aplicados em grande escala;
 29. «Aprendizagem ao longo da vida», qualquer forma de ensino geral, de educação e formação profissionais, de educação não formal e de aprendizagem informal seguida ao longo da vida, que permita melhorar os conhecimentos, aptidões e competências numa perspectiva pessoal, cívica, social e/ou profissional. Inclui a prestação de serviços de orientação e aconselhamento.

Artigo 3.º

Subprogramas

1. Os subprogramas sectoriais são os seguintes:
 - a) O programa Comenius, que atende às necessidades de ensino e de aprendizagem de todos os participantes na educação pré-escolar e no ensino escolar até ao final do secundário, bem como dos estabelecimentos e organismos que oferecem essa educação e esse ensino;
 - b) O programa Erasmus, que atende às necessidades de ensino e aprendizagem de todos os participantes no ensino superior formal e na educação e formação profissionais de nível superior, independentemente da duração do curso ou da qualificação e incluindo os estudos de doutoramento, bem como às necessidades dos estabelecimentos e organizações que oferecem ou promovem essa educação e formação;
 - c) O programa Leonardo da Vinci, que atende às necessidades de ensino e de aprendizagem de todos os participantes na educação e formação profissional, que não de nível superior, bem como às necessidades dos estabelecimentos e organizações que oferecem ou promovem essa educação e formação;
 - d) O programa Grundtvig, que atende às necessidades de ensino e aprendizagem dos intervenientes em todas as formas de educação para adultos, bem como às necessidades dos estabelecimentos e organizações que oferecem ou promovem essa educação.
2. O programa transversal abrange as seguintes quatro actividades principais:

- a) A cooperação em matéria de políticas e a inovação no domínio da aprendizagem ao longo da vida;
- b) A promoção da aprendizagem de línguas;
- c) O desenvolvimento de conteúdos, serviços, pedagogias e práticas inovadores, baseados nas TIC, no domínio da aprendizagem ao longo da vida;
- d) A divulgação e exploração dos resultados das acções apoiadas no quadro do programa e de programas anteriores com ele relacionados e o intercâmbio de boas práticas.

3. O programa Jean Monnet presta apoio a instituições e actividades no domínio da integração europeia. Abrange as seguintes três actividades principais:

- a) A Acção Jean Monnet;
- b) A concessão de subvenções de funcionamento em apoio a instituições especificadas que tratem de questões relacionadas com a integração europeia;
- c) A concessão de subvenções de funcionamento para apoio a outras instituições e associações europeias que actuem nos domínios da educação e da formação.

Artigo 4.º

Acesso ao Programa de Aprendizagem ao Longo da Vida

O Programa de Aprendizagem ao Longo da Vida destina-se:

- a) A alunos, estudantes, formandos e educandos adultos;
- b) Aos professores, formadores e outro pessoal envolvido em qualquer aspecto da aprendizagem ao longo da vida;
- c) Às pessoas presentes no mercado de trabalho;
- d) Aos estabelecimentos ou organismos que oferecem oportunidades de aprendizagem no contexto do Programa de Aprendizagem ao Longo da Vida ou dentro dos limites dos seus subprogramas;
- e) Às pessoas e organismos responsáveis pelos sistemas e políticas de aprendizagem ao longo da vida, sob todos os seus aspectos, a nível local, regional e nacional;
- f) Às empresas, aos parceiros sociais e às respectivas organizações a todos os níveis, incluindo as organizações profissionais e as câmaras de comércio e indústria;
- g) A organismos que prestem serviços de orientação, aconselhamento e informação relacionados com qualquer aspecto da aprendizagem ao longo da vida;
- h) A associações que actuem no domínio da aprendizagem ao longo da vida, incluindo associações de estudantes, de formandos, de alunos, de professores, de pais e de educandos adultos;
- i) Aos centros e organismos de investigação que se ocupem de temas relacionados com a aprendizagem ao longo da vida;

- j) A organismos sem fins lucrativos, organizações de voluntários e organizações não governamentais (ONG).

Artigo 5.º

Acções comunitárias

1. O Programa de Aprendizagem ao Longo da Vida inclui o apoio às seguintes acções:

- a) Mobilidade das pessoas no contexto da aprendizagem ao longo da vida;
- b) Parcerias bilaterais e multilaterais;
- c) Projectos multilaterais especialmente vocacionados para promover a qualidade dos sistemas nacionais de educação e formação por meio de transferência transnacional de inovação;
- d) Projectos unilaterais e nacionais;
- e) Projectos e redes multilaterais;
- f) Observação e análise de políticas e sistemas no domínio da aprendizagem ao longo da vida, elaboração e melhoria periódica de material de referência, nomeadamente de inquéritos, estatísticas, análises e indicadores, medidas de apoio à transparência e ao reconhecimento das qualificações e da aprendizagem anterior, bem como medidas de apoio à cooperação no domínio da garantia de qualidade;
- g) Concessão de subvenções de funcionamento destinadas a financiar determinadas despesas administrativas e de funcionamento de instituições e associações que actuam no domínio abrangido pelo Programa de Aprendizagem ao Longo da Vida;
- h) Outras iniciativas que visem a promoção dos objectivos do Programa de Aprendizagem ao Longo da Vida («medidas de acompanhamento»).

2. Pode ser concedido apoio comunitário à realização de visitas preparatórias relacionadas com quaisquer das acções previstas no presente artigo.

3. A Comissão pode organizar seminários, colóquios ou outros encontros susceptíveis de facilitar a execução do Programa de Aprendizagem ao Longo da Vida e levar a cabo acções adequadas de informação, publicação e divulgação e acções para reforçar a aceitação do programa, bem como proceder ao acompanhamento e avaliação do programa.

4. As acções previstas no presente artigo podem ser executadas através de convites à apresentação de propostas ou de concursos públicos, ou directamente pela Comissão.

Artigo 6.º

Missões da Comissão e dos Estados-Membros

1. A Comissão garante a execução efectiva e eficaz das acções comunitárias previstas no Programa de Aprendizagem ao Longo da Vida.

2. Os Estados-Membros devem:

- a) Tomar as medidas necessárias para garantir a gestão eficaz do Programa de Aprendizagem ao Longo da Vida a nível nacional, associando todos os intervenientes nos diversos aspectos da aprendizagem ao longo da vida, de acordo com as práticas ou a legislação nacionais;
 - b) Instituir ou designar e garantir o acompanhamento de uma estrutura adequada para a gestão coordenada da execução das acções do Programa de Aprendizagem ao Longo da Vida a nível dos Estados-Membros (agências nacionais), nomeadamente no plano da gestão orçamental, em conformidade com o disposto na alínea c) do n.º 2 do artigo 54.º do Regulamento (CE, Euratom) n.º 1605/2002 e no artigo 38.º do Regulamento (CE, Euratom) n.º 2342/2002, de acordo com os seguintes critérios:
 - i) um organismo instituído ou designado como agência nacional deve ser dotado de personalidade jurídica ou fazer parte integrante de uma entidade com personalidade jurídica e reger-se pela legislação do respectivo Estado-Membro. Um ministério não pode ser designado como agência nacional,
 - ii) cada agência nacional deve dispor de recursos humanos suficientes para o desempenho das suas missões que reúnam as aptidões profissionais e linguísticas adequadas ao trabalho num ambiente de cooperação internacional no domínio da educação e da formação,
 - iii) deve dispor de infra-estruturas adequadas, especialmente no que se refere a equipamento informático e meios de comunicação,
 - iv) deve operar num contexto administrativo que lhe permita desempenhar satisfatoriamente as suas funções e evitar conflitos de interesses,
 - v) deve estar em condições de aplicar as regras de gestão financeira e as condições contratuais estabelecidas a nível comunitário,
 - vi) deve oferecer garantias financeiras adequadas, prestadas de preferência por uma entidade pública, e possuir uma capacidade de gestão consentânea com o volume de fundos comunitários que lhe seja dado a gerir;
 - c) Assumir a responsabilidade pela boa gestão, efectuada pelas agências nacionais referidas na alínea b), das dotações transferidas para essas agências com vista ao apoio de projectos e, em particular, pela observância, por parte das agências nacionais, dos princípios da transparência e da igualdade de tratamento, evitando o duplo financiamento por outras fontes de fundos comunitários, bem como da obrigação de acompanhar os projectos e de recuperar quaisquer fundos que devam ser eventualmente reembolsados pelos beneficiários;
 - d) Tomar as medidas necessárias para assegurar as auditorias adequadas e a supervisão financeira das agências nacionais referidas na alínea b), nomeadamente:
 - i) fornecendo à Comissão, antes do início da actividade da agência nacional, as garantias necessárias no que respeita à existência, à pertinência e ao bom funcionamento na agência nacional, em conformidade com as regras da boa gestão financeira, dos procedimentos a aplicar, dos sistemas de controlo, dos sistemas de contabilidade e dos procedimentos em matéria de contratação e de concessão de subvenções,
 - ii) fornecendo anualmente à Comissão uma declaração de garantia quanto à fiabilidade dos procedimentos e sistemas financeiros das agências nacionais e ao rigor das suas contas;
 - e) Assumir a responsabilidade pelos fundos não recuperados sempre que, na sequência de uma irregularidade, negligência ou fraude imputável a uma agência nacional instituída ou designada nos termos da alínea b), a Comissão não possa recuperar integralmente os fundos devidos pela agência nacional;
 - f) Designar, a pedido da Comissão, os estabelecimentos ou organismos que oferecem oportunidades de aprendizagem ou os tipos de estabelecimentos ou organismos considerados elegíveis para participarem no Programa de Aprendizagem ao Longo da Vida nos respectivos territórios;
 - g) Envidar esforços para adoptar todas as medidas adequadas para eliminar quaisquer obstáculos jurídicos e administrativos ao bom funcionamento do Programa de Aprendizagem ao Longo da Vida;
 - h) Tomar medidas para garantir que sejam realizadas a nível nacional as potenciais sinergias com outros programas e instrumentos financeiros comunitários e com os programas pertinentes levados a cabo no Estado-Membro em questão.
3. A Comissão, em cooperação com os Estados-Membros, deve assegurar:
- a) A transição entre as acções desenvolvidas no âmbito dos programas precedentes no domínio da educação, da formação e da aprendizagem ao longo da vida e as acções a realizar no quadro do Programa de Aprendizagem ao Longo da Vida;
 - b) A devida protecção dos interesses financeiros da Comunidade, designadamente mediante a adopção de medidas eficazes, proporcionadas e dissuasivas e a aplicação de controlos administrativos e de sanções;
 - c) A ampla divulgação de informações, a publicidade e o seguimento das acções apoiadas ao abrigo do Programa de Aprendizagem ao Longo da Vida;
 - d) A recolha, análise e tratamento dos dados disponíveis necessários para medir os resultados e os efeitos do programa e para acompanhar e avaliar as actividades referidas no artigo 15.º;
 - e) A difusão dos resultados da anterior geração de programas em matéria de educação e formação e do Programa de Aprendizagem ao Longo da Vida.

Artigo 7.º**Participação de países terceiros**

1. O Programa de Aprendizagem ao Longo da Vida está aberto à participação:

- a) Dos países da EFTA que são membros do EEE, nas condições definidas no Acordo sobre o EEE;
- b) Dos países candidatos que beneficiam de uma estratégia de pré-adesão, em conformidade com os princípios gerais e as condições gerais estabelecidos nos acordos-quadro celebrados com esses países para a sua participação em programas comunitários;
- c) Dos países dos Balcãs Ocidentais, em conformidade com as disposições a acordar com estes países após a celebração de acordos-quadro que prevêem a sua participação em programas comunitários;
- d) Da Confederação Suíça, com base num acordo bilateral a celebrar com este país.

2. A actividade principal n.º 1 do programa Jean Monnet, referida na alínea a) do n.º 3 do artigo 3.º, está igualmente aberta à participação de estabelecimentos de ensino superior de qualquer outro país terceiro.

3. Os países terceiros que participarem no Programa de Aprendizagem ao Longo da Vida estão sujeitos a todas as obrigações e devem desempenhar todas as missões que incumbem aos Estados-Membros nos termos da presente decisão.

Artigo 8.º**Cooperação internacional**

No âmbito do Programa de Aprendizagem ao Longo da Vida, e em conformidade com o artigo 9.º, a Comissão pode cooperar com países terceiros e com as organizações internacionais pertinentes, em particular o Conselho da Europa, a Organização de Cooperação e de Desenvolvimento Económico (OCDE) e a Organização das Nações Unidas para a Educação, Ciência e Cultura (UNESCO).

CAPÍTULO II**Execução do Programa de Aprendizagem ao Longo da Vida****Artigo 9.º****Medidas de execução**

1. As medidas necessárias à execução do Programa de Aprendizagem ao Longo da Vida relativas às matérias adiante indicadas são aprovadas pela Comissão em conformidade com o procedimento referido no n.º 2 do artigo 10.º:

- a) Plano de trabalho anual, incluindo as prioridades;
- b) Dotações anuais e repartição de fundos entre e no interior dos subprogramas;

c) Orientações gerais para a execução dos subprogramas (incluindo decisões relativas à natureza das acções, à sua duração e ao nível de financiamento), bem como critérios e procedimentos de selecção;

d) Propostas da Comissão para a selecção de candidaturas para projectos e redes multilaterais, tal como referido nas alíneas b) e c) do n.º 1 do artigo 33.º;

e) Propostas da Comissão para a selecção de candidaturas para as acções previstas na alínea e) do n.º 1 do artigo 5.º, não abrangidas pela alínea d) do presente número, e nas alíneas f), g) e h) do n.º 1 do artigo 5.º, para as quais o apoio comunitário proposto exceda 1 milhão de EUR;

f) Definição das respectivas funções e responsabilidades da Comissão, dos Estados-Membros e das agências nacionais no que respeita ao «procedimento das agências nacionais» estabelecido no anexo;

g) Repartição de fundos entre os Estados-Membros para as acções a gerir através do «procedimento das agências nacionais» estabelecido no anexo;

h) Disposições destinadas a garantir a coerência interna do Programa de Aprendizagem ao Longo da Vida;

i) Disposições de acompanhamento e avaliação do Programa de Aprendizagem ao Longo da Vida e dos subprogramas e de divulgação e transferência de resultados.

2. As medidas necessárias à execução de todas as matérias não especificadas no n.º 1 do presente artigo são aprovadas em conformidade com o procedimento referido no n.º 3 do artigo 10.º

Artigo 10.º**Comitologia**

1. A Comissão é assistida por um comité, a seguir designado por «comité».

2. Sempre que for feita referência ao presente número, são aplicáveis os artigos 4.º e 7.º da Decisão 1999/468/CE, atendendo ao disposto no artigo 8.º da mesma.

O prazo previsto no n.º 3 do artigo 4.º da Decisão 1999/468/CE é de dois meses.

3. Sempre que for feita referência ao presente número, são aplicáveis os artigos 3.º e 7.º da Decisão 1999/468/CE, atendendo ao disposto no artigo 8.º da mesma.

4. O comité aprova o seu regulamento interno.

5. Os Estados-Membros não podem ser representados por pessoas que trabalhem nas agências nacionais referidas na alínea b) do n.º 2 do artigo 6.º ou que estejam investidas de responsabilidades no funcionamento dessas agências.

Artigo 11.º**Parceiros sociais**

1. Sempre que o comité for consultado sobre qualquer questão relativa à aplicação da presente decisão no domínio da educação e da formação profissional, poderão participar nos trabalhos deste comité, na qualidade de observadores, representantes dos parceiros sociais nomeados pela Comissão com base em propostas dos parceiros sociais europeus.

Os observadores serão em número idêntico ao dos representantes dos Estados-Membros.

2. Os observadores têm o direito de solicitar que a sua posição seja exarada na acta das reuniões do comité.

Artigo 12.º**Políticas horizontais**

Na execução do Programa de Aprendizagem ao Longo da Vida, deve-se assegurar que este contribua plenamente para a promoção das políticas horizontais da Comunidade, designadamente mediante:

- a) A sensibilização para a importância da diversidade linguística e cultural e do multiculturalismo na Europa, bem como para a necessidade de combater o racismo, os preconceitos e a xenofobia;
- b) Medidas destinadas aos educandos com necessidades especiais, especialmente com vista a promover a sua integração no sistema geral da educação e formação;
- c) A promoção da igualdade entre homens e mulheres e a contribuição para a luta contra todo o tipo de discriminação em razão do sexo, da raça ou origem étnica, da religião ou crença, da deficiência, da idade ou da orientação sexual.

Artigo 13.º**Coerência e complementaridade com outras políticas**

1. A Comissão deve assegurar, em cooperação com os Estados-Membros, a coerência e a complementaridade globais com o Programa de Trabalho «Educação e Formação 2010» e com outras políticas, instrumentos e acções comunitários pertinentes, em particular nos domínios da cultura, dos meios de comunicação social, da juventude, da investigação e desenvolvimento, do reconhecimento das qualificações, do emprego, das empresas, do ambiente, das TIC e do programa estatístico comunitário.

A Comissão deve assegurar, em cooperação com os Estados-Membros, uma articulação eficaz entre o Programa de Aprendizagem ao Longo da Vida e os programas e acções no domínio da educação e da formação conduzidos no âmbito dos instrumentos de pré-adesão da Comunidade e de outras formas de cooperação com países terceiros e com as organizações internacionais competentes.

2. A Comissão mantém o comité periodicamente informado sobre outras iniciativas comunitárias pertinentes no domínio da aprendizagem ao longo da vida, incluindo a cooperação com países terceiros e organizações internacionais.

3. Ao executarem as acções previstas no Programa de Aprendizagem ao Longo da Vida, a Comissão e os Estados-Membros devem ter em conta as prioridades definidas nas orientações integradas para o emprego aprovadas pelo Conselho enquanto parte integrante da parceria de Lisboa para o crescimento e o emprego.

4. Em colaboração com os parceiros sociais europeus, a Comissão deve procurar estabelecer uma coordenação adequada entre o Programa de Aprendizagem ao Longo da Vida e o diálogo social no plano comunitário, incluindo nos vários sectores da economia.

5. Ao executar o Programa de Aprendizagem ao Longo da Vida, a Comissão recorre, se necessário, à assistência do Centro Europeu para o Desenvolvimento da Formação Profissional (CEDEFOP), nos domínios da sua competência e de acordo com o disposto no Regulamento (CEE) n.º 337/75 do Conselho ⁽¹⁾. Se necessário, a Comissão pode igualmente recorrer ao apoio da Fundação Europeia para a Formação, dentro dos limites do seu mandato e em conformidade com o disposto no Regulamento (CEE) n.º 1360/90 do Conselho ⁽²⁾.

6. A Comissão informa periodicamente o Comité Consultivo para a Formação Profissional sobre a evolução registada no domínio da educação e da formação profissional.

CAPÍTULO III**Disposições financeiras — Avaliação****Artigo 14.º****Financiamento**

1. O enquadramento financeiro indicativo para a execução da presente decisão é fixado, para o período de sete anos com início em 1 de Janeiro de 2007, em 6 970 000 000 de EUR. Neste enquadramento, os montantes a atribuir aos programas Comenius, Erasmus, Leonardo da Vinci e Grundtvig não podem ser inferiores ao valor estabelecido no ponto 11 da secção B do anexo. Esses montantes podem ser alterados pela Comissão em conformidade com o procedimento previsto no n.º 2 do artigo 10.º

2. Para apoiar a participação em acções relativas a parcerias, projectos e redes, organizadas ao abrigo do Programa de Aprendizagem ao Longo da Vida, de parceiros provenientes de países terceiros que não participem no Programa de Aprendizagem ao Longo da Vida ao abrigo do disposto no artigo 7.º, pode ser utilizado um montante equivalente, no máximo, a 1% das dotações do Programa de Aprendizagem ao Longo da Vida.

3. As dotações anuais são autorizadas pela autoridade orçamental dentro dos limites do quadro financeiro.

⁽¹⁾ JO L 39 de 13.2.1975, p. 1.

⁽²⁾ JO L 131 de 23.5.1990, p. 1.

Artigo 15.º

Acompanhamento e avaliação

1. A Comissão, em cooperação com os Estados-Membros, assegura o acompanhamento e avaliação periódicos do Programa de Aprendizagem ao Longo da Vida, em função dos seus objectivos.

2. A Comissão toma as medidas necessárias para a realização de avaliações externas, independentes e periódicas, do Programa de Aprendizagem ao Longo da Vida e publica periodicamente estatísticas para acompanhar os progressos alcançados.

3. Os resultados do acompanhamento e avaliação do Programa de Aprendizagem ao Longo da Vida e da anterior geração de programas em matéria de educação e de formação profissional devem ser tidos em conta durante a execução do programa.

4. Os Estados-Membros enviaram à Comissão relatórios sobre a execução e o impacto do Programa de Aprendizagem ao Longo da Vida até 30 de Junho de 2010 e 30 de Junho de 2015, respectivamente.

5. A Comissão apresenta ao Parlamento Europeu, ao Conselho, ao Comité Económico e Social Europeu e ao Comité das Regiões:

- a) Até 31 de Março de 2011, um relatório de avaliação intercalar sobre os aspectos qualitativos e quantitativos da execução do Programa de Aprendizagem ao Longo da Vida e, nomeadamente, uma análise dos resultados obtidos;
- b) Até 31 de Dezembro de 2011, uma comunicação sobre o prosseguimento do Programa de Aprendizagem ao Longo da Vida;
- c) Até 31 de Março de 2016, um relatório de avaliação *ex post*.

TÍTULO II

SUBPROGRAMAS

CAPÍTULO I

Programa Comenius

Artigo 16.º

Acesso ao programa Comenius

No quadro do Programa de Aprendizagem ao Longo da Vida, o programa Comenius destina-se:

- a) A alunos da educação escolar, até ao final do ensino secundário;
- b) A escolas especificadas pelos Estados-Membros;
- c) A professores e outro pessoal dessas escolas;
- d) A associações, organismos sem fins lucrativos, ONG e representantes das partes envolvidas na educação escolar;
- e) A pessoas e organismos responsáveis pela organização e oferta de educação a nível local, regional e nacional;

- f) A centros e organismos de investigação que se ocupem de temas relacionados com a aprendizagem ao longo da vida;
- g) A estabelecimentos de ensino superior;
- h) A organismos que prestem serviços de orientação, aconselhamento e informação, relacionados com qualquer aspecto do Programa de Aprendizagem ao Serviço da Vida.

Artigo 17.º

Objectivos do programa Comenius

1. Além dos objectivos do Programa de Aprendizagem ao Longo da Vida enunciados no artigo 1.º, o programa Comenius tem os seguintes objectivos específicos:

- a) Sensibilizar os jovens e o pessoal docente para a diversidade e o valor das culturas e das línguas europeias e desenvolver o conhecimento sobre elas junto desses sectores;
- b) Ajudar os jovens a adquirir as aptidões e competências vitais de base, necessárias para o seu desenvolvimento pessoal, para a sua futura vida profissional e para uma cidadania europeia activa.

2. O programa Comenius tem os seguintes objectivos operacionais:

- a) Melhorar em termos qualitativos e aumentar em termos quantitativos a mobilidade de alunos e de pessoal docente nos diferentes Estados-Membros;
- b) Melhorar em termos qualitativos e aumentar em termos quantitativos as parcerias entre escolas de diferentes Estados-Membros, de modo a fazer participar três milhões de alunos em actividades educativas conjuntas durante o período de vigência do programa;
- c) Incentivar a aprendizagem de línguas modernas estrangeiras;
- d) Apoiar o desenvolvimento de conteúdos, serviços, pedagogias e práticas inovadores, baseados nas TIC, no domínio da aprendizagem ao longo da vida;
- e) Reforçar a qualidade e a dimensão europeia da formação de professores;
- f) Apoiar a melhoria dos métodos pedagógicos e da gestão das escolas.

Artigo 18.º

Acções do programa Comenius

1. O programa Comenius pode apoiar as seguintes acções:

- a) A mobilidade das pessoas referida na alínea a) do n.º 1 do artigo 5.º No quadro da organização ou do apoio à

organização dessas acções de mobilidade, devem ser tomadas as medidas preparatórias necessárias e efectuadas as devidas diligências para assegurar a supervisão, o aconselhamento e o apoio adequados das pessoas que nelas participem.

Essa mobilidade poderá incluir:

- i) intercâmbios de alunos e de pessoal,
 - ii) a mobilidade escolar para alunos e estágios para pessoal docente em escolas ou empresas,
 - iii) a participação de professores e outro pessoal docente em cursos de formação,
 - iv) visitas de estudo e de preparação das actividades relacionadas com a mobilidade, as parcerias, os projectos ou as redes,
 - v) contratos como assistente destinados a professores ou futuros professores;
- b) A criação de parcerias como referido na alínea b) do n.º 1 do artigo 5.º, entre:
- i) escolas, tendo em vista desenvolver projectos conjuntos de aprendizagem para alunos e respectivos professores («parcerias escolares Comenius»),
 - ii) organismos responsáveis por qualquer aspecto da educação escolar, a fim de promover a cooperação interregional, e nomeadamente a cooperação entre regiões fronteiriças («parcerias Comenius-Regio»);
- c) Os projectos multilaterais referidos na alínea e) do n.º 1 do artigo 5.º, entre os quais poderão figurar projectos que visem:
- i) elaborar, promover e divulgar as melhores práticas no domínio da educação, incluindo novos métodos ou materiais didácticos,
 - ii) adquirir ou partilhar experiências sobre sistemas de prestação de informação ou orientação especificamente adaptados aos educandos, aos professores e outro pessoal abrangidos pelo programa Comenius,
 - iii) elaborar, promover e divulgar novos cursos ou conteúdos para a formação de professores;
- d) As redes multilaterais referidas na alínea e) do n.º 1 do artigo 5.º, entre as quais se podem incluir redes destinadas a:
- i) desenvolver a educação na disciplina ou área temática em que operam, em benefício da própria rede ou da educação em sentido lato,

- ii) produzir e divulgar as boas práticas e a inovação pertinentes,
 - iii) proporcionar apoio, em termos de conteúdos, a projectos e parcerias desenvolvidos por terceiros,
 - iv) promover a elaboração de análises das necessidades e a sua aplicação prática na educação escolar;
- e) Outras iniciativas que visem promover os objectivos do programa Comenius, como previsto na alínea h) do n.º 1 do artigo 5.º («medidas de acompanhamento»).

2. Os aspectos operacionais das acções previstas no n.º 1 são decididos em conformidade com o procedimento referido no n.º 2 do artigo 10.º

Artigo 19.º

Montantes atribuídos ao programa Comenius

A título de apoio à mobilidade prevista na alínea a) do n.º 1 do artigo 18.º e às parcerias Comenius previstas na alínea b) do n.º 1 do mesmo artigo, é mobilizada uma verba não inferior a 80% dos montantes atribuídos ao programa Comenius.

CAPÍTULO II

Programa Erasmus

Artigo 20.º

Acesso ao programa Erasmus

No quadro do Programa de Aprendizagem ao Longo da Vida, o programa Erasmus destina-se:

- a) A estudantes e formandos que efectuem a sua aprendizagem no quadro de qualquer sistema de educação e de formação de nível superior;
- b) A estabelecimentos de ensino superior especificados pelos Estados-Membros;
- c) A professores, formadores e outro pessoal desses estabelecimentos;
- d) A associações e representantes das partes envolvidas no ensino superior, incluindo as associações de estudantes, de universidades e de docentes/formadores;
- e) A empresas, parceiros sociais e outros representantes do mundo laboral;
- f) A organismos públicos e privados, incluindo organismos sem fins lucrativos e ONG, responsáveis pela organização e oferta de educação e formação profissional a nível local, regional e nacional;
- g) A centros e organismos de investigação que se ocupem de temas relacionados com a aprendizagem ao longo da vida;

- h) A organismos que prestem serviços de orientação, aconselhamento e informação, relacionados com qualquer aspecto do Programa de Aprendizagem ao Longo da Vida.

Artigo 21.º

Objectivos do programa Erasmus

1. Além dos objectivos do Programa de Aprendizagem ao Longo da Vida enunciados no artigo 1.º, o programa Erasmus tem os seguintes objectivos específicos:

- a) Apoiar a criação de um Espaço Europeu do Ensino Superior;
- b) Reforçar o contributo do ensino superior e do ensino profissional avançado para o processo de inovação.

2. O programa Erasmus tem os seguintes objectivos operacionais:

- a) Melhorar em termos qualitativos e aumentar em termos quantitativos a mobilidade dos estudantes e do pessoal docente na Europa, de modo a atingir até 2012 uma participação de pelo menos três milhões de pessoas nas acções de mobilidade de estudantes no âmbito do programa Erasmus e dos programas que o precederam;
- b) Melhorar em termos qualitativos e aumentar em termos quantitativos as acções de cooperação multilateral entre os estabelecimentos de ensino superior na Europa;
- c) Reforçar o grau de transparência e compatibilidade entre as qualificações do ensino superior e do ensino profissional avançado obtidas na Europa;
- d) Melhorar em termos qualitativos e aumentar em termos quantitativos as acções de cooperação entre os estabelecimentos de ensino superior e as empresas;
- e) Facilitar o desenvolvimento e a transferência de práticas inovadoras no ensino e na formação de nível superior, designadamente de cada país participante para os restantes;
- f) Apoiar o desenvolvimento de conteúdos, serviços, pedagogias e práticas inovadores, baseados nas TIC, no domínio da aprendizagem ao longo da vida.

Artigo 22.º

Acções do programa Erasmus

1. O programa Erasmus pode apoiar as seguintes acções:

- a) A mobilidade das pessoas referida na alínea a) do n.º 1 do artigo 5.º, que poderá incluir:
- i) a mobilidade de estudantes com o objectivo de realizar estudos ou formações nos Estados-Membros em estabelecimentos de ensino superior, bem como estágios em empresas, em centros de formação e de investigação ou noutros organismos,

- ii) a mobilidade do pessoal docente em estabelecimentos de ensino superior, com o objectivo de ensinar ou receber formação num estabelecimento parceiro no estrangeiro,

- iii) a mobilidade de outro pessoal em estabelecimentos de ensino superior e de pessoal das empresas, para efeitos de ensino ou formação,

- iv) programas intensivos Erasmus organizados a nível multilateral.

Pode também ser concedido apoio aos estabelecimentos de ensino superior ou empresas de origem e de acolhimento tendo em vista a realização de acções destinadas a garantir a qualidade em todas as etapas das acções de mobilidade, incluindo cursos de preparação e de reciclagem linguística;

- b) Os projectos multilaterais referidos na alínea e) do n.º 1 do artigo 5.º, centrados, designadamente, na inovação e experimentação e no intercâmbio de boas práticas nos domínios previstos nos objectivos específicos e operacionais;

- c) As redes multilaterais referidas na alínea e) do n.º 1 do artigo 5.º, geridas por consórcios de estabelecimentos de ensino superior e que representem uma disciplina ou um domínio interdisciplinar («redes temáticas Erasmus»), dedicadas ao desenvolvimento de novas competências e conceitos de aprendizagem. Estas redes podem incluir igualmente representantes de outros organismos públicos, empresas ou associações;

- d) Outras iniciativas que visem promover os objectivos do programa Erasmus, como referido na alínea h) do n.º 1 do artigo 5.º («medidas de acompanhamento»).

2. Os participantes nas acções de mobilidade referidas na subalínea i) da alínea a) do n.º 1 («estudantes Erasmus») são as seguintes pessoas:

- a) Estudantes de estabelecimentos de ensino superior que, inscritos pelo menos no segundo ano, passem um período de estudo noutro Estado-Membro no contexto de uma acção de mobilidade do programa Erasmus, independentemente de terem ou não obtido apoio financeiro no âmbito deste programa. Esses períodos são plenamente reconhecidos ao abrigo dos acordos interinstitucionais celebrados entre os estabelecimentos de origem e de acolhimento. Os estabelecimentos de acolhimento abster-se-ão de cobrar propinas a estes estudantes;

- b) Estudantes inscritos em programas de mestrado conjuntos e que participam na mobilidade;

- c) Estudantes de estabelecimentos de ensino superior que efectuem um estágio.

3. Os aspectos operacionais das acções previstas no n.º 1 são decididos em conformidade com o procedimento referido no n.º 2 do artigo 10.º

*Artigo 23.º***Montantes atribuídos ao programa Erasmus**

A título do apoio à mobilidade prevista na alínea a) do n.º 1 do artigo 22.º, é mobilizada uma verba não inferior a 80 % dos montantes atribuídos ao programa Erasmus.

*CAPÍTULO III***Programa Leonardo da Vinci***Artigo 24.º***Acesso ao programa Leonardo da Vinci**

No quadro do Programa de Aprendizagem ao Longo da Vida, o programa Leonardo da Vinci destina-se:

- a) A pessoas que efectuem a sua aprendizagem no quadro de qualquer sistema de educação e formação profissional, com excepção do ensino superior;
- b) A pessoas presentes no mercado de trabalho;
- c) A estabelecimentos ou organismos que oferecem oportunidades de aprendizagem nos domínios abrangidos pelo programa Leonardo da Vinci;
- d) A professores, formadores e outro pessoal desses estabelecimentos ou organismos;
- e) A associações e representantes das partes envolvidas na educação e formação profissional, incluindo associações de formandos, de pais e de docentes;
- f) A empresas, parceiros sociais e outros representantes do mundo laboral, incluindo câmaras de comércio e outras organizações de comércio;
- g) A organismos que prestem serviços de orientação, aconselhamento e informação relacionados com qualquer aspecto da aprendizagem ao longo da vida;
- h) A pessoas e organismos responsáveis pelos sistemas e políticas de educação e formação profissional, sob todos os seus aspectos, a nível local, regional e nacional;
- i) A centros e organismos de investigação que se ocupem de temas relacionadas com a aprendizagem ao longo da vida;
- j) A estabelecimentos de ensino superior;
- k) A organismos sem fins lucrativos, organizações de voluntários e organizações não governamentais (ONG).

*Artigo 25.º***Objectivos do programa Leonardo da Vinci**

1. Além dos objectivos do Programa de Aprendizagem ao Longo da Vida definidos no artigo 1.º, o programa Leonardo da Vinci tem os seguintes objectivos específicos:

- a) Apoiar os participantes em acções de formação e aperfeiçoamento na aquisição e utilização de conhecimentos, competências e qualificações por forma a facilitar o seu desenvolvimento pessoal, a empregabilidade e a participação no mercado de trabalho europeu;
- b) Apoiar a melhoria da qualidade e da inovação dos sistemas, instituições e práticas de educação e formação profissionais;
- c) Aumentar o atractivo da educação e da formação profissionais, bem como a mobilidade dos empregadores e das pessoas, e facilitar a mobilidade dos formandos que trabalham.

2. O programa Leonardo da Vinci tem os seguintes objectivos operacionais:

- a) Melhorar em termos qualitativos e aumentar em termos quantitativos, em toda a Europa, a mobilidade dos participantes na educação e formação profissionais iniciais e na formação contínua, de modo a aumentar o número de estágios em empresas para pelo menos 80 000 por ano até ao final do Programa de Aprendizagem ao Longo da Vida;
- b) Melhorar em termos qualitativos e aumentar em termos quantitativos a cooperação entre estabelecimentos ou organismos que oferecem oportunidades de aprendizagem, empresas, parceiros sociais e outros organismos pertinentes em toda a Europa;
- c) Facilitar o desenvolvimento e a transferência de práticas inovadoras no domínio da educação e formação profissionais, que não de nível superior, designadamente de cada país participante para os restantes;
- d) Melhorar a transparência e o reconhecimento das qualificações e competências, incluindo as adquiridas através da aprendizagem não formal e informal;
- e) Incentivar a aprendizagem de línguas modernas estrangeiras;
- f) Apoiar o desenvolvimento de conteúdos, serviços, pedagogias e práticas inovadores, baseados nas TIC, no domínio da aprendizagem ao longo da vida.

*Artigo 26.º***Acções do programa Leonardo da Vinci**

1. O programa Leonardo da Vinci pode apoiar as seguintes acções:

- a) A mobilidade das pessoas referida na alínea a) do n.º 1 do artigo 5.º No quadro da organização ou do apoio à organização dessas acções de mobilidade, devem ser tomadas as medidas preparatórias necessárias, nomeadamente em termos de preparação linguística, e efectuadas as devidas diligências para assegurar a supervisão e o apoio adequados das pessoas que nelas participem. Essa mobilidade pode incluir:

- i) estágios transnacionais em empresas ou estabelecimentos de formação,
 - ii) estágios e intercâmbios destinados a aprofundar a formação profissional de formadores e conselheiros de orientação profissional, bem como dos responsáveis por estabelecimentos de formação, e das pessoas encarregadas da formação e da orientação profissional nas empresas;
 - b) As parcerias referidas na alínea b) do n.º 1 do artigo 5.º, centradas em temas de interesse comum para os organismos participantes;
 - c) Os projectos multilaterais referidos na alínea c) do n.º 1 do artigo 5.º, particularmente os que visem melhorar os sistemas de formação, centrando-se na transferência de inovação que implique uma adaptação linguística, cultural e jurídica às necessidades nacionais dos produtos e processos inovadores desenvolvidos em diversos contextos;
 - d) Os projectos multilaterais referidos na alínea e) do n.º 1 do artigo 5.º, destinados a melhorar os sistemas de formação, centrando-se no desenvolvimento da inovação e das boas práticas;
 - e) as redes temáticas de peritos e organizações, referidas na alínea e) do n.º 1 do artigo 5.º, dedicadas a questões específicas relacionadas com a educação e a formação profissionais;
 - f) outras iniciativas que visem promover os objectivos do programa Leonardo da Vinci, como previsto na alínea h) do n.º 1 do artigo 5.º («medidas de acompanhamento»).
2. Os aspectos operacionais destas acções são decididos em conformidade com o procedimento referido no n.º 2 do artigo 10.º

Artigo 27.º

Montantes atribuídos ao programa Leonardo da Vinci

A título do apoio à mobilidade e às parcerias previstas nas alíneas a) e b) do n.º 1 do artigo 26.º, será mobilizada uma verba não inferior a 60% dos montantes atribuídos ao programa Leonardo da Vinci.

CAPÍTULO IV

Programa Grundtvig

Artigo 28.º

Acesso ao programa Grundtvig

No quadro do Programa de Aprendizagem ao Longo da Vida, o programa Grundtvig destina-se:

- a) A educandos inseridos na educação de adultos;
- b) A estabelecimentos ou organismos que oferecem oportunidades de aprendizagem no âmbito da educação de adultos;

- c) A professores e outro pessoal desses estabelecimentos ou organismos;
- d) A estabelecimentos envolvidos na formação inicial ou contínua do pessoal encarregado da educação de adultos;
- e) A associações e representantes das partes envolvidas na educação de adultos, incluindo associações de educandos e de professores;
- f) A organismos que prestem serviços de orientação, aconselhamento e informação relacionados com qualquer aspecto da aprendizagem ao longo da vida;
- g) A pessoas e organismos responsáveis pelos sistemas e políticas de educação de adultos, em todos os seus aspectos, a nível local, regional e nacional;
- h) A centros e organismos de investigação que se ocupem de temas relacionados com a aprendizagem ao longo da vida;
- i) A empresas;
- j) A organismos sem fins lucrativos, organizações de voluntários e organizações não governamentais (ONG);
- k) A estabelecimentos de ensino superior.

Artigo 29.º

Objectivos do programa Grundtvig

1. Além dos objectivos do Programa de Aprendizagem ao Longo da Vida enunciados no artigo 1.º, o programa Grundtvig tem os seguintes objectivos específicos:
 - a) Responder ao desafio que o envelhecimento da população europeia representa no domínio da educação;
 - b) Contribuir para oferecer aos adultos percursos com vista à melhoria dos seus conhecimentos e competências.
2. O programa Grundtvig tem os seguintes objectivos operacionais:
 - a) Melhorar a qualidade e a acessibilidade, em toda a Europa, da mobilidade das pessoas envolvidas na educação de adultos, e aumentá-la em termos quantitativos de modo a apoiar a mobilidade de pelo menos 7 000 dessas pessoas por ano, até 2013;
 - b) Melhorar a qualidade e aumentar em termos quantitativos as acções de cooperação entre os organismos envolvidos na educação de adultos em toda a Europa;
 - c) Apoiar as pessoas provenientes de grupos sociais vulneráveis e de contextos sociais marginais, em particular as pessoas idosas e as que abandonaram o sistema educativo sem qualificações de base, a fim de que possam dispor de possibilidades alternativas de acesso à educação de adultos;

- d) Facilitar o desenvolvimento e a transferência de práticas inovadoras no domínio da educação de adultos, designadamente de cada país participante para os restantes;
- e) Apoiar o desenvolvimento de conteúdos, serviços, pedagogias e práticas inovadores, baseados nas TIC, no domínio da aprendizagem ao longo da vida;
- f) Melhorar os métodos pedagógicos e a gestão das organizações de educação de adultos.

Artigo 30.º

Acções do programa Grundtvig

1. O programa Grundtvig pode apoiar as seguintes acções:
 - a) A mobilidade das pessoas referida na alínea a) do n.º 1 do artigo 5.º No quadro da organização ou do apoio à organização dessas acções de mobilidade, devem ser tomadas as medidas preparatórias necessárias e efectuadas as devidas diligências para assegurar a supervisão e o apoio adequados das pessoas que nelas participem. Essa mobilidade pode incluir visitas, contratos de assistente e intercâmbios destinados aos intervenientes na educação formal e não formal de adultos, incluindo a formação e o desenvolvimento profissional do pessoal que trabalha neste sector, especialmente em sinergia com parceiros e projectos;
 - b) As parcerias, referidas na alínea b) do n.º 1 do artigo 5.º, designadas por «parcerias de aprendizagem Grundtvig», centradas em temas de interesse comum para as organizações participantes;
 - c) Os projectos multilaterais referidos na alínea e) do n.º 1 do artigo 5.º, destinados a melhorar os sistemas de educação de adultos através do desenvolvimento e da transferência de inovação e boas práticas;
 - d) As redes temáticas de peritos e organizações referidas na alínea e) do n.º 1 do artigo 5.º, designadas por «redes Grundtvig», dedicadas, em particular:
 - i) ao desenvolvimento da educação de adultos na disciplina, área temática ou aspecto de gestão a que estejam ligadas,
 - ii) à identificação, à melhoria e divulgação das boas práticas e da inovação pertinentes,
 - iii) ao apoio, em termos de conteúdo, a projectos e parcerias criados por terceiros e à promoção da interactividade entre esses projectos e parcerias,
 - iv) à promoção e ao desenvolvimento da análise das necessidades e da garantia de qualidade no domínio da educação de adultos;
 - e) Outras iniciativas que visem promover os objectivos do programa Grundtvig, como previsto na alínea h) do n.º 1 do artigo 5.º («medidas de acompanhamento»).

2. Os aspectos operacionais destas acções são decididos em conformidade com o procedimento referido no n.º 2 do artigo 10.º

Artigo 31.º

Montantes atribuídos ao programa Grundtvig

A título de apoio à mobilidade e às parcerias previstas nas alíneas a) e b) do n.º 1 do artigo 30.º, será mobilizada uma verba não inferior a 55% dos montantes atribuídos ao programa Grundtvig.

CAPÍTULO V

Programa transversal

Artigo 32.º

Objectivos do programa transversal

1. Além dos objectivos do Programa de Aprendizagem ao Longo da Vida enunciados no artigo 1.º, o programa transversal tem os seguintes objectivos específicos:
 - a) Promover a cooperação europeia em domínios que abrangam dois ou mais subprogramas sectoriais;
 - b) Promover a qualidade e a transparência entre os sistemas de educação e formação dos Estados-Membros.
2. O programa transversal tem os seguintes objectivos operacionais:
 - a) Apoiar a definição de políticas e a cooperação a nível europeu no domínio da aprendizagem ao longo da vida, designadamente no contexto do Processo de Lisboa e do Programa de Trabalho «Educação e Formação 2010», bem como dos Processos de Bolonha e de Copenhaga e seus sucessores;
 - b) Assegurar a existência de uma base adequada de dados, estatísticas e análises comparáveis para apoiar a definição de políticas de aprendizagem ao longo da vida, bem como acompanhar os progressos rumo a objectivos e metas da aprendizagem ao longo da vida, e identificar domínios merecedores de atenção especial;
 - c) Promover a aprendizagem de línguas e apoiar a diversidade linguística nos Estados-Membros;
 - d) Apoiar o desenvolvimento de conteúdos, serviços, pedagogias e práticas inovadores, baseados nas TIC, no domínio da aprendizagem ao longo da vida;
 - e) Assegurar que os resultados do Programa de Aprendizagem ao Longo da Vida sejam devidamente reconhecidos, demonstrados e aplicados em grande escala.

Artigo 33.º

Ações do programa transversal

1. No quadro da actividade principal de cooperação política e de inovação no domínio da aprendizagem ao longo da vida, referida na alínea a) do n.º 2 do artigo 3.º, o programa transversal pode apoiar as seguintes acções:

- a) A mobilidade das pessoas, referida na alínea a) do n.º 1 do artigo 5.º, incluindo visitas de estudo de peritos e funcionários designados pelas autoridades nacionais, regionais e locais, de directores dos estabelecimentos de educação e formação e dos serviços de orientação e validação da experiência, bem como dos parceiros sociais;
- b) Os projectos multilaterais referidos na alínea e) do n.º 1 do artigo 5.º, que visem preparar e testar propostas de políticas, elaboradas a nível da Comunidade, bem como a inovação no domínio da aprendizagem ao longo da vida;
- c) As redes multilaterais referidas na alínea e) do n.º 1 do artigo 5.º, constituídas por peritos e/ou instituições que desenvolvam um trabalho conjunto sobre temas políticos. Estas redes podem incluir:
 - i) redes temáticas dedicadas a questões relacionadas com o conteúdo da aprendizagem ao longo da vida ou com as metodologias e políticas dessa aprendizagem. Estas redes podem observar, partilhar, identificar e analisar as boas práticas e a inovação e formular propostas com vista a uma melhor e mais ampla utilização dessas práticas nos Estados-Membros,
 - ii) fóruns sobre aspectos estratégicos da aprendizagem ao longo da vida;
- d) A observação e análise das políticas e dos sistemas no domínio da aprendizagem ao longo da vida, referidas na alínea f) do n.º 1 do artigo 5.º, abrangendo, por exemplo:
 - i) estudos e investigação comparativa,
 - ii) elaboração de indicadores e inquéritos estatísticos, incluindo apoio ao trabalho realizado no domínio da aprendizagem ao longo da vida em cooperação com o Eurostat,
 - iii) apoio ao funcionamento da rede EURYDICE e financiamento da Unidade Europeia criada pela Comissão;
- e) As medidas de apoio à transparência e ao reconhecimento das qualificações e competências, incluindo as adquiridas através da aprendizagem não formal e informal, bem como as medidas de apoio à informação e orientação em matéria de mobilidade para efeitos de aprendizagem e à cooperação com vista à garantia de qualidade, referidas na alínea f) do n.º 1 do artigo 5.º, que poderão incluir, designadamente:
 - i) redes de organizações que facilitem a mobilidade e o reconhecimento, como a Euroguidance e os Centros Nacionais de Informação sobre o Reconhecimento Académico (NARIC),

- ii) apoio a serviços transnacionais baseados na internet, como o Ploteus,

- iii) actividades desenvolvidas no quadro da iniciativa Europass, em conformidade com a Decisão n.º 2241/2004/CE;

- f) Outras iniciativas, como referido na alínea h) do n.º 1 do artigo 5.º, incluindo actividades de aprendizagem em equipa que visem promover os objectivos da actividade principal referida na alínea a) do n.º 2 do artigo 3.º («medidas de acompanhamento»).

2. No quadro da actividade principal de aprendizagem de línguas, referida na alínea b) do n.º 2 do artigo 3.º, pode ser concedido apoio às seguintes acções, destinadas a dar resposta às necessidades de ensino e de aprendizagem em diversos domínios do subprograma:

- a) Projectos multilaterais referidos na alínea e) do n.º 1 do artigo 5.º que visem, designadamente:
 - i) desenvolver novos materiais para a aprendizagem de línguas, incluindo cursos em linha, bem como instrumentos de avaliação linguística,
 - ii) criar instrumentos e cursos para a formação de professores de línguas, bem como de formadores e outro pessoal nesta área;
- b) Redes multilaterais referidas na alínea e) do n.º 1 do artigo 5.º, que actuem no domínio da aprendizagem de línguas e da diversidade linguística;
- c) Outras iniciativas que se coadunem com os objectivos do Programa de Aprendizagem ao Longo da Vida, como previsto na alínea h) do n.º 1 do artigo 5.º, incluindo actividades destinadas a tornar a aprendizagem de línguas mais atractiva para os educandos através dos meios de comunicação social e/ou do *marketing*, de campanhas publicitárias ou de informação, bem como mediante conferências, estudos e desenvolvimento de indicadores estatísticos relativos à aprendizagem de línguas e à diversidade linguística.

3. No quadro da actividade principal de TIC, referida na alínea c) do n.º 2 do artigo 3.º, pode ser concedido apoio às seguintes acções, destinadas a dar resposta às necessidades de ensino e de aprendizagem em diversos domínios do subprograma:

- a) Projectos multilaterais, referidos na alínea e) do n.º 1 do artigo 5.º, que visem o desenvolvimento e a divulgação, conforme adequado, de métodos, conteúdos, serviços e ambientes inovadores;
- b) Redes multilaterais referidas na alínea e) do n.º 1 do artigo 5.º, que visem a partilha e o intercâmbio de conhecimentos, experiências e boas práticas;
- c) Outras medidas destinadas a melhorar as políticas e práticas em matéria de aprendizagem ao longo da vida, como previsto na alínea f) do n.º 1 do artigo 5.º, que poderão

incluir mecanismos de avaliação, observação, aferição e melhoria da qualidade e a análise das tendências tecnológicas e pedagógicas.

4. No quadro da actividade principal de divulgação, referida na alínea d) do n.º 2 do artigo 3.º, pode ser concedido apoio às acções seguidamente indicadas:

- a) Projectos unilaterais e nacionais referidos na alínea d) do n.º 1 do artigo 5.º;
- b) Projectos multilaterais referidos na alínea e) do n.º 1 do artigo 5.º, que visem, designadamente:
 - i) apoiar a exploração e execução de produtos e processos inovadores,
 - ii) estimular a cooperação entre projectos relativos ao mesmo domínio,
 - iii) desenvolver boas práticas no que respeita aos métodos de divulgação;
- c) Elaboração de material de referência, conforme referido na alínea f) do n.º 1 do artigo 5.º, que poderá englobar a recolha de dados estatísticos pertinentes e a realização de estudos em matéria de divulgação, exploração de resultados e intercâmbio de boas práticas.

CAPÍTULO VI

Programa Jean Monnet

Artigo 34.º

Acesso ao programa Jean Monnet

No quadro do Programa de Aprendizagem ao Longo da Vida, o programa Jean Monnet destina-se:

- a) A estudantes e investigadores que se dediquem ao tema da integração europeia no quadro de qualquer sistema de ensino superior, no seio da Comunidade ou fora dela;
- b) A estabelecimentos de ensino superior situados na Comunidade ou fora dela e reconhecidos como tal nos seus próprios países;
- c) A professores e outro pessoal desses estabelecimentos;
- d) A associações e representantes das partes envolvidas na educação e formação profissional, no seio da Comunidade ou fora dela;
- e) A organismos públicos e privados responsáveis pela organização e oferta de educação e formação profissional a nível local, regional e nacional;
- f) A centros e organismos de investigação que estudem temáticas relacionadas com a integração europeia, no interior da Comunidade ou fora dela.

Artigo 35.º

Objectivos do programa Jean Monnet

1. Além dos objectivos do Programa de Aprendizagem ao Longo da Vida enunciados no artigo 1.º, o programa Jean Monnet tem os seguintes objectivos específicos:

- a) Estimular as actividades de ensino, investigação e reflexão no domínio dos estudos sobre a integração europeia;
 - b) Propiciar a existência de um conjunto adequado de instituições e associações dedicadas a temas relacionados com a integração europeia e a educação e formação profissional numa perspectiva europeia.
2. O programa Jean Monnet tem os seguintes objectivos operacionais:
- a) Estimular a excelência do ensino, da investigação e da reflexão no âmbito de estudos sobre a integração europeia em estabelecimentos de ensino superior na Comunidade e fora dela;
 - b) Reforçar o conhecimento e a sensibilização para as questões relacionadas com a integração europeia junto dos especialistas universitários e, de um modo geral, junto dos cidadãos europeus;
 - c) Prestar apoio aos mais importantes estabelecimentos europeus que se ocupam de questões relacionadas com a integração europeia;
 - d) Prestar apoio a instituições e associações europeias de elevada qualidade que actuem nos domínios da educação e da formação profissional.

Artigo 36.º

Acções do programa Jean Monnet

1. No quadro da actividade principal referida na alínea a) do n.º 3 do artigo 3.º, pode ser concedido apoio às acções seguidamente indicadas:

- a) Projectos unilaterais e nacionais referidos na alínea d) do n.º 1 do artigo 5.º, que podem abranger:
 - i) cátedras, centros de excelência e módulos de ensino Jean Monnet,
 - ii) associações de professores universitários, de outros docentes do ensino superior e de investigadores que se especializem na área da integração europeia,
 - iii) apoio a jovens investigadores que se especializem em estudos sobre a integração europeia,
 - iv) actividades de informação e de investigação relacionadas com a Comunidade que tenham como objectivo promover o debate, a reflexão e o conhecimento sobre o processo de integração europeia;

- b) Projectos e redes multilaterais referidos na alínea e) do n.º 1 do artigo 5.º, que podem abranger medidas de apoio à criação de grupos multilaterais de investigação no domínio da integração europeia.

2. No quadro da actividade principal referida na alínea b) do n.º 3 do artigo 3.º, podem ser concedidas subvenções de funcionamento, conforme previsto na alínea g) do n.º 1 do artigo 5.º, a fim de contribuir para determinadas despesas operacionais e administrativas das instituições seguidamente indicadas, que desenvolvem objectivos de interesse europeu:

- a) Colégio da Europa (Universidades de Bruges e Natália);
- b) Instituto Universitário Europeu, Florença;
- c) Instituto Europeu de Administração Pública, Maastricht;
- d) Academia de Direito Europeu, Trier;
- e) Agência Europeia para o Desenvolvimento da Educação em Necessidades Educativas Especiais, Miadelas;
- f) Centro Internacional de Formação Europeia (CIFE) Nice.

3. No quadro da actividade principal referida na alínea c) do n.º 3 do artigo 3.º, podem ser concedidas subvenções de funcionamento, conforme referido na alínea g) do n.º 1 do artigo 5.º, a fim de contribuir para determinadas despesas operacionais e administrativas de instituições ou associações europeias que desenvolvam actividades no domínio da educação e da formação.

4. As subvenções podem ser concedidas anualmente ou numa base renovável, ao abrigo de um acordo-quadro de parceria celebrado com a Comissão.

Artigo 37.º

Montantes atribuídos ao programa Jean Monnet

Serão mobilizados montantes não inferiores a 16% dos montantes atribuídos ao programa Jean Monnet a título de apoio à actividade principal referida na alínea a) do n.º 3 do

artigo 3.º, montantes não inferiores a 65% a título da actividade principal referida na alínea b) do n.º 3 do mesmo artigo e montantes não inferiores a 19% a título da actividade principal referida na alínea c) do n.º 3 do mesmo artigo.

TÍTULO III

DISPOSIÇÕES TRANSITÓRIAS E FINAIS

Artigo 38.º

Disposição transitória

1. As acções iniciadas até 31 de Dezembro de 2006, com base na Decisão 1999/382/CE, na Decisão n.º 253/2000/CE, na Decisão n.º 2318/2003/CE, na Decisão n.º 791/2004/CE ou na Decisão n.º 2241/2004/CE, são geridas em conformidade com o disposto nas referidas decisões, com a ressalva de que os comités estabelecidos por essas decisões são substituídos pelo comité previsto no artigo 10.º da presente decisão.

2. Em conformidade com o disposto no artigo 18.º do Regulamento (CE, Euratom) n.º 1605/2002, as dotações correspondentes a receitas afectadas provenientes da restituição de montantes pagos indevidamente em aplicação da Decisão 1999/382/CE, da Decisão n.º 253/2000/CE, da Decisão n.º 2318/2003/CE, da Decisão n.º 791/2004/CE e da Decisão n.º 2241/2004/CE podem ser afectadas ao Programa de Aprendizagem ao Longo da Vida.

Artigo 39.º

Entrada em vigor

A presente decisão entra em vigor no vigésimo dia subsequente ao da sua publicação no *Jornal Oficial da União Europeia*.

Feito em Estrasburgo, em 15 de Novembro de 2006.

Pelo Parlamento Europeu

O Presidente

J. BORRELL FONTELLES

Pelo Conselho

A Presidente

P. LEHTOMÄKI

ANEXO

DISPOSIÇÕES ADMINISTRATIVAS E FINANCEIRAS

A. Disposições administrativas

Os procedimentos para a apresentação de propostas e a selecção das acções previstas no Programa de Aprendizagem ao Longo da Vida são os seguintes:

1. Procedimento das agências nacionais

1.1. Procedimento n.º 1

As acções seguidamente indicadas, em relação às quais as decisões de selecção são tomadas pelas agências nacionais competentes, são geridas através do «procedimento n.º 1 das agências nacionais»:

- a) Mobilidade das pessoas que participam na aprendizagem ao longo da vida, referida na alínea a) do n.º 1 do artigo 5.º;
- b) Parcerias bilaterais e multilaterais referidas na alínea b) do n.º 1 do artigo 5.º;
- c) Projectos unilaterais e nacionais referidos na alínea d) do n.º 1 do artigo 5.º, sempre que estes sejam financiados ao abrigo da alínea a) do n.º 4 do artigo 33.º

Os pedidos de apoio financeiro apresentados a título destas acções devem ser enviados às agências nacionais competentes, designadas pelos Estados-Membros em conformidade com a alínea b) do n.º 2 do artigo 6.º As agências nacionais procedem à selecção e atribuem apoio financeiro aos candidatos seleccionados em conformidade com as orientações gerais a estabelecer nos termos da alínea c) do n.º 1 do artigo 9.º As agências nacionais repartem as subvenções pelos beneficiários situados nos respectivos Estados-Membros. Cada membro de uma parceria bilateral ou multilateral receberá o apoio financeiro directamente da respectiva agência nacional.

1.2. Procedimento n.º 2

A acção seguidamente indicada, em relação à qual as decisões de selecção são tomadas pela Comissão, embora os procedimentos de avaliação e contratação sejam levados a cabo pelas agências nacionais competentes, é gerida através do «procedimento n.º 2 das agências nacionais»:

- projectos multilaterais referidos na alínea c) do n.º 1 do artigo 5.º

Os pedidos de apoio financeiro apresentados no quadro desta acção devem ser enviados à agência nacional designada pelo Estado-Membro do coordenador de projecto, em conformidade com a alínea b) do n.º 2 do artigo 6.º A agência nacional do Estado-Membro do coordenador de projecto avalia os pedidos e apresenta à Comissão uma lista de pré-selecção das candidaturas que propõe para aprovação. A Comissão toma uma decisão com base na lista de pré-selecção proposta, após o que a agência nacional atribui o apoio financeiro adequado aos candidatos seleccionados, em conformidade com as orientações gerais a estabelecer nos termos da alínea c) do n.º 1 do artigo 9.º

Antes de apresentar a lista de pré-selecção à Comissão, a agência nacional do país em que o projecto é coordenado deve entrar em contacto com as agências dos países de todos os outros parceiros. As agências nacionais repartem as subvenções pelos coordenadores de projecto seleccionados, situados nos respectivos Estados-Membros, que são responsáveis pela repartição dos fundos entre os parceiros que participam nos projectos.

2. Procedimento da Comissão

As acções seguidamente indicadas, em relação às quais as propostas de projectos são apresentadas à Comissão, sendo as decisões de selecção tomadas por esta última, são geridas através do «procedimento da Comissão»:

- a) Projectos unilaterais e nacionais referidos na alínea d) do n.º 1 do artigo 5.º, com excepção dos que sejam financiados ao abrigo da alínea a) do n.º 4 do artigo 33.º;
- b) Projectos e redes multilaterais referidos na alínea e) do n.º 1 do artigo 5.º;

- c) Observação e análise de políticas e sistemas no domínio da aprendizagem ao longo da vida, elaboração de material de referência, incluindo inquéritos, estatísticas, análises e indicadores, bem como medidas de apoio à transparência e ao reconhecimento das qualificações e da aprendizagem anterior, como referido na alínea f) do n.º 1 do artigo 5.º;
- d) Subvenções de funcionamento referidas na alínea g) do n.º 1 do artigo 5.º;
- e) Outras iniciativas destinadas a promover os objectivos do Programa de Aprendizagem ao Longo da Vida, tal como referido na alínea h) do n.º 1 do artigo 5.º («medidas de acompanhamento»).

Os pedidos de apoio financeiro apresentados a título destas acções devem ser enviados à Comissão, que procede à selecção e atribui o apoio financeiro aos candidatos seleccionados, em conformidade com as orientações gerais a estabelecer nos termos da alínea c) do n.º 1 do artigo 9.º

B. Disposições financeiras

A Comissão assegura que os requisitos administrativos e financeiros impostos aos beneficiários das subvenções concedidas no quadro do Programa de Aprendizagem ao Longo da Vida sejam proporcionadas ao nível da subvenção. Em particular, a Comissão garantirá que as regras financeiras e as exigências em matéria de candidatura e apresentação de relatórios aplicáveis à mobilidade e às parcerias sejam acessíveis e suficientemente simples para não restringir o acesso das pessoas menos favorecidas e das instituições ou organismos que com elas trabalham.

A Comissão deve, em especial, comunicar às agências nacionais os critérios que estas devem seguir no que respeita aos procedimentos de selecção e de atribuição, bem como às modalidades de adjudicação dos contratos e de pagamento/ auditoria para as verbas por elas geridas. Esses critérios devem ter em conta a importância das subvenções concedidas, e quando as subvenções sejam de montante inferior a 25 000 EUR devem prever regimes simplificados em todas as fases que envolvam candidatos ou beneficiários. Devem permitir que as agências nacionais definam e limitem os elementos exigidos aos candidatos às subvenções e que adjudiquem os contratos subsequentes à concessão de uma subvenção de forma simplificada, que inclua apenas os seguintes elementos:

- as partes contratantes,
- a duração do contrato, que deve ser o período de elegibilidade das despesas,
- o montante máximo de financiamento concedido,
- uma descrição sucinta da acção em causa,
- os requisitos em matéria de relatório e de acesso de auditores.

Devem também permitir que as agências nacionais prevejam que o co-financiamento fornecido pelos beneficiários possa assumir a forma de contribuições em espécie. Devem ser verificáveis factualmente mas não precisam de ser sujeitas a uma avaliação financeira.

1. Acções geridas pelo procedimento das agências nacionais

1.1. Os fundos comunitários destinados a prestar apoio financeiro no quadro das acções a gerir mediante o procedimento das agências nacionais descrito na secção A, ponto 1.1 do presente anexo são repartidos entre os Estados-Membros de acordo com fórmulas definidas pela Comissão em conformidade com o n.º 2 do artigo 10.º, que podem incluir os seguintes elementos:

- a) A atribuição a cada Estado-Membro de um montante mínimo, a determinar consoante as disponibilidades orçamentais para a acção em causa;
- b) A atribuição do remanescente aos diversos Estados-Membros em função:
 - i) do número total, em cada Estado-Membro, de
 - alunos e professores da educação escolar, para as acções de parcerias entre escolas e as acções de mobilidade do programa Comenius previstas nas alíneas a) e b) do n.º 1 do artigo 18.º,
 - estudantes e/ou diplomados do ensino superior, para a acção de mobilidade de estudantes e para a acção de programas intensivos do programa Erasmus previstos no n.º 1, alínea a), subalíneas i) e iv), do artigo 22.º,

- professores de estabelecimentos de ensino superior, para as acções do programa Erasmus relativas à mobilidade do pessoal docente e de outro pessoal previstas no n.º 1, alínea a), subalíneas ii) e iii), do artigo 22.º,
 - população total e respectiva percentagem de pessoas na faixa etária dos 15 aos 35 anos, para as acções de mobilidade, de parceria e de projectos bilaterais e multilaterais do programa Leonardo da Vinci previstos nas alíneas a), b) e c) do n.º 1 do artigo 26.º,
 - adultos, para as acções de mobilidade e de parceria do programa Grundtvig previstas nas alíneas a) e b) do n.º 1 do artigo 30.º,
- ii) das diferenças de custo de vida entre os Estados-Membros,
 - iii) da distância entre as capitais de cada Estado-Membro,
 - iv) do nível de procura e/ou participação na acção em causa em cada Estado-Membro.
- 1.2. Estas fórmulas devem, na medida do possível, ser neutras em relação aos diversos sistemas de educação e formação profissional dos Estados-Membros.
- 1.3. Os fundos comunitários assim distribuídos são geridos pelas agências nacionais previstas na alínea b) do n.º 2 do artigo 6.º
- 1.4. A Comissão, em cooperação com os Estados-Membros, adoptar as medidas necessárias para promover uma participação equilibrada nos planos comunitário, nacional e, se for caso disso, regional, bem como, eventualmente, nas várias áreas de estudo. A parte consagrada a essas medidas não deve exceder 5% dos montantes anuais destinados ao financiamento de cada uma das acções em causa.
2. Designação dos beneficiários
- Os organismos enumerados no n.º 2 do artigo 36.º da presente decisão são designados beneficiários de subvenções ao abrigo do Programa de Aprendizagem ao Longo da Vida, em conformidade com o artigo 168.º do Regulamento (CE, Euratom) n.º 2342/2002.
- As unidades nacionais da rede NARIC, da rede Eurydice e da rede Euroguidance, os serviços de apoio nacionais da acção de geminação electrónica («eTwinning») e os centros nacionais Europass actuam como instrumentos de execução do programa a nível nacional, em conformidade com o disposto na alínea c) do n.º 2 do artigo 54.º do Regulamento (CE, Euratom) n.º 1605/2002 e no artigo 38.º do Regulamento (CE, Euratom) n.º 2342/2002.
3. Tipos de beneficiários
- Nos termos do n.º 1 do artigo 114.º do Regulamento (CE, Euratom) n.º 1605/2002, podem ser atribuídas subvenções a pessoas colectivas ou a pessoas singulares. Tratando-se de pessoas singulares, essas subvenções podem assumir a forma de bolsas de estudo.
4. Subvenções fixas, tabelas de custos unitários e prémios
- No caso das acções referidas no artigo 5.º, podem ser utilizadas subvenções de montante fixo e/ou tabelas de custos unitários, como previsto no n.º 1 do artigo 181.º do Regulamento (CE, Euratom) n.º 2342/2002.
- Podem ser utilizadas subvenções de montante fixo até ao valor máximo de 25 000 EUR por subvenção. Podem ser combinadas até um máximo de 100 000 EUR e/ou utilizadas em conjugação com tabelas de custos unitários.
- A Comissão pode prever a atribuição de prémios no contexto das actividades realizadas no quadro do Programa de Aprendizagem ao Longo da Vida.
5. Contratação
- Sempre que a execução das acções apoiadas ao abrigo do Programa de Aprendizagem ao Longo da Vida exija que o beneficiário recorra a processos de contratação, são aplicáveis os procedimentos para os contratos de valor reduzido estabelecidos no artigo 129.º do Regulamento (CE, Euratom) n.º 2342/2002.

6. Convenções de parceria

Sempre que as acções ao abrigo do Programa de Aprendizagem ao Longo da Vida sejam apoiadas através de subvenções por força de uma convenção-quadro de parceria, nos termos do artigo 163.º do Regulamento (CE, Euratom) n.º 2342/2002, tais parcerias podem ser seleccionadas e financiadas durante um período de quatro anos, sob reserva de um procedimento de renovação simplificado.

7. Estabelecimentos ou organismos públicos que oferecem oportunidades de aprendizagem

Todas as escolas e estabelecimentos de ensino superior especificados pelos Estados-Membros, e todos os estabelecimentos ou organismos que oferecem oportunidades de aprendizagem que durante os últimos dois anos tenham recebido mais de 50% dos seus rendimentos anuais de fontes de financiamento públicas, ou que sejam controlados por organismos públicos ou seus mandatários, são considerados pela Comissão como possuindo as capacidades financeira, profissional e administrativa necessárias, a par da necessária estabilidade financeira, para realizarem projectos ao abrigo do Programa de Aprendizagem ao Longo da Vida; não lhes deve ser exigida a apresentação de outra documentação para dar prova disso. Esses estabelecimentos ou organismos podem ficar isentos dos requisitos de auditoria nos termos do n.º 4 do artigo 173.º do Regulamento (CE, Euratom) n.º 2342/2002.

8. Organismos que prosseguem um fim de interesse geral europeu

Em conformidade com o n.º 2 do artigo 113.º do Regulamento (CE, Euratom) n.º 1605/2002, caso sejam concedidas subvenções de funcionamento, no quadro do Programa de Aprendizagem ao Longo da Vida, a organismos que prossigam um fim de interesse geral europeu, na acepção do artigo 162.º do Regulamento (CE, Euratom) n.º 2342/2002, essas subvenções não terão natureza degressiva em caso de renovação.

9. Competências e qualificações profissionais do requerente

A Comissão pode decidir em conformidade com o n.º 2 do artigo 176.º do Regulamento (CE, Euratom) n.º 2342/2002, que determinadas categorias de beneficiários devem possuir as competências e qualificações profissionais necessárias para a correcta realização da acção ou programa de trabalho propostos.

10. Participação de parceiros de países terceiros

Os projectos, redes ou parcerias multilaterais podem integrar parceiros de países terceiros, nos termos do n.º 2 do artigo 14.º, ficando essa participação ao critério da Comissão ou da agência nacional competente. A decisão de apoiar esses parceiros dependerá do grau de valor acrescentado a nível europeu susceptível de resultar da sua participação no projecto, na rede ou na parceria em questão.

11. Dotações mínimas

Sob reserva do disposto no artigo 14.º da presente decisão, são afectados aos subprogramas sectoriais os montantes mínimos a seguir indicados, em proporção do enquadramento financeiro estabelecido no mesmo artigo:

Comenius 13%

Erasmus 40%

Leonardo da Vinci 25%

Grundtvig 4%

12. Agências nacionais

É prestado apoio financeiro comunitário às actividades das agências nacionais instituídas ou designadas pelos Estados-Membros em conformidade com a alínea b) do n.º 2 do artigo 6.º

Em conformidade com o n.º 1 do artigo 38.º do Regulamento (CE, Euratom) n.º 2342/2002, nos países terceiros que participem no Programa de Aprendizagem ao Longo da Vida ao abrigo do n.º 1 do artigo 7.º da presente decisão, a função de agência nacional pode ser desempenhada por organismos públicos ou organismos de direito privado investidos de uma missão de serviço público regidos pelo direito do país em questão.

De harmonia com o princípio da proporcionalidade, os requisitos em matéria de certificação e apresentação de relatórios são mantidos a um nível mínimo necessário adequado.

13. Assistência técnica

O enquadramento financeiro do Programa de Aprendizagem ao Longo da Vida pode cobrir também despesas relacionadas com actividades de preparação, acompanhamento, controlo, auditoria e avaliação directamente necessárias para a execução do programa e para a consecução dos seus objectivos. Tais actividades podem incluir, em particular, estudos, reuniões, acções de informação, publicações, despesas ligadas às redes informáticas para o intercâmbio de informação e quaisquer outras despesas de assistência técnica e administrativa a que a Comissão possa recorrer para a execução do programa.

14. Disposições de luta contra a fraude

As decisões tomadas pela Comissão em aplicação do artigo 9.º, bem como as convenções e contratos delas decorrentes e as convenções celebradas com países terceiros participantes, devem prever uma supervisão e um controlo financeiro por parte da Comissão (ou de qualquer representante por esta autorizado), nomeadamente do Organismo Europeu de Luta Antifraude (OLAF), bem como auditorias pelo Tribunal de Contas, se necessário a efectuar no local. Estes controlos podem ser efectuados junto das agências nacionais e, se necessário, junto dos beneficiários das subvenções.

O beneficiário de uma subvenção de funcionamento deve manter à disposição da Comissão todos os documentos comprovativos de despesas efectuadas no ano a que corresponde a subvenção concedida, designadamente o mapa de contas revisto, durante cinco anos a contar da data do último pagamento. O beneficiário de uma subvenção diligenciar, se necessário, para que os documentos comprovativos que se encontrem na posse dos parceiros ou dos membros sejam postos à disposição da Comissão.

A Comissão pode, quer directamente através dos seus agentes, quer por intermédio de qualquer organismo externo qualificado da sua escolha, efectuar uma auditoria à utilização da subvenção. Estas auditorias podem realizar-se durante a vigência da convenção, bem como nos cinco anos subsequentes à data do pagamento do saldo da subvenção. Sempre que adequado, os resultados dessas auditorias podem eventualmente levar a Comissão a decidir recuperar montantes indevidamente pagos.

O pessoal da Comissão e o pessoal externo por esta mandatado devem ter acesso adequado aos escritórios do beneficiário, bem como a todas as informações necessárias, incluindo em formato electrónico, para levar a bom termo as auditorias.

O Tribunal de Contas e o OLAF dispõem dos mesmos direitos que a Comissão, designadamente do direito de acesso.

Além disso, a Comissão está habilitada a efectuar controlos e verificações no local, no quadro do Programa de Aprendizagem ao Longo da Vida, em conformidade com o Regulamento (Euratom, CE) n.º 2185/96 do Conselho, de 11 de Novembro de 1996, relativo às inspecções e verificações no local efectuadas pela Comissão para proteger os interesses financeiros das Comunidades Europeias contra as fraudes e outras irregularidades ⁽¹⁾.

Relativamente às acções comunitárias financiadas ao abrigo da presente decisão, constitui irregularidade, na acepção do n.º 2 do artigo 1.º do Regulamento (CE, Euratom) n.º 2988/95 do Conselho, de 18 de Dezembro de 1995, relativo à protecção dos interesses financeiros das Comunidades Europeias ⁽²⁾, qualquer violação de uma disposição do direito comunitário ou qualquer incumprimento de uma obrigação contratual que resulte de um acto ou omissão de um agente económico que tenha ou pudesse vir a ter por efeito lesar o orçamento geral das Comunidades Europeias, ou as dotações por elas geridas, através de uma despesa injustificada.

⁽¹⁾ JO L 292 de 15.11.1996, p. 2.

⁽²⁾ JO L 312 de 23.12.1995, p. 1.

I

(Resoluções, recomendações e pareceres)

RECOMENDAÇÕES

PARLAMENTO EUROPEU

CONSELHO

RECOMENDAÇÃO DO PARLAMENTO EUROPEU E DO CONSELHO

de 23 de Abril de 2008

relativa à instituição do Quadro Europeu de Qualificações para a aprendizagem ao longo da vida

(Texto relevante para efeitos do EEE)

(2008/C 111/01)

O PARLAMENTO EUROPEU E O CONSELHO DA UNIÃO EUROPEIA,

Tendo em conta o Tratado que institui a Comunidade Europeia, nomeadamente o n.º 4 do artigo 149.º e o n.º 4 do artigo 150.º,

Tendo em conta a proposta da Comissão,

Tendo em conta o parecer do Comité Económico e Social Europeu ⁽¹⁾,Tendo em conta o parecer do Comité das Regiões ⁽²⁾,Deliberando nos termos do artigo 251.º do Tratado ⁽³⁾,

Considerando o seguinte:

- (1) O desenvolvimento e o reconhecimento dos conhecimentos, das aptidões e das competências dos cidadãos são fundamentais para o desenvolvimento individual, a competitividade, o emprego e a coesão social da Comunidade. Deverão facilitar a mobilidade transnacional dos trabalhadores e aprendentes e contribuir para satisfazer as necessidades da oferta e da procura no mercado europeu de trabalho. Deverá, assim, promover-se e melhorar-se o acesso e a participação na aprendizagem ao longo da vida para todos, incluindo as pessoas desfavorecidas, e a utilização de qualificações a nível nacional e comunitário.
- (2) Em 2000, o Conselho Europeu de Lisboa declarou nas suas conclusões que o aumento da transparência das qualificações deverá constituir um dos principais aspectos

dos esforços de adaptação dos sistemas educativo e de formação da Comunidade às exigências da sociedade do conhecimento. Além disso, o Conselho Europeu de Barcelona, realizado em 2002, apelou a uma cooperação mais estreita no sector do ensino universitário e à melhoria da transparência e dos métodos de reconhecimento no domínio da educação e formação profissionais.

- (3) A Resolução do Conselho, de 27 de Junho de 2002, sobre a aprendizagem ao longo da vida ⁽⁴⁾ instou a Comissão a criar, em estreita colaboração com o Conselho e os Estados-Membros, um enquadramento para o reconhecimento das qualificações no domínio da educação e da formação, tomando como ponto de partida os resultados do processo de Bolonha e promovendo uma acção análoga no domínio da formação profissional.
- (4) Os relatórios conjuntos do Conselho e da Comissão sobre a execução do programa de trabalho «Educação e Formação para 2010», adoptados em 2004 e 2006, reforçaram a necessidade de instituir um Quadro Europeu de Qualificações.
- (5) No contexto do processo de Copenhaga, as conclusões do Conselho e dos Representantes dos governos dos Estados-Membros, reunidos no Conselho, de 15 de Novembro de 2004, sobre as prioridades futuras da cooperação europeia reforçada em matéria de

⁽¹⁾ JO C 175 de 27.7.2007, p. 74.

⁽²⁾ JO C 146 de 30.6.2007, p. 77.

⁽³⁾ Parecer do Parlamento Europeu de 24 de Outubro de 2007 (ainda não publicado no Jornal Oficial) e decisão do Conselho de 14 de Fevereiro de 2008.

⁽⁴⁾ JO C 163 de 9.7.2002, p. 1.

educação e formação profissionais deram prioridade ao desenvolvimento de um Quadro Europeu de Qualificações aberto e flexível, baseado na transparência e na confiança mútua, que deverá constituir uma referência comum no que diz respeito à educação e à formação.

- (6) A validação dos resultados da aprendizagem não formal e informal deverá ser promovida, em conformidade com as conclusões do Conselho, de 28 de Maio de 2004, sobre os princípios europeus comuns de identificação e de validação da aprendizagem não formal e informal.
- (7) Os Conselhos Europeus de Bruxelas de Março de 2005 e Março de 2006 sublinharam a importância da aprovação de um Quadro Europeu de Qualificações.
- (8) A presente recomendação tem em conta a Decisão n.º 2241/2004/CE do Parlamento Europeu e do Conselho, de 15 de Dezembro de 2004, que institui um quadro comunitário único para a transparência das qualificações e competências (Europass) ⁽¹⁾ e a Recomendação 2006/962/CE do Parlamento Europeu e do Conselho, de 18 de Dezembro de 2006, sobre as competências essenciais para a aprendizagem ao longo da vida ⁽²⁾.
- (9) A presente recomendação é compatível com o quadro do Espaço Europeu do Ensino Superior e os descritores de ciclos de estudos acordados pelos ministros responsáveis pelo ensino superior de 45 países europeus na reunião realizada em Bergen, em 19 e 20 de Maio de 2005, no âmbito do processo de Bolonha.
- (10) As conclusões do Conselho sobre a garantia de qualidade em matéria de educação e formação profissionais, de 23 e 24 de Maio de 2004, a Recomendação 2006/143/CE do Parlamento Europeu e do Conselho, de 15 de Fevereiro de 2006, relativa à continuação da cooperação europeia com vista à garantia da qualidade do ensino superior ⁽³⁾, bem como as normas e directrizes para a garantia de qualidade no Espaço Europeu de Ensino Superior, acordadas pelos ministros do ensino superior na sua reunião de Bergen, contêm princípios comuns para a garantia de qualidade que deverão constituir a base para o Quadro Europeu de Qualificações.
- (11) A presente recomendação não prejudica a Directiva 2005/36/CE do Parlamento Europeu e do Conselho, de 7 de Setembro de 2005, relativa ao reconhecimento das qualificações profissionais ⁽⁴⁾ que confere direitos e obrigações às autoridades nacionais competentes e aos migrantes. A referência aos níveis de qualificações constantes do Quadro Europeu de Qualificações não deverá condicionar o acesso ao mercado de trabalho nos casos em que as qualificações profissionais tenham sido reconhecidas ao abrigo da Directiva 2005/36/CE.
- (12) A presente recomendação tem por objectivo a criação de um quadro de referência comum que funcione como dispositivo de tradução entre sistemas de qualificações distintos e os respectivos níveis, no que respeita quer à educação geral e ao ensino superior, quer à educação e

formação profissionais. Contribuirá para aumentar a transparência, a comparabilidade e a portabilidade das qualificações dos cidadãos obtidas de acordo com as práticas em vigor nos diferentes Estados-Membros. Em princípio, cada nível de qualificação deverá poder obter-se através de diferentes itinerários de educação e de carreira. O Quadro Europeu de Qualificações deverá, além disso, permitir que as organizações sectoriais internacionais correlacionem os seus sistemas de qualificações com um ponto de referência comum europeu, e, desta forma, revelar a relação das qualificações sectoriais internacionais com os sistemas nacionais de qualificações. A presente recomendação contribui, por conseguinte, para os objectivos gerais de promoção da aprendizagem ao longo da vida e aumento da empregabilidade, da mobilidade e da integração social de trabalhadores e aprendentes. Princípios transparentes de garantia da qualidade e a troca de informação contribuirão para a sua aplicação, ajudando a criar confiança mútua.

- (13) A presente recomendação deverá contribuir para a modernização dos sistemas de educação e formação, para correlacionar a educação, a formação e o emprego, bem como para estabelecer pontes entre a aprendizagem formal, não formal e informal, conduzindo também à validação dos resultados da aprendizagem adquiridos através da experiência.
- (14) A presente recomendação não substitui nem define os sistemas nacionais de qualificações e/ou as qualificações nacionais. O Quadro Europeu de Qualificações não descreve qualificações específicas ou competências individuais e as qualificações específicas deverão ser relacionadas com o nível adequado do Quadro Europeu de Qualificações por intermédio dos sistemas nacionais de qualificações relevantes.
- (15) Dada a sua natureza não vinculativa, a presente recomendação obedece ao princípio da subsidiariedade, na medida em que o seu objectivo é apoiar e complementar a acção dos Estados-Membros ao facilitar uma maior cooperação entre eles, de forma a aumentar a transparência e promover a mobilidade e a aprendizagem ao longo da vida. Deverá ser aplicada de acordo com a legislação e a prática nacionais.
- (16) Atendendo a que o objectivo da presente recomendação, a saber, a criação de um quadro comum de referência que sirva de ferramenta de tradução dos diferentes sistemas de qualificações e respectivos níveis não pode ser suficientemente realizado pelos Estados-Membros e pode, pois, devido à dimensão e aos efeitos da acção prevista, ser mais bem alcançado ao nível comunitário, a Comunidade pode tomar medidas em conformidade com o princípio da subsidiariedade consagrado no artigo 5.º do Tratado. Em conformidade com o princípio da proporcionalidade consagrado no mesmo artigo, a presente recomendação não excede o necessário para atingir aquele objectivo,

⁽¹⁾ JO L 390 de 31.12.2004, p. 6.

⁽²⁾ JO L 394 de 30.12.2006, p. 10.

⁽³⁾ JO L 64 de 4.3.2006, p. 60.

⁽⁴⁾ JO L 255 de 30.9.2005, p. 22. Directiva com a redacção que lhe foi dada pela Directiva 2006/100/CE do Conselho (JO L 363 de 20.12.2006, p. 141).

RECOMENDAM AOS ESTADOS-MEMBROS QUE:

1. utilizem o Quadro Europeu de Qualificações como instrumento de referência para comparar os níveis de qualificações dos diferentes sistemas de qualificações e para promover quer a aprendizagem ao longo da vida, quer a igualdade de oportunidades numa sociedade baseada no conhecimento, bem como a maior integração possível do mercado de trabalho europeu, respeitando ao mesmo tempo a riqueza e a diversidade dos sistemas nacionais de educação;
2. correlacionem os seus sistemas nacionais de qualificações com o Quadro Europeu de Qualificações até 2010, através, sobretudo, de uma remissão transparente dos seus níveis de qualificações para os níveis estabelecidos no Anexo II e, se for caso disso, do desenvolvimento de quadros nacionais de qualificações em conformidade com a legislação e a prática nacionais;
3. adoptem medidas, conforme adequado, de modo a que, até 2012, todos os novos certificados de qualificações, diplomas e documentos «Europass» emitidos pelas entidades competentes contenham uma referência clara (através dos sistemas nacionais de qualificações) ao nível adequado do Quadro Europeu de Qualificações;
4. recorram a uma abordagem baseada nos resultados da aprendizagem para definir e descrever qualificações e promovam a validação da aprendizagem não formal e informal em conformidade com os princípios europeus comuns acordados nas conclusões do Conselho de 28 de Maio de 2004, prestando atenção particular aos cidadãos mais susceptíveis ao desemprego ou a formas precárias de emprego cuja participação na formação ao longo da vida e acesso ao mercado de trabalho poderão aumentar como consequência dessa abordagem;
5. promovam e apliquem os princípios de garantia de qualidade em matéria de educação e formação estabelecidos no Anexo III aquando da correlação das qualificações do ensino superior e da educação e formação profissionais do sistema nacional de qualificações com o Quadro Europeu de Qualificações;
6. designem pontos de coordenação nacionais ligados às estruturas e requisitos específicos dos Estados-Membros para apoiar e, em conjugação com outras autoridades nacionais relevantes, orientar a correlação entre os sistemas nacionais de qualificações e o Quadro Europeu de Qualificações, a fim de fomentar a qualidade e a transparência dessa correlação.

A estes pontos de coordenação nacionais incumbirá:

- a) correlacionar os níveis de qualificações dos sistemas nacionais de qualificações com os níveis do Quadro Europeu de Qualificações descritos no Anexo II;
- b) garantir a transparência da metodologia utilizada para correlacionar os níveis de qualificações nacionais com o Quadro Europeu de Qualificações de modo a facilitar a, por um lado, comparação entre eles e, por outro, garantir a publicação das decisões atinentes;

- c) facultar o acesso à informação e orientações às partes interessadas sobre a forma como as qualificações nacionais se correlacionam com o Quadro Europeu de Qualificações, através dos sistemas nacionais de qualificações;
- d) incentivar a participação de todas as entidades interessadas relevantes incluindo, em conformidade com a legislação e a prática nacionais, estabelecimentos de ensino superior e de educação e formação profissionais, parceiros sociais, sectores e peritos no processo de comparação e utilização das qualificações a nível europeu.

SUBSCREVEM A INTENÇÃO DA COMISSÃO DE:

1. apoiar os Estados-Membros na execução das tarefas supra-mencionadas e as organizações sectoriais internacionais na aplicação dos princípios e níveis de referência do Quadro Europeu de Qualificações previsto na presente recomendação, sobretudo através da facilitação da cooperação, do intercâmbio de boas práticas e da experimentação (nomeadamente através do recurso à avaliação voluntária pelos pares e a projectos-piloto no âmbito de programas comunitários, lançando campanhas de informação e consulta dos comités de diálogo social), e do desenvolvimento de material de apoio e orientação;
2. instituir, até 23 de Abril de 2009, um grupo consultivo no âmbito do Quadro Europeu de Qualificações (composto por representantes dos Estados-Membros e com a participação dos parceiros sociais europeus e de outros interessados, consoante o caso), encarregado de garantir a coerência global e de promover a transparência do processo de correlação dos sistemas de qualificações com o Quadro Europeu de Qualificações;
3. reexaminar e avaliar, em cooperação com os Estados-Membros e depois de ter consultado os interessados, as medidas tomadas na sequência da presente recomendação, incluindo o mandato e a duração do grupo consultivo, e, até 23 de Abril de 2013, apresentar um relatório ao Parlamento Europeu e ao Conselho sobre a experiência adquirida e as implicações para o futuro, incluindo, se tal se revelar necessário, uma eventual revisão e reexame da presente recomendação;
4. promover ligações estreitas entre o Quadro Europeu de Qualificações e os sistemas europeus, actuais ou futuros, para a transferência e acumulação de créditos no ensino superior e na educação e formação profissionais, a fim de melhorar a mobilidade dos cidadãos e facilitar o reconhecimento dos resultados da aprendizagem.

Feito em Estrasburgo, em 23 de Abril de 2008.

Pelo Parlamento Europeu

O Presidente

H.-G. PÖTTERING

Pelo Conselho

O Presidente

J. LANARČIČ

ANEXO I

Definições

Para efeitos da presente recomendação, entende-se por:

- a) «qualificação», o resultado formal de um processo de avaliação e validação, obtido quando um órgão competente decide que uma pessoa alcançou resultados de aprendizagem de acordo com determinadas exigências;
 - b) «sistema nacional de qualificações», todos os aspectos da actividade de um Estado-Membro relacionada com o reconhecimento da aprendizagem e outros mecanismos que conjuguem a educação e a formação com o mercado de trabalho e a sociedade civil. Inclui a elaboração e aplicação de disposições e processos institucionais relativos à garantia da qualidade, à avaliação e à atribuição de qualificações. Um sistema nacional de qualificações pode ser composto por diversos subsistemas e incluir um quadro nacional de qualificações;
 - c) «quadro nacional de qualificações», um instrumento concebido para a classificação de qualificações segundo um conjunto de critérios para a obtenção de níveis específicos de aprendizagem, que visa integrar e coordenar os subsistemas nacionais de qualificações e melhorar a transparência, o acesso, a progressão e a qualidade das qualificações em relação ao mercado de trabalho e à sociedade civil;
 - d) «sector», um agrupamento de actividades profissionais com base no seu principal produto, serviço, tecnologia ou função económica;
 - e) «organização sectorial internacional», uma associação de organizações nacionais, incluindo, por exemplo, entidades empregadoras ou organismos profissionais, que representem os interesses dos sectores nacionais;
 - f) «resultados da aprendizagem», o enunciado do que um aprendente conhece, compreende e é capaz de fazer aquando da conclusão de um processo de aprendizagem, descrito em termos de conhecimentos, aptidões e competência;
 - g) «conhecimentos», o resultado da assimilação de informação através da aprendizagem. Os conhecimentos constituem o acervo de factos, princípios, teorias e práticas relacionado com uma área de trabalho ou de estudo. No âmbito do Quadro Europeu de Qualificações, descrevem-se os conhecimentos como teóricos e/ou factuais;
 - h) «aptidões», a capacidade de aplicar conhecimentos e utilizar recursos adquiridos para concluir tarefas e solucionar problemas. No âmbito do Quadro Europeu de Qualificações, descrevem-se as aptidões como cognitivas (incluindo a utilização de pensamento lógico, intuitivo e criativo) e práticas (implicando destreza manual e o recurso a métodos, materiais, ferramentas e instrumentos);
 - i) «competência», a capacidade comprovada de utilizar o conhecimento, as aptidões e as capacidades pessoais, sociais e/ou metodológicas, em situações profissionais ou em contextos de estudo e para efeitos de desenvolvimento profissional e/ou pessoal. No âmbito do Quadro Europeu de Qualificações, descreve-se a competência em termos de responsabilidade e autonomia.
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Indicadores de definição dos níveis do Quadro Europeu de Qualificações (QEQ)

Cada um dos 8 níveis é definido por um conjunto de indicadores que especificam os resultados da aprendizagem correspondentes às qualificações nesse nível em qualquer sistema de qualificações

	Conhecimentos	Aptidões	Competência
	No âmbito do QEQ, descrevem-se os conhecimentos como teóricos e/ou factuais	No âmbito do QEQ, descrevem-se as aptidões como cognitivas (incluindo a utilização de pensamento lógico, intuitivo e criativo) e práticas (implicando destreza manual e o recurso a métodos, materiais, ferramentas e instrumentos)	No âmbito do QEQ, descreve-se a competência em termos de responsabilidade e autonomia
Nível 1 Resultados da aprendizagem correspondentes ao nível 1:	Conhecimentos gerais básicos	Aptidões básicas necessárias à realização de tarefas simples	Trabalhar ou estudar sob supervisão directa num contexto estruturado
Nível 2 Resultados da aprendizagem correspondentes ao nível 2:	Conhecimentos factuais básicos numa área de trabalho ou de estudo	Aptidões cognitivas e práticas básicas necessárias para a aplicação da informação adequada à realização de tarefas e à resolução de problemas correntes por meio de regras e instrumentos simples	Trabalhar ou estudar sob supervisão, com um certo grau de autonomia
Nível 3 Resultados da aprendizagem correspondentes ao nível 3:	Conhecimentos de factos, princípios, processos e conceitos gerais numa área de estudo ou de trabalho	Uma gama de aptidões cognitivas e práticas necessárias para a realização de tarefas e a resolução de problemas através da selecção e aplicação de métodos, instrumentos, materiais e informações básicas	Assumir responsabilidades para executar tarefas numa área de estudo ou de trabalho. Adaptar o seu comportamento às circunstâncias para fins da resolução de problemas
Nível 4 Resultados da aprendizagem correspondentes ao nível 4:	Conhecimentos factuais e teóricos em contextos alargados numa área de estudo ou de trabalho	Uma gama de aptidões cognitivas e práticas necessárias para conceber soluções para problemas específicos numa área de estudo ou de trabalho	Gerir a própria actividade no quadro das orientações estabelecidas em contextos de estudo ou de trabalho geralmente previsíveis, mas susceptíveis de alteração. Supervisionar as actividades de rotina de terceiros, assumindo determinadas responsabilidades em matéria de avaliação e melhoria das actividades em contextos de estudo ou de trabalho
Nível 5 (*) Resultados da aprendizagem correspondentes ao nível 5:	Conhecimentos abrangentes, especializados, factuais e teóricos numa determinada área de estudos ou de trabalho e consciência dos limites desses conhecimentos	Uma gama abrangente de aptidões cognitivas e práticas necessárias para conceber soluções criativas para problemas abstractos	Gerir e supervisionar em contextos de estudo ou de trabalho sujeitos a alterações imprevisíveis. Rever e desenvolver o seu desempenho e o de terceiros

Nível 6 (**) Resultados da aprendizagem correspondentes ao nível 6:	Conhecimento aprofundado de uma determinada área de estudo ou de trabalho que implica uma compreensão crítica de teorias e princípios	Aptidões avançadas que revelam a mestria e a inovação necessárias à resolução de problemas complexos e imprevisíveis numa área especializada de estudos ou de trabalho	Gerir actividades ou projectos técnicos ou profissionais complexos, assumindo a responsabilidade da tomada de decisões em contextos de estudo ou de trabalho imprevisíveis. Assumir responsabilidades em matéria de gestão do desenvolvimento profissional individual e colectivo
Nível 7 (***) Resultados da aprendizagem correspondentes ao nível 7:	Conhecimentos altamente especializados, alguns dos quais se encontram na vanguarda do conhecimento numa determinada área de estudo ou de trabalho, que sustentam a capacidade de reflexão original e/ou investigação. Consciência crítica das questões relativas aos conhecimentos numa área e nas interligações entre várias áreas	Aptidões especializadas para a resolução de problemas em matéria de investigação e/ou inovação, para desenvolver novos conhecimentos e procedimentos e integrar os conhecimentos de diferentes áreas	Gerir e transformar contextos de estudo ou de trabalho complexos, imprevisíveis e que exigem abordagens estratégicas novas. Assumir responsabilidades por forma a contribuir para os conhecimentos e as práticas profissionais e/ou para rever o desempenho estratégico de equipas
Nível 8 (****) Resultados da aprendizagem correspondentes ao nível 8:	Conhecimentos de ponta na vanguarda de uma área de estudo ou de trabalho e na interligação entre áreas	As aptidões e as técnicas mais avançadas e especializadas, incluindo capacidade de síntese e de avaliação, necessárias para a resolução de problemas críticos na área da investigação e/ou da inovação ou para o alargamento e a redefinição dos conhecimentos ou das práticas profissionais existentes	Demonstrar um nível considerável de autoridade, inovação, autonomia, integridade científica ou profissional e assumir um firme compromisso no que diz respeito ao desenvolvimento de novas ideias ou novos processos na vanguarda de contextos de estudo ou de trabalho, inclusive em matéria de investigação

Compatibilidade com o Quadro de Qualificações do Espaço Europeu do Ensino Superior

O Quadro de Qualificações do Espaço Europeu do Ensino Superior propõe descritores dos ciclos de estudos.

Cada descritor de ciclo de estudos apresenta um enunciado genérico das expectativas em matéria dos resultados e das aptidões associados às qualificações que representam a conclusão desse ciclo.

- (*) O descritor do ciclo mais curto do ensino superior (no âmbito do primeiro ciclo ou a ele associado), elaborado no contexto da iniciativa conjunta para a qualidade no quadro do processo de Bolonha, corresponde aos resultados da aprendizagem no nível 5 do QEQ.
- (**) O descritor do primeiro ciclo de estudos no Quadro de Qualificações do Espaço Europeu do Ensino Superior, acordado pelos ministros do ensino superior na sua reunião em Bergen, em Maio de 2005 no âmbito do processo de Bolonha, corresponde aos resultados da aprendizagem de nível 6 do QEQ.
- (***) O descritor do segundo ciclo de estudos no Quadro de Qualificações do Espaço Europeu do Ensino Superior, acordado pelos ministros do ensino superior na sua reunião em Bergen, em Maio de 2005 no âmbito do processo de Bolonha, corresponde aos resultados da aprendizagem de nível 7 do QEQ.
- (****) O descritor do terceiro ciclo de estudos no Quadro de Qualificações do Espaço Europeu do Ensino Superior, acordado pelos ministros do ensino superior aquando da reunião em Bergen, em Maio de 2005, no quadro do processo de Bolonha, corresponde aos resultados da aprendizagem de nível 8 do QEQ.

ANEXO III

Princípios comuns da garantia de qualidade em matéria de ensino superior e de educação e formação profissionais no âmbito do Quadro Europeu de Qualificações

Ao implementar o Quadro Europeu de Qualificações, a garantia de qualidade, necessária para assegurar a responsabilização e a melhoria do ensino superior e da educação e formação profissionais, deve obedecer aos seguintes princípios:

- as políticas e os procedimentos em matéria de garantia da qualidade deverão presidir a todos os níveis do Quadro Europeu de Qualificações,
 - a garantia de qualidade deverá fazer parte integrante da gestão interna das instituições de educação e formação,
 - a garantia de qualidade deverá contemplar a avaliação periódica das instituições, dos seus programas ou sistemas de garantia da qualidade através de instâncias ou agências externas de monitorização,
 - as instâncias ou agências externas responsáveis pela garantia da qualidade deverão ser objecto de uma avaliação regular,
 - a garantia de qualidade deverá contemplar o contexto, os contributos, os processos e os resultados, dando o devido destaque às realizações e aos resultados da aprendizagem,
 - os sistemas de garantia de qualidade deverão incluir os seguintes elementos:
 - objectivos e normas claros e quantificáveis, orientações de aplicação que incluam a participação das partes interessadas,
 - recursos adequados,
 - métodos de avaliação coerentes que associem processos de auto-avaliação e de avaliação externa,
 - mecanismos de feedback e procedimentos para a realização de melhorias,
 - resultados da avaliação amplamente acessíveis,
 - as iniciativas de garantia de qualidade, a nível internacional, nacional e regional, deverão ser coordenadas, por forma a assegurar a visão global, coerência, sinergia e a análise geral do sistema,
 - a garantia de qualidade deverá constituir um processo de cooperação entre todos os níveis e sistemas de educação e formação, que envolva todas as partes interessadas pertinentes nos Estados-Membros e em toda a Comunidade,
 - as orientações em matéria de garantia de qualidade a nível comunitário podem facultar pontos de referência para efeitos de avaliação e de aprendizagem entre pares.
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(Actos cuja publicação é uma condição da sua aplicabilidade)

DECISÃO N.º 2317/2003/CE DO PARLAMENTO EUROPEU E DO CONSELHO**de 5 de Dezembro de 2003**

que estabelece um programa para o reforço da qualidade do ensino superior e a promoção da compreensão intercultural através da cooperação com países terceiros (Erasmus Mundus) (2004-2008)

O PARLAMENTO EUROPEU E O CONSELHO DA UNIÃO EUROPEIA,

Tendo em conta o Tratado que institui a Comunidade Europeia e, nomeadamente, o seu artigo 149.º,

Tendo em conta a proposta da Comissão ⁽¹⁾,

Tendo em conta o parecer do Comité Económico e Social Europeu ⁽²⁾,

Tendo em conta o parecer do Comité das Regiões ⁽³⁾,

Deliberando nos termos do artigo 251.º do Tratado ⁽⁴⁾,

Considerando o seguinte:

- (1) A Comunidade Europeia deve contribuir para o desenvolvimento de um ensino de qualidade, nomeadamente através da cooperação com países terceiros.
- (2) As conclusões do Conselho Europeu de Lisboa (23 e 24 de Março de 2000) salientam que, para a Europa fazer face ao desafio da globalização, os Estados-Membros deverão adaptar os respectivos sistemas de educação e formação às necessidades da nova sociedade do conhecimento.
- (3) O Conselho Europeu de Estocolmo (23 e 24 de Março de 2001) indicou que os trabalhos sobre o seguimento dado aos objectivos dos sistemas de educação e de formação deverão ser avaliados numa perspectiva mundial. O Conselho Europeu de Barcelona (15 e 16 de Março de 2002) confirmou que o alargamento à escala mundial constitui um dos três princípios básicos do Programa de Trabalho para 2010 relativo aos sistemas de educação e de formação.

(4) Os ministros europeus da Educação, reunidos em Bolonha (19 de Junho de 1999), afirmaram na sua Declaração conjunta ser necessário assegurar que o sistema europeu de ensino superior seja suficientemente aliciente a nível mundial, por forma a estar à altura do importante legado cultural e científico da Europa.

(5) Os ministros europeus do ensino superior, reunidos em Praga (19 de Maio de 2001), colocaram a tónica nomeadamente na importância de tornar o ensino superior europeu cada vez mais aliciente para os estudantes da Europa e do resto do mundo.

(6) Na comunicação relativa ao reforço da cooperação com os países terceiros no domínio do ensino superior, a Comissão defende que o ensino superior deve adquirir uma dimensão internacional mais acentuada a fim de dar resposta ao desafio da globalização, identifica os objectivos globais no quadro de uma estratégia de cooperação com países terceiros neste domínio e sugere medidas concretas para o cumprimento destes objectivos.

(7) A resolução do Conselho, de 14 de Fevereiro de 2002, relativa à promoção da diversidade linguística e à aprendizagem das línguas no quadro da implementação dos objectivos do Ano Europeu das Línguas 2001 ⁽⁵⁾ sublinha a necessidade de a União Europeia ter em conta o princípio da diversidade linguística nas suas relações com países terceiros.

(8) As instituições académicas da União Europeia têm como objectivo aumentar a quota de estudantes internacionais móveis. É amplamente reconhecido o enorme potencial dos esforços combinados dos estabelecimentos europeus de ensino superior, da sua diversidade educativa e da sua vasta experiência de constituição de redes e de cooperação com países terceiros, que lhes permite oferecer na Europa cursos únicos e de elevada qualidade, possibilitando uma partilha mais vasta das vantagens da mobilidade internacional no seio da Comunidade e nos seus países parceiros.

⁽¹⁾ JO C 331 E de 31.12.2002, p. 25.

⁽²⁾ JO C 95 de 23.4.2003, p. 35.

⁽³⁾ JO C 244 de 10.10.2003, p. 14.

⁽⁴⁾ Parecer do Parlamento Europeu de 8 de Abril de 2003 (ainda não publicado no Jornal Oficial), posição comum do Conselho de 16 de Junho de 2003 (JO C 240 E de 7.10.2003, p. 1) e posição do Parlamento Europeu de 21 de Outubro de 2003 (ainda não publicada no Jornal Oficial).

⁽⁵⁾ JO C 50 de 23.2.2002, p. 1.

- (9) Os estabelecimentos de ensino superior europeus devem permanecer na vanguarda do progresso; para o efeito, devem encorajar a cooperação com os seus congéneres de países terceiros que tenham atingido um grau de desenvolvimento comparável ao dos estabelecimentos de ensino superior da Comunidade. O ensino superior deve ser entendido como um conjunto do qual a formação profissional superior faz parte integrante, tendo em conta a existência de sectores específicos, tais como a formação de engenheiros ou de técnicos superiores.
- (10) O objectivo deste programa é contribuir para melhorar a qualidade do ensino superior na Europa, e em simultâneo ter um impacto na visibilidade e na percepção da União Europeia em todo o Mundo, além de constituir um capital de boa-vontade junto das pessoas que tenham participado no programa.
- (11) O presente programa prevê a criação de «cursos de mestrado Erasmus Mundus» que permitirão aos estudantes efectuar uma «volta à Europa» em várias universidades. Será necessário ter em conta esta nova dimensão europeia do ensino superior aquando da revisão dos programas existentes, como o Sócrates (Erasmus), a fim de tomar as medidas adequadas para favorecer o acesso dos estudantes europeus a este programa.
- (12) A acção da Comunidade deve ser gerida de forma transparente, acessível, aberta e abrangente.
- (13) Ao promover uma mobilidade internacional, a Comunidade deve ter presente o fenómeno vulgarmente designado por «fuga de cérebros».
- (14) Há que intensificar os esforços comunitários em prol do diálogo e da compreensão entre as culturas à escala mundial, tendo em mente a dimensão social do ensino superior bem como os ideais da democracia e o respeito pelos direitos humanos, entre os quais o da igualdade entre os sexos, especialmente na medida em que a mobilidade propicia a descoberta de novos ambientes culturais e sociais e facilita a compreensão dos mesmos; nesse contexto, há que garantir que nenhum grupo de cidadãos de países terceiros seja excluído ou prejudicado, tal como refere o n.º 1 do artigo 21.º da Carta dos Direitos Fundamentais da União Europeia.
- (15) Por forma a reforçar o valor acrescentado da intervenção comunitária, é necessário garantir a coerência e a complementaridade entre as acções realizadas no quadro da presente decisão e outras políticas, iniciativas e instrumentos comunitários relevantes, nomeadamente o 6.º Programa-Quadro da Investigação, instituído pela Decisão n.º 1513/2002/CE⁽¹⁾, e os programas de cooperação externa no domínio do ensino superior.
- (16) O Acordo sobre o Espaço Económico Europeu (Acordo EEE) prevê uma cooperação alargada no domínio da educação, da formação e da juventude entre, por um lado, a Comunidade Europeia e os seus Estados-Membros e, por outro, os países da Associação Europeia de Comércio Livre que participam no Espaço Económico Europeu (Estados EEE/EFTA). As condições e as regras de participação destes países no presente programa deverão ser definidas segundo as disposições aplicáveis do Acordo EEE.
- (17) As condições e as regras de participação dos países associados da Europa Central e Oriental (PECO) no presente programa deverão ser definidas segundo as disposições previstas nos acordos europeus, nos seus protocolos complementares e nas decisões dos respectivos Conselhos de Associação. Em relação a Chipre, a participação deverá ser financiada por dotações adicionais segundo procedimentos a acordar com esse país. Quanto a Malta e à Turquia, a participação deverá ser financiada por dotações adicionais nos termos do Tratado.
- (18) O presente programa deve ser regularmente acompanhado e avaliado, em cooperação entre a Comissão e os Estados-Membros, para permitir reajustamentos, nomeadamente no que respeita às prioridades de execução das medidas; a avaliação deverá incluir uma avaliação externa e independente.
- (19) Atendendo a que os objectivos da acção proposta relativos ao contributo da cooperação europeia para um ensino de qualidade não podem ser suficientemente realizados pelos Estados-Membros devido, entre outros factores, à necessidade de promover parcerias multilaterais, mobilidade multilateral e intercâmbios de informações entre a Comunidade e países terceiros, e podem, pois, ser melhor alcançados ao nível comunitário devido à dimensão transnacional das acções e das medidas comunitárias, a Comunidade poderá tomar medidas em conformidade com o princípio da subsidiariedade consagrado no artigo 5.º do Tratado. Em conformidade com o princípio da proporcionalidade consagrado no mesmo artigo, a presente decisão não excede o necessário para atingir aqueles objectivos.

⁽¹⁾ Decisão n.º 1513/2002/CE do Parlamento Europeu e do Conselho, de 27 de Junho de 2002, relativa ao sexto programa-quadro da Comunidade Europeia de acções em matéria de investigação, desenvolvimento tecnológico e demonstração que visam contribuir para a realização do espaço europeu da investigação e para a inovação (2002-2006) (JO L 232 de 29.8.2002, p. 1).

- (20) A presente decisão estabelece, para a totalidade do período de vigência do programa, um enquadramento financeiro que constitui para a Autoridade Orçamental a referência privilegiada, na aceção do ponto 33 do Acordo Interinstitucional de 6 de Maio de 1999 entre o Parlamento Europeu, o Conselho e a Comissão, sobre a disciplina orçamental e a melhoria do processo orçamental ⁽¹⁾, no âmbito do processo orçamental anual.
- (21) As medidas necessárias à execução da presente decisão serão aprovadas nos termos da Decisão 1999/468/CE do Conselho, de 28 de Junho de 1999, que fixa as regras de exercício das competências de execução atribuídas à Comissão ⁽²⁾,

DECIDEM:

Artigo 1.º

Estabelecimento do programa

1. A presente decisão estabelece o programa «Erasmus Mundus», a seguir designado por «programa», relativo ao reforço da qualidade do ensino superior dentro da União Europeia e à promoção da compreensão intercultural através da cooperação com países terceiros.
2. O programa será executado durante o período compreendido entre 1 de Janeiro de 2004 e 31 de Dezembro de 2008.
3. O programa apoia e complementa as acções desenvolvidas pelos e nos Estados-Membros, respeitando inteiramente a sua responsabilidade pelo conteúdo da educação e pela organização dos sistemas de educação e de formação, bem como a sua diversidade cultural e linguística.

Artigo 2.º

Definições

Para efeitos da presente decisão, entende-se por:

1. «Estabelecimento de ensino superior», um estabelecimento que, de acordo com a legislação ou prática nacionais, confira qualificações ou diplomas a esse nível, independentemente da sua designação.
2. «Estudante diplomado de um país terceiro», um nacional de um país terceiro, que não os Estados EEE/EFTA e os países candidatos à adesão à União Europeia, que seja já titular de um diploma do ensino superior, que não seja residente num Estado-Membro ou país participante, na aceção do artigo 11.º, que não tenha exercido a sua actividade principal (estudos, profissão, etc.) durante um período superior a 12 meses ao longo dos últimos cinco anos em qualquer Estado-Membro ou país participante e que esteja inscrito ou cuja inscrição tenha sido aceite num curso de Mestrado do Erasmus Mundus descrito no anexo.
3. «Académico de um país terceiro», um nacional de um país terceiro que não os Estados EEE/EFTA e os países candidatos à adesão à União Europeia, que não seja residente num Estado-Membro ou país participante, na aceção do artigo 11.º, que não tenha exercido a sua actividade principal (estudos, profissão, etc.) durante um período superior a 12 meses ao longo dos últimos cinco anos em qualquer Estado-Membro ou país participante e que possua uma experiência académica e/ou profissional de excelência.
4. «Estudos de graduação ou de pós-graduação», cursos de ensino superior subsequentes a um primeiro ciclo do ensino superior com uma duração mínima de três anos, conducentes a um segundo ou novo diploma.

Artigo 3.º

Objectivos dos programas

1. O objectivo global do programa consiste em reforçar a qualidade do ensino superior europeu mediante a intensificação da cooperação com países terceiros, a fim de fomentar o desenvolvimento dos recursos humanos e de promover o diálogo e a compreensão entre povos e culturas.
2. Os objectivos específicos do programa são os seguintes:
 - a) Promover uma oferta de qualidade em matéria de ensino superior, com um claro valor acrescentado europeu, aliciante tanto a nível da União Europeia como além-fronteiras;
 - b) Encorajar e permitir que diplomados e académicos altamente qualificados de todo o mundo obtenham qualificações e/ou experiência na União Europeia;
 - c) Desenvolver uma cooperação mais estruturada entre a União Europeia e os estabelecimentos de ensino de países terceiros e uma maior mobilidade externa a partir da União Europeia no âmbito de programas de estudo europeus;
 - d) Melhorar a acessibilidade e reforçar a imagem de marca e a visibilidade do ensino superior da União Europeia.
3. Ao prosseguir os objectivos do programa, a Comissão deve observar a política geral da Comunidade no domínio da igualdade de oportunidades entre homens e mulheres e garantir que nenhum grupo de cidadãos ou nacionais de países terceiros seja excluído ou desfavorecido.

⁽¹⁾ JO C 172 de 18.6.1999, p. 1. Acordo alterado pela Decisão 2003/429/CE do Parlamento Europeu e do Conselho (JO L 147 de 14.6.2003, p. 25).

⁽²⁾ JO L 184 de 17.7.1999, p. 23.

Artigo 4.º**Ações no âmbito do programa**

1. Os objectivos do programa, definidos no artigo 3.º, devem ser prosseguidos através das seguintes acções:

- a) Cursos de Mestrado Erasmus Mundus seleccionados em função da qualidade da formação proposta e do acolhimento dos estudantes;
- b) Sistema de bolsas de estudo;
- c) Parcerias com estabelecimentos de ensino superior de países terceiros;
- d) Medidas que reforcem o carácter atractivo da Europa enquanto destino para efeitos de estudo;
- e) Medidas de apoio técnico.

2. Essas acções serão realizadas segundo os procedimentos descritos no anexo e recorrendo aos seguintes tipos de abordagens, que podem ser combinados quando tal se revelar adequado:

- a) Apoio à elaboração de programas educativos conjuntos e à constituição de redes de cooperação que facilitem o intercâmbio de experiências e de boas práticas;
- b) Maior apoio à mobilidade de pessoas no ensino superior, entre a Comunidade e os países terceiros;
- c) Promoção de competências linguísticas, de preferência proporcionando aos estudantes a possibilidade de aprenderem pelo menos duas línguas faladas nos países em que estão situados os estabelecimentos de ensino superior que participam no programa de mestrados Erasmus Mundus, e promoção da compreensão das diferentes culturas;
- d) Apoio a projectos-piloto que assentem em parcerias transnacionais concebidas para estimular a inovação e a qualidade do ensino superior;
- e) Apoio à análise e acompanhamento das tendências e da evolução no ensino superior numa perspectiva internacional.

Artigo 5.º**Acesso ao programa**

De acordo com as condições e regras de execução definidas no anexo, bem como com as definições constantes do artigo 2.º, o programa visa, nomeadamente:

- a) Os estabelecimentos de ensino superior;
- b) Os estudantes que tenham concluído com êxito o primeiro ciclo de um estabelecimento de ensino superior;
- c) Os académicos ou profissionais que desempenhem actividades de docência ou de investigação;
- d) O pessoal directamente envolvido no ensino superior;

- e) Outros organismos públicos ou privados que desenvolvam a sua acção no domínio do ensino superior que possam participar apenas nas acções 4 e 5 do anexo.

Artigo 6.º**Execução do programa e cooperação com os Estados-Membros**

1. A Comissão deve:

- a) Assegurar a execução efectiva das acções comunitárias abrangidas pelo programa, de acordo com o anexo;
- b) Ter em conta a cooperação bilateral dos Estados-Membros com países terceiros;
- c) Consultar as associações e as organizações competentes no domínio do ensino superior a nível europeu e transmitir os respectivos pareceres ao comité referido no artigo 8.º;
- d) Procurar sinergias e desenvolver acções conjuntas com outros programas e acções comunitários no domínio do ensino superior e da investigação.

2. Os Estados-Membros devem:

- a) Adoptar as medidas necessárias para a gestão eficaz do programa a nível nacional, associando todos os intervenientes no processo de ensino segundo as práticas nacionais e procurar adoptar essas medidas da forma que pareça mais adequada à eliminação de entraves jurídicos e administrativos;
- b) Designar as estruturas adequadas para cooperar estreitamente com a Comissão;
- c) Encorajar possíveis sinergias com outros programas comunitários e eventuais iniciativas nacionais similares tomadas a nível dos Estados-Membros.

3. A Comissão, em cooperação com os Estados-Membros, deve assegurar:

- a) A informação, publicidade e seguimento adequados das acções apoiadas pelo programa;
- b) A divulgação dos resultados das acções desenvolvidas no âmbito do programa.

Artigo 7.º**Medidas de execução**

1. As seguintes disposições, necessárias à execução da presente decisão, devem ser adoptadas nos termos do procedimento de gestão previsto no n.º 2 do artigo 8.º:

- a) Plano anual de trabalho, incluindo as prioridades;
- b) Critérios e processos de selecção, incluindo a composição e o regulamento interno do Comité de Selecção e o resultado das selecções da acção 1, tendo devidamente em conta o disposto no anexo;

- c) Orientações gerais para a execução do programa;
 - d) Orçamento anual e repartição dos fundos pelas várias acções do programa, bem como montantes indicativos das bolsas de estudo;
 - e) Disposições para o acompanhamento e a avaliação do programa e para a divulgação e transferência de resultados.
2. As propostas de decisão relativas aos resultados das seleções, excepto das da acção 1, e todas as outras medidas necessárias à execução da presente decisão serão adoptadas nos termos do procedimento consultivo previsto no n.º 3 do artigo 8.º

Artigo 8.º

Comité

1. A Comissão é assistida por um comité.
 2. Sempre que se faça referência ao presente número, são aplicáveis os artigos 4.º e 7.º da Decisão 1999/468/CE, tendo-se em conta o disposto no seu artigo 8.º
- O prazo previsto no n.º 3 do artigo 4.º da Decisão 1999/468/CE é de dois meses.
3. Sempre que se faça referência ao presente número, são aplicáveis os artigos 3.º e 7.º da Decisão 1999/468/CE, tendo-se em conta o disposto no seu artigo 8.º
 4. O comité aprovará o seu regulamento interno.

Artigo 9.º

Disposições financeiras

1. O enquadramento financeiro para a execução do programa, durante o período previsto no artigo 1.º, é de 230 milhões de euros. Para o período posterior a 31 de Dezembro de 2006, esse montante será considerado confirmado se for coerente com as perspectivas financeiras em vigor para o período que se inicia em 2007.
2. As dotações anuais são autorizadas pela autoridade orçamental, no limite das perspectivas financeiras.

Artigo 10.º

Coerência e complementaridade

1. A Comissão deve assegurar, em cooperação com os Estados-Membros, a coerência global e a complementaridade com outras políticas, instrumentos e acções comunitários relevantes, nomeadamente o 6.º Programa-Quadro de Investigação e os programas de cooperação externa no domínio do ensino superior.
2. A Comissão deve assegurar uma articulação eficaz, manter o comité referido no n.º 1 do artigo 8.º regularmente informado das iniciativas comunitárias tomadas nos domínios pertinentes e, sempre que adequado, da realização de acções conjuntas entre o programa e os programas e acções no domínio da educação, no quadro da cooperação comunitária com países terceiros, incluindo acordos bilaterais, bem como com organizações internacionais competentes na matéria.

Artigo 11.º

Participação dos Estados EEE/EFTA e dos países candidatos à adesão à União Europeia

As condições e as regras de participação no programa dos Estados EEE/EFTA e dos países candidatos à adesão à União Europeia serão estabelecidas segundo as disposições aplicáveis dos instrumentos que regulam as relações entre a Comunidade Europeia e esses países.

Artigo 12.º

Acompanhamento e avaliação

1. A Comissão deve acompanhar regularmente o programa, em cooperação com os Estados-Membros. Os resultados do processo de acompanhamento e de avaliação serão utilizados na execução do programa.

Esse processo de acompanhamento inclui os relatórios previstos no n.º 3 e actividades específicas.

2. O programa deve ser avaliado regularmente pela Comissão, tendo em conta os objectivos referidos no artigo 3.º, o impacto do programa no seu conjunto e a complementaridade entre as acções ao abrigo do programa e as prosseguidas no âmbito de outras políticas, instrumentos e acções comunitários relevantes.

3. A Comissão deve submeter ao Parlamento Europeu, ao Conselho, ao Comité Económico e Social Europeu e ao Comité das Regiões:

- a) Aquando da adesão de um novo Estado-Membro, um relatório sobre as repercussões financeiras dessa adesão para o programa, seguido, sempre que adequado, de propostas que tenham em conta essas repercussões. O Parlamento Europeu e o Conselho deliberarão sobre essas propostas o mais rapidamente possível;
- b) Até 30 de Junho de 2007, um relatório intercalar de avaliação sobre os resultados obtidos e sobre os aspectos qualitativos da execução do programa;
- c) Até 31 de Dezembro de 2007, uma comunicação sobre a continuação do programa;
- d) Até 31 de Dezembro de 2009, um relatório de avaliação *ex post*.

Artigo 13.º

Entrada em vigor

A presente decisão entra em vigor no vigésimo dia seguinte ao da sua publicação no *Jornal Oficial da União Europeia*.

Feito em Bruxelas, em 5 de Dezembro de 2003.

Pelo Parlamento Europeu

O Presidente

P. COX

Pelo Conselho

O Presidente

P. LUNARDI

ANEXO

ACÇÕES COMUNITÁRIAS E PROCESSOS DE SELECÇÃO

- ACÇÃO 1: CURSOS DE MESTRADO ERASMUS MUNDUS
- ACÇÃO 2: BOLSAS DE ESTUDO
- ACÇÃO 3: PARCERIAS COM ESTABELECIMENTOS DE ENSINO SUPERIOR DE PAÍSES TERCEIROS
- ACÇÃO 4: TORNAR O ENSINO SUPERIOR MAIS ATRACTIVO
- ACÇÃO 5: MEDIDAS TÉCNICAS DE APOIO
- PROCESSOS DE SELECÇÃO

ACÇÃO 1: CURSOS DE MESTRADO ERASMUS MUNDUS

1. A Comunidade seleccionará cursos europeus de pós-graduação que, para efeitos do presente programa, serão designados por «Cursos de Mestrado Erasmus Mundus», seleccionados em função da qualidade dos cursos propostos e do acolhimento reservado aos estudantes, como previsto na rubrica «Processos de Selecção» do presente anexo.
2. Para efeitos do presente programa, os Cursos de Mestrado Erasmus Mundus devem:
 - a) Envolver no mínimo três estabelecimentos de ensino superior de três Estados-Membros diferentes;
 - b) Executar um programa curricular que abranja um período de estudo em pelo menos dois dos três estabelecimentos referidos na alínea a);
 - c) Dispor de mecanismos integrados para o reconhecimento de períodos de estudo efectuados em estabelecimentos de ensino parceiros baseados em ou compatíveis com o Sistema de Transferência de Créditos da União Europeia;
 - d) Culminar na atribuição de diplomas duplos ou múltiplos conjuntos, reconhecidos ou acreditados pelos Estados-Membros e emitidos pelos estabelecimentos participantes;
 - e) Reservar um mínimo de vagas para acolher estudantes de países terceiros que tenham obtido apoio financeiro no âmbito do presente programa;
 - f) Definir condições transparentes de admissão que atendam, nomeadamente, às questões de igualdade entre homens e mulheres e de equidade;
 - g) Concordar em respeitar as regras aplicáveis ao processo de selecção de bolseiros (estudantes e académicos);
 - h) Criar condições adequadas que facilitem o acesso e o acolhimento de estudantes de países terceiros (serviços de informação, alojamento, etc.);
 - i) Sem prejuízo da língua de ensino, proporcionar a utilização de pelo menos duas línguas europeias faladas nos Estados-Membros em que estão situados os estabelecimentos de ensino superior envolvidos nos Cursos de Mestrado Erasmus Mundus e, se necessário, preparação linguística e assistência aos estudantes, nomeadamente através de cursos organizados pelos referidos estabelecimentos.
3. Os Cursos de Mestrado Erasmus Mundus serão seleccionados por um período de cinco anos, sujeito a um procedimento simplificado de recondução anual baseado num relatório sobre os progressos alcançados, podendo esse período incluir um ano de actividades preparatórias antes do início efectivo das aulas. Procurar-se-á obter uma representação equilibrada de diferentes áreas de estudo durante todo o período de duração do programa. A Comunidade pode proporcionar apoio financeiro aos Cursos de Mestrado Erasmus Mundus e o financiamento ficará sujeito ao procedimento anual de recondução.

ACÇÃO 2: BOLSAS DE ESTUDO

1. A Comunidade estabelecerá um plano único e global de bolsas de estudo destinadas aos estudantes diplomados e académicos de países terceiros.
 - a) A Comunidade poderá fornecer apoio financeiro aos estudantes de países terceiros que tenham sido admitidos, através de um processo competitivo, a participar nos Cursos de Mestrado Erasmus Mundus.
 - b) A Comunidade poderá fornecer apoio financeiro aos académicos de países terceiros em visita no quadro dos Cursos de Mestrado Erasmus Mundus para prosseguirem missões de docência e de investigação e estudos aprofundados nos estabelecimentos de ensino que participam nos Cursos de Mestrado Erasmus Mundus.

2. As bolsas de estudo estão abertas aos estudantes diplomados e académicos de países terceiros, tal como definidos no artigo 2.º, sem qualquer condição prévia de participação para além da existência de relações entre a União Europeia e o país de origem dos estudantes e académicos em questão.
3. A Comissão adoptará as medidas necessárias para assegurar que nenhum estudante ou académico receba apoio financeiro para o mesmo fim ao abrigo de mais de um programa comunitário.

ACÇÃO 3: PARCERIAS COM ESTABELECIMENTOS DE ENSINO SUPERIOR DE PAÍSES TERCEIROS

1. A Comunidade poderá apoiar o estabelecimento de relações estruturadas entre os Cursos de Mestrado Erasmus Mundus e os estabelecimentos de ensino superior de países terceiros. Tendo embora em consideração os critérios de qualidade fundamentais, dever-se-á ter em conta igualmente a diversidade da distribuição geográfica dos estabelecimentos dos países terceiros que participam no programa. As parcerias servirão de quadro à mobilidade externa dos estudantes e académicos da União Europeia que participem nos Cursos de Mestrado Erasmus Mundus.
2. As parcerias deverão:
 - envolver um Curso de Mestrado Erasmus Mundus e pelo menos um estabelecimento de ensino superior de um país terceiro,
 - ser apoiadas por períodos até três anos,
 - servir de quadro à mobilidade externa dos estudantes inscritos em Cursos de Mestrado Erasmus Mundus e dos docentes desses cursos; os estudantes e os académicos elegíveis devem ser cidadãos da União Europeia ou nacionais de países terceiros que tenham tido residência legal na União Europeia durante pelo menos três anos, para efeitos que não os de estudo, antes do início da mobilidade,
 - assegurar o reconhecimento dos períodos de estudo no estabelecimento não europeu de acolhimento.
3. As actividades previstas no projecto de parceria poderão igualmente incluir:
 - missões de docência num estabelecimento de ensino parceiro em apoio do desenvolvimento do programa de estudos do projecto,
 - intercâmbios de professores, formadores, administradores e outros especialistas pertinentes,
 - desenvolvimento e divulgação de novas metodologias no domínio do ensino superior, incluindo a utilização das tecnologias da informação e da comunicação, *e-learning* e o ensino aberto e à distância,
 - organização de esquemas de cooperação com estabelecimentos de ensino superior de países terceiros tendo em vista a realização de um curso no país em questão.

ACÇÃO 4: TORNAR O ENSINO SUPERIOR MAIS ATRACTIVO

1. No quadro desta acção, a Comunidade poderá apoiar actividades destinadas a reforçar a imagem de marca, a visibilidade e a acessibilidade do ensino europeu. A Comunidade apoiará igualmente actividades complementares que contribuam para a consecução dos objectivos do programa, incluindo actividades relacionadas com a dimensão internacional da garantia de qualidade, o reconhecimento de créditos, o reconhecimento das qualificações europeias no estrangeiro e o reconhecimento mútuo de qualificações com os países terceiros, a elaboração de programas de estudo e a mobilidade.
2. Os estabelecimentos de ensino elegíveis podem incluir organismos públicos ou privados que desenvolvam a sua acção no domínio do ensino superior a nível nacional ou internacional. As actividades serão conduzidas no âmbito de redes que reúnam no mínimo três organismos de três Estados-Membros diferentes, podendo associar organismos de países terceiros. As actividades (seminários, conferências, *workshops*, desenvolvimento de ferramentas TIC, produção de material para publicação, etc.) podem ter lugar nos Estados-Membros ou em países terceiros.
3. As actividades promocionais procurarão estabelecer laços entre o ensino superior e a área da investigação e capitalizar, sempre que possível, eventuais sinergias.
4. No quadro desta acção, a Comunidade poderá apoiar redes temáticas internacionais para tratarem destas questões.
5. A Comunidade poderá financiar, sempre que adequado, projectos-piloto com países terceiros, a fim de desenvolver a cooperação com os países em causa no domínio do ensino superior.
6. A Comunidade deverá apoiar a criação de uma associação de todos os estudantes (de países terceiros e europeus) diplomados dos Cursos de Mestrado Erasmus Mundus.

ACÇÃO 5: MEDIDAS DE APOIO TÉCNICO

Para a concretização do presente programa, a Comissão poderá recorrer a peritos, a uma agência executiva, a agências competentes dos Estados-Membros e, se necessário, a outras formas de assistência técnica, cujo financiamento poderá ser previsto no quadro financeiro global do programa.

PROCESSOS DE SELECÇÃO

Os processos de selecção são fixados de acordo com o disposto no n.º 1 do artigo 7.º Esses processos devem respeitar as seguintes disposições:

- a) A selecção de propostas ao abrigo das acções 1 e 3 será efectuada pelo Comité de Selecção presidido por uma pessoa eleita pelo mesmo comité, composto por altas personalidades do mundo académico que representem a diversidade do ensino superior da União Europeia. O Comité de Selecção deverá assegurar que os Cursos de Mestrado Erasmus Mundus e as parcerias se situem ao mais elevado nível académico.
 - b) A cada Curso de Mestrado Erasmus Mundus será atribuído um determinado número de bolsas de estudo, nos termos da acção 2. A selecção de estudantes de países terceiros será efectuada pelos estabelecimentos de ensino que participam nos Cursos de Mestrado Erasmus Mundus. Os processos de selecção devem prever um mecanismo de compensação a nível europeu para evitar graves desequilíbrios entre as áreas de estudo, as regiões de proveniência dos estudantes e dos académicos e os Estados-Membros de destino.
 - c) As propostas ao abrigo da acção 4 serão seleccionadas pela Comissão.
 - d) Os processos de selecção envolverão a consulta das estruturas designadas nos termos da alínea b) do n.º 2 do artigo 6.º
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RECOMENDAÇÃO DO CONSELHO**de 24 de Setembro de 1998****relativa à cooperação europeia com vista à garantia da qualidade do ensino superior**

(98/561/CE)

O CONSELHO DA UNIÃO EUROPEIA,

Tendo em conta o Tratado que institui a Comunidade Europeia e, nomeadamente, os seus artigos 126º e 127º, 127,

Tendo em conta a proposta da Comissão,

Tendo em conta o parecer do Comité Económico e Social ⁽¹⁾,

Tendo em conta o parecer do Comité das Regiões ⁽²⁾,

Deliberando nos termos do artigo 189ºC do Tratado ⁽³⁾,

- (1) Considerando que a qualidade da educação e da formação é um objectivo de todos os Estados-membros; que se pede à Comunidade que contribua para esse esforço permanente incetivando a cooperação entre os Estados-membros e, se necessário, apoiando e completando a sua acção, embora respeitando integralmente a responsabilidade destes no tocante ao conteúdo do ensino e à organização dos sistemas de educação e de formação, bem como a sua diversidade cultural e linguística;
- (2) Considerando que, nas suas conclusões de 25 de Novembro de 1991 ⁽⁴⁾, o Conselho afirmou que a melhoria da qualidade do ensino superior é uma preocupação partilhada por todos os Estados-membros e por todos os estabelecimentos de ensino superior da Comunidade Europeia; que, dada a diversidade de métodos utilizados a nível nacional, seria adequado completar a experiência acumulada a nível nacional com a experiência europeia adquirida designadamente no âmbito de projectos-piloto destinados a criar uma cooperação neste domínio ou a reforçar a cooperação existente;
- (3) Considerando que as respostas ao memorando da Comissão sobre o ensino superior salientam, nomeadamente, que a qualidade deve ser garantida a todos os níveis e em todos os sectores, e que as diferenças entre estabelecimentos se deverão limitar aos respectivos objectivos, métodos e requisitos educativos; que a atitude geral é favorável à introdução de métodos eficazes e aceitáveis de avaliação da qualidade que atendam às experiências euro-

peias e internacionais e a possibilidade de cooperação;

- (4) Considerando que um estudo realizado pela Comissão sobre a situação em matéria de avaliação da qualidade nos Estados-membros revelou que os novos sistemas de avaliação da qualidade possuíam alguns elementos em comum e que os dois projectos-piloto posteriormente realizados se baseavam num tronco comum de elementos extraídos dos sistemas nacionais existentes; que os referidos projectos ensaiaram com êxito um método comum e evidenciaram que todos os agentes neste domínio desejavam vivamente prosseguir o intercâmbio de experiências capazes de demonstrar a diversidade de tradições nacionais em matéria de avaliação, assim como a importância da garantia da qualidade em geral;
- (5) Considerando que, dada a grande diversidade de sistemas de educação na Comunidade, a definição «estabelecimento de ensino superior» utilizada na presente recomendação compreende todos os tipos de estabelecimentos que conferem qualificações ou diplomas desse nível, independentemente da sua designação nos diferentes Estados-membros; que essa definição é utilizada na decisão que criou o programa Socrates;
- (6) Considerando que os estabelecimentos de ensino superior devem satisfazer as novas necessidades educativas, profissionais e sociais de uma «sociedade de conhecimentos» mundial e dar resposta à evolução dela resultante; que, nessa perspectiva, desenvolvem um esforço no sentido de melhorar a qualidade exigida aos serviços que prestam, desenvolvendo, se necessário, novas iniciativas (individualmente ou através da colaboração no âmbito de associações a nível do ensino superior) centradas na melhor qualidade do ensino e da aprendizagem;
- (7) Considerando que as transformações tecnológicas e económicas e as suas consequências no mercado de trabalho lançam novos repto aos estabelecimentos de ensino superior e que, por um lado, os desafios resultantes da abertura do mercado mundial e, por outro lado, o constante aumento do afluxo aos estabelecimentos de ensino superior, obrigam os Estados-membros a enfrentar a tarefa de organizarem os seus sistemas de ensino superior e as relações

⁽¹⁾ JO C 19 de 21. 1. 1998, p. 39.

⁽²⁾ JO C 64 de 27. 2. 1998, p. 63.

⁽³⁾ Parecer do Parlamento Europeu de 18 de Novembro de 1997 (JO C 371 de 8. 12. 1997, p. 33), posição comum do Conselho de 26 de Fevereiro de 1998 (ainda não publicada no Jornal Oficial) e decisão do Parlamento Europeu de 28 de Maio de 1998 (ainda não publicada no Jornal Oficial).

⁽⁴⁾ JO C 321 de 12. 12. 1991, p. 2.

destes com o Estado e a sociedade por forma a que sejam respeitadas as normas académicas existentes, os objectivos de formação, os padrões de qualidade, a autonomia e/ou a independência dos estabelecimentos de ensino superior, segundo as estruturas pertinentes de cada Estado-membro, bem como a necessidade de prestar contas ao público e de o informar;

(8) Considerando que a discussão da comunicação da Comissão de 13 de Fevereiro de 1994 mostrou que os sistemas de garantia da qualidade poderão contribuir para o reconhecimento mútuo das qualificações académicas e profissionais a nível comunitário;

(9) Considerando que o Livro Branco da Comissão sobre «Crescimento, Competitividade e Emprego», o Livro Branco «Ensinar e Aprender — Rumo à Sociedade Cognitiva», bem com o Livro Verde sobre «Educação, Formação e Investigação — Mobilidade Transnacional» demonstram a importância de um ensino de qualidade para o emprego e o crescimento na Comunidade e para a sua competitividade no plano mundial; que os referidos documentos põem em evidência a ligação existente entre, por um lado, as funções social e cultural do ensino e da formação e, por outro, a sua função económica, e, em consequência, as várias facetas do conceito de qualidade; que a transparência dos sistemas de ensino é manifestamente indispensável à mobilidade transnacional;

(10) Considerando que o incentivo à mobilidade é um dos objectivos de cooperação comunitária nos domínios da educação e da formação; que o Livro Verde da Comissão sobre «Educação, Formação e Investigação — Mobilidade Transnacional» analisa os principais obstáculos jurídicos, administrativos e práticos com que deparam os estudantes que desejam prosseguir os seus estudos noutro Estado-membro e propõe medidas destinadas a melhorar a mobilidade, sublinhando que esse tipo de mobilidade é benéfico a uma educação de elevada qualidade, que confira às pessoas a possibilidade de competir no plano internacional e tirar partido da livre circulação na Comunidade;

(11) Considerando que a dimensão, a estrutura e o financiamento dos sistemas de ensino superior nos Estados-membros diferem entre si e que as finalidades desses sistemas vão continuar a evoluir; que, em certos Estados-membros, o sistema de ensino superior abrange universidades e outros estabelecimentos de ensino superior frequentemente de vocação profissional, e que o conceito, o âmbito e os métodos de avaliação da qualidade do ensino são definidos por cada Estado-membro e permanecem flexíveis e moduláveis em função de novos condicionalismos e/ou estruturas;

(12) Considerando as responsabilidades que incumbem exclusivamente aos Estados-membros no que se refere à organização e estrutura dos seus sistemas de ensino superior e aos respectivos condicionalismos orçamentais, bem como a autonomia e/ou a independência, segundo as estruturas pertinentes de cada Estado-membro, dos estabelecimentos de ensino superior,

I. RECOMENDA aos Estados-membros:

A. Que dêem apoio e, se necessário, criem sistemas transparentes de avaliação da qualidade, com os seguintes objectivos:

- garantir a qualidade do ensino superior no contexto económico, social e cultural dos seus países, atendendo simultaneamente à dimensão europeia e à existência de um mundo em rápida evolução,
- incitar e ajudar os estabelecimentos de ensino superior a basearem-se em medidas adequadas e, designadamente, na avaliação, para melhorar a qualidade do ensino e da aprendizagem, bem como da formação e da investigação, outra área importante da sua missão,
- estimular o intercâmbio de informações em matéria de qualidade e garantir a nível comunitário e mundial e incentivar a cooperação neste domínio entre estabelecimentos de ensino superior;

B. Que baseiem os sistemas de avaliação da qualidade nos seguintes elementos (explicitados em anexo):

- autonomia e/ou independência, segundo as estruturas pertinentes de cada Estado-membro, dos organismos encarregados da avaliação da qualidade na escolha dos processos e métodos,
- adaptação dos processos e métodos de avaliação da qualidade ao perfil e à missão dos estabelecimentos de ensino superior, no respeito pela sua autonomia e/ou independência, segundo as estruturas pertinentes de cada Estado-membro,
- utilização, em função dos objectivos, dos elementos de avaliação da qualidade interna e/ou externa adaptados aos processos e métodos utilizados,
- participação das diferentes partes interessadas em função do objecto da avaliação da qualidade,
- publicação dos resultados da avaliação da qualidade na forma considerada adequada por cada Estado-membro;

C. Que encorajem, se necessário, os estabelecimentos de ensino superior, em cooperação com as estruturas competentes dos Estados-membros, a tomar as medidas de acompanhamento adequadas;

- D. Que convidem as autoridades competentes e os estabelecimentos a atribuir particular importância ao intercâmbio de experiências e à cooperação em matéria de avaliação da qualidade com os outros Estados-membros, bem como com as organizações e associações internacionais que actuam no domínio do ensino superior;
- E. Que promovam uma cooperação entre as autoridades responsáveis pela avaliação ou pela garantia da qualidade do ensino superior e incentivem a sua colocação em rede.

Esta cooperação poderia abranger, total ou parcialmente, os seguintes aspectos:

- a) Favorecer e desenvolver o intercâmbio de informações e de experiências, nomeadamente sobre as inovações metodológicas e os exemplos de boas práticas;
- b) Dar resposta aos pedidos de ajuda especializada e de aconselhamento das autoridades envolvidas nos Estados-membros;
- c) Dar apoio aos estabelecimentos de ensino superior que pretendam cooperar ao nível transnacional no domínio da avaliação da qualidade;
- d) Favorecer os contractos com peritos internacionais.

Na prossecução destes objectivos, deverão ser tomadas em consideração as relações que se estão a desenvolver entre a avaliação da qualidade e outras actividades comunitárias existentes, designadamente no âmbito dos programas Sócrates e Leonardo da Vinci, bem como o acervo comuni-

tário em matéria de reconhecimento das qualificações para fins profissionais.

II. RECOMENDA:

Que a Comissão, em estreita colaboração com os Estados-membros, apoiando-se nos programas existentes e em função dos objectivos e processos normais abertos e transparentes desses programas, incentive a cooperação prevista no ponto I. E entre as autoridades responsáveis pela avaliação e pela garantia da qualidade do ensino superior, associando a esta cooperação as organizações e associações de estabelecimentos de ensino superior com competência europeia que possuam a experiência exigida no domínio da avaliação e da garantia da qualidade.

III. CONVIDA:

A Comissão a apresentar, de três em três anos, ao Parlamento Europeu, ao Conselho, ao Comité Económico e Social e ao Comité das regiões Relatórios sobre a evolução dos sistemas de avaliação da qualidade nos diversos Estados-membros e sobre as actividades europeias de cooperação neste domínio incluindo os processos alcançados ao nível dos objectivos atrás referidos.

Feito em Bruxelas, em 24 de Setembro de 1998.

Pelo Conselho

O Presidente

J. FARNLEITNER

*ANEXO***Elementos indicativos da avaliação da qualidade**

Os elementos a seguir indicados são comuns aos sistemas de avaliação da qualidade existentes na Europa. Os projectos-piloto europeus para avaliação da qualidade no ensino superior demonstraram que todos os agentes implicados neste domínio podem beneficiar com a observação destes princípios.

A autonomia e /ou independência, segundo as estruturas pertinentes de cada Estado-membro, do organismo de avaliação da qualidade (ao nível dos processos e dos métodos) são susceptíveis de contribuir para a eficácia dos processos de avaliação da qualidade e para a aceitação dos seus resultados.

Os critérios de avaliação da qualidade encontram-se estreitamente ligados à missão atribuída a cada estabelecimento, em função das necessidades da sociedade e do mercado de trabalho; assim sendo, os vários processos de avaliação da qualidade implicam necessariamente que seja tomada em consideração a especificidade do estabelecimento. O conhecimento dos objectivos institucionais, tanto ao nível do conjunto do estabelecimento, como ao nível de um departamento ou de uma simples unidade, é essencial para esse efeito.

Os processos de avaliação da qualidade devem incluir, regra geral, um elemento interno de auto-reflexão e um elemento externo baseado no parecer de peritos externos.

O elemento interno de auto-reflexão deverá apostar na participação de todos os agentes, nomeadamente do corpo docente e, eventualmente, dos administradores responsáveis pela orientação académica e profissional, bem como dos estudantes. O elemento externo deverá constituir um processo de cooperação, consulta e aconselhamento entre peritos independentes externos e agentes pertencentes ao estabelecimento em questão.

Em função dos objectivos e critérios utilizados durante o processo de avaliação da qualidade das estruturas de ensino superior dos Estados-membros, as associações profissionais, os parceiros sociais e os antigos estudantes poderão estar representados nos grupos de peritos.

Seria desejável a participação de peritos estrangeiros nos processos, a fim de incentivar o intercâmbio de experiências adquiridas noutros países.

Os relatórios sobre os resultados dos processos de avaliação da qualidade devem ser publicados na forma considerada adequada por cada Estado-membro e constituir material de referência satisfatório para os parceiros da cooperação e para informação dos cidadãos em geral.

QUESTIONÁRIO

1. Introdução

Com o questionário que ora se apresenta pretende-se obter informação, acerca de Instituições de Ensino Superior, cujo contributo se destina à obtenção de um grau de doutoramento com impacte na melhoria do Sistema de Ensino Superior.

A investigação em causa pretende conhecer os aspectos positivos e as boas práticas empreendidas pelas Instituições, bem como, identificar aspectos menos positivos que possam ser objecto de acções de melhoria.

No ponto 2 refere-se algumas orientações, que serão úteis, para responder às questões colocadas.

Antecipadamente, agradece-se a colaboração, pois é de extrema importância, dado que, sem esta, a investigação atrás referida não poderá ser concluído.

2. Instruções para preenchimento do questionário

O questionário é composto por seis módulos conforme se refere a seguir:

- **Módulo A** - Gestão ética e qualidade de vida na Instituição (cinco grupos de questões: **A1, A2, A3, A4, A5 e A6**);
- **Módulo B** - Gestão ambiental responsável (três grupos de questões: **B1, B2 e B3**);
- **Módulo C** - Participação Social Responsável (três grupos de questões: **C1, C2 e C3**);
- **Módulo D** - Formação académica socialmente responsável (um grupo de questões: **D1**);
- **Módulo E** - Investigação socialmente útil e gestão social do conhecimento (seis grupos de questões: **E1, E2, E3, E4, E5 e E6**).
- **Módulo F** – Informação diversa.

Nos grupos de questões **A1, A2, A3, A4, A5, A6, B1 e B2** dever-se-á **escolher uma, e uma só**, das opções de cada grupo que seja a mais consentânea com a realidade da Instituição.

Nos grupos de questões **B3 e D1** a opção será «**Sim**» ou «**Não**» conforme o caso.

Nos grupos **C1, C2, C3, E1, E2, E3, E4, E5 e E6** deverá ser escolhida a opção que seja a mais adequada tendo em conta que:

5 – Concorda totalmente

4 – Concorda

3 – Sem opinião

2 – Discorda

1 – Discorda totalmente

No módulo **F** - informação diversa – no grupo **F1, F2, F3, F4 e F5** deverá ser escolhida a opção que está de acordo com a situação do inquirido. A questão **F6** tem duas opções «**Sim**» ou «**Não**».

Em **F7** – observações -, poderá o inquirido, se assim o entender, acrescentar, complementar, comentar ou relatar algum ou alguns aspectos que considere pertinente(s) no âmbito da Instituição, do Sistema de Ensino, do trabalho, de algum episódio positivo ou negativo ocorrido, dos receios face às alterações que se perspectivam decorrentes, por exemplo, dos Relatórios Internacionais da OCDE¹ e da ENQA², financiamento e autonomia da Instituição, mobilidade de docentes e estudantes, acordos com Instituições Universitárias Internacionais (Universidade *Carnegie Mellon* (CMU), Universidade do Texas em *Austin (UTAustin)*, *Massachusetts Institute of Technology* (MIT), etc.; vantagens e desvantagens), a possibilidade de transformação de uma instituição em fundação pública com regime de direito privado, etc.

¹ Organização de Cooperação e de Desenvolvimento Económico

² *European Association for Quality Assurance in Higher Education*

A - Gestão Ética e Qualidade de Vida na Instituição

A1	<i>Adopção de princípios éticos – neste âmbito a Instituição:</i>
A1.1	Nunca abordou este assunto ou, pensa que este não lhe é aplicável (não é relevante).
A1.2	Formalizou os seus valores numa declaração de princípios, mas estão pouco incorporados aos processos de trabalho e às atitudes/comportamento das pessoas.
A1.3	Tem os valores e princípios documentados e conta com um processo de difusão sistemático centrado no público interno a cargo de pessoa ou área responsável.
A1.4	Possui um código de ética (conduta) e tem um programa de orientação e treino para os colaboradores de todos os níveis hierárquicos, assim como para docentes e estudantes, para garantir que os valores e princípios estejam incorporados nos processos de trabalho e às atitudes/comportamento das pessoas. E essas acções estão formalmente a cargo de uma pessoa ou área responsável.
A1.5	No seu código de ética (de conduta) prevê a participação dos membros da comunidade académica (docentes, estudantes, colaboradores não docentes), assim como as principais partes interessadas na sua elaboração e revisão e é submetido a controlo e auditoria periódicos. E a responsabilidade dessas acções está formalmente a cargo de uma equipa multidisciplinar.

A1.1 ☐A1.2 ☐A1.3 ☐A1.4 ☐A1.5 ☐

A2	<i>Boas Práticas Laborais - no que se refere este aspecto a Instituição:</i>
A2.1	Nunca abordou este assunto ou, considera que este não lhe é aplicável (não é relevante).
A2.2	Possui políticas de selecção e avaliação de fornecedores e parceiros, conhecidas pelas partes envolvidas e baseadas apenas em factores como a qualidade, o preço e o prazo.
A2.3	Possui normas conhecidas de selecção e avaliação de fornecedores que contemplam critérios e exigências relativas ao cumprimento da legislação laboral, fiscal e outra aplicável.
A2.4	Para além de critérios básicos de cumprimento da legislação, as suas normas de selecção e avaliação de fornecedores incluem critérios específicos de responsabilidade social, como a proibição do trabalho infantil, relações de trabalho adequadas e adopção de normas ambientais.
A2.5	Além dos critérios descritos anteriormente, estimula que os seus fornecedores reproduzam, por sua vez, as suas exigências quanto à Responsabilidade Social para com os seus respectivos fornecedores, e que esses critérios são monitorizados periodicamente.

A2.1 ☐A2.2 ☐A2.3 ☐A2.4 ☐A2.5 ☐

A3	<i>Gestão Participada – nesta matéria a Instituição:</i>
A3.1	Nunca abordou este assunto ou, pensa que este não lhe é aplicável (não é relevante).
A3.2	Disponibiliza informação ³ (histórico, missão, visão, políticas, organigrama, etc.) e treina (no momento da admissão, em programas de integração, seminários e palestras sobre novas políticas e estratégias, etc.) os colaboradores para que a possam compreender e analisar.
A3.3	Além disso, disponibiliza informação económico-financeira sobre a Instituição aos seus colaboradores.
A3.4	Para além do que foi referido nos dois pontos anteriores, tem um processo estruturado de discussão e análise da informação económico-financeira com os seus colaboradores com o objectivo de os preparar para participarem na gestão ou nas decisões estratégicas apresentando informação importante para a gestão de riscos e oportunidades.
A3.5	Promove a participação activa dos representantes dos colaboradores, nos comités/comissões de gestão ou nas decisões estratégicas e há uma comunicação regular com os elementos de governo da Instituição.

A3.1 ☐A3.2 ☐A3.3 ☐A3.4 ☐A3.5 ☐³ Sobre a Instituição.

A - Gestão Ética e Qualidade de Vida na Instituição

Continuação

A4	<i>Competências dos colaboradores - neste âmbito a Instituição:</i>
A4.1	Nunca abordou este assunto ou, pensa que este não lhe é aplicável (não é relevante).
A4.2	Promove actividades de treino específico, centradas no desenvolvimento de tarefas específicas para os docentes e também para os colaboradores não docentes.
A4.3	Mantém actividades sistemáticas de desenvolvimento e formação, visando o aperfeiçoamento contínuo de todos os seus colaboradores (docentes e não docentes), considerando a aplicabilidade na sua função actual, e se utiliza o seu corpo docente para essa formação quando seja possível.
A4.4	Para além de promover a formação contínua, oferece bolsas de estudo ou similares para a aquisição de conhecimentos com impacte positivo na colocação dos seus colaboradores (docentes e não docentes), independentemente da aplicabilidade na sua função actual. E facilita a mobilidade docente financiando a presença noutras Universidades.
A4.5	Em todos os níveis hierárquicos, promove a formação contínua e oferece bolsas de estudo ou similares para a aquisição de conhecimentos, com impacte positivo na colocação dos seus colaboradores (docentes e não docentes), independentemente da aplicabilidade na sua função actual.

A4.1 ☐A4.2 ☐A4.3 ☐A4.4 ☐A4.5 ☐

A5	<i>Marketing Responsável - neste aspecto a Instituição:</i>
A5.1	Nunca abordou este assunto ou, pensa que este não lhe é aplicável (não é relevante).
A5.2	Tem uma política formal de comunicação alinhada com os seus princípios e valores, abarcando todo o seu material de comunicação, externo e interno. E realiza análises prévias do material publicitário para verificar a conformidade com os seus valores éticos e com a legislação em vigor.
A5.3	Para além de ter uma política de comunicação alinhada com os seus princípios e valores, procura utilizar as suas campanhas de marketing para promover diversos temas de Responsabilidade Social de utilidade pública.
A5.4	Para além do que se referiu nos pontos anteriores, procura estimular a comunicação com públicos especializados (organizações empresariais, associações profissionais, administração pública ⁴ , diplomados, outras instituições de ensino, etc.) e esclarecer aspectos inovadores ou genuínos dos serviços que oferece, dando a conhecer a sua especificidade.
A5.5	Tem consciência de que, para além de ter uma política de comunicação regida por princípios éticos e dirigida a determinados públicos, desenvolve associações estratégicas com organizações empresariais e outras organizações, fornecedores, outras instituições de ensino superior, entidades públicas, organizações internacionais, etc., para criar correntes de opinião a favor de uma cultura de Responsabilidade Social.

A5.1 ☐A5.2 ☐A5.3 ☐A5.4 ☐A5.5 ☐

⁴ Entendida, em Portugal, como Administração Pública Central, Regional ou Local.

A - Gestão Ética e Qualidade de Vida na Instituição

Continuação

A6	<i>Saúde, Segurança e Condições de Trabalho - neste aspecto a Instituição:</i>
A6.1	Nunca abordou este assunto ou, pensa que este não lhe é aplicável (não é relevante).
A6.2	Cumpe rigorosamente as obrigações legais e tem planos e metas para alcançar padrões de excelência em matéria de saúde, segurança e condições de trabalho.
A6.3	Possui indicadores para monitorizar os planos e metas para ultrapassar os padrões de excelência em matéria de saúde, segurança e condições de trabalho.
A6.4	Para além do que se referiu nos pontos anteriores, desenvolve campanhas regulares de consciencialização e investiga o nível de satisfação dos colaboradores (docentes, administrativos, etc.) em relação à temática, evidenciando as áreas críticas.
A6.5	Além de desenvolver campanhas e investigar (o nível de satisfação dos colaboradores), as metas e indicadores de desempenho relacionados com as condições de trabalho, saúde e segurança são definidas com a participação dos colaboradores, incluídas no planeamento estratégico e divulgados amplamente.

A6.1 ☐A6.2 ☐A6.3 ☐A6.4 ☐A6.5 ☐

B. Gestão Ambiental Responsável

B1	<i>Gestão ambiental - neste âmbito a Instituição:</i>
B1.1	Nunca abordou este assunto ou, pensa que este não lhe diz respeito (não é relevante).
B1.2	Cumpe rigorosamente os parâmetros e requisitos exigidos pela legislação, reconhece que tem um impacte ambiental e desenvolve programas internos de melhoria ambiental.
B1.3	Para além do que foi referido no ponto anterior, estabelece políticas preventivas e possui um sector/departamento responsável pelos assuntos ambientais em articulação com o governo da Instituição. E dispõe de investigadores que se especializaram na área ambiental e sugerem alterações institucionais.
B1.4	Trata das questões ambientais como tema transversal da sua estrutura organizacional e inclui-a no planeamento estratégico, assim como nos currículos dos cursos ministrados. E estabelece orientações de investigação dedicadas ao estudo do seu impacte ambiental e publica um balanço social sobre o seu desempenho ambiental.
B1.5	Considera o tema ambiental como um eixo da sua administração, selecciona e capacita os seus fornecedores no tema. Alcançou a certificação ambiental (por exemplo de acordo com a série de normas ISO 14000) e o seu sistema de gestão ambiental permite-lhe um alto nível de sustentabilidade que abarque toda a comunidade universitária por estar integrado nas actividades pedagógicas. E também a Instituição reconhece-se como «amiga» do ambiente.

B1.1 ☐B1.2 ☐B1.3 ☐B1.4 ☐B1.5 ☐

B2	<i>Educação ambiental - em relação a este aspecto a Instituição:</i>
B2.1	Nunca abordou este assunto ou, pensa que este não lhe diz respeito (não é relevante).
B2.2	Desenvolve pontualmente acções de educação ambiental e treino sobre esta temática para os seus colaboradores.
B2.3	Desenvolve sistematicamente actividades de educação ambiental centradas no público interno (docentes, colaboradores não docentes e estudantes) oferecendo informação, fomentando a sensibilidade ecológica e promovendo a discussão. E inclui a temática nos currículos das disciplinas afins.
B2.4	Para além de campanhas internas, desenvolve campanhas de consciencialização e de educação ambiental dirigidas a familiares de colaboradores e a certas comunidades da envolvente, oferecendo investigação ambiental e soluções técnicas para problemas ecológicos. Introduce o tema ambiental em todos os cursos de cultura geral.
B2.5	Para além de desenvolver campanhas, participa ou apoia projectos educativos em associação com organizações ambientais credíveis e entidades escolares.

B2.1 ☐B2.2 ☐B2.3 ☐B2.4 ☐B2.5 ☐

B. Gestão Ambiental Responsável

Continuação

B3	<i>Atitude ecológica - neste âmbito a Instituição:</i>	Sim	Não
B3.1	Tem uma política de poupança de água?		
B3.2	Tem uma política de poupança de energia?		
B3.3	Tem uma política de reciclagem?		
B3.4	Tem uma política de tratamento de resíduos?		
B3.5	Promove o recurso a energias renováveis (painéis solares para aquecimento de águas, painéis fotovoltaicos, etc.)?		

C. Participação Social Responsável

C1	<i>Em relação com os actores sociais a Instituição:</i>	1	2	3	4	5
C1.1	Preocupa-se com os problemas sociais e tem uma política institucional activa como agente activo do desenvolvimento humano sustentável do país.					
C1.2	Mantém relações estreitas com actores-chave do desenvolvimento social (Estado, ONG's, organizações internacionais, organizações empresariais).					
C1.3	Organiza foros e actividades nos quais participam pessoas e personalidades externas à Instituição (uma política de Instituição aberta à sociedade).					
C1.4	Participa na discussão de temas de desenvolvimento a nível local, nacional, internacional.					
C1.5	Mantém um contacto com os seus diplomados a fim de obter informação estratégica sobre o mercado laboral e social do país.					
C1.6	Investiga as necessidades sociais não satisfeitas relacionadas com as especialidades que oferece.					
C1.7	Participa em redes de desenvolvimento com outras Instituições para a resolução de problemas sociais.					
C2	<i>Em relação à acessibilidade social a Instituição:</i>	1	2	3	4	5
C2.1	Caracteriza-se por oferecer aos docentes e estudantes oportunidades de interacção com diversos sectores sociais.					
C2.2	No seu <i>campus</i> possibilita a presença de pessoas de diferentes condições sociais, religião, etc.					
C2.3	Mantém uma quota para estudantes de baixos recursos com bolsas.					
C2.4	Está aberta às necessidades sociais de formação e propõe programas de ensino de livre acesso para públicos com baixos recursos económicos.					
C3	<i>Em matéria de Educação para o desenvolvimento a Instituição:</i>	1	2	3	4	5
C3.1	Fomenta a abordagem e a aprendizagem sobre a realidade social e os problemas do desenvolvimento.					
C3.2	Envolve-se na resolução dos problemas sociais do país.					
C3.3	Os seus diplomados, enquanto estudantes, participam (pelo menos uma vez) em projectos de desenvolvimento sustentado.					
C3.4	Incute uma sensibilidade ambiental, e uma postura para a minimização dos impactes ambientais nos seus estudantes no seu quotidiano.					
C3.5	Incute uma sensibilidade social para o desenvolvimento sustentável.					

D. Formação Académica Socialmente Responsável

D1	No âmbito da formação académica socialmente responsável os estudantes:	Sim	Não
D1.1	Abordam matérias relacionadas com Ética, Responsabilidade Social e Desenvolvimento Sustentado.		
D1.2	Participam nalgum projecto de desenvolvimento em colaboração com outros actores não universitários para a resolução de problemas sociais, como parte dos estudos, recorrendo aos seus conhecimentos, aferindo a sua atitude, e investigando para produzir novos conhecimentos.		
D1.3	Colaboram nalgum projecto social ou ambiental directamente relacionado com a Instituição, para resolução de um problema concreto da mesma.		
D1.4	Trabalham em grupo com estudantes de outras especialidades, reconhecendo assim a necessidade de haver várias abordagens diferentes para ser possível a compreensão de algo ou resolver um problema complexo de modo inteligente.		
D1.5	São sensíveis aos problemas sociais e ambientais e sabem o que fazer para participar na sua resolução.		
D1.6	Têm uma formação integral.		
D1.7	Compreendem o que é o Desenvolvimento Humano Sustentável (conhecem os objectivos da Declaração do Milénio).		

E. Investigação Socialmente Útil e Gestão Social do Conhecimento

E1	Sobre a produção de conhecimento a Instituição:	1	2	3	4	5
E1.1	Possui linhas de investigação orientadas para a resolução de problemas da agenda do desenvolvimento sustentável.					
E1.2	Estabelece os temas de investigação após a consulta aos interesses dos grupos envolvidos.					
E1.3	Promove a participação dos diversos departamentos nos projectos de investigação multidisciplinar.					
E1.4	Promove uma sensibilidade intercultural no diálogo dos investigadores com a comunidade para a definição e seguimento do processo de investigação.					
E1.5	Durante a investigação disponibiliza processos de consulta com os utilizadores dos resultados, através de entrevistas, reuniões ou outras formas (Incentiva o desenvolvimento de formas novas e contínuas de diálogo entre os investigadores e outros agentes sociais).					
E1.6	Permite aos envolvidos na investigação debater na sua avaliação final (resultados da investigação).					
E1.7	Tem sempre presente o princípio da incerteza do conhecimento.					
E1.8	Realiza os trabalhos de investigação alinhados com as grandes preocupações dos cidadãos e decisores, como por exemplo, a protecção do ambiente, a segurança dos alimentos e dos produtos químicos ou a segurança nuclear.					
E1.9	Proporciona perspectivas de desenvolvimento de carreira favoráveis e uma imagem positiva da profissão de investigador.					

E. Investigação Socialmente Útil e Gestão Social do Conhecimento
Continuação

E2	<i>No que concerne à Qualidade e pertinência social do conhecimento a Instituição:</i>	1	2	3	4	5
E2.1	Dispõe de instrumentos de avaliação da qualidade, recorrendo a normas internacionais.					
E2.2	Baseia-se em políticas de conhecimento definidas pela qualidade e pertinência social.					
E2.3	Estabelece alianças e sinergias com outros actores (organizações empresariais, Governo, etc.) para elaborar políticas de conhecimento, linhas de investigação e áreas de formação adequadas aos requisitos sociais.					
E2.4	Baseia-se em programas de apoio à ciência e tecnologia, para o seguimento das políticas públicas assim como a identificação e análise dos grandes temas da sociedade.					
E2.5	Dispõe de sistemas de promoção de investigação socialmente útil.					
E2.6	Intensifica a adaptação das actividades e política de investigação às necessidades da sociedade e toma em consideração as consequências sociais do progresso científico e tecnológico.					
E3	<i>Em matéria de gestão social do conhecimento a Instituição:</i>	1	2	3	4	5
E3.1	Promove e estimula a comunicação entre os investigadores e os decisores políticos.					
E3.2	Dispõe de meios específicos para a difusão e transferência de conhecimento.					
E3.3	Desenvolve políticas activas de divulgação à comunidade das suas actividades e resultados da investigação.					
E3.4	Procede ao inventário das necessidades (Inventaria as necessidades) de conhecimento pertinente dos grupos sociais mais desfavorecidos, promovendo investigação e acções.					

E. Investigação Socialmente Útil e Gestão Social do Conhecimento
Continuação

E4	<i>No que se refere à transdisciplinaridade e investigação a Instituição:</i>	1	2	3	4	5
E4.1	Promove a investigação interdisciplinar em relação aos problemas pluridisciplinares.					
E4.2	Possibilita, nas equipas interdisciplinares de investigação, uma estrutura social incorporando actores universitários, não universitários, empresários, outros.					
E4.3	Fomenta e reforça a inovação, a interdisciplinaridade e a transdisciplinaridade nos seus programas de estudo e investigação, assentando as orientações a longo prazo nos objectivos e necessidades sociais e culturais.					
E4.4	Proporciona (e motiva) uma atitude interdisciplinar aos docentes e investigadores.					
E4.5	Proporciona os meios adequados para comunicação entre pares sobre projectos em desenvolvimento entre disciplinas, investigadores, autoridades e sociedade.					
E4.6	Disponibiliza recursos para o fortalecimento de competências específicas de liderança e coordenação de equipas interdisciplinares.					
E4.7	Cultiva e recompensa activamente a apreciação mútua e o reconhecimento da necessidade interdisciplinar.					
E4.8	Alterou de forma significativa o ambiente da investigação e da política de investigação na Instituição devido ao projecto de Espaço Europeu da Investigação.					
E5	<i>No âmbito da ligação entre investigação e ensino a Instituição:</i>	1	2	3	4	5
E5.1	Promove a incorporação permanente de resultados de investigação, estudos de caso e metodologias nas unidades curriculares e na formação de docentes.					
E5.2	Promove a incorporação permanente de resultados de investigação, estudos de caso e metodologias nos currículos da formação dos estudantes.					
E5.3	Incorpora, sistematicamente, nos projectos e programa de investigação os estudantes, e reconhece o trabalho destes.					
E5.4	Facilita a relação fluida entre os departamentos de investigação e os de formação académica.					
E5.5	Facilita a relação entre os centros de investigação e os centros de ensino (departamentos/Faculdades nas Instituições de Ensino Superior).					

E. Investigação Socialmente Útil e Gestão Social do Conhecimento
Continuação

E6	<i>Em relação à ética da ciência a Instituição:</i>	1	2	3	4	5
E6.1	Promove um Código de Ética da Ciência e dos cientistas, assim como a monitorização da actividade científica.					
E6.2	Monitoriza a formação académica de modo a que não se crie lacunas entre os valores morais e os factos científicos.					
E6.3	Inclui nos programas de estudo a ética da ciência, assim como uma formação relacionada com a história e a filosofia da ciência e suas repercussões culturais.					
E6.4	Preserva e desenvolve a sua função, submetendo todas as suas actividades às exigências da ética e do rigor científico e intelectual.					
E6.5	Desenvolve estudos e investiga no âmbito das dimensões éticas das Tecnologias da Informação e Comunicação.					
E6.6	Realiza as actividades de investigação respeitando os princípios éticos, incluindo os que se reflectem na Carta dos Direitos Fundamentais da União Europeia.					

F – Informação Diversa

F1 - A Instituição a que pertence está englobada:

F1.1 No Ensino Superior Universitário (Universidades, Institutos Universitários e outras Instituições de ensino universitário) ☐

F1.2 No Ensino Superior Politécnico (Institutos Politécnicos e outras Instituições de ensino politécnico) ☐

F2 - E insere-se:

F2.1 No Ensino Superior Público (Instituições pertencentes ao Estado e pelas Fundações por ele instituídas) ☐

F2.2 No Ensino Superior Privado (Instituições pertencentes a entidades particulares e cooperativas) ☐

F3 – O cargo que ocupa:

F3.1 Docência ☐

F3.2 Investigação ☐

F3.3 Administração ☐

F3.4 Coordenação/Direcção ☐

F3.5 Outro ☐

Qual?

F4 – Sexo:

Masculino ☐ Feminino ☐

F5 – Idade:

≤25 ☐ 26-35 ☐ 36-45 ☐ 46-55 ☐ 56-65 ☐ >66 ☐

F6 – Estrutura de Custos

Se a Instituição pretender candidatar-se a um financiamento através do Sétimo Programa-Quadro (7PQ) (2007-2013), da União Europeia, para investigação e desenvolvimento tecnológico, por exemplo, tem a sua estrutura de custos definida?

Sim ☐ Não ☐

Se sim, essa estrutura de custos foi auditada?

Sim ☐ Não ☐

F7 – Observações⁵ (se necessário anexar uma ou mais folhas)

Muito obrigado pela colaboração prestada

⁵ Como foi referido no ponto 2, poderá complementar, acrescentar, relatar ou comentar algum ou alguns aspectos que considere pertinente(s) no âmbito da Instituição em que se encontra, do Sistema de Ensino, do trabalho, de algum episódio positivo ou negativo ocorrido, dos receios face às alterações que se perspectivam decorrentes, por exemplo, das recomendações contidas nos Relatórios Internacionais da OCDE⁵ e da ENQA⁵, financiamento e autonomia da Instituição, mobilidade de docentes e estudantes, acordos com Instituições Universitárias Internacionais (Universidade *Carnegie Mellon* (CMU), Universidade do Texas em *Austin* (UTAustin), *Massachusetts Institute of Technology* (MIT), etc.; vantagens e desvantagens), a possibilidade de transformação das Instituições de Ensino Superior em fundações públicas com regime de direito privado, etc.

RECTIFICAÇÕES

Rectificação ao Regulamento (CE) n.º 761/2001 do Parlamento Europeu e do Conselho, de 19 de Março de 2001, que permite a participação voluntária de organizações num sistema comunitário de ecogestão e auditoria (EMAS)

(«Jornal Oficial das Comunidades Europeias» L 114 de 24 de Abril de 2001)

Na página 21, no anexo IV, na expressão em espanhol na coluna «Versão 1»:

em vez de: «Gestión ambiental verificada»,

deve ler-se: «Gestión medioambiental verificada».

Na página 21, no anexo IV, na expressão em finlandês na coluna «Versão 1»:

em vez de: «vahvistettu ympäristöasioiden hallinta»,

deve ler-se: «todennettu ympäristöasioiden hallinta».

Na página 24, no anexo V, no segundo travessão da alínea b) do ponto 5.4.1:

em vez de: «— da informação ambiental a validar (ponto 3.4 do Anexo III).»,

deve ler-se: «— da informação ambiental a validar (ponto 3.5 do anexo III).».

I

(Actos cuja publicação é uma condição da sua aplicabilidade)

REGULAMENTO (CE) N.º 761/2001 DO PARLAMENTO EUROPEU E DO CONSELHO**de 19 de Março de 2001****que permite a participação voluntária de organizações num sistema comunitário de ecogestão e auditoria (EMAS)**

O PARLAMENTO EUROPEU E O CONSELHO DA UNIÃO EUROPEIA,

Tendo em conta o Tratado que institui a Comunidade Europeia, nomeadamente o n.º 1 do artigo 175.º,

Tendo em conta a proposta da Comissão⁽¹⁾,

Tendo em conta o parecer do Comité Económico e Social⁽²⁾,

Após consulta ao Comité das Regiões,

Deliberando nos termos do artigo 251.º do Tratado⁽³⁾, à luz do projecto comum aprovado pelo Comité de Conciliação em 20 de Dezembro de 2000,

Considerando o seguinte:

- (1) O artigo 2.º do Tratado estabelece que uma das missões da Comunidade é a promoção do crescimento sustentável em toda a Comunidade e a Resolução de 1 de Fevereiro de 1993⁽⁴⁾ salienta a importância desse crescimento sustentável.

⁽¹⁾ JO C 400 de 22.12.1998, p. 7, e JO C 212 E de 25.7.2000, p. 1.

⁽²⁾ JO C 209 de 22.7.1999, p. 43.

⁽³⁾ Parecer do Parlamento Europeu de 15 de Abril de 1999 (JO C 219 de 30.7.1999, p. 385), confirmado em 6 de Maio de 1999 (JO C 279 de 1.10.1999, p. 253), posição comum do Conselho de 28 de Fevereiro de 2000 (JO C 128 de 8.5.2000, p. 1) e decisão do Parlamento Europeu de 6 de Julho de 2000 (ainda não publicada no Jornal Oficial). Decisão do Parlamento Europeu de 14 de Fevereiro de 2001 e decisão do Conselho de 12 de Fevereiro de 2001.

⁽⁴⁾ Resolução do Conselho e dos Representantes dos Governos dos Estados-Membros reunidos no Conselho, de 1 de Fevereiro de 1993, relativa a um programa comunitário de política e acção relacionado com o ambiente e o desenvolvimento sustentável — Um programa da Comunidade Europeia de política e acção em matéria de ambiente e desenvolvimento sustentável (JO C 138 de 17.5.1993, p. 1).

- (2) O programa «Em direcção a um desenvolvimento sustentável», apresentado pela Comissão e aprovado, nas suas linhas gerais, pela Resolução de 1 de Fevereiro de 1993, salienta o papel e as responsabilidades das organizações, tanto no reforço da economia, como na protecção do ambiente em toda a Comunidade.

- (3) O programa «Em direcção a um desenvolvimento sustentável» implica um alargamento da gama de instrumentos no domínio da protecção do ambiente e a utilização de mecanismos de mercado para levar as organizações a assumir compromissos no sentido da adopção de uma abordagem proactiva neste domínio, para além do cumprimento de todos os requisitos regulamentares relevantes em matéria de ambiente.

- (4) A Comissão deverá promover uma abordagem coerente entre os instrumentos legislativos desenvolvidos a nível comunitário do domínio da protecção ambiental.

- (5) O Regulamento (CEE) n.º 1836/93 do Conselho de 29 de Junho de 1993, que permite a participação voluntária das empresas do sector industrial num sistema comunitário de ecogestão e auditoria⁽⁵⁾, demonstrou a sua eficácia na promoção de um melhor comportamento ambiental da indústria.

- (6) A experiência adquirida na aplicação do Regulamento (CEE) n.º 1836/93 deverá ser utilizada para aumentar a capacidade do sistema comunitário de ecogestão e auditoria (eco-management and audit scheme, EMAS) no sentido de uma melhoria do comportamento ambiental global das organizações.

⁽⁵⁾ JO L 168 de 10.7.1993, p. 1.

- (7) O EMAS deve ser acessível a todas as organizações com impactos ambientais, proporcionando-lhes um meio de gerirem esses impactos e de melhorarem o seu comportamento ambiental global.
- (8) De acordo com os princípios da subsidiariedade e da proporcionalidade previstos no artigo 5.º do Tratado, a eficácia do EMAS, no que diz respeito à sua contribuição para um melhor comportamento ambiental das organizações europeias, pode ser mais eficazmente atingida a nível comunitário. O presente regulamento limita-se a garantir uma execução idêntica do sistema de ecogestão e auditoria em toda a Comunidade, estabelecendo regras, procedimentos e requisitos essenciais comuns relativos ao EMAS, enquanto as medidas que podem ser adequadamente executadas a nível nacional ficam a cargo dos Estados-Membros.
- (9) As organizações devem ser incentivadas a participar, a título voluntário, no sistema de ecogestão e auditoria, podendo assim vir a beneficiar de um valor acrescentado em termos de controlo regulamentar, poupança nos custos e imagem pública.
- (10) É importante que as pequenas e médias empresas participem no EMAS e que a sua participação seja incentivada, facilitando o acesso à informação, aos fundos de apoio existentes e às instituições públicas e lançando ou promovendo medidas e estruturas de assistência técnica.
- (11) A informação fornecida pelos Estados-Membros deverá ser utilizada pela Comissão para avaliar a necessidade de desenvolver medidas específicas destinadas a obter uma maior participação de organizações no EMAS, em especial as pequenas e médias empresas.
- (12) Verifica-se uma maior transparência e credibilidade das organizações que aplicam sistemas de gestão ambiental quando o seu sistema de gestão, programa de auditoria e declaração ambiental são examinados para fins de verificação do cumprimento dos requisitos relevantes do presente regulamento e quando a declaração ambiental e as suas actualizações subsequentes são validadas por verificadores ambientais.
- (13) É, por conseguinte, necessário garantir a competência dos verificadores ambientais e melhorá-la constantemente mediante uma formação contínua, prevendo um sistema de acreditação independente e isento e uma supervisão adequada das suas actividades, a fim de garantir a credibilidade global do EMAS. Nesse sentido, deverá ser instituída uma estreita cooperação entre os organismos nacionais de acreditação.
- (14) As organizações devem ser incentivadas a produzir e disponibilizar declarações ambientais periódicas que forneçam ao público e a outras partes interessadas informações sobre o comportamento ambiental dessas organizações.
- (15) Os Estados-Membros podem criar incentivos no intuito de encorajar as organizações a participarem no EMAS.
- (16) A Comissão deverá providenciar apoio técnico aos países candidatos à adesão à União Europeia na criação das estruturas necessárias para a aplicação do EMAS.
- (17) Além dos requisitos gerais do sistema de gestão ambiental, o EMAS atribui importância aos seguintes elementos: conformidade jurídica, melhoria do comportamento ambiental, bem como comunicação exterior e participação do pessoal.
- (18) A Comissão deve adaptar os Anexos do presente regulamento, com excepção do Anexo V, reconhecer normas europeias e internacionais relativas a questões ambientais de relevância para o EMAS e estabelecer orientações sobre parcerias com partes interessadas neste sistema, a fim de garantir uma aplicação coerente dos respectivos requisitos em todos os Estados-Membros. Ao estabelecer essas orientações, a Comissão deve ter em conta a política da Comunidade no domínio do ambiente e, em especial, a legislação comunitária assim como os compromissos assumidos a nível internacional, sempre que relevante.
- (19) As medidas necessárias à execução do presente regulamento serão aprovadas nos termos da Decisão 1999/468/CE do Conselho, de 28 de Junho de 1999, que fixa as regras de exercício das competências de execução atribuídas à Comissão⁽¹⁾.
- (20) O presente regulamento deve ser revisto, se necessário, em função da experiência adquirida após um determinado período de aplicação.
- (21) As Instituições europeias deverão esforçar-se por adoptar os princípios consagrados neste regulamento.
- (22) O presente regulamento substitui o Regulamento (CEE) n.º 1836/93, que deve, por isso, ser revogado,
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- ⁽¹⁾ JO L 184 de 17.7.1999, p. 23.

APROVARAM O PRESENTE REGULAMENTO:

Artigo 1.º

Sistema de ecogestão e auditoria e seus objectivos

1. É instituído um sistema comunitário de ecogestão e auditoria, que permite a participação voluntária de organizações, adiante designado por «EMAS», e que tem como objectivos a avaliação e melhoria do comportamento ambiental das organizações e a prestação de informações relevantes ao público e a outras partes interessadas.

2. O objectivo do EMAS será a promoção de uma melhoria contínua do comportamento ambiental das organizações, através da:

- a) Concepção e implementação de sistemas de gestão ambiental por parte das organizações em conformidade com o disposto no Anexo I;
- b) Avaliação sistemática, objectiva e periódica do desempenho desses sistemas em conformidade com o disposto no Anexo I;
- c) Prestação de informação sobre o comportamento ambiental e um diálogo aberto com o público e outras partes interessadas;
- d) Participação activa do pessoal na organização, bem como na formação e no aperfeiçoamento profissionais adequados, que permitam uma participação activa nas tarefas referidas na alínea a). Sempre que o solicitarem, os representantes dos trabalhadores poderão igualmente participar.

Artigo 2.º

Definições

Para efeitos do presente regulamento, entende-se por:

- a) «Política ambiental», os objectivos e princípios globais da acção das organizações em matéria de ambiente, incluindo o cumprimento de todas as disposições regulamentares pertinentes relativas ao ambiente e o empenho numa melhoria contínua do comportamento ambiental; esta política fornece o enquadramento para a adopção e revisão dos objectivos e metas ambientais;
- b) «Melhoria contínua do comportamento ambiental», o processo de melhoramento, ano após ano, dos resultados mensuráveis do sistema de gestão ambiental relacionados com a gestão de uma organização nos seus aspectos ambientais significativos, no contexto da respectiva política, objectivos e metas ambientais. A melhoria dos resultados não terá necessariamente lugar, simultaneamente, em todos os domínios de actividade;

- c) «Comportamento ambiental», o resultado da gestão dos aspectos ambientais de uma organização;
- d) «Prevenção da poluição», a adopção de processos, práticas, materiais ou produtos que impeçam, reduzam ou controlem a poluição e que podem incluir a reciclagem, o tratamento, a mudança de processos, mecanismos de controlo, a utilização eficaz dos recursos e materiais de substituição;
- e) «Levantamento ambiental», uma análise inicial exaustiva das questões, impacto e comportamentos ambientais relacionados com as actividades de uma organização (Anexo VII);
- f) «Aspecto ambiental», um elemento das actividades, produtos ou serviços de uma organização que possa interagir com o ambiente (Anexo VI); aspecto ambiental significativo um aspecto ambiental que tem ou pode ter um impacto significativo no ambiente;
- g) «Impacto ambiental», qualquer alteração do ambiente, adversa ou benéfica, total ou parcialmente resultante das actividades, produtos ou serviços de uma organização;
- h) «Programa ambiental», a descrição das medidas (responsabilidades e meios) adoptadas ou programadas para atingir objectivos e metas ambientais e as datas-limite para atingir esses objectivos e metas ambientais;
- i) «Objectivo ambiental», uma finalidade ambiental global, decorrente da política ambiental, que uma organização se proponha a si própria atingir e que será, sempre que possível, quantificada;
- j) «Meta ambiental», um requisito de comportamento por menorizado, quantificado sempre que possível, aplicável à organização ou a componentes da mesma, que decorra dos objectivos ambientais e que seja necessário definir e cumprir a fim de atingir esses objectivos;
- k) «Sistema de gestão ambiental», a componente do sistema global de gestão, que inclui a estrutura organizacional, actividades de planeamento, responsabilidades, práticas, processos, procedimentos e recursos destinados a definir, aplicar, consolidar, rever e manter a política ambiental;
- l) «Auditoria ambiental», um instrumento de gestão, que compreende uma avaliação sistemática, documentada, periódica e objectiva do comportamento da organização, do sistema de gestão e dos processos, com vista à protecção do ambiente e com o objectivo de:
 - i) Facilitar o controlo da gestão de práticas com eventual impacto no ambiente,
 - ii) Avaliar a conformidade com as políticas ambientais, incluindo os objectivos e metas ambientais da organização (Anexo II);

- m) «Ciclo de auditoria», o período de tempo em que todas as actividades de uma determinada organização são sujeitas a auditoria (Anexo II);
- n) «Auditor», a pessoa ou equipa, pertencente ou não aos quadros da organização, agindo em nome do órgão superior de administração da organização, que dispõe, individual ou colectivamente, das competências referidas no ponto 2.4 do Anexo II e de independência suficiente em relação às actividades que inspeciona para poder formular um juízo objectivo;
- o) «Declaração ambiental», a informação descrita nas alíneas a) a g) do ponto 3.2 do Anexo III;
- p) «Parte interessada», um indivíduo ou grupo, incluindo as autoridades, interessado ou afectado pelo comportamento ambiental de uma organização;
- q) «Verificador ambiental», qualquer pessoa ou organização independente da organização sujeita a verificação, que tenha obtido uma acreditação de acordo com as condições e procedimentos referidos no artigo 4.º;
- r) «Sistema de acreditação», um sistema de acreditação e supervisão dos verificadores ambientais gerido por uma instituição ou organização isenta designada ou criada pelo Estado-Membro (organismo de acreditação), com recursos e competências suficientes e com meios de acção adequados para desempenhar as funções definidas para esse sistema pelo presente regulamento;
- s) «Organização», uma sociedade, firma, empresa, autoridade ou instituição, ou uma parte ou a combinação destas entidades, dotada ou não de personalidade jurídica, de direito público ou privado, com funções e administração próprias.

A entidade a registar no EMAS como organização deve ser acordada com o verificador ambiental e, sempre que pertinente, com os organismos competentes, tomando em consideração as orientações da Comissão estabelecidas de acordo com o procedimento previsto no n.º 2 do artigo 14.º, mas não deve ultrapassar as fronteiras de um Estado-Membro. A entidade de menor dimensão a ter em consideração será o local de actividade. Em circunstâncias excepcionais identificadas pela Comissão de acordo com o procedimento previsto no n.º 2 do artigo 14.º, a entidade a ter em consideração para efeitos de registo no EMAS poderá ser menor do que um local de actividade, tal como uma subdivisão com funções próprias;

- t) «Local de actividade», todo o terreno numa determinada localização geográfica sob o controlo de gestão de uma organização, abrangendo actividades, produtos e serviços. Neste conceito estão incluídas todas as infra-estruturas, equipamentos e materiais;

- u) «Organismos competentes», os organismos designados pelos Estados-Membros, a nível nacional, regional ou local, nos termos do artigo 5.º, para desempenharem as funções estabelecidas no presente regulamento.

Artigo 3.º

Participação no EMAS

1. O EMAS está aberto à participação de todas as organizações interessadas em melhorar o seu comportamento ambiental global.

2. Para efeitos de registo de uma organização no EMAS, esta deve:

- a) Proceder a um levantamento ambiental das suas actividades, produtos e serviços, de acordo com o disposto no Anexo VII do presente regulamento, que abranja os aspectos constantes do Anexo VI e, em função desse levantamento, aplicar um sistema de gestão ambiental que abranja todos os requisitos descritos no Anexo I, em especial a conformidade com a legislação ambiental relevante.

Contudo, as organizações que possuam um sistema de gestão ambiental certificado, reconhecido de acordo com os requisitos do artigo 9.º, não necessitam de efectuar um levantamento ambiental formal ao passarem a aplicar o EMAS, caso a informação necessária para identificação e avaliação dos aspectos ambientais previstos no Anexo VI seja fornecida pelo sistema de gestão ambiental certificado;

- b) Efectuar ou mandar efectuar auditorias ambientais nos termos do Anexo II. As auditorias devem ser concebidas para a avaliação do comportamento ambiental da organização;
- c) Preparar uma declaração ambiental, nos termos do ponto 3.2 do Anexo III. A declaração deve prestar especial atenção aos resultados obtidos pela organização relativamente aos seus objectivos e metas ambientais e ao requisito de melhoria constante do comportamento ambiental, e deve ter em conta as necessidades em matéria de informação das partes interessadas afectadas;
- d) Efectuar uma revisão do levantamento ambiental, quando aplicável, do sistema de gestão, do procedimento de auditoria e das declarações ambientais, a fim de se certificar de que os mesmos preenchem os requisitos relevantes do presente regulamento, bem como providenciar a validação das declarações ambientais pelo verificador ambiental, a fim de se certificar de que estas satisfazem os requisitos do Anexo III;
- e) Comunicar a declaração ambiental validada ao organismo competente do Estado-Membro em que se situa a organização que solicita o registo e, depois de registada, colocá-la à disposição do público.

3. Para efeitos de manutenção do seu registo no EMAS, uma organização deve:

- a) Providenciar a verificação do seu sistema de gestão ambiental e programa de auditoria, de acordo com os requisitos estabelecidos no ponto 5.6 do Anexo V;
- b) Enviar anualmente ao organismo competente as actualizações validadas necessárias, anualmente, da sua declaração ambiental e pô-las à disposição do público. Os desvios à frequência com que as actualizações serão realizadas podem operar-se nas circunstâncias previstas na orientação da Comissão adoptada de acordo com o procedimento previsto no n.º 2 do artigo 14.º, nomeadamente para as pequenas organizações e pequenas empresas, de acordo com a Recomendação 96/280/CE da Comissão⁽¹⁾ e se não houver alterações operacionais no sistema de gestão ambiental.

Artigo 4.º

Sistema de acreditação

1. Os Estados-Membros criarão um sistema para a acreditação de verificadores ambientais independentes e para a supervisão das suas actividades. Os Estados-Membros podem utilizar para o efeito as instituições de acreditação existentes, os organismos competentes referidos no artigo 5.º ou designar ou criar outro organismo dotado de estatuto adequado.

Os Estados-Membros devem assegurar que a composição desses sistemas permita garantir a sua independência e isenção na execução das respectivas funções.

2. Os Estados-Membros assegurarão que esses sistemas se encontrem plenamente operacionais no prazo de 12 meses após a data de entrada em vigor do presente regulamento.

3. Os Estados-Membros assegurarão uma consulta adequada das partes envolvidas ao criarem e dirigirem sistemas de acreditação.

4. A acreditação de verificadores ambientais e a supervisão das respectivas actividades devem satisfazer os requisitos do Anexo V.

5. Os verificadores ambientais num determinado Estado-Membro podem desenvolver actividades de verificação em qualquer outro Estado-Membro, de acordo com os requisitos enunciados no Anexo V. O início da actividade de verificação deve ser notificado ao Estado-Membro em que a auditoria é efectuada, estando essa actividade sujeita à supervisão do sistema de acreditação do referido Estado-Membro.

6. Os Estados-Membros informarão a Comissão das medidas adoptadas em aplicação do presente artigo e comunicarão quaisquer alterações relevantes introduzidas na estrutura e procedimentos dos sistemas de acreditação.

7. A Comissão promoverá, de acordo com o procedimento previsto no n.º 2 do artigo 14.º, a colaboração entre Estados-Membros, especialmente no sentido de evitar incoerências entre o Anexo V e os critérios, condições e procedimentos aplicados pelos organismos nacionais de acreditação para a supervisão e acreditação dos verificadores ambientais, por forma a garantir uma qualidade uniforme dos verificadores ambientais.

8. Os organismos de acreditação instituirão um fórum, constituído por todos eles, destinado a proporcionar à Comissão os elementos e meios necessários ao cumprimento das obrigações que lhe são atribuídas pelo n.º 7. Este fórum reunirá, no mínimo, uma vez por ano, na presença de um representante da Comissão.

O fórum elaborará, se necessário, orientações sobre questões no domínio da acreditação, competência e supervisão dos verificadores. Os documentos de orientação serão submetidos ao procedimento previsto no n.º 2 do artigo 14.º

A fim de garantir um desenvolvimento harmonizado do funcionamento dos organismos de acreditação e do processo de verificação em todos os Estados-Membros, o fórum desenvolverá procedimentos para a criação de um processo de análise pelos pares. O objectivo desse processo de análise pelos pares é garantir que os sistemas de acreditação dos Estados-Membros satisfazem os requisitos do presente regulamento. Um relatório sobre as actividades no âmbito do processo de análise pelos pares será enviado à Comissão que, por sua vez, o transmitirá para informação ao Comité previsto no n.º 1 do artigo 14.º e o colocará à disposição do público.

Artigo 5.º

Organismos competentes

1. O mais tardar no prazo de três meses a contar da data de entrada em vigor do presente regulamento, os Estados-Membros designarão o organismo competente responsável pela execução das funções previstas no presente regulamento, especialmente nos artigos 6.º e 7.º, e do facto informarão a Comissão.

2. Os Estados-Membros assegurarão que a composição dos organismos competentes garanta a respectiva independência e isenção e que estes apliquem as disposições do presente regulamento de forma consequente.

3. Os Estados-Membros deverão emitir orientações para a suspensão ou anulação do registo das organizações, para uso dos organismos competentes. Os organismos competentes disporão, particularmente, de procedimentos para:

- a análise de observações das partes interessadas relativamente às organizações registadas, e
- a recusa de registo e o cancelamento ou suspensão do registo de organizações.

⁽¹⁾ JO L 107 de 30.4.1996, p. 4.

4. O organismo competente será responsável pelo registo das organizações no EMAS. Deverá, por conseguinte, controlar a admissão e manutenção das organizações no registo.

5. Os organismos competentes de todos Estados-Membros devem reunir, no mínimo, uma vez por ano, na presença de um representante da Comissão. O objectivo destas reuniões é garantir a coerência dos procedimentos relacionados com o registo das organizações no âmbito do EMAS, incluindo o cancelamento ou a suspensão do registo. Os organismos competentes instituirão um processo de análise pelos pares, com vista ao desenvolvimento de uma interpretação comum da sua metodologia prática em matéria de registo. Um relatório das actividades de análise pelos pares será enviado à Comissão que, por sua vez, o transmitirá ao Comité previsto no n.º 1 do artigo 14.º, para informação, e o colocará à disposição do público.

Artigo 6.º

Registo das organizações

O registo das organizações será processado pelos organismos competentes na seguinte base:

1. Caso um organismo competente:

- tenha recebido uma declaração ambiental validada,
- tenha recebido da organização um formulário preenchido que inclui, no mínimo, a informação descrita no Anexo VIII,
- tenha cobrado a taxa de registo eventualmente aplicável nos termos do artigo 16.º e
- conclua, com base nas provas recebidas, e em especial através de investigações junto da autoridade competente para verificar se a organização está conforme com a legislação ambiental relevante, que a organização satisfaz todos os requisitos do presente regulamento,

deverá efectuar o registo da organização requerente e atribuir-lhe um número de registo. O organismo competente informará a administração da organização de que esta passou a constar do registo.

2. Caso um organismo competente receba um relatório de supervisão do organismo de acreditação que dê provas de que o verificador não executou as suas actividades de forma cabal para se assegurar do cumprimento dos requisitos do presente regulamento por parte da organização requerente, o registo será ou recusado ou suspenso até se obter uma garantia da conformidade da organização com o EMAS.

3. Caso uma organização não entregue a um organismo competente, no prazo de três meses a contar da data em que tal lhe for solicitado,

- as actualizações da declaração ambiental validadas anualmente, ou
- um formulário preenchido pela organização que inclui, no mínimo, a informação descrita no Anexo VIII, ou
- o montante das eventuais taxas de registo,

a organização será suspensa ou o seu registo cancelado, conforme adequado à natureza e extensão do incumprimento. O organismo competente informará a administração da organização das razões das medidas tomadas.

4. Caso, em qualquer momento, um organismo competente conclua, com base em provas recebidas, que a organização já não satisfaz uma ou mais das condições do presente regulamento, essa organização será suspensa ou o seu registo cancelado, conforme adequado, consoante a natureza e extensão da irregularidade.

Caso um organismo competente seja informado pela autoridade de execução competente do incumprimento de requisitos regulamentares relevantes de protecção do ambiente por parte da organização, esse organismo recusará o registo dessa organização ou procederá à suspensão do seu registo, conforme adequado.

5. A recusa, suspensão ou cancelamento do registo de organizações exige a consulta das partes interessadas, por forma a facultar ao organismo competente os elementos necessários para tomar a sua decisão. O organismo competente informará a direcção da organização das razões das medidas tomadas e das deliberações da autoridade de execução competente.

6. A recusa ou suspensão será retirada caso o organismo competente receba informações satisfatórias de que a organização cumpre os requisitos do EMAS ou a autoridade de execução competente lhe tenha enviado informações satisfatórias de que a irregularidade foi corrigida e que a organização tomou medidas satisfatórias para assegurar que essa irregularidade não se voltará a verificar.

Artigo 7.º

Lista de organizações registadas e de verificadores ambientais

1. Os organismos de acreditação procederão à elaboração, revisão e actualização da lista de verificadores ambientais e do seu âmbito de acreditação no respectivo Estado-Membro e comunicarão mensalmente à Comissão e ao organismo competente, directamente ou através das autoridades nacionais, consoante decisão do Estado-Membro em causa, quaisquer alterações a essa lista.

2. Os organismos competentes elaborarão e manterão uma lista das organizações registadas no respectivo Estado-Membro e actualizarão essa lista mensalmente. Os organismos competentes comunicarão mensalmente à Comissão, directamente ou através das autoridades nacionais, consoante decisão do Estado-Membro em causa, quaisquer alterações a essa lista e poderão organizar, junto da rede de organismos locais autorizados, um sistema de intercâmbio de informações reparado por sector económico e por domínio de competência.

3. A Comissão manterá o registo dos verificadores ambientais e das organizações registadas no EMAS, que colocará à disposição do público.

Artigo 8.º

Logotipo

1. As organizações que participam no EMAS só podem utilizar o logotipo reproduzido no Anexo IV se na altura estiverem registadas num EMAS. As especificações técnicas relativas à reprodução do logotipo, serão adoptadas segundo o procedimento previsto no n.º 2 do artigo 14.º e publicadas pela Comissão.

2. O logotipo EMAS apenas pode ser utilizado pelas organizações nas seguintes circunstâncias:

- a) Em informações validadas, tais como se encontram descritas no ponto 3.5 do Anexo III, em circunstâncias definidas pela orientação da Comissão adoptada de acordo com o procedimento previsto no n.º 2 do artigo 14.º, que garantirá que não haja confusão com rótulos de produtos ambientais (a versão 2 do logotipo, que consta do Anexo IV, será utilizada neste caso);
- b) Em declarações ambientais validadas (a versão 2 do logotipo, que consta do Anexo IV, será utilizada neste caso);
- c) No papel timbrado das organizações registadas (a versão 1 do logotipo, que consta do Anexo IV, será utilizada neste caso);
- d) Em informação que faça publicidade à participação de uma organização no EMAS (a versão 1 do logotipo, que consta do Anexo IV, será utilizada neste caso);
- e) Na publicidade de produtos, actividades e serviços, mas apenas em circunstâncias definidas na orientação da Comissão adoptada de acordo com o procedimento previsto no n.º 2 do artigo 14.º, que garantirá que não haja confusão com rótulos ecológicos de produtos.

3. O logotipo não deve ser utilizado nos seguintes casos:

- a) Em produtos ou na respectiva embalagem;
- b) Em conjugação com afirmações comparativas relativas a outros produtos, actividades ou serviços.

A Comissão, no entanto, considerará, no âmbito da avaliação prevista no n.º 3 do artigo 15.º, em que circunstâncias excepcionais o logotipo poderá ser utilizado nesses casos. Para o efeito, a Comissão adoptará regras de acordo com o procedimento previsto no n.º 2 do artigo 14.º, que garantirá que não haja confusão com rótulos ecológicos de produtos.

Artigo 9.º

Relação com normas europeias e internacionais

1. Considerar-se-á que as organizações que apliquem normas em matéria ambiental, europeias ou internacionais, relevantes para o EMAS e que sejam certificadas como cumprindo essas normas, de acordo com procedimentos de certificação adequados, preenchem os requisitos correspondentes do presente regulamento, desde que:

- a) As normas sejam reconhecidas pela Comissão de acordo com o procedimento previsto no n.º 2 do artigo 14.º;
- b) Os requisitos de acreditação para os organismos de certificação sejam reconhecidos pela Comissão de acordo com o procedimento previsto no n.º 2 do artigo 14.º

As referências das normas reconhecidas (incluindo as secções relevantes do EMAS a que se aplicam) e dos requisitos de acreditação reconhecidos serão publicadas no *Jornal Oficial das Comunidades Europeias*.

2. A fim de permitir às organizações previstas no n.º 1 o seu registo no EMAS, as organizações em causa devem demonstrar ao verificador ambiental a conformidade com os requisitos não abrangidos pelas normas reconhecidas.

Artigo 10.º

Relação com outra legislação ambiental na Comunidade

1. O EMAS não afectará:

- a) A legislação comunitária;
- b) As legislações nacionais ou as normas técnicas não abrangidas pela legislação comunitária;
- c) As obrigações das organizações submetidas a essas legislações e normas,

em matéria de controlos ambientais.

2. Os Estados-Membros decidirão da forma como o registo no EMAS em conformidade com o presente regulamento poderá ser tido em conta na implementação e execução da legislação ambiental por forma a evitar uma duplicação desnecessária de esforços por parte das organizações e das autoridades de execução competentes.

Os Estados-Membros informarão a Comissão das medidas tomadas a este respeito. A Comissão transmitirá ao Parlamento Europeu e ao Conselho as informações recebidas dos Estados-Membros logo que estejam disponíveis e pelo menos de três em três anos.

Artigo 11.º

Promoção da participação das organizações, e em especial das pequenas e médias empresas

1. Os Estados-Membros promoverão a participação das organizações no EMAS e terão em especial consideração a necessidade de garantir a participação das pequenas e médias empresas (PME):

- facilitando o acesso à informação, aos fundos de apoio, às instituições públicas e aos concursos públicos, sem prejuízo das regras comunitárias em matéria de concursos públicos,
- instituindo ou promovendo medidas de assistência técnica, especialmente em conjugação com iniciativas dos pontos de contacto profissionais ou locais apropriados (por exemplo, autoridades locais, câmaras de comércio, associações comerciais ou artesanais),
- assegurando que despesas de registo razoáveis permitirão uma maior participação.

Com o objectivo de promover a participação das PME, incluindo as que se concentram em áreas geográficas bem definidas, as autoridades locais, de parceria com associações industriais, câmaras de comércio e outras partes interessadas, podem prestar assistência na identificação de impactos ambientais significativos. As PME poderão utilizar esta assistência na definição dos seus programas ambientais e definir os objectivos e metas do sistema de gestão do respectivo EMAS. Complementarmente, poderão ser desenvolvidos a nível regional ou local programas destinados a incentivar a participação das PME, por exemplo em fases sucessivas que levem, em devido tempo, a um registo no EMAS. O sistema deve funcionar de acordo com o objectivo de evitar aos participantes, sobretudo às pequenas organizações, encargos administrativos desnecessários.

2. Com o objectivo de encorajar a participação de organizações no EMAS, a Comissão e outras instituições da Comunidade bem como outros organismos públicos a nível nacional, deverão estudar, sem prejuízo da legislação comunitária, o modo como o registo no EMAS poderá ser tido em conta ao adoptarem os critérios para as suas políticas de aprovisionamento.

3. Os Estados-Membros informarão a Comissão das medidas tomadas em aplicação do presente artigo. A Comissão transmitirá ao Parlamento Europeu e ao Conselho as informações recebidas dos Estados-Membros logo que estejam disponíveis e pelo menos de três em três anos.

Artigo 12.º

Informação

1. Cada Estado-Membro tomará as medidas adequadas para assegurar que:

- a) As organizações sejam informadas do teor do presente regulamento, e
- b) O público seja informado sobre os objectivos e principais componentes do EMAS.

Os Estados-Membros devem, sempre que adequado, em colaboração designadamente com as organizações empresariais, as associações de defesa do consumidor, as organizações de protecção do ambiente, os sindicatos e as instituições locais, utilizar, nomeadamente, publicações profissionais, gazetas locais, campanhas de promoção ou quaisquer outros meios adequados para promover uma sensibilização generalizada do EMAS.

2. Os Estados-Membros informarão a Comissão das medidas tomadas em aplicação do presente artigo.

3. A Comissão será responsável pela promoção do EMAS a nível comunitário. Em particular analisará, em consulta com os membros do Comité previsto no n.º 1 do artigo 14.º, a possibilidade de divulgar as melhores práticas através dos meios e métodos adequados.

Artigo 13.º

Infracções

Os Estados-Membros tomarão as medidas legais ou administrativas adequadas em caso de incumprimento das disposições do presente regulamento e comunicarão essas medidas à Comissão.

Artigo 14.º

Comité

1. A Comissão é assistida por um Comité.

2. Sempre que se faça referência ao presente número, são aplicáveis os artigos 5.º e 7.º da Decisão 1999/468/CE, tendo-se em conta o disposto no artigo 8.º da mesma.

O período previsto no n.º 6 do artigo 5.º da Decisão 1999/468/CE é de 3 meses.

3. O Comité aprovará o seu regulamento interno.

Artigo 15.º

Revisão

1. O mais tardar cinco anos após a entrada em vigor do presente regulamento, a Comissão procederá a uma revisão do EMAS em função da experiência adquirida durante o seu funcionamento e da evolução verificada a nível internacional e, se necessário, proporá ao Parlamento Europeu e ao Conselho as alterações adequadas.

2. Os Anexos do presente regulamento, com excepção do Anexo V, serão adaptados pela Comissão, que actuará em conformidade com o procedimento previsto no n.º 2 do artigo 14.º, à luz da experiência obtida na operação do EMAS e em resposta às necessidades de orientação identificadas em matéria de requisitos do EMAS.

3. Em particular, a Comissão avaliará, em cooperação com os Estados-Membros e o mais tardar cinco anos após a entrada em vigor do presente regulamento, a utilização, reconhecimento e interpretação do logotipo EMAS, em especial pelo público e por outras partes interessadas, e determinará se é necessário rever esse logotipo e os requisitos para a sua utilização.

Artigo 16.º

Custos e taxas

1. Pode ser instituído um regime de taxas, segundo regras a determinar pelos Estados-Membros, para cobertura dos custos administrativos decorrentes dos processos de registo das organizações e de acreditação e supervisão dos verificadores ambientais, bem como de outros custos relacionados com o EMAS.

2. Os Estados-Membros informarão a Comissão das medidas adoptadas ao abrigo do presente artigo.

O presente regulamento é obrigatório em todos os seus elementos e directamente aplicável em todos os Estados-Membros.

Feito em Bruxelas, em 19 de Março de 2001.

O Parlamento Europeu

A Presidente

N. FONTAINE

Artigo 17.º

Revogação do Regulamento (CEE) n.º 1836/93

1. O Regulamento (CEE) n.º 1836/93 é revogado a partir da data da entrada em vigor do presente regulamento, sob reserva dos n.ºs 2 a 5 do presente artigo.

2. Os sistemas nacionais de acreditação e organismos competentes criados ao abrigo do Regulamento (CEE) n.º 1836/93 manter-se-ão em vigor. Os Estados-Membros alterarão os procedimentos aplicados pelos sistemas de acreditação e organismos competentes de harmonia com as disposições correspondentes do presente regulamento. Os Estados-Membros assegurarão que esses sistemas se encontrem plenamente operacionais num prazo de 12 meses a contar da data de entrada em vigor do presente regulamento.

3. Os verificadores ambientais ao abrigo do Regulamento (CEE) n.º 1836/93 podem continuar a exercer as suas actividades de acordo com os requisitos fixados no presente regulamento.

4. Os locais de actividade registados nos termos do Regulamento (CEE) n.º 1836/93 manter-se-ão registados no EMAS. A observância dos novos requisitos do presente regulamento será examinada na próxima verificação de um local de actividade. Se a próxima verificação estiver prevista para se realizar antes de seis meses após a entrada em vigor do presente regulamento, a data da próxima verificação pode ser adiada por seis meses, com o acordo do verificador ambiental e dos organismos competentes.

5. Os n.ºs 3 e 4 aplicam-se também aos verificadores ambientais e aos locais de actividade registados em conformidade com o disposto no artigo 14.º do Regulamento (CEE) n.º 1836/93 desde que os organismos responsáveis pela sua acreditação e os organismos competentes tenham certificado que esses verificadores ambientais e locais de actividade registados cumprem todos os requisitos previstos no Regulamento (CEE) n.º 1836/93 e do facto notifiquem a Comissão.

Artigo 18.º

Entrada em vigor

O presente regulamento entra em vigor no terceiro dia seguinte ao da sua publicação no *Jornal Oficial das Comunidades Europeias*.

Pelo Conselho

O Presidente

A. LINDH

ANEXO I

A. REQUISITOS DO SISTEMA DE GESTÃO AMBIENTAL

O sistema de gestão ambiental será implementado de acordo com os requisitos a seguir (ponto 4 da EN ISO 14001:1996) (*):

I-A. **Requisitos do sistema de gestão ambiental**I-A.1. *Requisitos gerais*

A organização deve estabelecer e manter um sistema de gestão ambiental, cujos requisitos estão descritos no presente anexo.

I-A.2. *Política ambiental*

A direcção, ao seu mais alto nível, deve definir a política ambiental da organização e garantir que:

- a) É adequada à natureza, à escala e aos impactes ambientais das suas actividades, produtos ou serviços;
- b) Inclui um compromisso de melhoria contínua e de prevenção da poluição;
- c) Inclui um compromisso de cumprimento da legislação e dos regulamentos ambientais aplicáveis e de outros requisitos que a organização subscreva;
- d) Proporciona o enquadramento para a definição e revisão de objectivos e metas ambientais;
- e) Está documentada, implementada, mantida e comunicada a todos os empregados;
- f) Está disponível ao público.

I-A.3. *Planeamento*I-A.3.1. *Aspectos ambientais*

A organização deve estabelecer e manter um ou os procedimento(s) para identificar os aspectos ambientais das suas actividades, produtos ou serviços que pode controlar e sobre os quais pode ter influência, por forma a determinar quais deles têm ou pode ter impactes ambientais significativos. A organização deve assegurar que os aspectos relacionados com esses impactes significativos são tomados em consideração na definição dos seus objectivos ambientais.

A organização deve manter esta informação actualizada.

I-A.3.2. *Requisitos legais e outros requisitos*

A organização deve estabelecer e manter um procedimento para identificar e ter acesso aos requisitos legais e outros requisitos, que a organização subscreva, aplicáveis aos aspectos ambientais das suas actividades, produtos ou serviços.

I-A.3.3. *Objectivos e metas*

A organização deve a todas as funções e níveis pertinentes, estabelecer e manter objectivos e metas ambientais documentados.

(*) A utilização do texto da norma nacional reproduzida no presente anexo é feita com a autorização do CEN. O texto integral da norma nacional pode ser adquirido nos organismos nacionais de normalização, cuja lista consta do presente anexo.

Ao estabelecer e rever os seus objectivos, a organização deve considerar os requisitos legais e outros requisitos, os seus aspectos ambientais significativos, as suas opções tecnológicas e os requisitos financeiros, operacionais e de negócio, bem como, o parecer das partes interessadas.

Os objectivos e metas devem ser coerentes com a política ambiental, incluindo o compromisso relativo à prevenção da poluição.

I-A.3.4. *Programa(s) de gestão ambiental*

A organização deve estabelecer e manter programa(s) destinado(s) a atingir os seus objectivos e metas. Este(s) deve(m) incluir:

- a) designação das responsabilidades para atingir os objectivos e metas, em cada nível e função relevantes da organização;
- b) os meios e os prazos para que eles sejam atingidos.

Se um projecto está relacionado com novos desenvolvimentos e com actividades, produtos ou serviços novos ou modificados, o(s) programa(s) deve(m) ser corrigido(s), onde for relevante, para assegurar que a gestão ambiental se aplica a esses projectos.

I-A.4. *Implementação e funcionamento*

I-A.4.1. *Estrutura e responsabilidade*

As funções, as responsabilidades e a autoridade devem ser definidas, documentadas e comunicadas por forma a facilitar eficácia da gestão ambiental.

A direcção deve providenciar os recursos necessários para a implementação e o controlo do sistema de gestão ambiental, os quais incluem os recursos humanos, os peritos especializados e os recursos tecnológicos e financeiros.

A direcção, ao seu mais alto nível, da organização deve nomear um representante(s) específico(s) da direcção que, independentemente de outras responsabilidades, deve(m) ter funções, responsabilidades e autoridade definidas para:

- a) Assegurar que os requisitos do sistema de gestão ambiental são definidos, implementados e mantidos, em conformidade com a presente norma;
- b) Relatar à direcção, o desempenho do sistema de gestão ambiental para revisão ou como base para a melhoria do sistema de gestão ambiental.

I-A.4.2. *Formação, sensibilização e competência*

A organização deve identificar as necessidades de formação. Deve criar condições para que todo o pessoal cujo trabalho possa ter um impacte ambiental significativo receba formação adequada.

A organização deve estabelecer e manter procedimentos que permitam aos seus empregados ou membros, em cada nível e função relevante, estarem sensibilizados para:

- a) A importância da conformidade com a política ambiental, procedimentos e requisitos do sistema de gestão ambiental;
- b) Dos impactes ambientais significativos, reais ou potenciais, das suas actividades, e para os benefícios ambientais decorrentes de uma melhoria do seu desempenho individual;
- c) As suas funções e responsabilidades para atingir a conformidade com a política e os procedimentos ambientais e com os requisitos do sistema de gestão ambiental, incluindo os requisitos de prevenção e de resposta a situações de emergência;
- d) Das consequências potenciais do não cumprimento dos procedimentos operacionais especificados.

O pessoal que desempenhe tarefas que possam causar impactes ambientais significativos deve adquirir competência com base numa adequada educação, formação e/ou experiência.

I-A.4.3. *Comunicação*

No que se refere aos seus aspectos ambientais e ao sistema de gestão ambiental, a organização deve estabelecer e manter procedimentos para:

- a) Comunicação interna entre os diversos níveis e funções da organização;
- b) Receber, documentar e responder a comunicações relevantes de partes interessadas externas.

A organização deve considerar processos de comunicação externa sobre os seus, aspectos ambientais significativos e registar a sua decisão.

I-A.4.4. *Documentação do sistema de gestão ambiental*

A organização deve definir e manter informação, em papel ou em formato electrónico, para

- a) Descrever os elementos essenciais do sistema de gestão e suas interacções;
- b) Fornecer orientação sobre documentação relacionada.

I-A.4.5. *Controlo de documentos*

A organização deve estabelecer e manter procedimentos para controlar todos os documentos requeridos na presente norma, por forma a assegurar que:

- a) Podem ser localizados;
- b) Sejam periodicamente analisados, revistos, quando necessário, e aprovados por pessoal autorizado;
- c) As versões actualizadas dos documentos relevantes se encontrem disponíveis em todos os locais onde são efectuadas operações essenciais ao funcionamento eficaz do sistema de gestão ambiental;
- d) Os documentos obsoletos são prontamente retirados de todos os pontos de emissão e de utilização, ou de outra forma impedido contra utilização indevida;
- e) Todos os documentos obsoletos conservados por motivos legais e/ou para preservação de conhecimentos se encontrem devidamente identificados.

A documentação deve ser legível, datada (com datas de revisão) e facilmente identificável, mantida de uma forma ordenada e conservada por um período determinado. Devem ser definidos e mantidos procedimentos e responsabilidades, referentes à criação e alteração dos diversos tipos de documentos.

I-A.4.6. *Controlo operacional*

A organização deve identificar as operações e as actividades associadas aos aspectos ambientais significativos, identificados segundo a sua política, os seus objectivos e as suas metas. A organização deve planear estas actividades, incluindo a manutenção, por forma a garantir que estas são realizadas sob determinadas condições, através:

- a) Da definição e manutenção de procedimentos documentados que abranjam situações nas quais a sua inexistência possa conduzir a desvios da política, objectivos e metas ambientais;
- b) Da definição de critérios operacionais nos procedimentos;

- c) Da definição e manutenção de procedimentos relacionados com os aspectos ambientais significativos identificáveis dos bens e serviços utilizados pela organização e da comunicação dos procedimentos e dos requisitos relevantes aos fornecedores e subcontratados.

I-A.4.7. *Prevenção e capacidade de resposta a emergências*

A organização deve estabelecer e manter procedimentos para identificar potenciais acidentes e situações de emergência, e ser capaz de reagir de modo a prevenir e reduzir os impactos ambientais ligados que lhes possam estar associados.

A organização deve analisar e rever, quando necessário, os seus procedimentos de prevenção e a sua capacidade de responder a situações de emergência, particularmente após a ocorrência de acidentes ou situações de emergência.

A organização deve ainda testar periodicamente tais procedimentos, onde aplicável.

I-A.5. *Verificação e acções correctivas*

I-A.5.1. *Monitorização e medição*

A organização deve estabelecer e manter procedimentos documentados para monitorizar e medir, periodicamente as características principais das suas operações e actividades que possam ter um impacto, significativo sobre o ambiente. Estes procedimentos devem incluir o registo da informação que permitam acompanhar o desempenho, dos controlos operacionais relevantes e a conformidade com os objectivos e metas ambientais da organização.

O equipamento de monitorização deve ser calibrado e sujeito a manutenção, os respectivos registos devem ser conservados, de acordo com os procedimentos da organização.

A organização deve estabelecer e manter um procedimento documentado que permita avaliar periodicamente a conformidade com as disposições legais e os regulamentos ambientais aplicáveis.

I-A.5.2. *Não conformidade, acções correctiva e preventiva*

A organização deve estabelecer e manter procedimentos para definir responsabilidades e autoridade para investigar e tratar as não conformidades, tomar medidas para minimizar impactos causados e dar início e concluir acções correctivas ou preventivas.

Qualquer acção correctiva ou preventiva que seja realizada para eliminar as causas de não conformidades reais e potenciais, deve ser adequada à magnitude dos problemas e proporcional aos impactos ambientais verificados.

A organização deve implementar e registar quaisquer alterações aos procedimentos documentados, resultantes de acções correctivas ou preventivas.

I-A.5.3. *Registos*

A organização deve estabelecer e manter procedimentos para a identificação, manutenção e eliminação dos registos ambientais. Estes registos devem incluir os registos de formação e os resultados das auditorias e revisões.

Os registos ambientais devem ser legíveis, identificáveis e rastreáveis para a actividade, produto ou serviço envolvidos. Os registos ambientais devem ser conservados e mantidos por forma a serem facilmente consultáveis e devem estar protegidos contra danos, deterioração ou perda. Os seus tempos de conservação devem ser definidos e registados.

Os registos devem ser mantidos, da forma mais adequada ao sistema e à organização, para se poder demonstrar a conformidade com os requisitos desta norma.

I-A.5.4. Auditoria do sistema de gestão ambiental

A organização deve estabelecer e manter (um) programa(s) e procedimentos que permitam a realização de auditorias periódicas ao sistema de gestão ambiental, por forma a:

- a) Determinar se o sistema de gestão ambiental:
 - 1) está em conformidade com as disposições planeadas para a gestão ambiental, incluindo os requisitos desta norma e
 - 2) foi adequadamente implementado e mantido; e
- b) Fornecer à direcção informações sobre os resultados das auditorias.

O programa de auditorias da organização, incluindo a sua calendarização deve basear-se na importância ambiental da actividade em questão e, nos resultados de auditorias anteriores. Para serem abrangentes, os procedimentos da auditoria devem incluir o âmbito da auditoria, a frequência e as metodologias, bem como as responsabilidades e os requisitos para a realização de auditorias e para a comunicação dos respectivos resultados.

I-A.6. Revisão pela direcção

A direcção, ao mais alto nível da organização, deve, com a periodicidade por si determinada, rever o sistema de gestão ambiental, por forma a assegurar que continua adequado, suficiente e eficaz. O processo de revisão pela direcção deve assegurar que é recolhida a informação necessária para permitir que a direcção efectue esta avaliação. Esta análise deve ser documentada.

A revisão pela direcção deve ter em conta a eventual alteração da política, dos objectivos e de outros elementos do sistema de gestão ambiental, à luz dos resultados das auditorias do sistema de gestão ambiental, de alterações das circunstâncias e do compromisso quanto à melhoria contínua.

Lista dos organismos nacionais de normalização

B:	IBN/BIN (Institut Belge de Normalisation/Belgisch Instituut voor Normalisatie)
DK:	DS (Dansk Standard)
D:	DIN (Deutsches Institut für Normung e.V.)
EL:	ELOT (Ελληνικός Οργανισμός Τυποποίησης)
E:	AENOR (Asociación Espanola de Normalización y Certificación)
F:	AFNOR (Association Francaise de Normalisation)
IRL:	NSAI (National Standards Authority of Ireland)
I:	UNI (Ente Nazionale Italiano di Unificazione)
L:	SEE (Service de l'Énergie de l'État) (Luxembourg)
NL:	NEN (Nederlands Normalisatie-Instituut)
A:	ON (Österreichisches Normungsinstitut)
P:	IPQ (Instituto Português da Qualidade)
FIN:	SFS (Suomen Standardisoimisliitto r.y.)
S:	SIS (Standardiseringsen i Sverige)
UK:	BSI (British Standards Institution)

B. QUESTÕES A TRATAR PELAS ORGANIZAÇÕES QUE APLICAM O EMAS**1. Conformidade legal**

As organizações devem estar em condições de poder demonstrar que:

- a) Se inteiraram de toda a legislação ambiental aplicável e conhecem as suas implicações na organização;
- b) Se encontram em conformidade com a legislação ambiental, e
- c) Aplicam procedimentos que permitem à organização satisfazer esses requisitos de forma corrente.

2. Comportamento

As organizações devem ser capazes de demonstrar que o sistema de gestão e os procedimentos de auditoria incidem sobre o comportamento ambiental efectivo da organização relativamente aos aspectos identificados no Anexo VI. O desempenho da organização relativamente aos seus objectivos e metas será avaliado como parte do processo de revisão da gestão. A organização deve também assumir um compromisso de melhoria contínua do seu comportamento ambiental. Ao fazê-lo, a organização poderá basear a sua acção em programas ambientais locais, regionais ou nacionais.

Os meios para alcançar os objectivos e metas não poderão ser objectivos ambientais. Se a organização for constituída por um ou mais locais de actividade, cada um dos locais registados no EMAS terá que satisfazer os respectivos requisitos, incluindo o compromisso de melhoria contínua do comportamento ambiental tal como definida no n.º 2, alínea b), do artigo 2.º

3. Comunicação e relações externas

As organizações devem ser capazes de demonstrar abertura ao diálogo com o público e as outras partes interessadas, incluindo as comunidades locais e os clientes, no que diz respeito ao impacto ambiental das suas actividades, produtos e serviços, a fim de se inteirarem das preocupações do público e das outras partes interessadas.

4. Participação dos trabalhadores

Além dos requisitos previstos no Anexo I, Parte A, os trabalhadores participarão no processo de melhoria contínua do desempenho ambiental da organização. Para tal, deverão ser usadas formas de participação adequadas tais como o sistema do livro de sugestões ou trabalhos de grupo em projectos ou comités ambientais. As organizações terão em atenção as orientações da Comissão sobre as melhores práticas neste domínio. Sempre que o solicitarem, os representantes dos trabalhadores poderão igualmente participar.

ANEXO II

REQUISITOS RELATIVOS À AUDITORIA AMBIENTAL INTERNA**2.1. Requisitos gerais**

As auditorias internas garantem que as actividades de uma organização se desenvolvem de acordo com os procedimentos estabelecidos. A auditoria pode também identificar eventuais problemas relacionados com esses procedimentos ou possibilidades de melhoria dos mesmos. A extensão das auditorias realizadas no interior de uma organização pode variar desde a auditoria de um simples procedimento até à auditoria de actividades complexas. Todas as actividades de uma determinada organização serão sujeitas a auditoria ao cabo de um determinado período. O período de tempo necessário para completar as auditorias de todas as actividades é designado por ciclo de auditoria. Em organizações de pequenas dimensões e pouco complexas, será possível efectuar de uma só vez a auditoria de todas as actividades. Relativamente a estas organizações, o ciclo de auditoria equivale ao intervalo entre essas auditorias.

As auditorias internas serão efectuadas por pessoas suficientemente independentes em relação às actividades a auditar, para assegurarem um parecer isento. Essas auditorias podem ser efectuadas por pessoal da organização ou por pessoas externas à organização (pessoal de outras organizações, pessoal de outros sectores da mesma organização ou consultores).

2.2. Objectivos

O programa de auditoria ambiental da organização deve definir, por escrito, os objectivos de cada auditoria ou ciclo de auditorias, incluindo a respectiva frequência para cada uma das actividades.

Os objectivos devem incluir, nomeadamente, a apreciação dos sistemas de gestão existentes e a determinação da conformidade com a política e o programa da organização, que incluirá o cumprimento das disposições regulamentares relevantes em matéria ambiental.

2.3. Âmbito

O âmbito global de cada auditoria ou de cada fase de um ciclo de auditoria, consoante o caso, deve ser claramente definido, devendo identificar explicitamente:

1. As áreas temáticas abrangidas;
2. As actividades sobre as quais incidirá a auditoria;
3. Os critérios ambientais a considerar;
4. O período abrangido pela auditoria.

A auditoria ambiental inclui a apreciação dos dados factuais necessários à avaliação do comportamento.

2.4. Organização e recursos

As auditorias ambientais devem ser executadas por pessoas ou grupos de pessoas com um conhecimento adequado dos sectores e áreas que são objecto de auditoria, incluindo conhecimentos e experiência sobre as questões relevantes referentes a aspectos ambientais, técnicos, regulamentares e de gestão, e com a formação e competência específica para a realização de auditorias, necessárias para atingir os objectos fixados. Os recursos e o tempo consagrados à auditoria devem ser proporcionais ao âmbito e objectivos da auditoria.

O órgão superior de administração da organização dará apoio à auditoria.

Os auditores devem ser suficientemente independentes em relação às actividades objecto da auditoria, para emitirem pareceres objectivos e isentos.

2.5. Planeamento e preparação de uma auditoria

A auditoria deve ser planeada e preparada com o objectivo, nomeadamente, de garantir:

- a afectação dos recursos adequados,
- que cada pessoa envolvida no processo de auditoria (incluindo os auditores, a administração e o pessoal) compreenda bem as suas funções e responsabilidades.

A preparação deve incluir a familiarização com as actividades da organização e com o sistema de gestão ambiental nela instituído, bem como a análise dos resultados e conclusões de auditorias anteriores.

2.6. Actividades de auditoria

As actividades de auditoria incluirão entrevistas com o pessoal, inspecção das condições de funcionamento e do equipamento e análise dos registos, procedimentos escritos e outra documentação relevante, com o objectivo de avaliar o comportamento ambiental da actividade objecto de auditoria, a fim de indagar do cumprimento das normas e regulamentos aplicáveis e dos objectivos e metas fixados, bem como da eficácia e adequação do sistema para a gestão das responsabilidades ambientais. Deve ser efectuada, designadamente, uma verificação pontual do cumprimento desses critérios para determinar a eficácia global do sistema de gestão.

O processo de auditoria compreenderá, designadamente, as seguintes fases:

- a) Compreensão dos sistemas de gestão;
- b) Determinação dos pontos fortes e dos pontos fracos dos sistemas de gestão;
- c) Recolha de elementos relevantes;
- d) Avaliação dos resultados da auditoria;
- e) Elaboração das conclusões da auditoria;
- f) Comunicação dos resultados e conclusões da auditoria.

2.7. Comunicação dos resultados e conclusões da auditoria

1. No final de cada auditoria e ciclo de auditoria, os auditores devem elaborar um relatório de auditoria escrito, cuja apresentação e conteúdo deverão assegurar uma comunicação exhaustiva e formal dos respectivos resultados e conclusões.

Os resultados e conclusões da auditoria devem ser formalmente comunicados ao órgão superior de administração da organização.

2. Os objectivos fundamentais de um relatório de auditoria escrito são:

- a) Documentar o âmbito da auditoria;
- b) Fornecer à administração informações sobre o grau de cumprimento da política ambiental da organização e os progressos da mesma em termos ambientais;
- c) Fornecer à administração informações sobre a eficácia e fiabilidade das medidas adoptadas para a monitorização dos impactos ambientais da organização;
- d) Demonstrar a necessidade de medidas correctivas, sempre que se justifiquem.

2.8. Seguimento da auditoria

O processo de auditoria deve culminar na elaboração e aplicação de um plano de medidas correctivas consequentes.

Devem ser criados e utilizados mecanismos adequados que assegurem que é dado seguimento às conclusões da auditoria.

2.9. Frequência das auditorias

A auditoria ou ciclo de auditoria será completada(o), consoante o caso, com intervalos que não poderão exceder 3 anos. A frequência da realização de auditorias a cada uma das actividades variará consoante:

- a) A natureza, dimensão e complexidade das actividades;
- b) A significância dos impactos ambientais associados;
- c) A importância e premência dos problemas detectados em auditorias anteriores;
- d) O historial dos problemas ambientais.

As actividades mais complexas com maior impacto ambiental serão objecto de auditorias mais frequentes.

Cada organização definirá o seu próprio programa de auditoria e respectiva frequência, tomando em consideração as orientações da Comissão adoptadas de acordo com o procedimento previsto no n.º 2 do artigo 14.º

ANEXO III

DECLARAÇÃO AMBIENTAL**3.1. Introdução**

O objectivo da declaração ambiental é fornecer, ao público e a outras partes interessadas, informações de carácter ambiental relativas ao impacto e comportamento ambientais e à melhoria contínua do comportamento ambiental da organização. Constitui também um meio para responder aos requisitos dos interessados identificados no ponto 3 do Anexo I, Parte B, que sejam considerados significativos pela organização (ponto 6.4 do Anexo VI). A informação ambiental será apresentada de uma forma clara e coerente, em papel impresso, a quem não possua outro meio de obter essa informação. Depois do primeiro registo e em seguida de três em três anos, a organização terá de prestar as informações enumeradas no n.º 3.2 num documento impresso.

A Comissão adoptará orientações relativas à declaração ambiental de acordo com o procedimento previsto no n.º 2 do artigo 14.º

3.2. Declaração ambiental

Ao registar-se pela primeira vez, a organização deve apresentar, tendo em atenção os critérios do ponto 3.5, informações em matéria ambiental, a seguir designadas declaração ambiental, para validação por um verificador ambiental. Essas informações serão apresentadas ao organismo competente após a validação e postas seguidamente à disposição do público. A declaração ambiental é um instrumento de comunicação e diálogo com o público e as outras partes interessadas relativo ao comportamento ambiental. A organização deverá ter em conta as necessidades de informação do público e de outras partes interessadas quando da redacção e elaboração da declaração ambiental.

Os elementos mínimos que devem constar da informação são os seguintes:

- a) Uma descrição clara e inequívoca da organização que solicita o registo no EMAS e um resumo das suas actividades, produtos e serviços, bem como das suas relações com qualquer organização-mãe, caso exista;
- b) A política ambiental da organização e uma descrição sumária do seu sistema de gestão ambiental;
- c) Uma descrição de todos os aspectos ambientais, directos e indirectos, que resultam em impactos ambientais significativos da organização e uma explicação da relação entre a natureza desses impactos e aqueles aspectos (Anexo VI);
- d) Uma descrição dos objectivos e metas ambientais e sua relação com os aspectos e impactos ambientais significativos;
- e) Um resumo dos dados disponíveis sobre o comportamento da organização relativamente aos seus objectivos e metas ambientais, no que se relaciona com os seus impactos ambientais significativos. Esse resumo poderá incluir os valores das emissões poluentes, da produção de resíduos, do consumo de matérias-primas, energia e água, do ruído e ainda outros aspectos indicados no Anexo VI. Os dados deverão permitir uma comparação anual que permita determinar a evolução do comportamento ambiental da organização;
- f) Outros factores relacionados com o comportamento ambiental, incluindo o comportamento em face das disposições legais no que se refere aos impactos ambientais significativos;
- g) O nome e o número de acreditação do verificador ambiental e a data de validação.

3.3. Critérios para a elaboração dos relatórios de comportamento ambiental

Os dados brutos gerados por um sistema de gestão ambiental serão utilizados de diferentes maneiras, por forma a projectarem o comportamento ambiental de uma organização. Para o efeito, as organizações poderão utilizar os indicadores ambientais de comportamento pertinentes existentes, assegurando-se-de que os indicadores de comportamento que seleccionem:

- a) Forneçam uma avaliação rigorosa do comportamento da organização;
- b) Sejam inteligíveis e não ambíguos;

- c) Permitam uma comparação anual da evolução do comportamento ambiental da organização;
- d) Permitam a aferição por benchmarks sectoriais, nacionais ou regionais;
- e) Permitam a aferição por requisitos regulamentares, quando necessário.

3.4. Manutenção de informação à disposição do público

A organização actualizará a informação descrita no ponto 3.2 e todas as alterações serão validadas anualmente por um verificador ambiental. Os desvios à frequência com que as actualizações serão realizadas podem operar-se nas circunstâncias previstas na orientação da Comissão, adoptada de acordo com o procedimento do n.º 2 do artigo 14.º Após validação, essas alterações serão também apresentadas ao organismo competente e postas à disposição do público.

3.5. Publicação da informação

As organizações poderão desejar comunicar a diferentes públicos e partes interessadas a informação gerada pelo seu sistema de gestão ambiental e utilizar apenas informação seleccionada a partir da declaração ambiental. As informações ambientais publicadas por uma organização podem ostentar o logotipo EMAS desde que tenham sido validadas por um verificador ambiental como sendo:

- a) Exactas e não enganadoras;
- b) Fundamentadas e verificáveis;
- c) Relevantes e utilizadas numa situação ou contexto adequado;
- d) Representativas do comportamento ambiental global da organização;
- e) Não passíveis de más interpretações;
- f) Significativas em termos de impacto ambiental global,

e façam referência à última declaração ambiental de que foram extraídas.

3.6. Disponibilização ao público

As informações enumeradas nas alíneas a) a g) do ponto 3.2, que constituem a declaração ambiental de uma organização, e as informações actualizadas referidas no ponto 3.4 devem ser postas à disposição do público e de outras partes interessadas. A declaração ambiental deve ser facultada ao público. Para tal, as organizações são incentivadas a utilizar todos os meios disponíveis (bibliotecas, publicação electrónica, etc.). A organização deve estar em condições de demonstrar ao verificador ambiental que será dado a qualquer pessoa interessada no comportamento ambiental da organização um acesso fácil e livre à informação descrita nas alíneas a) a g) do ponto 3.2 e no ponto 3.4.

3.7. Responsabilidade local

As organizações que solicitam o registo no EMAS podem desejar apresentar uma declaração ambiental global que abranja várias localizações geográficas. O intuito primordial do EMAS é garantir uma responsabilização local, pelo que as organizações devem assegurar que os impactos ambientais significativos de cada local de actividade sejam claramente identificados e referidos na declaração global.

ANEXO IV

Logotipo

Versão 1



Versão 2



O logotipo pode ser utilizado por uma organização registada no EMAS em qualquer das 11 línguas desde que sejam utilizadas as seguintes expressões:

Versão 1

Dinamarquês:	«verificeret miljøledelse»
Alemão:	«geprüftes Umweltmanagement»
Grego:	«επιβεωρημένη περιβαλλοντική διαχείριση»
Espanhol:	«Gestión ambiental verificada»
Finlandês:	«vahvistettu ympäristöasioiden hallinta»
Francês:	«Management environnemental vérifié»
Italiano:	«Gestione ambientale verificata»
Neerlandês:	«Geverifieerd milieuzorgsysteem»
Português:	«Gestão ambiental verificada»
Sueco:	«Kontrollerat miljöledningssystem»

Versão 2

«bekræftede oplysninger»
«geprüfte Information»
«επικυρωμένες πληροφορίες»
«información validada»
«vahvistettua tietoa»
«information validée»
«informazione convalidata»
«gevalideerde informatie»
«informação validada»
«godkänd information»

Ambas as versões do logotipo devem apresentar sempre o número de registo da organização.

O logotipo deve ser utilizado em:

- em três cores (Pantone No. 355 Green; Pantone No. 109 Yellow; Pantone No. 286 Blue),
- preto sobre fundo branco ou
- branco sobre fundo preto.

ANEXO V

ACREDITAÇÃO, SUPERVISÃO E FUNÇÕES DOS VERIFICADORES AMBIENTAIS**5.1. Generalidades**

A acreditação dos verificadores ambientais basear-se-á nos princípios gerais de competência constantes do presente anexo. Os organismos de acreditação podem optar pela acreditação de indivíduos, de organizações ou de ambos como verificadores ambientais. Os trâmites processuais e os critérios pormenorizados para a acreditação dos verificadores ambientais são definidos, nos termos do artigo 4.º, pelos sistemas de acreditação nacionais, de acordo com esses princípios. A conformidade com esses princípios será garantida através do processo de análise pelos pares constante do artigo 4.º

5.2. Requisitos para a acreditação dos verificadores ambientais**5.2.1. As competências a seguir indicadas constituem os requisitos mínimos que todo o verificador, seja ele pessoa individual ou organização, deve preencher:**

- a) Conhecimento e compreensão do regulamento, do funcionamento geral dos sistemas de gestão ambiental, das normas relevantes e das orientações emitidas pela Comissão, nos termos do artigo 4.º e do n.º 2 do artigo 14.º, para fins de aplicação do presente regulamento;
- b) Conhecimento e compreensão dos preceitos legislativos, regulamentares e administrativos relevantes para a actividade sujeita a verificação;
- c) Conhecimento e compreensão das questões ambientais, incluindo a vertente ambiental do desenvolvimento sustentável;
- d) Conhecimento e compreensão dos aspectos técnicos relevantes para as questões ambientais da actividade sujeita a verificação;
- e) Compreensão do funcionamento geral da actividade sujeita a verificação, que lhe permita avaliar a adequação do sistema de gestão;
- f) Conhecimento e compreensão dos requisitos e metodologia das auditorias ambientais;
- g) Competência em matéria de verificação das informações (Declaração Ambiental).

Deverão ser apresentadas ao organismo de acreditação ao qual o candidato a verificador solicitou a sua acreditação provas adequadas de que este possui os conhecimentos assim como a experiência e as capacidades técnicas nos domínios acima referidos.

Para além disso, o verificador ambiental deve ser independente, em especial relativamente ao auditor ou consultor da organização, isento e objectivo no exercício das suas funções.

O verificador individual assegurará, em relação a si próprio, ou a organização de verificação, em relação a si própria ou ao seu pessoal, a independência de qualquer pressão comercial, financeira ou de outra natureza, que possa influenciar a sua apreciação ou pôr em perigo a confiança na sua independência de julgamento e integridade em relação às suas actividades, e que cumpre as regras aplicáveis a este respeito.

O verificador ambiental utilizará procedimentos e metodologias documentados, incluindo os mecanismos de controlo de qualidade e as disposições em matéria de confidencialidade para o cumprimento dos requisitos de verificação do presente regulamento.

No caso de o verificador ambiental ser uma organização, o verificador ambiental manterá e apresentará, quando solicitado, um organigrama do organismo em que figurem detalhadamente as estruturas e responsabilidades dentro do organismo e uma declaração do seu estatuto legal, propriedade e fontes de financiamento.

5.2.2. Âmbito da acreditação

O âmbito da acreditação dos verificadores ambientais será definido de acordo com a classificação das actividades económicas (códigos NACE), como estabelecida no Regulamento (CEE) n.º 3037/901⁽¹⁾. O âmbito da acreditação será delimitado pela competência do verificador. Em determinados casos, o âmbito da acreditação dependerá também da dimensão e complexidade da actividade, sempre que necessário; a observância destes princípios será sujeita a supervisão.

5.2.3. Requisitos adicionais para a acreditação como verificadores ambientais de pessoas individuais que executam verificações por conta própria

Os verificadores ambientais individuais que executam verificações por conta própria, para além de preencherem os requisitos descritos nos pontos 5.2.1 e 5.2.2, devem possuir:

- todas as competências necessárias para a execução de verificações nos seus domínios de acreditação,
- uma acreditação de âmbito limitado, dependente da sua competência pessoal.

A conformidade com estes requisitos será garantida através da avaliação efectuada previamente à acreditação e através do papel supervisor do organismo de acreditação.

5.3. Supervisão dos verificadores ambientais

5.3.1. Supervisão dos verificadores ambientais efectuada pelo organismo que lhes concedeu a acreditação

O verificador ambiental deve notificar imediatamente o organismo de acreditação de quaisquer alterações com implicação para a acreditação ou para o seu âmbito.

Serão tomadas medidas, a intervalos periódicos não superiores a 24 meses, destinadas a assegurar que os verificadores ambientais continuam a satisfazer os requisitos de acreditação, bem como a controlar a qualidade das verificações efectuadas. A supervisão pode assumir a forma de auditoria documental, testemunho das visitas de verificação, questionário, análise de declarações ambientais validadas pelo verificador e análise do relatório de verificação. Deverá ser proporcional à actividade realizada pelo verificador.

Qualquer decisão do organismo de acreditação de cassação ou suspensão da acreditação ou de redução do seu âmbito só será tomada após o verificador ambiental ter tido a possibilidade de ser ouvido.

5.3.2. Supervisão dos verificadores ambientais que realizam actividades de verificação num Estado-Membro diferente daquele em que lhes foi concedida a acreditação

Um verificador ambiental de um Estado-Membro, antes de exercer actividades de verificação num outro Estado-Membro, notificará ao organismo de acreditação deste último, com uma antecedência mínima de quatro semanas:

- os elementos relativos à sua acreditação, competência e composição da equipa se aplicável;
- a data e o local em que a verificação terá lugar: endereço da organização e elementos de contacto, medidas tomadas em matéria de conhecimentos linguísticos e jurídicos, quando necessário;

O organismo de acreditação pode pedir mais esclarecimentos sobre os conhecimentos jurídicos e linguísticos acima referidos.

A referida notificação será enviada antes de cada nova verificação.

⁽¹⁾ JO L 293 de 24.10.1990, p. 7. Regulamento com a redacção que lhe foi dada pelo Regulamento (CEE) n.º 761/93 (JO L 83 de 3.4.1993, p. 1).

O organismo de acreditação não imporá nenhuma outra condição que possam lesar o direito do verificador a prestar serviços num Estado-Membro distinto daquele em que lhe foi concedida a acreditação. Designadamente, não será cobrada qualquer taxa discriminatória pela notificação. O organismo de acreditação também não utilizará o processo de notificação para retardar a chegada do verificador. Qualquer dificuldade de supervisionar o verificador na data comunicada deverá ser devidamente justificada. Se se verificarem custos de supervisão, o organismo de acreditação poderá cobrar as taxas apropriadas.

Caso o organismo de acreditação que procede à supervisão não fique satisfeito com a qualidade do trabalho efectuado pelo verificador, o relatório de supervisão será enviado ao verificador em questão, ao organismo de acreditação que concedeu a acreditação, ao organismo competente do local onde se situa a organização objecto de verificação e, em caso de litígio, ao fórum do organismo de acreditação.

As organizações não podem negar ao organismo de acreditação o direito de exercer a supervisão do verificador ambiental, através do testemunho do seu desempenho durante o processo de verificação.

5.4. Função dos verificadores ambientais

5.4.1. O verificador tem como função averiguar, sem prejuízo das competências dos Estados-Membros em matéria de controlo do cumprimento das disposições regulamentares:

- a) A conformidade com todos os requisitos do presente regulamento: levantamento ambiental inicial, quando aplicável, sistema de gestão ambiental, programa de auditoria ambiental e declaração ambiental;
- b) A fiabilidade, credibilidade e exactidão dos dados e informações constantes:
 - da declaração ambiental (ponto 3.2 e 3.3 do Anexo III),
 - da informação ambiental a validar (ponto 3.4 do Anexo III).

O verificador deve nomeadamente investigar, com rigor profissional, a validade técnica do levantamento ambiental inicial, caso aplicável, da auditoria ou de outros procedimentos executados pela organização, sem repetir desnecessariamente esses procedimentos. Nomeadamente, o verificador deverá efectuar verificações pontuais para determinar a fiabilidade dos resultados da auditoria interna.

5.4.2. No momento da primeira verificação, o verificador ambiental deve, em especial, averiguar se a organização satisfaz os seguintes requisitos:

- a) Um sistema de gestão ambiental plenamente operacional e em conformidade com o Anexo I;
- b) Um programa de auditoria com planeamento completo, já iniciado em conformidade com o Anexo II de modo a que tenham sido abrangidas pelo menos as áreas com impacto ambiental mais significativo;
- c) Conclusão de uma análise da gestão;
- d) Elaboração de uma declaração ambiental em conformidade com o ponto 3.2 do Anexo III.

5.4.3. Conformidade legal

O verificador ambiental deve certificar-se de que a organização dispõe de procedimentos para o controlo dos aspectos ou operações sujeitas a legislação comunitária ou nacional relevante, e de que esses procedimentos são adequados para assegurar essa conformidade. As averiguações da auditoria deverão, em especial, provar a capacidade dos procedimentos aplicados para assegurar a conformidade legal.

O verificador não deve validar a declaração ambiental caso, durante o processo de verificação, observe, por exemplo através de verificações pontuais, que a organização não satisfaz o requisito de conformidade legal.

5.4.4. Definição de organização

Ao verificar o sistema de gestão ambiental e ao validar a declaração ambiental, o verificador deve garantir que as componentes da organização estão definidas sem ambiguidades e que correspondam a uma divisão real das actividades. O teor da declaração deve delimitar claramente as diferentes componentes da organização às quais o EMAS é aplicável.

5.5. Condições para o exercício das actividades do verificador ambiental

5.5.1. O trabalho do verificador, no âmbito da sua acreditação, terá por base um acordo escrito com a organização que defina o âmbito do seu trabalho, lhe permita desempenhar as suas funções de forma profissional e independente e obrigue a organização a assegurar-lhe a necessária cooperação.

5.5.2. A verificação envolverá a análise da documentação, uma visita à organização, que incluirá, nomeadamente, entrevistas com o pessoal, a elaboração de um relatório para a administração da organização e a solução da organização para as questões levantadas pelo relatório.

5.5.3. A documentação a analisar previamente à visita incluirá informações básicas sobre a organização e as actividades nela desenvolvidas, a política e o programa ambientais, a descrição do sistema de gestão ambiental aplicado na organização, pormenores da auditoria ou levantamento ambiental efectuado, o relatório sobre esse levantamento ou auditoria e sobre medidas correctivas subsequentes, bem como o projecto de declaração ambiental.

5.5.4. O verificador elaborará um relatório para a administração da organização. Esse relatório deverá especificar:

- a) Todas as questões relevantes para o trabalho executado pelo verificador;
- b) A situação da organização antes de enveredar pela implementação de um sistema de gestão ambiental;
- c) Casos de não conformidade geral com as disposições do presente regulamento e, em especial,
 - deficiências técnicas no levantamento ambiental inicial, no método de auditoria, no sistema de gestão ambiental ou em qualquer outro processo relevante;
 - discrepâncias relativamente ao projecto de declaração ambiental, acompanhadas de indicações sobre as alterações ou aditamentos que devam ser introduzidos na declaração ambiental.
- d) Comparação com as declarações anteriores e com a avaliação do comportamento da organização.

5.6. Frequência das verificações

Em consulta com a organização, o verificador ambiental elaborará um programa para garantir que todos os elementos exigidos para o registo no EMAS sejam verificados num prazo não superior a 36 meses. O verificador deverá ainda, a intervalos que não ultrapassem os 12 meses, validar quaisquer novos elementos actualizados da declaração ambiental. Os desvios à frequência com que as actualizações são realizadas poderão ser operados nas circunstâncias previstas na orientação da Comissão, adoptada de acordo com o procedimento do n.º 2 do artigo 14.º

ANEXO VI

ASPECTOS AMBIENTAIS**6.1. Generalidades**

Uma organização deve ponderar todos os aspectos ambientais das suas actividades, produtos e serviços e decidir, segundo critérios que tenham em conta a legislação comunitária, quais os aspectos ambientais que têm um impacto significativo, tomando-os como base para a definição dos seus objectivos e metas ambientais. Esses critérios ficarão à disposição do público.

A organização deve ponderar tanto os aspectos ambientais directos como os indirectos das suas actividades, produtos e serviços.

6.2. Aspectos ambientais directos

Abrangem as actividades de uma organização sobre as quais esta detém o controlo da gestão, podendo incluir, sem a eles se limitarem, os seguintes aspectos:

- a) Emissões para a atmosfera;
- b) Descargas para as águas;
- c) Restrição da produção, reciclagem, reutilização, transporte e descarga de resíduos sólidos e outros, em particular de resíduos perigosos;
- d) Uso e contaminação de solos;
- e) Utilização de recursos naturais e matérias-primas (incluindo energia);
- f) Questões de impacto local (ruído, vibrações, cheiros, poeiras, efeito visual, etc.);
- g) Questões de transporte (tanto de mercadorias e serviços como de pessoal);
- h) Riscos de acidentes ambientais e impactos que surjam ou possam surgir em consequência de incidentes, acidentes e situações de emergência potencial;
- i) Efeitos sobre a biodiversidade.

6.3. Aspectos ambientais indirectos

Em resultado das actividades, produtos e serviços de uma organização, podem existir aspectos ambientais significativos sobre os quais ela pode não possuir inteiro controlo de gestão.

Estes aspectos podem incluir, entre outros:

- a) Questões relacionadas com produtos (concepção, desenvolvimento, embalagem, transporte, utilização e valorização/eliminação de resíduos);
- b) Investimentos de capital, concessão de empréstimos e serviços de seguros;
- c) Novos mercados;
- d) Escolha e composição dos serviços (por exemplo, transporte ou actividade de fornecimento de refeições preparadas);
- e) Decisões administrativas e de planeamento;
- f) Composição das gamas de produtos;
- g) Comportamento ambiental e práticas de empreiteiros, sub-empreiteiros e fornecedores.

As organizações devem ser capazes de demonstrar que foram identificados os aspectos ambientais significativos associados aos seus procedimentos de selecção de fornecedores e que os impactos significativos associados a esses aspectos são tratados no âmbito do sistema de gestão. A organização deverá esforçar-se para garantir que os fornecedores e todas as pessoas que actuam em seu nome se comportam de acordo com a política ambiental da organização dentro do âmbito das actividades previstas no contrato de empreitada.

No que se refere a estes aspectos ambientais indirectos, a organização deve analisar que influência poderá ter sobre esses aspectos e que medidas poderá adoptar para reduzir o respectivo impacto.

6.4. **Significância**

A organização é responsável pela definição de critérios para avaliação da significância dos aspectos ambientais das suas actividades, produtos e serviços de forma a determinar aqueles que têm um impacto ambiental significativo. Os critérios desenvolvidos por uma organização serão abrangentes, passíveis de verificação independente, reproduzíveis e postos à disposição do público.

As considerações a ter em conta na definição dos critérios que determinam o carácter significativo dos aspectos ambientais da organização podem incluir, numa enumeração não exaustiva:

- a) Informações sobre o estado do ambiente, a fim de identificar as actividades, produtos e serviços da organização que poderão ter um impacto ambiental;
- b) Os dados existentes na organização sobre o consumo de materiais e de energia, bem como sobre os riscos ligados a descargas, resíduos e emissões;
- c) Os pontos de vista das partes interessadas;
- d) As actividades ambientais da organização sujeitas a regulamentação;
- e) As actividades relacionadas com o aprovisionamento;
- f) Concepção, desenvolvimento, fabrico, distribuição, manutenção, utilização, reutilização, reciclagem e eliminação dos produtos da organização;
- g) As actividades da organização que apresentam os custos e benefícios ambientais mais significativos.

Ao apreciar a significância dos impactos ambientais das actividades da organização, esta reflectirá não só nas condições normais de actividade, mas também nas condições de arranque e de cessação de actividade e nas condições de emergência razoavelmente previsíveis. Deverão ser tidas em conta as actividades passadas, presentes e planeadas.

ANEXO VII

LEVANTAMENTO AMBIENTAL

7.1. Generalidades

Uma organização que não tenha prestado as informações necessárias para identificar e avaliar os aspectos ambientais significativos de acordo com o disposto no Anexo VI, deverá definir a sua posição actual em matéria de ambiente através de um levantamento. O objectivo deverá ser a ponderação de todos os aspectos ambientais da organização, que constituirão a base para o estabelecimento do sistema de gestão ambiental.

7.2. Requisitos

O levantamento deve abranger cinco domínios-chave:

- a) Requisitos legislativos, regulamentares e outros a que a organização está subordinada;
 - b) Identificação de todos os aspectos ambientais com um impacto ambiental significativo nos termos do Anexo VI, qualificados e quantificados adequadamente, e compilação de um registo dos aspectos identificados como significativos;
 - c) Uma descrição dos critérios de avaliação da significância do impacto ambiental de acordo com o disposto no ponto 6.4 do Anexo VI;
 - d) Exame de todas as práticas e procedimentos de gestão ambiental existentes;
 - e) Avaliação da experiência obtida com a investigação de incidentes anteriores.
-

ANEXO VIII

INFORMAÇÕES PARA O REGISTO

Requisitos mínimos

Nome da organização:

Endereço da organização:

Pessoa a contactar:

Código de actividade NACE:

Número de trabalhadores:

Nome do verificador:

Número de acreditação:

Âmbito da acreditação:

Data da próxima declaração ambiental:

Denominação e elementos de contacto da autoridade ou autoridades de execução competente(s) de que depende a organização:

Feito em ..., em .../.../2000.

Assinatura do representante da organização

...

MATRIZ DOS DADOS

		1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	
A _{1R}	1 A1.1	0	1	0	1	1	0	1	1	1	1	0	1	0	1	1	0	1	1	0	1	0	0	1	0	0	1	0	15	
	2 A1.2	1	0	1	0	0	0	0	0	0	0	0	0	0	0	1	0	0	1	0	0	1	0	0	0	0	0	1	6	
	3 A1.3	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	1	0	0	1	0	0	0	3	
	4 A1.4	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	2	
	5 A1.5	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	1	
A _{2R}	6 SA1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	27	
	7 A2.1	0	0	0	0	0	0	1	1	0	0	0	0	1	1	0	1	1	1	1	1	0	0	0	0	0	1	0	9	
	8 A2.2	0	0	0	0	0	1	1	0	0	0	1	1	0	0	0	0	0	0	0	0	0	1	1	1	1	0	1	9	
	9 A2.3	1	1	1	0	0	0	0	0	0	1	0	0	1	0	0	1	0	0	0	0	1	0	0	0	0	0	0	7	
	10 A2.4	0	0	0	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2	
A _{3R}	11 A2.5	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	12 SA2	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	27	
	13 A3.1	0	0	0	0	0	0	1	0	0	0	0	0	0	1	0	0	1	1	0	0	0	0	0	0	0	1	0	5	
	14 A3.2	1	1	0	0	0	1	0	1	1	0	1	1	0	0	1	0	0	0	0	0	0	0	1	1	0	0	0	10	
	15 A3.3	0	0	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	1	0	0	0	1	0	0	6	
A _{4R}	16 A3.4	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	17 A3.5	0	0	0	0	1	0	0	0	0	1	0	0	1	0	0	1	0	0	0	0	1	0	0	0	1	0	0	6	
	18 SA3	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	27	
	19 A4.1	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	1	1	0	0	0	0	0	0	0	1	0	4	
	20 A4.2	1	0	0	0	0	1	1	0	1	0	1	0	1	1	0	0	0	0	0	0	0	0	1	0	1	0	0	10	
A _{5R}	21 A4.3	0	0	0	0	0	0	0	0	0	1	0	0	0	0	1	1	0	0	0	0	1	0	0	0	0	0	0	4	
	22 A4.4	0	0	1	1	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	1	1	0	0	0	0	0	0	5	
	23 A4.5	0	1	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1	0	4	
	24 SA4	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	27	
	25 A5.1	0	0	0	0	0	0	1	1	0	0	0	0	1	0	1	0	1	1	0	0	0	0	0	0	0	1	0	7	
A _{6R}	26 A5.2	0	0	0	1	0	0	0	0	1	0	1	1	0	1	0	0	0	0	1	1	1	1	0	1	0	0	1	11	
	27 A5.3	0	1	1	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	3	
	28 A5.4	1	0	0	0	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	4	
	29 A5.5	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	2	
	30 SA5	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	27	
B _{1R}	31 A6.1	0	0	0	0	0	0	0	1	1	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	1	0	4	
	32 A6.2	1	0	0	0	1	1	1	0	0	0	0	1	0	1	1	1	0	0	1	1	1	1	1	1	0	0	0	13	
	33 A6.3	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	1	1	0	0	0	0	0	1	0	0	1	5	
	34 A6.4	0	1	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2	
	35 A6.5	0	0	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	3	
B _{2R}	36 SA6	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	27	
	37 B1.1	0	0	0	0	0	0	0	0	1	0	1	0	1	1	0	0	0	0	1	0	1	1	1	0	0	1	0	9	
	38 B1.2	0	0	0	0	1	1	0	1	0	1	0	1	0	0	1	1	1	1	0	1	0	0	0	0	0	0	0	10	
	39 B1.3	1	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	3	
	40 B1.4	0	0	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	3	
B _{3,1R}	41 B1.5	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	2	
	42 SB1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	27	
	43 B2.1	0	0	0	0	1	1	0	1	1	0	1	0	0	1	1	0	0	0	0	1	0	1	1	0	0	1	0	11	
	44 B2.2	1	0	0	0	0	0	1	0	0	1	0	1	1	0	0	1	1	1	1	0	1	0	0	0	0	0	1	11	
	45 B2.3	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
B _{3,1R}	46 B2.4	0	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	3	
	47 B2.5	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	2	
	48 SB2	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	27	
	49 S	0	0	0	0	0	0	1	1	0	0	1	0	0	0	1	0	0	0	0	0	0	0	0	0	1	1	0	1	7
	50 N	1	1	1	1	1	1	0	0	1	1	0	1	1	1	0	1	1	1	1	1	1	1	1	1	0	0	1	0	20
B _{3,1R}	51 SB3	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	27	

MATRIZ DOS DADOS (CONT.)

B _{3.2R}	52	S	0	0	0	0	0	0	1	1	0	1	1	0	0	0	1	1	1	1	1	0	0	1	0	1	1	0	1	13	
	53	N	1	1	1	1	1	1	0	0	1	0	0	1	1	1	0	0	0	0	0	1	1	0	1	0	0	1	0	14	
B _{3.3R}	54	SB4	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	27	
	55	S	0	1	1	0	1	1	1	1	1	1	1	1	0	0	1	1	1	1	0	0	1	0	0	1	0	1	18		
B _{3.4R}	56	N	1	0	0	1	0	0	0	0	0	0	0	0	0	1	1	0	0	0	0	1	1	0	1	1	0	1	0	9	
	57	SB5	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	27	
B _{3.5R}	58	S	0	0	0	0	0	0	0	1	0	1	0	1	0	0	0	0	0	0	0	0	0	1	0	0	1	0	1	6	
	59	N	1	1	1	1	1	1	1	0	1	0	1	0	1	1	1	1	1	1	1	1	1	1	0	1	1	0	1	21	
C _{1.1R}	60	SB6	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	27	
	61	S	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	1	1	0	1	5	
C _{1.2R}	62	N	1	1	1	1	1	1	0	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	0	0	1	0	22	
	63	SB7	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	27	
C _{1.3R}	64	1	0	0	0	0	0	0	0	0	1	0	0	0	0	1	0	0	0	0	0	1	0	0	0	0	0	0	0	3	
	65	2	0	0	0	1	0	0	0	0	0	1	0	0	1	0	0	0	0	0	0	0	0	0	1	0	0	0	0	4	
C _{1.4R}	66	3	0	1	1	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	1	1	0	1	6	
	67	4	1	0	0	0	0	0	0	0	0	0	0	1	0	0	1	1	1	1	1	0	0	1	0	0	0	0	0	8	
C _{1.5R}	68	5	0	0	0	0	1	1	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1	6
	69	SC1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	27	
C _{1.6R}	70	1	0	0	0	0	0	0	0	0	0	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2	
	71	2	0	1	1	1	0	0	1	0	1	0	0	0	0	1	0	0	0	0	0	0	1	0	0	0	0	0	0	0	7
C _{1.7R}	72	3	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	1	1	1	1	5
	73	4	1	0	0	0	1	1	0	1	0	0	0	0	1	0	0	1	1	1	1	1	0	1	1	0	0	0	0	0	12
C _{1.8R}	74	5	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	1
	75	SC2	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	27	
C _{1.9R}	76	1	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1
	77	2	0	0	1	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	1	0	0	0	0	0	0	0	3
C _{1.10R}	78	3	1	1	0	1	0	0	1	0	1	0	0	0	1	0	0	0	0	0	0	0	0	0	0	1	0	1	1	0	9
	79	4	0	0	0	0	0	0	0	1	0	0	1	0	0	0	0	1	1	1	1	0	1	0	0	1	0	0	0	0	8
C _{1.11R}	80	5	0	0	0	0	1	1	0	0	0	0	0	1	0	0	1	0	0	0	0	0	0	1	0	0	0	0	0	1	6
	81	SC3	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	27	
C _{1.12R}	82	1	0	0	0	1	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	3
	83	2	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
C _{1.13R}	84	3	0	1	1	0	0	0	1	0	1	0	0	0	1	1	0	1	0	0	0	1	0	0	0	1	0	1	0	1	10
	85	4	1	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	1	1	1	0	1	0	0	0	1	0	0	0	7
C _{1.14R}	86	5	0	0	0	0	1	1	0	1	0	0	0	1	0	0	1	0	0	0	0	0	0	1	0	0	0	0	0	1	7
	87	SC4	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	27	
C _{1.15R}	88	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	1
	89	2	0	1	0	1	0	0	1	0	0	1	0	0	1	1	0	0	0	0	0	0	0	1	0	0	0	1	0	0	8
C _{1.16R}	90	3	1	0	0	0	0	0	0	1	0	0	1	1	0	0	0	1	0	0	0	0	0	0	0	0	1	0	1	0	7
	91	4	0	0	1	0	1	0	0	0	1	0	0	0	0	0	1	0	1	1	1	1	0	0	0	0	0	0	0	0	8
C _{1.17R}	92	5	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	1	3
	93	SC5	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	27	
C _{1.18R}	94	1	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	1	0	0	0	0	0	0	0	0	2
	95	2	0	0	1	1	0	0	1	0	0	1	0	0	1	0	0	0	0	0	0	0	0	1	1	0	0	1	0	0	8
C _{1.19R}	96	3	0	0	0	0	0	0	0	1	0	0	1	0	0	0	0	1	0	0	0	0	0	0	0	1	0	0	1	0	5
	97	4	1	1	0	0	0	1	0	0	1	0	0	1	0	0	1	0	1	1	1	0	0	0	0	1	0	0	1	11	
C _{1.20R}	98	5	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1
	99	SC6	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	27	
C _{1.21R}	100	1	0	0	0	0	0	0	0	0	0	1	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2
	101	2	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1	0	0	0	0	0	3
C _{1.22R}	102	3	1	1	1	0	0	0	0	0	1	0	0	1	1	0	0	1	0	0	0	1	0	0	1	1	1	1	1	0	12
	103	4	0	0	0	1	1	1	0	1	0	0	1	0	0	0	1	0	1	1	1	0	0	0	0	0	0	0	0	1	10
C _{1.23R}	104	5	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	105	SC7	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	27	

MATRIZ DOS DADOS (CONT.)

[illegible]

MATRIZ DOS DADOS (CONT.)

D _{1.1R}	160	S	1	1	1	1	1	1	1	1	1	0	1	1	1	0	1	1	1	1	1	1	1	1	0	0	23
	161	N	0	0	0	0	0	0	0	0	0	0	1	0	0	0	1	0	0	0	0	0	0	0	0	1	4
D _{1.2R}	162	SD1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	27
	163	S	0	1	1	0	1	1	1	0	1	0	1	0	0	0	0	1	1	1	0	1	1	1	0	1	15
	164	N	1	0	0	1	0	0	0	1	0	1	0	1	1	1	1	0	0	0	1	0	0	0	1	0	12
	165	SD2	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	27
D _{1.3R}	166	S	0	1	1	1	0	0	1	0	1	1	0	0	0	0	1	0	0	0	1	0	0	1	0	0	11
	167	N	1	0	0	0	1	1	0	1	0	0	1	1	1	1	0	1	1	1	0	1	1	0	1	0	16
D _{1.4R}	168	SD3	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	27
	169	S	1	1	0	0	1	1	0	0	1	1	0	0	0	0	1	1	0	0	1	0	0	1	0	1	12
	170	N	0	0	1	1	0	0	1	1	0	0	1	1	1	1	0	0	1	1	0	1	1	0	1	0	15
	171	SD4	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	27
D _{1.5R}	172	S	1	1	1	1	1	1	1	1	1	1	0	1	0	0	1	1	1	1	1	1	0	1	0	1	20
	173	N	0	0	0	0	0	0	0	0	0	0	1	0	1	1	0	0	0	0	0	0	0	1	0	1	7
D _{1.6R}	174	SD5	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	27
	175	S	0	1	1	1	0	0	1	0	0	0	0	1	0	0	1	1	1	1	1	0	1	1	0	0	13
	176	N	1	0	0	0	1	1	0	1	1	1	1	0	1	1	0	0	0	0	0	1	0	0	1	1	14
	177	SD6	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	27
D _{1.7R}	178	S	1	1	0	1	1	1	1	1	0	1	0	1	0	0	1	1	1	1	1	0	1	0	0	1	17
	179	N	0	0	1	0	0	0	0	0	1	0	1	0	1	1	0	0	0	0	0	1	0	1	1	0	10
	180	SD7	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	27
E _{1.1R}	181	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	1	1	4
	182	2	0	0	0	0	0	0	0	0	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2
	183	3	0	0	0	1	0	0	0	0	0	0	0	0	1	0	0	1	0	0	1	1	0	0	0	1	7
	184	4	1	1	1	0	1	1	0	0	0	0	1	1	0	0	1	1	0	0	1	0	0	0	1	0	12
	185	5	0	0	0	0	0	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2
E _{1.2R}	186	SE1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	27
	187	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	1	0	3
	188	2	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	1	0	1	0	0	3
	189	3	1	1	1	1	0	0	0	0	1	0	1	0	1	0	1	1	1	1	0	0	0	0	1	1	14
	190	4	0	0	0	0	1	1	1	1	0	0	0	1	0	0	0	0	0	0	1	0	1	0	0	0	7
E _{1.3R}	191	5	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	192	SE2	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	27
	193	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	1	1	0	0	0	0	0	4
	194	2	0	0	0	0	0	0	0	0	1	1	1	0	0	0	0	0	0	0	0	0	1	0	0	0	4
	195	3	0	0	1	0	0	0	0	0	0	0	0	0	1	0	0	1	0	0	0	0	0	1	1	1	7
E _{1.4R}	196	4	1	0	0	1	1	1	1	0	0	0	0	1	0	0	1	0	0	0	1	0	1	0	0	0	10
	197	5	0	1	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2
	198	SE3	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	27
	199	1	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	1	0	1	0	0	0	0	4
	200	2	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2
E _{1.5R}	201	3	1	0	0	1	0	0	0	1	0	1	1	1	1	0	0	0	0	0	0	0	0	1	1	1	12
	202	4	0	1	1	0	1	1	1	0	0	0	0	0	0	0	1	1	0	0	1	0	1	0	0	0	9
	203	5	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	203	SE4	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	27
	204	1	0	0	0	0	0	0	0	0	0	1	0	0	0	1	0	0	0	0	0	1	0	0	0	0	3
	205	2	1	0	0	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	4
	206	3	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	1	1	0	1	5
	207	4	0	0	1	1	0	1	1	0	0	0	0	0	1	0	1	1	1	1	1	0	1	0	0	1	12
	208	5	0	1	0	0	1	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	3
	209	SE5	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	27

MATRIZ DOS DADOS (CONT.)

E _{1.6R}	210	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	1
	211	2	0	0	0	0	0	0	0	0	1	1	0	0	1	0	0	0	0	0	1	0	0	0	1	5
	212	3	1	0	1	0	0	0	0	0	1	0	0	1	0	0	0	0	0	1	0	0	0	1	0	8
	213	4	0	1	0	1	0	1	1	0	0	0	0	0	1	0	1	1	1	1	0	0	1	1	0	11
	214	5	0	0	0	0	1	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2
SE6			1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	27
E _{1.7R}	216	1	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	1	2
	217	2	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	1	2
	218	3	1	0	0	1	0	0	0	0	1	0	0	0	1	1	0	1	1	1	0	1	0	0	1	12
	219	4	0	1	1	0	0	0	1	0	0	0	0	1	0	0	1	0	0	0	1	0	1	1	0	8
	220	5	0	0	0	0	1	1	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	3
SE7			1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	27
E _{1.8R}	222	1	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	1
	223	2	0	0	0	0	0	0	0	0	0	1	1	0	0	0	0	1	0	0	0	0	1	0	0	6
	224	3	0	0	1	0	0	0	0	0	0	0	0	0	1	0	1	0	1	1	1	1	0	1	1	11
	225	4	1	1	0	1	1	1	1	1	1	0	0	1	0	0	0	0	0	0	0	0	0	0	0	9
	226	5	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SE8			1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	27
E _{1.9R}	228	1	0	0	0	0	0	0	0	0	0	0	1	0	0	0	1	0	0	0	0	0	0	0	0	2
	229	2	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	2
	230	3	1	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	1	0	0	1	0	7
	231	4	0	0	0	1	0	0	1	1	0	0	0	1	1	0	1	1	1	1	0	1	1	0	1	12
	232	5	0	1	1	0	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	4
SE9			1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	27
E _{2.1R}	234	1	0	0	0	0	0	0	0	0	1	0	0	0	0	1	0	0	0	0	0	0	0	1	0	4
	235	2	0	1	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	1	0	3
	236	3	1	0	1	1	0	0	0	1	0	0	1	0	1	0	0	1	0	0	0	1	0	0	1	10
	237	4	0	0	0	0	1	1	1	0	0	0	0	0	0	0	1	0	1	1	1	0	1	0	0	9
	238	5	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	1
SE10			1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	27
E _{2.2R}	240	1	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	1	0	2
	241	2	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	3
	242	3	0	1	0	0	0	0	0	1	1	1	1	0	1	0	0	1	0	0	0	1	0	0	1	11
	243	4	1	0	1	0	1	1	1	0	0	0	0	0	0	0	1	0	1	1	1	0	1	0	0	10
	244	5	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	1
SE11			1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	27
E _{2.3R}	246	1	0	0	0	0	0	0	0	0	0	1	0	0	0	1	0	0	0	0	0	0	0	0	0	3
	247	2	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	1	3
	248	3	1	0	0	1	0	0	1	1	0	0	1	0	1	0	0	0	0	0	0	1	0	1	0	10
	249	4	0	1	0	0	1	1	0	0	1	0	0	0	0	0	1	0	1	1	1	0	1	0	0	9
	250	5	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	2
SE12			1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	27
E _{2.4R}	252	1	0	0	0	0	0	0	0	0	1	1	0	0	0	1	0	0	0	0	0	0	0	0	0	3
	253	2	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1
	254	3	0	0	1	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	1	0	0	1	7
	255	4	1	1	0	0	0	1	1	0	0	0	0	0	1	0	1	1	1	1	1	0	1	1	0	13
	256	5	0	0	0	0	1	0	0	1	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	3
SE13			1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	27
E _{2.5R}	258	1	0	0	0	0	0	0	0	0	0	1	0	0	0	1	0	0	0	0	0	0	0	0	0	2
	259	2	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	1	3
	260	3	0	1	1	1	0	0	0	1	1	0	1	0	0	0	0	0	1	1	1	1	0	1	0	12
	261	4	1	0	0	0	1	1	1	0	0	0	0	1	0	0	1	1	0	0	0	0	1	0	0	10
	262	5	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SE14			1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	1	27

MATRIZ DOS DADOS (CONT.)

[illegible]

MATRIZ DOS DADOS (CONT.)

[illegible]

MATRIZ DOS DADOS (CONT.)

[illegible]

MATRIZ DOS DADOS (CONT.)

[illegible]

Legenda:

A _{1R}	...	A _{6R}	-	Indicadores de Gestão Ética e Qualidade de Vida na Instituição
B _{1R}	...	B _{3,5R}	-	Indicadores de Gestão Ambiental
C _{1,1R}	...	C _{3,5R}	-	Indicadores de Participação Social Responsável
D _{1,1R}	...	D _{1,7R}	-	Indicador de Formação Socialmente Responsável
E _{1,1R}	...	E _{6,6R}	-	Indicadores de Investigação Socialmente Útil e Gestão Social do Conhecimento
F ₁	...	F ₆	-	Informação diversa referente aos indivíduos inquiridos e às Instituições
SA ₁	...	SA ₆	}	Somadas de controlo
SB ₁	...	SB ₇		
SC ₁	...	SC ₁₆		
SD ₁	...	SD ₇		
SE ₁	...	SE ₃₇		
SF ₁	...	SF ₄		

	Matriz	$\mathbf{X}_{ij}$
	Matriz	$\mathbf{Y}_{ij}$
	Matriz	$\mathbf{Z}_{ij}$

Universidade Aberta



Sistemas da Qualidade no Ensino Superior: Contributos para Modelos de Melhoria da Qualidade e Responsabilidade Social

ANEXO 9

Estudo Piloto

Eduardo Jorge Simões Ganilho

**Doutoramento em Gestão
Especialidade: Gestão da Qualidade**

2009

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1. Introdução

O estudo piloto que se apresenta a seguir surge na sequência do estabelecido no objectivo 3 (capítulo 1); objectivo que tem em vista a identificação de Indicadores de Responsabilidade Social e a concretização de um estudo piloto, utilizando estes indicadores.

O estudo piloto decorreu em Instituições pertencentes ao Sistema de Ensino Superior Português, tendo sido possível ficar como uma imagem da situação actual no que se refere à Responsabilidade Social, ainda que limitada. Futuramente, com base nessa imagem, estarão criadas as condições para uma implementação alargada desse estudo podendo haver maior fiabilidade nos resultados obtidos.

Como já foi referido, para serem socialmente responsáveis, as Instituições, além de respeitarem integralmente toda a legislação aplicável (de âmbito geral e específica), devem integrar também, na sua gestão diária, nas suas actividades de ensino e investigação, na sua missão e na sua estratégia, os princípios fundamentais da responsabilidade social: no plano ético, económico, social, ambiental¹.

2. Metodologia

Pretendeu-se abordar cinco aspectos que se consideram relevantes, já referidos anteriormente neste trabalho, e que se resumem a seguir: (i) Gestão ética e qualidade de vida na Instituição; (ii) Gestão ambiental responsável; (iii) Participação social responsável; (iv) Formação académica socialmente responsável, e; (v) Investigação socialmente útil e Gestão social do conhecimento.

Aos diversos aspectos referidos anteriormente estão associados indicadores, ou seja: (i) Indicador de Gestão ética e qualidade de vida na Instituição; (ii) Indicador de Gestão ambiental responsável; (iii) Indicador de Participação social responsável; (iv) Indicador de Formação académica socialmente responsável, e; (v) Indicador de Investigação socialmente útil e Gestão social do conhecimento.

A metodologia utilizada assentou no seguinte: (i) desenvolvimento de um inquérito por questionário, baseado nos indicadores de responsabilidade social propostos anteriormente; (ii) envio do questionário às instituições; (iii) após a recepção dos questionários respondidos, análise dos dados obtidos, e por fim; (iv) fazer algumas considerações.

¹ Quer na relação com os seus colaboradores docentes e de apoio, estudantes e fornecedores, quer na relação com todos aqueles que, de forma directa ou indirecta, são afectados pelas actividades da Instituição ou dela dependem em maior ou menor grau.

Os dados foram recolhidos a partir da aplicação de um questionário e a sua análise foi feita recorrendo à metodologia referida adiante.

Dilema da escolha da amostragem: como se sabe a amplitude de um estudo estatístico está limitada pela qualidade do processo de amostragem; operação que consiste em tomar um certo número de elementos (amostra²) no conjunto dos elementos que se pretende observar ou tratar (população³). Se a amostra for representativa⁴ de uma população bem definida, as conclusões que daí se podem tirar aplicam-se a toda a população com uma margem de incerteza que pode calcular-se com precisão, no caso das amostras aleatórias. Se a amostra não for representativa, as conclusões devem limitar-se à própria amostra e as extrapolações que daí se possam obter, poderão ser incoerentes e contestáveis.

No caso do estudo piloto realizado, recorreu-se a uma amostra ocasional, dado que, o objectivo desta investigação é essencialmente de carácter teórico, não se pretendendo por isso fazer generalizações sobre os dados empíricos recolhidos, mas apenas obter algumas reflexões sobre a viabilidade dos indicadores seleccionados da responsabilidade social.

Define-se «amostra ocasional», de acordo com D'Hainaut (1977:17) como sendo: *«uma amostra extraída da população, segundo um método de selecção orientado por razões de comodidade para o experimentador ou para o observador, e pela preocupação de não introduzir outros factores de selecção susceptíveis de fazer diferir o valor do carácter observado na amostra, relativamente ao seu valor na população».*

Uma amostra ocasional *«não é representativa da população e não podemos extrair dela quaisquer conclusões relativas à população; quando muito, podemos encontrar aí apenas indicações. Contudo, uma amostra ocasional pode convir para estudar a metodologia duma investigação».*

3. Instrumento – Questionário

O questionário (ver apêndice 1) preparado para o efeito pretendeu abordar os cinco aspectos considerados relevantes, referidos anteriormente (Gestão ética e

² Convém referir que quando nos referimos a uma amostra de uma população, isso não significa que a população seja de pessoas. Pode-se, de forma igualmente legítima, definir uma amostra de outras unidades de análise como organizações, autoridades locais, universidades, etc.

³ É conveniente salientar que por «população» entende-se um grupo de unidades de análise e não uma população no sentido em que o termo costuma ser utilizado, como por exemplo, quando se fala da população de um país. As populações podem ser populações de cidades, de grupos específicos (por exemplo, todos os Técnicos Oficiais de Contas de Portugal), de indivíduos de uma organização, ou mesmo de organizações. Quando se constitui uma amostra selecciona-se unidades de análise de uma população que está claramente definida.

⁴ Para que um método de amostragem conduza a uma amostra representativa, é preciso que todos os indivíduos da população tenham a mesma probabilidade de ser seleccionados.

qualidade de vida na Instituição, Gestão ambiental responsável, Participação social responsável, Formação académica socialmente responsável e Investigação socialmente útil e gestão social do conhecimento) de modo a obter informação sobre a percepção que têm os inquiridos das Instituições em que trabalham no âmbito da Responsabilidade Social, tendo presente que estas instituições nomeadamente as Universidades não são, como referem diversos especialistas em particular o Professor Adriano Moreira, quaisquer organizações ou serviços.

4. Recolha e Tratamento da Informação Resultante do Questionário

Neste ponto apresenta-se os dados obtidos através do questionário anteriormente referido elaborado para o efeito.

Como se sabe, os dados desorganizados não constituem informação. Informação é todo o conjunto de dados devidamente ordenados e organizados de forma a terem significado. Os dados são uma representação dos factos, conceitos ou instruções de uma maneira normalizada que se adapte à comunicação, interpretação e processamento pelo ser humano ou através de máquinas automáticas.

A figura 1 pretende mostrar, esquematicamente, o procedimento utilizado para obter a matriz dados (ver capítulo 5).

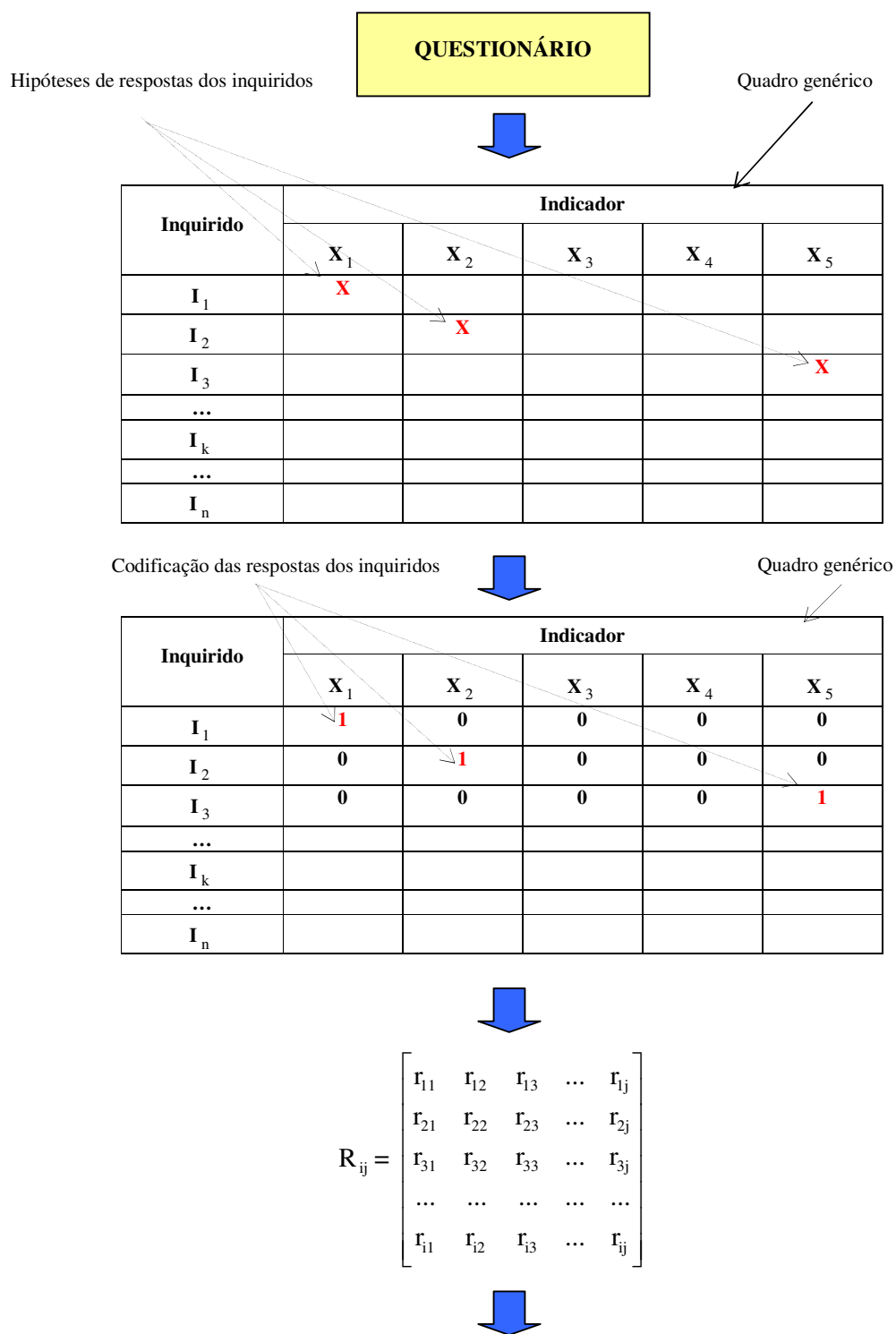


Figura 1 – Procedimento para obtenção da matriz dos dados
(continua)

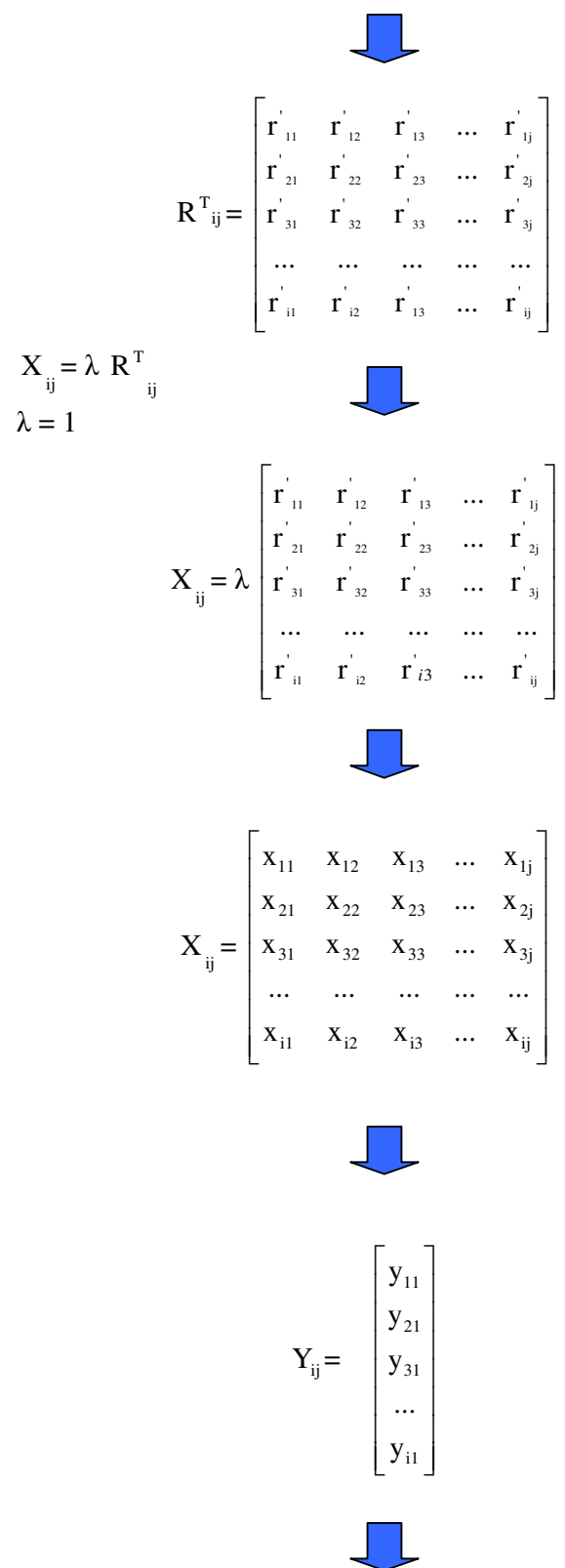


Figura 1 – Procedimento para obtenção da matriz dos dados (continuação)

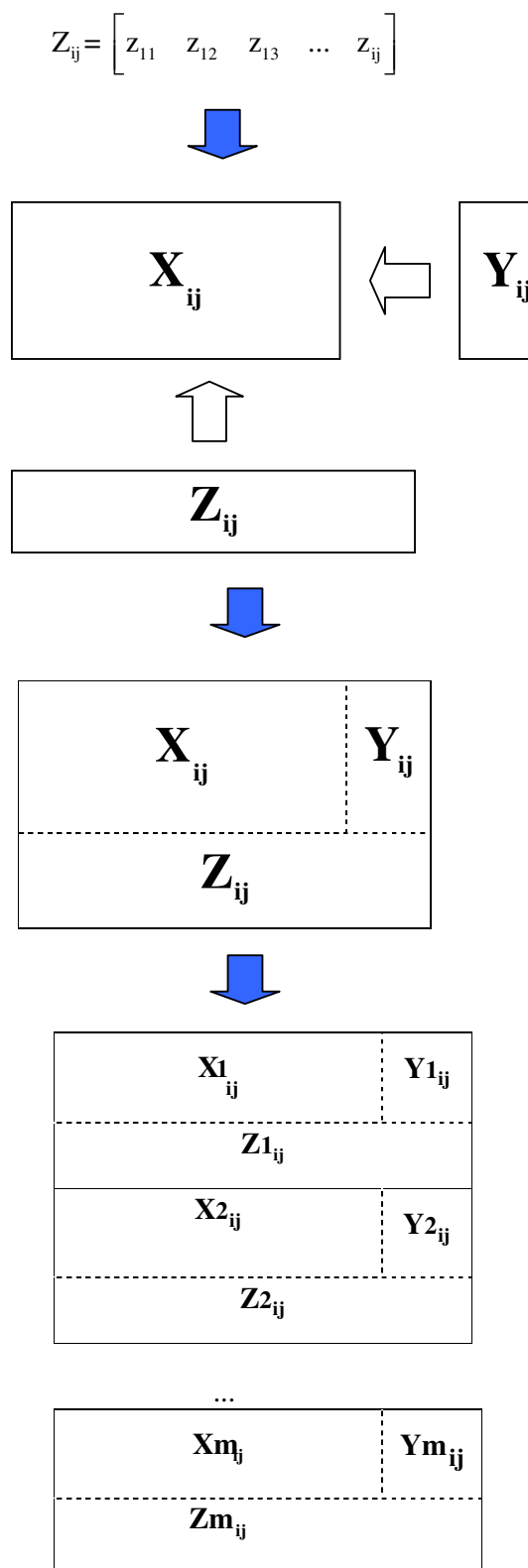


Figura 1 – Procedimento para obtenção da matriz dos dados (continuação)

5. Análise dos dados obtidos

A partir da matriz dos dados passemos à análise dos mesmos, tomando em consideração as diversas componentes objecto do estudo.

5.1 Caracterização dos inquiridos

Quanto ao sexo, 33% dos indivíduos que responderam ao questionário são do sexo feminino e 67 % são do sexo masculino, como se pode ver no quadro 1.

Quadro 1 – Distribuição dos inquiridos por sexo

Sexo	%
Feminino	33
Masculino	67

O quadro 2 mostra a distribuição etária dos inquiridos, 32% estão incluídos no escalão dos 26 aos 35 anos, 30% estão inseridos no escalão de 36 a 45 anos, 19% no escalão etário dos 46 aos 55 anos e, finalmente, os restantes 19% encontram-se no escalão de 56 a 65 anos.

Quadro 2 – Distribuição dos inquiridos por escalão etário

Escalão etário	%
26 - 35	32
36 - 45	30
46 - 55	19
56 - 65	19

Em relação ao cargo dos indivíduos que responderam ao questionário, como se pode ver no quadro 3, 47% tem um cargo docente, 26% tem um cargo relacionado com a investigação, 21% detêm um cargo de administração e os restantes 6% têm outros cargos.

Quadro 3 – Distribuição dos inquiridos por cargo

Cargo	%
Docente	47
Investigação	26
Administração	21
Outro	6

O quadro 4 mostra a distribuição dos inquiridos por tipo de instituição, 74% estão ligados ao Ensino Superior Universitário público e 26 % ao Ensino Superior Politécnico público.

Quadro 4 – Distribuição dos inquiridos por tipo de ensino

Tipo de ensino	%
Ensino Superior Universitário público	74
Ensino Superior Politécnico público	26

5.2 Indicadores de Gestão ética e qualidade de vida na Instituição

Na componente de Gestão ética e qualidade de vida na Instituição estão englobados diversos aspectos aos quais se associou o conjunto de indicadores seguinte:

- Indicador de Princípios éticos (IA_1)
- Indicador de Boas práticas laborais (IA_2)
- Indicador de Gestão participada (IA_3)
- Indicador de Competências dos colaboradores (IA_4)
- Indicador de Marketing responsável (IA_5)
- Indicador de Saúde, segurança e condições de trabalho (IA_6)

a) Indicador de Princípios éticos (IA_1)

A partir da matriz dos dados obtém-se a sub-matriz A_{IR} como se mostra a seguir.

0	1	0	1	1	0	1	1	1	1	0	1	0	1	1	0	1	0	0	1	0	0	1	0	15		
1	0	1	0	0	0	0	0	0	0	0	0	0	0	1	0	0	1	0	0	1	0	0	0	1	6	
0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	1	0	0	1	0	0	0	3	
0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	2
0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	1

Figura 2 – Sub-matriz A_{IR}

Recorrendo a estes dados elaborou-se o gráfico seguinte que pretende mostrar, de acordo com as respostas dos inquiridos, o nível ou estágio em que se encontram as Instituições no âmbito dos princípios éticos.

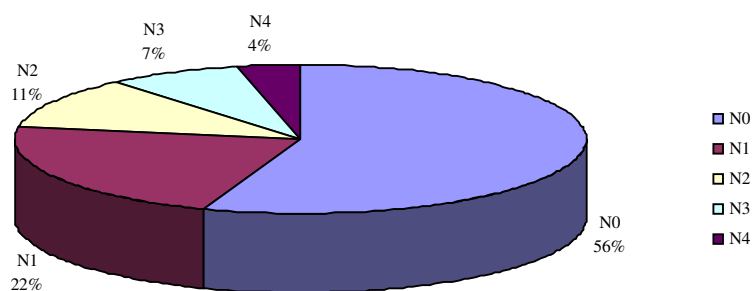


Figura 3 – Gráfico dos níveis associados ao Indicador IA_1

Observando os valores das percentagens, verifica-se que as instituições em matéria de princípios éticos encontram-se ainda num estágio inicial, ou seja, 56% no nível N0, 22% no nível N1, 11% no nível N2, 7% no nível N3 e 4% no nível N4⁵.

Isto poderá querer dizer que existe um alheamento das instituições à temática referente aos princípios éticos, nuns casos, e em outros, embora podendo haver princípios estabelecidos, estes estão pouco incorporados aos processos de trabalho e às atitudes/comportamento das pessoas.

b) Indicador de Boas práticas laborais (IA_2)

Tal como no caso anterior destaquemos a sub-matriz A_{2R} a partir da matriz dos dados, como se mostra a seguir.

0	0	0	0	0	0	0	1	1	0	0	0	0	1	1	0	1	1	1	1	0	0	0	0	1	0	9	
0	0	0	0	0	1	1	0	0	0	1	1	0	0	0	0	0	0	0	0	0	1	1	1	1	0	1	9
1	1	1	0	0	0	0	0	0	1	0	0	1	0	0	1	0	0	0	0	1	0	0	0	0	0	0	7
0	0	0	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

Figura 4 – Sub-matriz A_{2R}

⁵ No capítulo 5 foi abordado este assunto. Considerou-se cinco níveis ou estádios: nível 0, nível 1, nível 2, nível 3 e nível 4. O nível 0 corresponde a uma postura de alheamento em determinada matéria e o 4 corresponde a um nível mais evoluído.

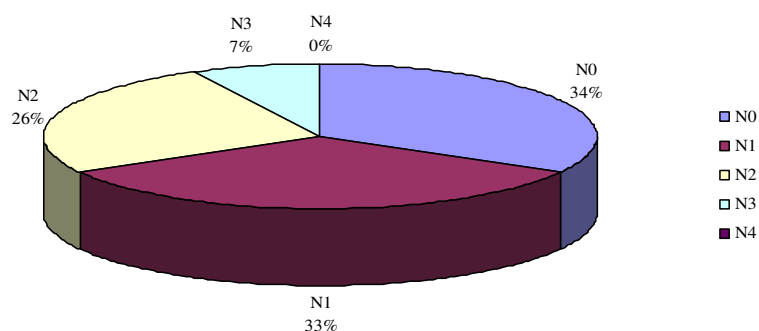


Figura 5 – Gráfico dos níveis associados ao Indicador IA_2

De acordo com o gráfico da figura 5 pode-se ver que os valores das percentagens correspondentes aos níveis N0 (34%) e N1 (33%) são semelhantes, e que existe uma proximidade em termos percentuais do nível N2 (26%). Em face destes valores poderá dizer-se que nalguns casos existe um alheamento das instituições à temática referente às boas práticas laborais. Contudo, em cerca de 33% poderão existir políticas de selecção e avaliação de fornecedores e parceiros, conhecidas pelas partes envolvidas mas baseadas apenas em factores como a qualidade, o preço e o prazo (nível 1). Em outros casos fica a ideia de que as instituições dispõem de normas de selecção e avaliação de fornecedores, que contemplam critérios e exigências relativas ao cumprimento da legislação laboral, fiscal⁶ e outra aplicável (nível 2).

c) Indicador de gestão participada (IA_3)

Recorrendo à matriz dos dados selecciona-se a sub-matriz A_{3R} , a qual se mostra a figura 6.

0	0	0	0	0	0	1	0	0	0	0	0	0	1	0	0	1	1	0	0	0	0	0	0	1	0	5
1	1	0	0	0	1	0	1	1	0	1	1	0	0	1	0	0	0	0	0	0	1	1	0	0	0	10
0	0	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	1	0	0	0	1	0	0	6
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
0	0	0	0	1	0	0	0	0	1	0	0	1	0	0	1	0	0	0	0	1	0	0	0	1	0	6

Figura 6 – Sub-matriz A_{3R}

⁶ Convém referir que no âmbito das Instituições de Ensino Superior públicas a legislação impõe um conjunto de regras na contratação de serviços, pelo que, é uma das razões das exigências relativas ao cumprimento de legislação laboral, fiscal e outra aplicável.

As percentagens mostradas no gráfico da figura 7, construído a partir da sub-matriz referida anteriormente, apontam para a existência de uma aceitação da necessidade da gestão participada – disponibilização de informação sobre a instituição, e participação activa dos colaboradores na discussão e análise da informação económico-financeira, havendo uma comunicação regular com os elementos de governo das instituições.

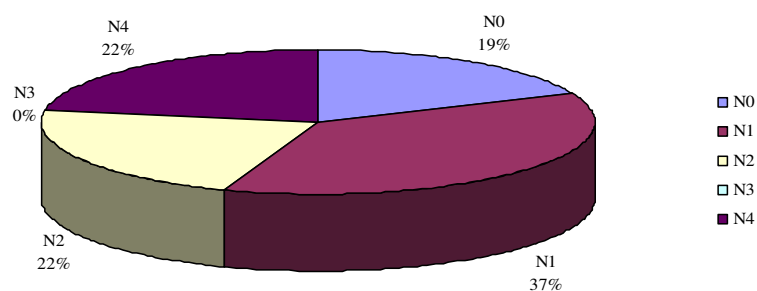


Figura 7 – Gráfico dos níveis associados ao Indicador IA_3

d) *Indicador de competências dos colaboradores (IA_4)*

Para o caso do indicador de competências dos colaboradores recorre-se também à matriz dados e selecciona-se a sub-matriz A_{4R} , que se mostra na figura 8.

0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	1	1	0	0	0	0	0	0	0	1	0	4
1	0	0	0	0	1	1	0	1	0	1	0	1	1	0	0	0	0	0	0	0	1	0	1	0	0	1	0	10
0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	1	1	0	0	0	0	1	0	0	0	0	0	0	4
0	0	1	1	0	0	0	0	0	0	0	0	1	0	0	0	0	0	1	1	0	0	0	0	0	0	0	0	5
0	1	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1	0	1	0	0	4

Figura 8 – Sub-matriz A_{4R}

O gráfico da figura 9, construído com base na sub-matriz A_{4R} , mostra que, em média, há uma preocupação com a competência dos colaboradores, pois há a promoção de actividades de treino específico, centradas no desenvolvimento de tarefas específicas para os docentes e também para os colaboradores não docentes (posicionamento em torno do nível 1).

São mantidas, embora de uma forma ténue, actividades sistemáticas de desenvolvimento e capacitação contínua, visando o aperfeiçoamento contínuo de todos

os seus colaboradores (docentes e não docentes), considerando a aplicabilidade na sua função actual, e utiliza o seu corpo docente para essa formação quando é possível.

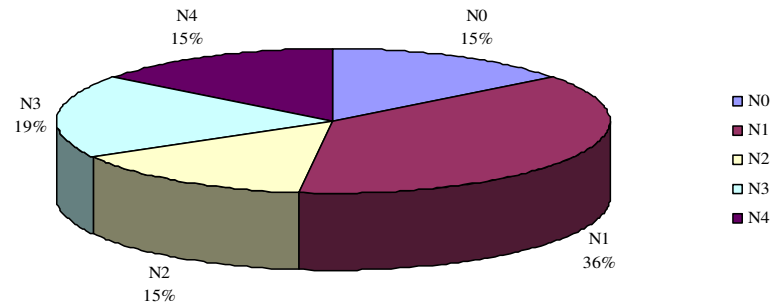


Figura 9 – Gráfico dos níveis associados ao Indicador IA_4

São oferecidas algumas bolsas de estudo ou similares em todos os níveis hierárquicos, para a aquisição de conhecimentos com impacte positivo na colocação dos seus colaboradores (docentes e não docentes), independentemente da aplicabilidade na sua função actual. É facilitada a mobilidade docente financiando a presença noutras Instituições.

e) Indicador de Marketing responsável (IA_5)

No caso do estudo do indicador de marketing responsável é como nos casos anteriores e a sub-matriz relacionada é a A_{5R} que se mostra a seguir na figura 10.

0	0	0	0	0	0	1	1	0	0	0	0	1	0	1	0	1	1	0	0	0	0	0	0	1	0	7
0	0	0	1	0	0	0	0	1	0	1	1	0	1	0	0	0	0	1	1	1	1	0	1	0	0	11
0	1	1	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	3
1	0	0	0	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	4
0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	2

Figura 10 – Sub-matriz A_{5R}

Com os dados contidos nesta sub-matriz construiu-se o gráfico representado na figura 11.

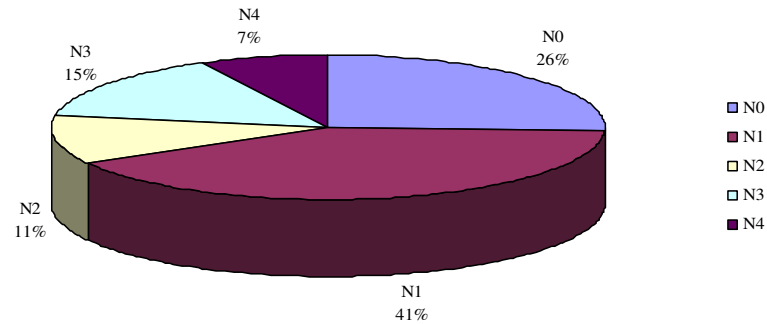


Figura 11 – Gráfico dos níveis associados ao Indicador IA_5

As percentagens mostradas no gráfico anterior indiciam que existe nas instituições uma política formal de comunicação alinhada com os seus princípios e valores, abrangendo todo o seu material de comunicação, externo e interno. São realizadas análises prévias do material publicitário para verificar a conformidade com os seus valores éticos e com a legislação em vigor (embora o valor da percentagem referente ao alheamento nesta temática seja significativo (26%), contudo o seu posicionamento gira em torno do nível 1).

f) Indicador Saúde, segurança e condições de trabalho (IA_6)

Para o estudo do Indicador Saúde, segurança e condições de trabalho a sub-matriz é a que a seguir se indica.

0	0	0	0	0	0	0	0	1	1	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	1	0	4
1	0	0	0	1	1	1	0	0	0	0	1	0	1	1	1	0	0	1	1	1	1	1	0	0	0	0	13
0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	1	1	0	0	0	0	0	1	0	0	5
0	1	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2
0	0	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	3

Figura 12 – Sub-matriz dados A_{6R}

Com estes dados pode-se construir um gráfico à semelhança dos casos anteriores o qual se mostra na figura 13.

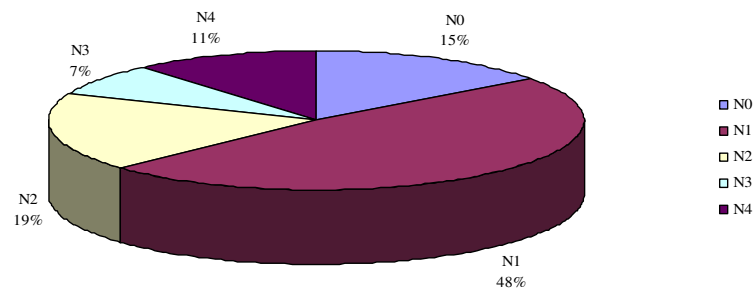


Figura 13 – Gráfico dos níveis associados ao Indicador IA_6

Em face do gráfico e das percentagens nele referidas a saúde, segurança e condições de trabalho é um assunto a que as instituições não estão totalmente alheadas, pois cumprem as obrigações legais e têm intenção de alcançar padrões de excelência nesta matéria. Contudo, o seu posicionamento situa-se em torno do nível 1.

5.3 Indicadores de Gestão Ambiental Responsável

Na componente de Gestão Ambiental Responsável englobaram-se três aspectos aos quais se associou o conjunto de indicadores seguinte:

- Indicador de Gestão Ambiental (IB_1)
- Indicador de Educação Ambiental (IB_2)
- Indicador de Atitude Ecológica (IB_3)

a) Indicador de Gestão Ambiental (IB_1)

Recorrendo à matriz dos dados seleccionou-se a sub-matriz B_{IR} cujos elementos possibilitaram a construção do gráfico da figura 15.

0	0	0	0	0	0	0	0	0	1	0	1	0	1	1	0	0	0	0	1	0	1	1	1	0	0	1	0	9
0	0	0	0	1	1	0	1	0	1	0	1	0	0	1	1	1	1	0	1	0	0	0	0	0	0	0	0	10
1	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	3
0	0	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	3
0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	2

Figura 14 - Sub-matriz dados B_{IR}

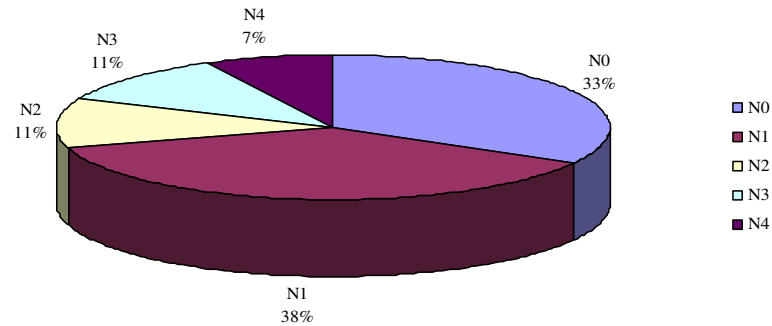


Figura 15 – Gráfico dos níveis associados ao Indicador IB_1

De acordo com o gráfico da figura 15, transparece que as instituições cumprem com os requisitos exigidos pela legislação, reconhecem quem têm um impacto ambiental resultante das suas actividades e desenvolvem programas internos de melhoria. Embora o valor da percentagem referente ao alheamento nesta matéria seja significativo (33%) o seu posicionamento situa-se em torno do nível 1.

b) Indicador de Educação Ambiental (IB_2)

Como nos casos anteriores recorrendo à matriz dos dados destacamos a sub-matriz B_{2R} a qual tem a configuração a seguir indicada.

0	0	0	0	1	1	0	1	1	0	1	0	0	1	1	0	0	0	0	1	0	1	1	0	0	1	0	11
1	0	0	0	0	0	1	0	0	1	0	1	1	0	0	1	1	1	1	0	1	0	0	0	0	0	1	11
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
0	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	3
0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	2

Figura 16 - Sub-matriz dados B_{2R}

Recorrendo a esta sub-matriz construiu-se o gráfico da figura 17.

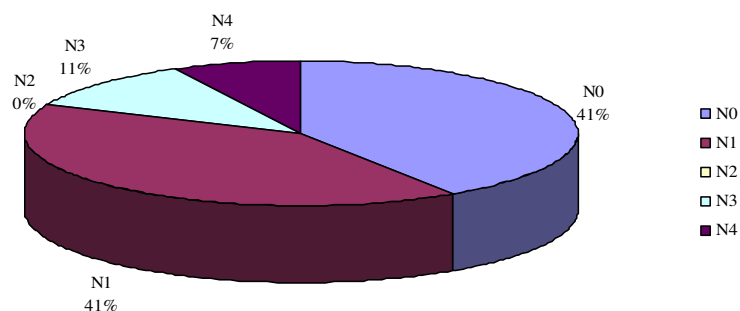


Figura 17 – Gráfico dos níveis associados ao Indicador IB_2

De acordo com o gráfico anterior, as percentagens correspondentes ao nível 0 e nível 1 são iguais (41%) e a sua soma é de 82%. Pelo que, aqui, o alheamento em relação à educação ambiental (nível 0) é partilhado com o desenvolvimento pontual de acções de educação ambiental e treino sobre esta temática para os seus colaboradores (nível 1) por parte das instituições.

c) Indicador de Atitude Ecológica (IB_3)

No que se refere ao Indicador de Atitude Ecológica este abrange cinco aspectos a saber: (i) Política de poupança de água; (ii) Poupança de energia; (iii) Política de reciclagem; (iv) Política de tratamento de resíduos, e; (v) Recurso a energias renováveis.

(i) Política de poupança de água

No caso do aspecto ligado à Política de poupança de água, recorre-se à sub-matriz $B_{3,1R}$, a qual se mostra na figura 18.

0	0	0	0	0	0	1	1	0	0	1	0	0	0	1	0	0	0	0	0	0	0	1	1	0	1	7
1	1	1	1	1	1	0	0	1	1	0	1	1	1	0	1	1	1	1	1	1	1	0	0	1	0	20

Figura 18 – Sub-matriz $B_{3,1R}$

Com os dados contidos nesta matriz poderá construir-se o gráfico da figura 19.

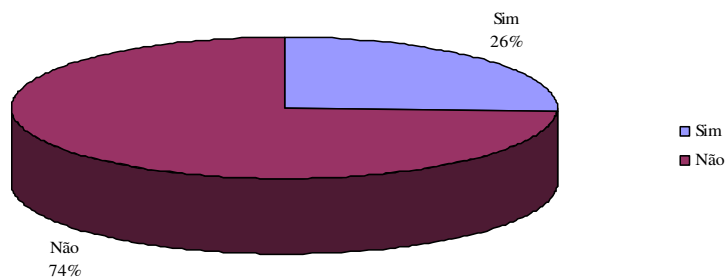


Figura 19 – Gráfico dos níveis associados ao Indicador $IB_{3(1)}$

Do gráfico anterior retira-se que, de acordo com a sensibilidade dos inquiridos, 74% manifestam que as suas instituições não têm políticas no que respeita à poupança de água.

(ii) Poupança de energia

No que se refere à Poupança de energia recorrendo à matriz dos dados pode-se retirar a sub-matriz $B_{3,2R}$ seguinte:

0	0	0	0	0	0	1	1	0	1	1	0	0	0	1	1	1	1	1	0	0	1	0	1	1	0	1	13
1	1	1	1	1	1	0	0	1	0	0	1	1	1	0	0	0	0	0	1	1	0	1	0	0	1	0	14

Figura 20 - Sub-matriz $B_{3,2R}$

Com os dados da sub-matriz $B_{3,2R}$ construiu-se o gráfico da figura 21.

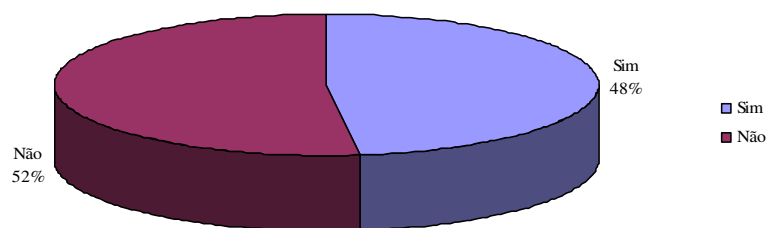


Figura 21 – Gráfico associado ao Indicador $IB_{3(2)}$

Analisando o gráfico anterior, mais de metade dos inquiridos (52%) pensam que a instituição a que estão ligados não tem uma política de poupança de energia.

(iii) Política de reciclagem

No caso da Política de reciclagem recorrendo à sub-matriz $B_{3.3R}$ a seguir indicada, construiu-se o gráfico da figura 23.

0	1	1	0	1	1	1	1	1	1	1	1	1	0	0	1	1	1	1	0	0	1	0	0	1	0	1	18
1	0	0	1	0	0	0	0	0	0	0	0	0	1	1	0	0	0	0	1	1	0	1	1	0	1	0	9

Figura 22 – Sub-matriz $B_{3.3R}$

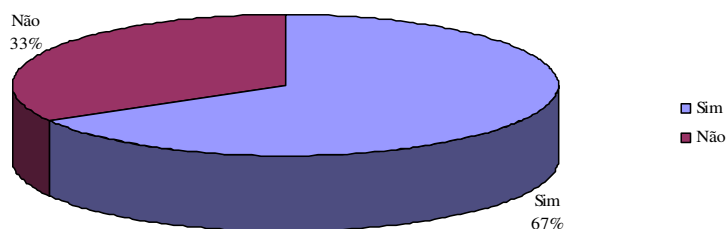


Figura 23 – Gráfico dos níveis associados ao Indicador $IB_{3(3)}$

Como se pode ver no gráfico da figura 23, no que se refere à reciclagem, 67% dos inquiridos consideram que a sua instituição possui uma política de reciclagem.

(iv) Política de tratamento de resíduos

Recorrendo à matriz dos dados pode-se retirar a sub-matriz $B_{3,4R}$ indicada na figura seguinte.

0	0	0	0	0	0	0	0	1	0	1	0	1	0	0	0	0	0	0	0	0	1	0	0	1	0	1	6
1	1	1	1	1	1	1	0	1	0	1	0	1	1	1	1	1	1	1	1	1	0	1	1	0	1	0	21

Figura 24 – Sub-matriz $B_{3,4R}$

Com estes dados construiu-se o gráfico da figura 25.

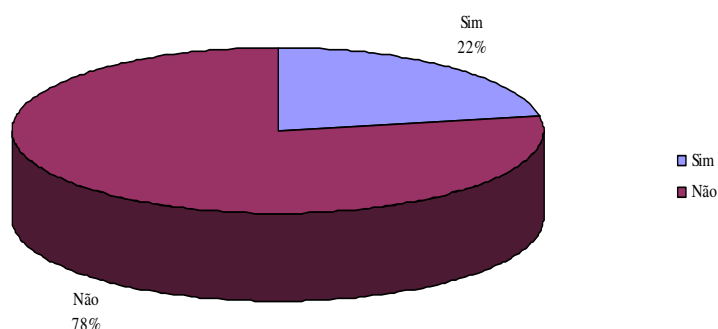


Figura 25 – Gráfico associado ao Indicador $IB_{3(4)}$

Como se pode observar no gráfico 78% dos inquiridos consideram que as suas instituições, não têm, uma política de tratamento de resíduos.

(v) Recurso a energias renováveis

Tal como nos casos anteriores recorrendo mais uma vez à matriz dos dados retira-se a sub-matriz $B_{3,5R}$ mostrada na figura 26.

0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	1	1	0	1	5
1	1	1	1	1	1	0	1	1	1	1	1	1	1	1	1	1	1	1	1	1	0	0	0	1	0	22

Figura 26 – Sub-matriz $B_{3,5R}$

Posteriormente construiu-se o gráfico da figura 27.

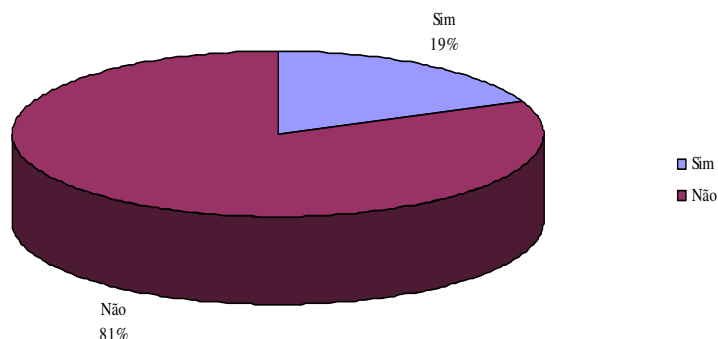


Figura 27 – Gráfico associado ao Indicador $IB_{3(5)}$

De acordo com o gráfico resultante das respostas dos inquiridos 81% considera que a sua instituição não promove o recurso a energias renováveis, como seja, por exemplo, a instalação sistemas solares para aquecimento de águas ou painéis fotovoltaicos para a produção de energia eléctrica.

5.4 Indicadores de Participação Social Responsável

No âmbito dos indicadores de Participação Social Responsável estudaram-se os três indicadores seguintes:

- Indicador de Relação da Instituição com os actores sociais (IC_1)
- Indicador de acessibilidade social (IC_2)
- Indicador de Educação para o desenvolvimento (IC_3)

Para estes indicadores estabeleceu-se uma escala de *likert*, para recolher a opinião dos inquiridos. Esta escala contém cinco posições, ou seja, posições que variam do discorda totalmente (posição 1), discorda (posição 2), não tem opinião (posição 3), concorda (posição 4) e concorda em absoluto ou totalmente (posição 5).

a) *Indicador de Relação da Instituição com os actores sociais (IC₁)*

O quadro 5 mostra a opinião dos inquiridos quando confrontados com uma dada afirmação.

A primeira coluna do quadro é atribuída uma designação, que digamos, corresponde a um dado sub-indicador C_{1.1} a C_{1.7}. A segunda coluna apresenta o assunto proposto ao inquirido, a terceira apresenta as várias hipóteses de escolha e a quarta coluna refere-se à percentagem de respostas dos indivíduos inquiridos em cada opção.

Estes valores das percentagens foram obtidos a partir da matriz dos dados: sub-matrizes C_{1.1R} a C_{1.7R}.

Quadro 5 – Indicador de relação da Instituição com os actores sociais

I	Descrição	Opinião	%
C _{1.1}	A Instituição preocupa-se com os problemas sociais e tem uma política institucional activa como agente activo do desenvolvimento humano sustentável do país.	Concordam totalmente	22
		Concordam	30
		Não têm opinião	22
		Discordam	15
		Discordam totalmente	11
C _{1.2}	A Instituição mantém relações estreitas com actores-chave do desenvolvimento social (Estado, ONG's, organizações internacionais, organizações empresariais).	Concordam totalmente	4
		Concordam	44
		Não têm opinião	19
		Discordam	26
		Discordam totalmente	7
C _{1.3}	A Instituição organiza foros e actividades nos quais participam pessoas e personalidades externas à Instituição (uma política de Instituição aberta à sociedade).	Concordam totalmente	22
		Concordam	30
		Não têm opinião	33
		Discordam	11
		Discordam totalmente	4
C _{1.4}	A Instituição participa na discussão de temas de desenvolvimento a nível local, nacional, internacional.	Concordam totalmente	26
		Concordam	26
		Não têm opinião	37
		Discordam	0
		Discordam totalmente	11

C _{1.5}	A Instituição mantém um contacto com os seus diplomados a fim de obter informação estratégica sobre o mercado laboral e social do país.	Concordam totalmente	11
		Concordam	30
		Não têm opinião	26
		Discordam	29
		Discordam totalmente	4
C _{1.6}	A Instituição investiga as necessidades sociais não satisfeitas relacionadas com as especialidades que oferece.	Concordam totalmente	4
		Concordam	40
		Não têm opinião	19
		Discordam	30
		Discordam totalmente	7
C _{1.7}	A Instituição participa em redes de desenvolvimento com outras Instituições para a resolução de problemas sociais.	Concordam totalmente	0
		Concordam	37
		Não têm opinião	45
		Discordam	11
		Discordam totalmente	7

(i) A partir da sub-matriz $C_{1,1R}$ a seguir indicada elaborou-se o gráfico da figura 29⁷.

Figura 28 – Sub-matriz $C_{L,R}$

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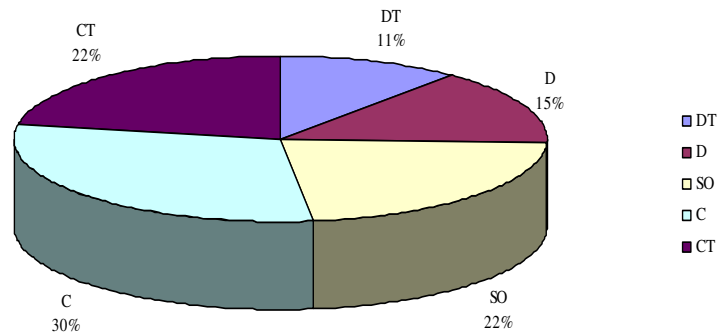


Figura 29 – Gráfico associado ao Indicador $IC_{1(1)}$

De acordo com este gráfico poderá dizer-se que em relação aos indivíduos inquiridos:

22%	Concordam totalmente	Que a instituição se preocupa com os problemas sociais e tem uma política institucional activa como agente activo do desenvolvimento humano sustentável do país.
30%	Concordam	
22%	Não têm opinião	
15%	Discordam	
11%	Discordam totalmente	

(ii) Recorrendo à sub-matriz $C_{1.2R}$ da figura 30 elaborou-se o gráfico da figura 31.

[illegible]

Figura 30 – Sub-matriz $C_{1,2R}$

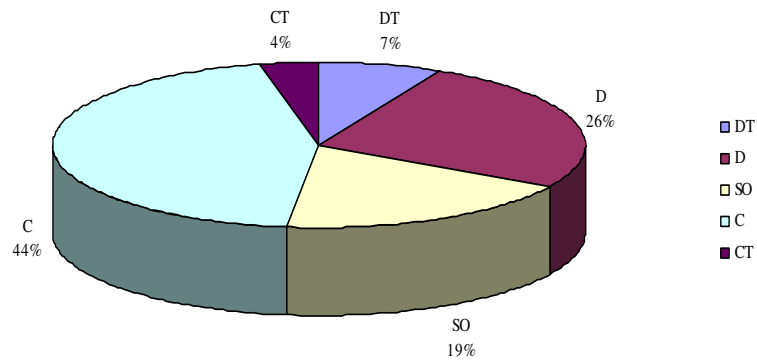


Figura 31 – Gráfico associado ao Indicador $IC_{1(2)}$

A partir do gráfico anterior os indivíduos inquiridos manifestaram-se da forma seguinte:

4%	Concordam totalmente	Que a instituição mantém relações estreitas com actores-chave do desenvolvimento social (Estado, ONG's, organizações internacionais, organizações empresariais).
44%	Concordam	
19%	Não têm opinião	
26%	Discordam	
7%	Discordam totalmente	

(iii) A partir da matriz dos dados, com a sub-matriz $C_{1.3R}$ mostrada na figura 32 construiu-se o gráfico da figura 33.

[illegible]

Figura 32 – Sub-Matriz $C_{1.3R}$

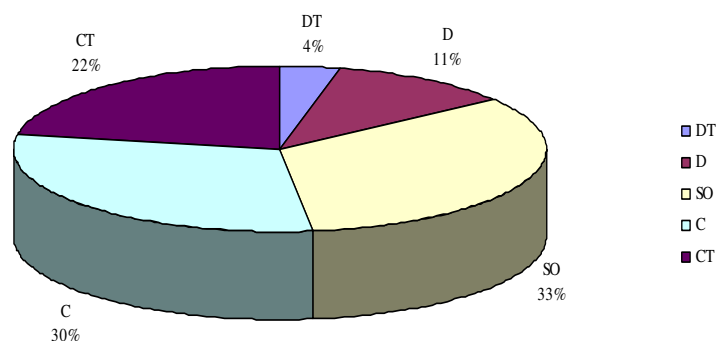


Figura 33 – Gráfico associado ao Indicador $IC_{1(3)}$

De acordo com o gráfico anterior podemos dizer que os indivíduos inquiridos se pronunciaram da seguinte forma:

22%	Concordam totalmente	Que a instituição organiza foros e actividades nos quais participam pessoas e personalidades externas à instituição (uma política aberta à sociedade).
30%	Concordam	
33%	Não têm opinião	
11%	Discordam	
4%	Discordam totalmente	

(iv) Da mesma maneira que foi feito para os casos anteriores recorreu-se à matriz dos dados, e a partir da sub-matriz $C_{1,4R}$, figura 34, construiu-se o gráfico da figura 35.

0	0	0	1	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	3
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
0	1	1	0	0	0	1	0	1	0	0	0	1	1	0	1	0	0	0	1	0	0	1	0	1	10
1	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	1	1	1	0	1	0	0	0	1	7
0	0	0	0	1	1	0	1	0	0	0	1	0	0	1	0	0	0	0	0	1	0	0	0	1	7

Figura 34 – Sub-matriz $C_{1,4R}$

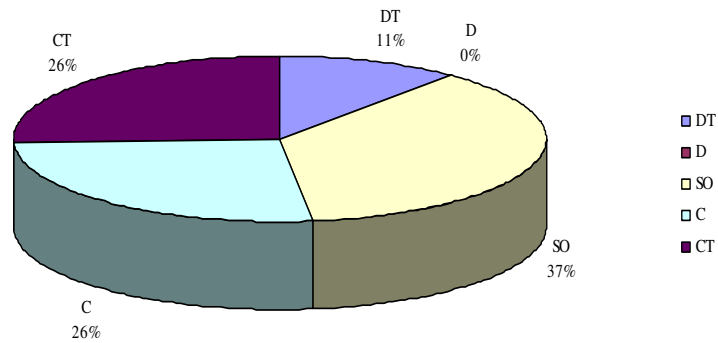


Figura 35 – Gráfico associado ao Indicador $IC_{1(4)}$

O gráfico da figura 35 mostra que os indivíduos inquiridos responderam da forma seguinte:

26%	Concordam totalmente	Que a instituição participa na discussão de temas de desenvolvimento a nível local, nacional, internacional.
26%	Concordam	
37%	Não têm opinião	
0%	Discordam	
11%	Discordam totalmente	

(v) A partir dos valores da sub-matriz $C_{1.5R}$, figura 36, foi construído o gráfico da figura 37.

[illegible]

Figura 36 – Sub-matriz $C_{1.5R}$

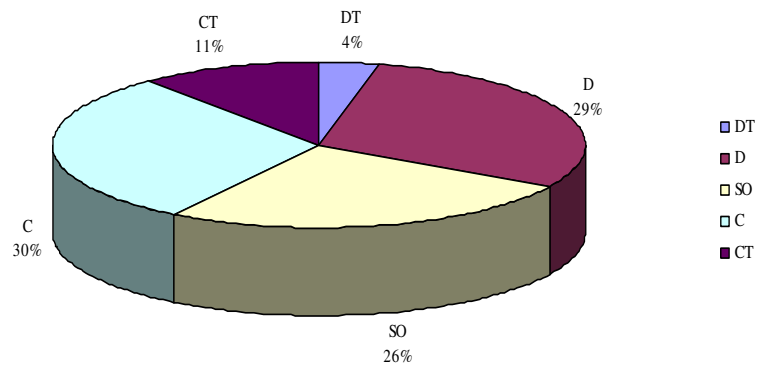


Figura 37 – Gráfico associado ao Indicador $IC_{1(5)}$

De acordo com o gráfico anterior poderá dizer-se que os indivíduos inquiridos têm a seguinte opinião:

11%	Concordam totalmente	Que a instituição mantém um contacto com os seus diplomados a fim de obter informação estratégica sobre o mercado laboral e social do país.
30%	Concordam	
26%	Não têm opinião	
29%	Discordam	
4%	Discordam totalmente	

(vi) A partir da sub-matriz $C_{1.6R}$, figura 38, construiu-se o gráfico 39.

[illegible]

Figura 38 – Sub-matriz $C_{1.6R}$



4%	Concordam totalmente	Que a instituição investiga as necessidades sociais não satisfeitas relacionadas com as especialidades que oferece.
40%	Concordam	
19%	Não têm opinião	
30%	Discordam	
7%	Discordam totalmente	

[illegible]

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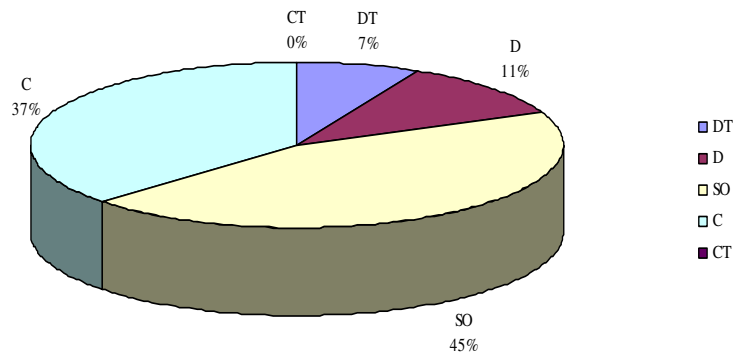


Figura 41 – Gráfico associado ao Indicador $IC_{1(7)}$

Da leitura do gráfico anterior poderá dizer-se que:

0%	Concordam totalmente	Que a instituição participa em redes de desenvolvimento com outras Instituições para a resolução de problemas sociais.
37%	Concordam	
45%	Não têm opinião	
11%	Discordam	
7%	Discordam totalmente	

b) Indicador de acessibilidade social (IC_2)

Este indicador é tratado como o anterior.

O quadro 6 mostra a opinião dos inquiridos quando confrontados com uma dada afirmação.

A primeira coluna do quadro é atribuída uma designação, que digamos, corresponde a um dado sub-indicador $C_{2,1}$ a $C_{2,4}$. A segunda coluna apresenta o assunto proposto ao inquirido, a terceira apresenta as várias hipóteses de escolha e a quarta coluna refere-se à percentagem de respostas dos indivíduos inquiridos em cada opção.

Estes valores das percentagens foram obtidos a partir da matriz dos dados: sub-matrizes $C_{2,1R}$ a $C_{2,4R}$.

Quadro 6 – Indicador de relação acessibilidade social da Instituição

I	Descrição	Opinião	%
C _{2.1}	A Instituição caracteriza-se por oferecer aos docentes e estudantes oportunidades de interacção com diversos sectores sociais.	Concordam totalmente	15
		Concordam	52
		Não têm opinião	15
		Discordam	11
		Discordam totalmente	7
C _{2.2}	A Instituição no seu <i>campus</i> possibilita a presença de pessoas de diferentes condições sociais, religião, etc.	Concordam totalmente	30
		Concordam	48
		Não têm opinião	11
		Discordam	11
		Discordam totalmente	0
C _{2.3}	A Instituição mantém uma quota para estudantes de baixos recursos com bolsas.	Concordam totalmente	4
		Concordam	40
		Não têm opinião	30
		Discordam	11
		Discordam totalmente	15
C _{2.4}	A Instituição Está aberta às necessidades sociais de formação e propõe programas de ensino de livre acesso para públicos com baixos recursos económicos.	Concordam totalmente	7
		Concordam	22
		Não têm opinião	37
		Discordam	15
		Discordam totalmente	19

Analisemos de seguida a acessibilidade social de acordo com os resultados do quadro 6.

(i) A partir da sub-matriz $C_{2.1R}$ a seguir indicada elaborou-se o gráfico da figura 43.

0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	2
0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	1	1	0	0	0	0	0	0	3
0	0	0	0	0	0	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	0	0	0	1	0	1	0	0	0	4
1	1	1	0	1	1	1	0	1	0	0	1	0	0	0	1	1	1	1	0	1	0	0	0	1	0	0	0	0	0	14
0	0	0	1	0	0	0	1	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	4

Figura 42 – Sub-matriz $C_{2.1R}$

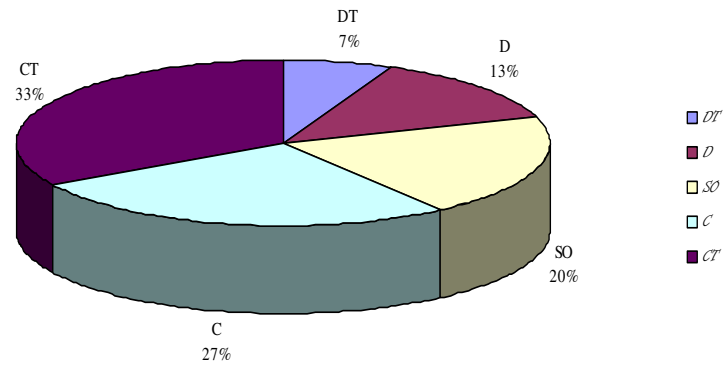


Figura 43 - Gráfico associado ao Indicador $IC_{2(1)}$

De acordo com o gráfico anterior poderá dizer-se que em relação aos indivíduos inquiridos:

33%	Concordam totalmente	Que a Instituição caracteriza-se por oferecer aos docentes e estudantes oportunidades de interacção com diversos sectores sociais.
27%	Concordam	
20%	Não têm opinião	
13%	Discordam	
7%	Discordam totalmente	

(ii) A partir da sub-matriz $C_{2,2R}$ a seguir indicada elaborou-se o gráfico da figura 45.

0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
0	0	0	0	0	0	0	0	0	0	1	0	0	1	1	0	0	0	0	0	0	0	0	0	0	0	0
1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1	0
0	1	0	0	0	1	0	0	1	0	1	0	0	0	1	0	1	1	1	1	0	1	1	0	1	0	1
0	0	1	1	1	0	1	1	0	0	0	1	0	0	0	1	0	0	0	0	1	0	0	0	0	0	0

Figura 44 – Sub-matriz $C_{2.2R}$

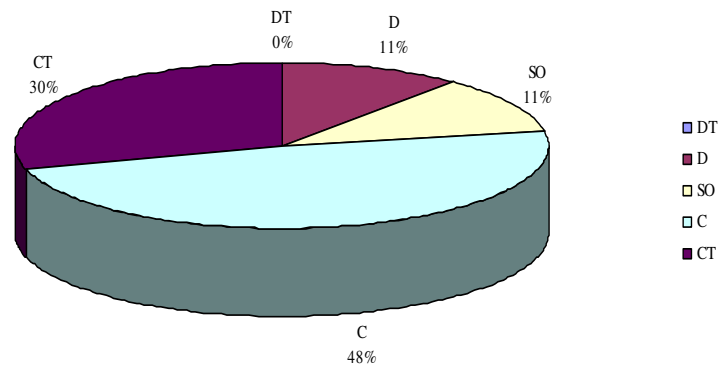


Figura 45 - Gráfico associado ao Indicador $IC_{2(2)}$

Em face do gráfico anterior poderá dizer-se que em relação aos indivíduos inquiridos:

30%	Concordam totalmente	Que a Instituição no seu <i>campus</i> possibilita a presença de pessoas de diferentes condições sociais, religião, etc.
48%	Concordam	
11%	Não têm opinião	
11%	Discordam	
0%	Discordam totalmente	

(iii) A partir da sub-matriz $C_{2,3R}$, representada na figura 46 a seguir indicada, elaborou-se o gráfico da figura 47.

[illegible]

Figura 46 – Sub-matriz $C_{2.3R}$



4%	Concordam totalmente
40%	Concordam
30%	Não têm opinião
11%	Discordam
15%	Discordam totalmente

(iii) A partir da sub-matriz $C_{2,4R}$, representada na figura 48, elaborou-se o gráfico da figura 49.

Figura 48 – Sub-matriz $C_{2.4R}$

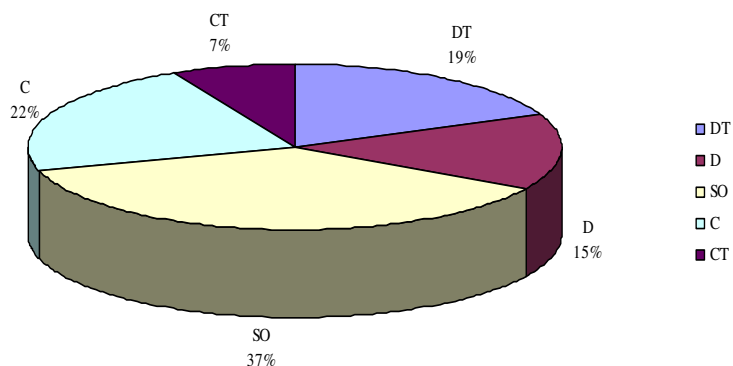


Figura 49 - Gráfico associado ao Indicador $IC_{2(4)}$

A partir do gráfico anterior poderá dizer-se que em relação aos indivíduos inquiridos:

7%	Concordam totalmente
22%	Concordam
37%	Não têm opinião
15%	Discordam
19%	Discordam totalmente

Que a Instituição está aberta às necessidades sociais de formação e propõe programas de ensino de livre acesso para públicos com baixos recursos económicos.

c) Indicador de Educação para o desenvolvimento (IC_3)

O quadro 7 mostra a opinião dos inquiridos quando confrontados com uma dada afirmação numa perspectiva de Educação para o desenvolvimento.

A primeira coluna do quadro é atribuída uma designação, que digamos, corresponde a um dado sub-indicador $C_{3,2}$ a $C_{3,5}$. A segunda coluna apresenta o assunto proposto ao inquirido, a terceira apresenta as várias hipóteses de escolha e a quarta coluna refere-se à percentagem de respostas dos indivíduos inquiridos em cada opção.

Estes valores das percentagens, tal como no caso anterior, foram obtidos com os valores da matriz dos dados: sub-matrizes $C_{3,1R}$ a $C_{3,5R}$.

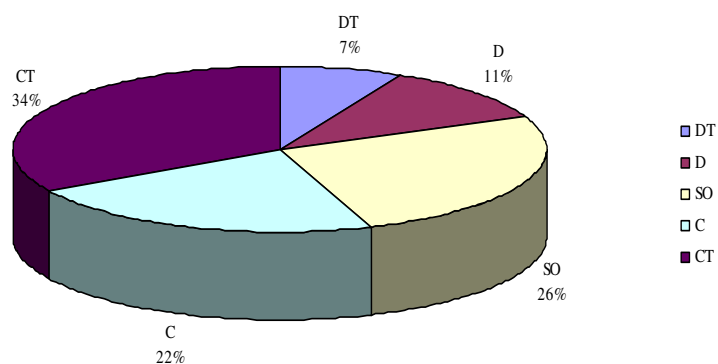
Quadro 7 - Indicador de Educação para o desenvolvimento

I	Descrição	Opinião	%
C _{3.1}	A Instituição fomenta a abordagem e a aprendizagem sobre a realidade social e os problemas do desenvolvimento.	Concordam totalmente	34
		Concordam	22
		Não têm opinião	26
		Discordam	11
		Discordam totalmente	11
C _{3.2}	A Instituição envolve-se na resolução dos problemas sociais do país.	Concordam totalmente	19
		Concordam	26
		Não têm opinião	25
		Discordam	15
		Discordam totalmente	15
C _{3.3}	Os estudantes da Instituição participam (pelo menos uma vez) em projectos de desenvolvimento sustentado antes de se diplomarem.	Concordam totalmente	11
		Concordam	22
		Não têm opinião	49
		Discordam	11
		Discordam totalmente	7
C _{3.4}	A Instituição incute uma sensibilidade ambiental, e uma postura para a minimização dos impactes ambientais nos seus estudantes no seu quotidiano.	Concordam totalmente	11
		Concordam	15
		Não têm opinião	41
		Discordam	22
		Discordam totalmente	11
C _{3.5}	A Instituição incute uma sensibilidade social para o desenvolvimento sustentável.	Concordam totalmente	19
		Concordam	33
		Não têm opinião	19
		Discordam	22
		Discordam totalmente	7

A seguir, tal como foi feito para o caso anterior, vamos proceder à análise da educação para o desenvolvimento de acordo com os resultados do quadro 7.

(i) Recorrendo à sub-matriz C_{3.1R} a seguir representada elabore-se o gráfico da figura 51.

0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	1	0	0	0	0	0	0	0	2
0	0	0	0	0	0	0	0	0	1	1	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	3
0	0	0	0	0	0	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	1	0	1	1	1	1	0	7
0	0	1	0	0	1	1	0	0	0	0	0	0	0	0	0	1	0	1	1	0	0	0	0	0	0	0	0	6
1	1	0	1	1	0	0	1	0	0	0	1	0	0	1	0	1	0	0	0	0	0	0	0	0	0	0	1	9

Figura 50 – Sub-matriz $C_{3,1R}$ Figura 51 - Gráfico associado ao Indicador $IC_{3(1)}$

A partir do gráfico anterior poderá dizer-se que em relação aos indivíduos inquiridos:

34% Concordam totalmente
 22% Concordam
 26% Não têm opinião
 11% Discordam
 7% Discordam totalmente

Que a Instituição fomenta a abordagem e a aprendizagem sobre a realidade social e os problemas do desenvolvimento.

(ii) A partir da sub-matriz $C_{3,2R}$, representada na figura 52, elaborou-se o gráfico da figura 53.

0	0	0	0	0	0	0	0	0	1	0	0	0	1	0	0	0	0	1	0	0	1	0	0	0	0	4
0	0	1	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	1	0	1	0	0	0	4
0	0	0	1	0	0	1	0	1	0	1	0	0	0	0	0	0	0	0	1	0	0	0	1	1	0	7
1	0	0	0	1	1	0	1	0	0	0	1	0	0	0	0	1	1	0	0	0	0	0	0	0	0	7
0	1	0	0	0	0	0	0	0	0	0	0	0	0	1	1	0	0	1	0	0	0	0	0	0	1	5

Figura 52 – Sub-matriz $C_{3,2R}$

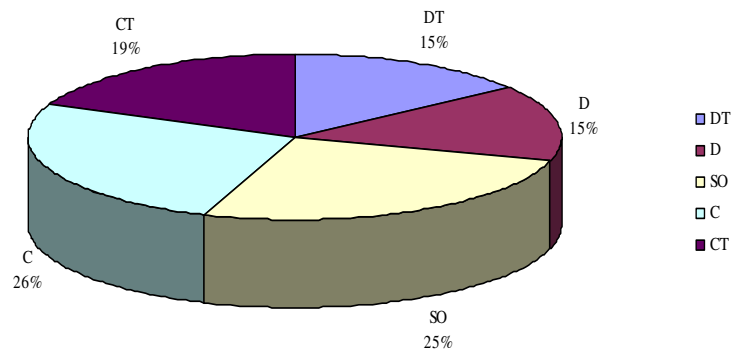


Figura 53 - Gráfico associado ao Indicador $IC_{3(2)}$

De acordo com o gráfico anterior poderá dizer-se que os indivíduos inquiridos manifestaram a seguinte opinião:

19%	Concordam totalmente	Que a Instituição se envolve na resolução dos problemas sociais do país.
26%	Concordam	
25%	Não têm opinião	
15%	Discordam	
15%	Discordam totalmente	

(iii) A partir da sub-matriz $C_{3,3R}$, representada na figura 54, construiu-se o gráfico da figura 55.

[illegible]

Figura 54 – Sub-matriz $C_{3.3R}$

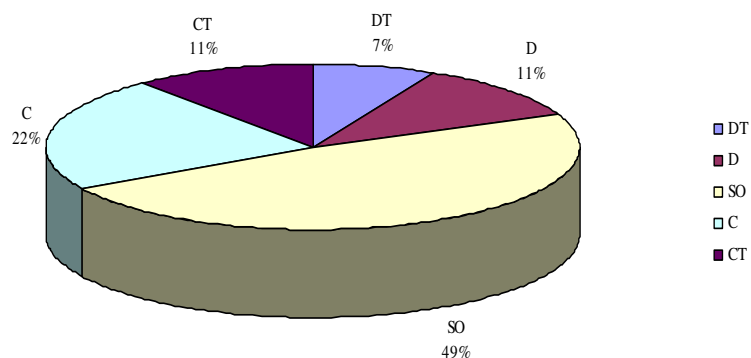


Figura 55 - Gráfico associado ao Indicador $IC_{3(3)}$

Aqui, e a partir do gráfico anterior poderá dizer-se que em relação aos indivíduos inquiridos:

11%	Concordam totalmente	Que os estudantes da Instituição participam (pelo menos uma vez) em projectos de desenvolvimento sustentado antes de se diplomarem.
22%	Concordam	
49%	Não têm opinião	
11%	Discordam	
7%	Discordam totalmente	

(iv) A partir da sub-matriz $C_{3,4R}$, representada a seguir, construiu-se o gráfico da figura 57.

[illegible]

Figura 56 – Sub-matriz $C_{3,4R}$

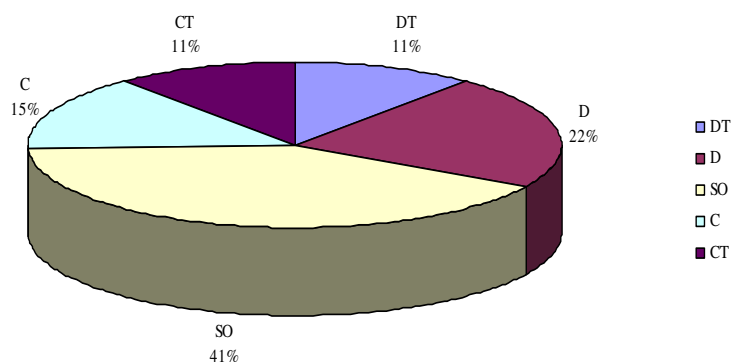


Figura 57 - Gráfico associado ao Indicador $IC_{3(4)}$

Em face do gráfico anterior poderá dizer-se que os indivíduos inquiridos manifestaram a opinião seguinte:

11%	Concordam totalmente	Que a Instituição incute uma sensibilidade ambiental, e uma postura para a minimização dos impactes ambientais nos seus estudantes no seu quotidiano.
15%	Concordam	
41%	Não têm opinião	
22%	Discordam	
11%	Discordam totalmente	

(v) A partir da sub-matriz $C_{3,5R}$, representada a seguir, construiu-se o gráfico da figura 59.

0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	1	0	0	0	0	2
0	0	0	0	0	0	0	0	0	1	1	0	0	1	0	0	0	0	0	0	1	1	1	0	0	0	6
0	0	0	0	0	1	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	1	1	1	5
0	0	1	0	1	0	1	0	0	0	0	1	0	0	1	1	1	1	1	0	0	0	0	0	0	0	9
1	1	0	1	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	5

Figura 58 – Sub-matriz $C_{3,5R}$

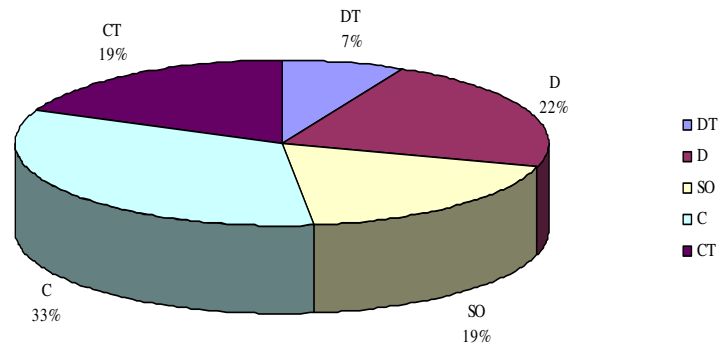


Figura 59 - Gráfico associado ao Indicador $IC_{3(5)}$

De acordo com o gráfico anterior poderá dizer-se que os indivíduos inquiridos responderam da seguinte maneira:

19%	Concordam totalmente	Que a Instituição incute uma sensibilidade ambiental, e uma postura para a minimização dos impactes ambientais nos seus estudantes no seu quotidiano.
33%	Concordam	
19%	Não têm opinião	
22%	Discordam	
7%	Discordam totalmente	

5.5 Indicador de Formação Académica Socialmente Responsável

Este indicador é um indicador binário – Sim ou Não. Passemos à análise das opiniões dos indivíduos inquiridos.

Recorrendo à matriz dos dados, seleccionou-se o conjunto de sub-matrizes $D_{1,1R}$ a $D_{1,7R}$ conforme mostra a figura 60. As duas primeiras linhas correspondem a $D_{1,1R}$, a terceira e quarta linhas referem-se a $D_{1,2R}$ e assim sucessivamente até 13.^a e 14.^a linhas que correspondem a $D_{1,7R}$.

1	1	1	1	1	1	1	1	1	0	1	1	1	0	1	1	1	1	1	1	1	1	1	1	0	0	23	
0	0	0	0	0	0	0	0	0	1	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	1	1	4
0	1	1	0	1	1	1	0	1	0	1	0	0	0	0	1	1	1	0	1	1	0	1	1	0	0	15	
1	0	0	1	0	0	0	1	0	1	0	1	1	1	1	0	0	0	1	0	0	0	1	0	0	1	1	12
0	1	1	1	0	0	1	0	1	1	0	0	0	0	1	0	0	0	1	0	0	1	0	0	1	0	1	11
1	0	0	0	1	1	0	1	0	0	1	1	1	1	0	1	1	1	0	1	1	0	1	1	0	1	0	16
1	1	0	0	1	1	0	0	1	1	0	0	0	0	1	1	0	0	1	0	0	1	0	1	1	0	0	12
0	0	1	1	0	0	1	1	0	0	1	1	1	1	0	0	1	1	0	1	1	0	1	0	0	1	1	15
1	1	1	1	1	1	1	1	1	1	0	1	0	0	1	1	1	1	1	1	0	1	0	1	1	0	0	20
0	0	0	0	0	0	0	0	0	0	1	0	1	1	0	0	0	0	0	0	1	0	1	0	0	1	1	7
0	1	1	1	0	0	1	0	0	0	0	1	0	0	1	1	1	1	1	0	1	1	0	0	1	0	0	13
1	0	0	0	1	1	0	1	1	1	1	0	1	1	0	0	0	0	0	1	0	0	1	1	0	1	1	14
1	1	0	1	1	1	1	1	0	1	0	1	0	0	1	1	1	1	1	0	1	0	0	1	1	0	0	17
0	0	1	0	0	0	0	0	1	0	1	0	1	1	0	0	0	0	0	1	0	1	1	0	0	1	1	10

Figura 60 – Matriz correspondente ao conjunto das sub-matrizes $D_{1.1R}$ a $D_{1.7R}$

A partir das sub-matrizes $D_{1.1R}$ a $D_{1.7R}$ construíram-se os gráficos das figuras 61 a 67.

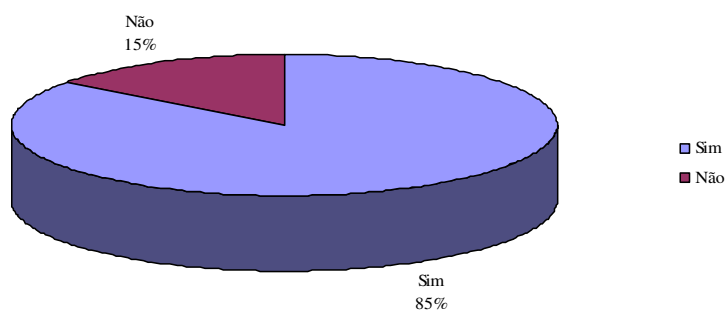
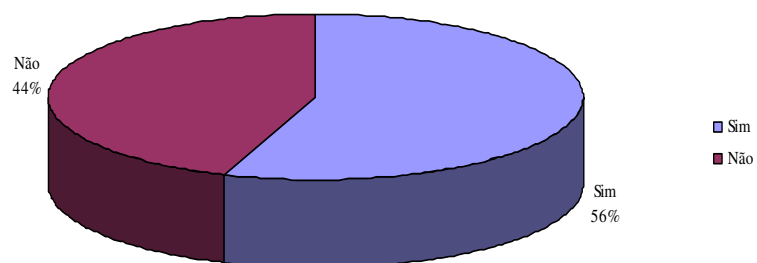
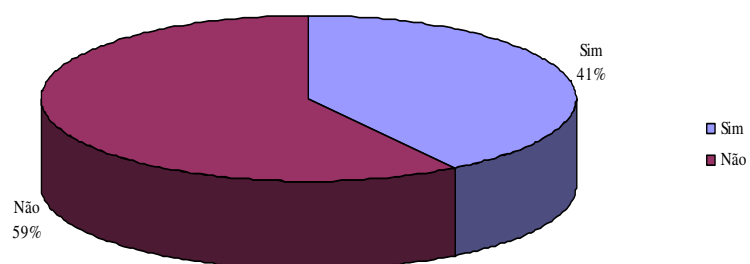
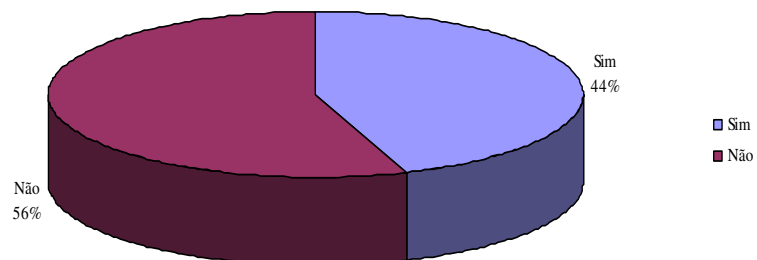
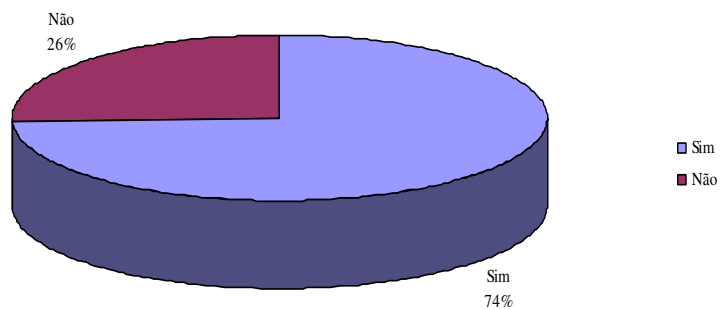
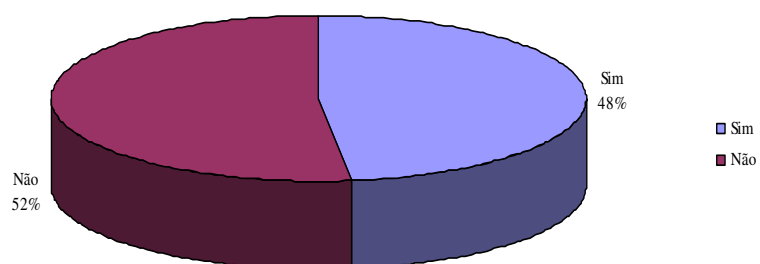
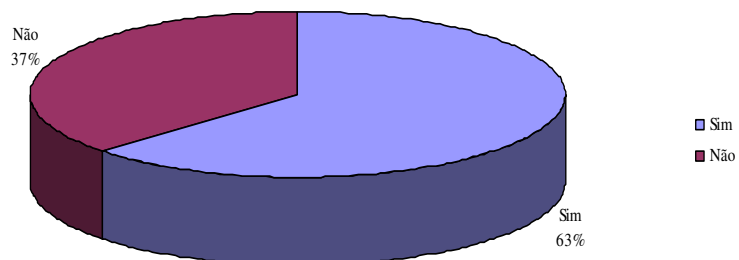


Figura 61 - Gráfico associado ao Indicador $ID_{(1)}$

Figura 62 - Gráfico associado ao Indicador ID₍₂₎Figura 63 - Gráfico associado ao Indicador ID₍₃₎Figura 64 - Gráfico associado ao Indicador ID₍₄₎

Figura 65 - Gráfico associado ao Indicador ID₍₅₎Figura 66 - Gráfico associado ao Indicador ID₍₆₎Figura 67 - Gráfico associado ao Indicador ID₍₇₎

A partir dos gráficos anteriormente referidos elaborou-se o quadro 8.

Quadro 8 – Quadro resumo referente ao Indicador de Formação Académica Socialmente Responsável

	D _{1.1}	D _{1.2}	D _{1.3}	D _{1.4}	D _{1.5}	D _{1.6}	D _{1.7}
Sim [%]	85	56	41	44	74	48	63
Não [%]	15	44	59	56	26	52	37

No âmbito da formação académica socialmente responsável e de acordo com o quadro 8:

- 85% dos indivíduos inquiridos pensam que os estudantes abordam matérias relacionadas com Ética, Responsabilidade Social e Desenvolvimento Sustentado. Pelo contrário 15% pensa que não;
- 56% dos indivíduos inquiridos pensam que os estudantes participam nalgum projecto de desenvolvimento em colaboração com outros actores não universitários para a resolução de problemas sociais, como parte dos estudos, recorrendo aos seus conhecimentos, aferindo a sua atitude, e investigando para produzir novos conhecimentos. Pensam o contrário 44%;
- 41% dos indivíduos inquiridos pensam que os estudantes colaboram em algum projecto social ou ambiental directamente relacionado com a Instituição, para resolução de um problema concreto da mesma. Pelo contrário 59% pensa que não;
- 44% dos indivíduos inquiridos pensam que os estudantes trabalham em grupo com estudantes de outras especialidades, reconhecendo assim a necessidade de haver várias abordagens diferentes para ser possível a compreensão de algo ou resolver um problema complexo de modo inteligente. Não concordam 56% dos inquiridos;
- 74% dos indivíduos inquiridos pensam que os estudantes são sensíveis aos problemas sociais e ambientais e sabem o que fazer para participar na sua resolução. Pelo contrário 26% pensa que não;

- 48% dos indivíduos inquiridos pensam que os estudantes têm uma formação integral. Pelo contrário 52% pensam que não;
- 63% dos indivíduos inquiridos pensam que os estudantes compreendem o que é o Desenvolvimento Humano Sustentável (conhecem os objectivos da Declaração do Milénio). Pensam o contrário 37%.

5.6 Indicadores de Investigação Socialmente Útil e Gestão Social do Conhecimento

No âmbito dos indicadores de Investigação Socialmente Útil e Gestão Social do Conhecimento estudaram-se os seis indicadores seguintes:

- Produção de conhecimento
- Qualidade e pertinência social do conhecimento a Instituição
- Gestão social do conhecimento
- Transdisciplinaridade e investigação
- Ligação entre investigação e ensino
- Ética da ciência

Para estes indicadores estabeleceu-se uma escala de *likert*, para recolher a opinião dos inquiridos, tal como nos indicadores de Participação Social Responsável. Esta escala contém cinco posições, ou seja, posições que variam do discorda totalmente (posição 1), discorda (posição 2), não tem opinião (posição 3), concorda (posição 4) e concorda em absoluto ou totalmente (posição 5).

a) Indicador de Produção de conhecimento

O quadro 9 mostra a opinião dos inquiridos quando confrontados com uma dada afirmação.

A primeira coluna do quadro é atribuída uma designação, que digamos, corresponde a um dado sub-indicador $E_{1,1}$ a $E_{1,9}$. A segunda coluna apresenta o assunto proposto ao inquirido, a terceira apresenta as várias hipóteses de escolha e a quarta coluna refere-se à percentagem de respostas dos indivíduos inquiridos em cada opção.

Estes valores das percentagens foram obtidos a partir da matriz dos dados: sub-matrizes $E_{1,1R}$ a $E_{1,9R}$.

Quadro 9 – Indicador de Produção de conhecimento

I	Descrição	Opinião	%
E _{1.1}	A Instituição possui linhas de investigação orientadas para a resolução de problemas da agenda do desenvolvimento sustentável.	Concordam totalmente	22
		Concordam	30
		Não têm opinião	22
		Discordam	15
		Discordam totalmente	11
E _{1.2}	A Instituição estabelece os temas de investigação após a consulta aos interesses dos grupos envolvidos.	Concordam totalmente	0
		Concordam	26
		Não têm opinião	52
		Discordam	11
		Discordam totalmente	11
E _{1.3}	A Instituição promove a participação dos diversos departamentos nos projectos de investigação multidisciplinar.	Concordam totalmente	7
		Concordam	37
		Não têm opinião	26
		Discordam	15
		Discordam totalmente	15
E _{1.4}	A Instituição promove uma sensibilidade intercultural no diálogo dos investigadores com a comunidade para a definição e seguimento do processo de investigação.	Concordam totalmente	0
		Concordam	33
		Não têm opinião	45
		Discordam	7
		Discordam totalmente	15
E _{1.5}	A Instituição durante a investigação disponibiliza processos de consulta com os utilizadores dos resultados, através de entrevistas, reuniões ou outras formas (Incentiva o desenvolvimento de formas novas e contínuas de diálogo entre os investigadores e outros agentes sociais).	Concordam totalmente	11
		Concordam	44
		Não têm opinião	19
		Discordam	15
		Discordam totalmente	11

Quadro 9 - Indicador de Educação para o desenvolvimento (continuação)

E _{1.6}	A Instituição permite aos envolvidos na investigação debater na sua avaliação final (resultados da investigação).	Concordam totalmente	7
		Concordam	40
		Não têm opinião	30
		Discordam	19
		Discordam totalmente	4
E _{1.7}	A Instituição tem sempre presente o princípio da incerteza do conhecimento.	Concordam totalmente	11
		Concordam	30
		Não têm opinião	45
		Discordam	7
		Discordam totalmente	7
E _{1.8}	A Instituição realiza os trabalhos de investigação alinhados com as grandes preocupações dos cidadãos e decisores, como por exemplo, a protecção do ambiente, a segurança dos alimentos e dos produtos químicos ou a segurança nuclear.	Concordam totalmente	0
		Concordam	33
		Não têm opinião	41
		Discordam	22
		Discordam totalmente	4
E _{1.9}	A Instituição proporciona perspectivas de desenvolvimento de carreira favoráveis e uma imagem positiva da profissão de investigador.	Concordam totalmente	15
		Concordam	45
		Não têm opinião	26
		Discordam	7
		Discordam totalmente	7

Analisemos de seguida o conteúdo do quadro 9.

(i) A partir da sub-matriz E_{1.1R} a seguir indicada elaborou-se o gráfico da figura

69⁸.

0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	1	1	0	0	0	1	4	
0	0	0	0	0	0	0	0	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2	
0	0	0	1	0	0	0	0	0	0	0	0	1	0	0	1	0	0	1	1	0	0	0	1	0	1	7	
1	1	1	0	1	1	0	0	0	0	1	1	0	0	1	0	1	1	0	0	1	0	0	0	1	0	0	12
0	0	0	0	0	0	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2	

Figura 68 - Sub-matriz E_{1.1R}

⁸ Neste gráfico e nos que se seguem, enquanto nada for dito em contrário, as letras CT, C, SO, D e DT correspondem a: (i) CT – concorda totalmente; (ii) C – concorda; (iii) SO – sem opinião; (iv) D – discorda e (v) DT – discorda totalmente.

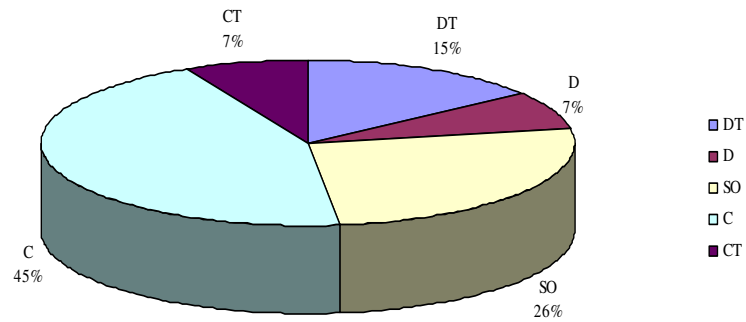


Figura 69 - Gráfico associado ao Indicador $IE_{1(1)}$

Com base no gráfico da figura 69, pode-se dizer que os indivíduos inquiridos se manifestaram da seguinte forma:

7%	Concordam totalmente	Que a Instituição possui linhas de investigação orientadas para a resolução de problemas da agenda do desenvolvimento sustentável.
45%	Concordam	
26%	Não têm opinião	
7%	Discordam	
15%	Discordam totalmente	

(ii) A partir da sub-matriz $E_{1,2R}$ a seguir indicada elaborou-se o gráfico da figura 71.

0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	1	0	0	0	1	3
0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	1	0	1	0	0	0	0	0	3
1	1	1	1	0	0	0	0	1	0	1	0	1	0	1	1	1	1	0	0	0	0	0	1	1	1	0	14	
0	0	0	0	1	1	1	1	0	0	0	1	0	0	0	0	0	1	0	1	0	0	0	0	0	0	0	7	
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	

Figura 70 - Gráfico associado ao Indicador $IE_{1(2)}$

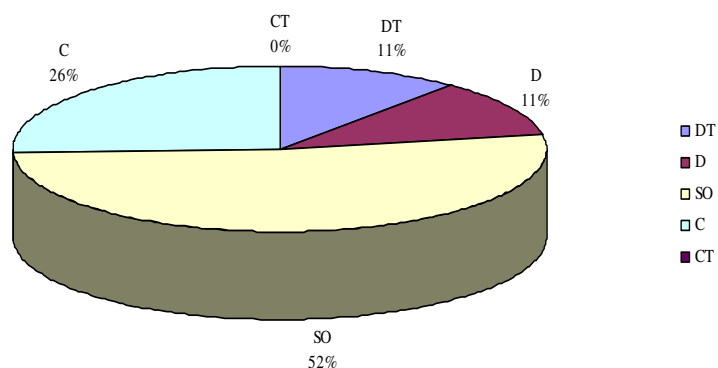


Figura 71 - Gráfico associado ao Indicador $IE_{1(2)}$

Através do gráfico anterior, pode-se observar que os indivíduos inquiridos têm a opinião seguinte:

0%	Concordam totalmente
26%	Concordam
52%	Não têm opinião
11%	Discordam
11%	Discordam totalmente

Que a Instituição estabelece os temas de investigação após a consulta aos interesses dos grupos envolvidos.

(iii) A partir da sub-matriz $E_{1.3R}$ a seguir indicada elaborou-se o gráfico da figura 73.

0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	1	1	0	0	0	0	0	0	0	0	1	4
0	0	0	0	0	0	0	0	1	1	1	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	4
0	0	1	0	0	0	0	0	0	0	0	0	1	0	0	1	0	0	0	0	0	1	1	1	0	1	0	7	
1	0	0	1	1	1	1	0	0	0	0	1	0	0	1	0	0	0	1	0	1	0	0	0	1	0	0	10	
0	1	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2	

Figura 72 – Sub-matriz $E_{1.3R}$

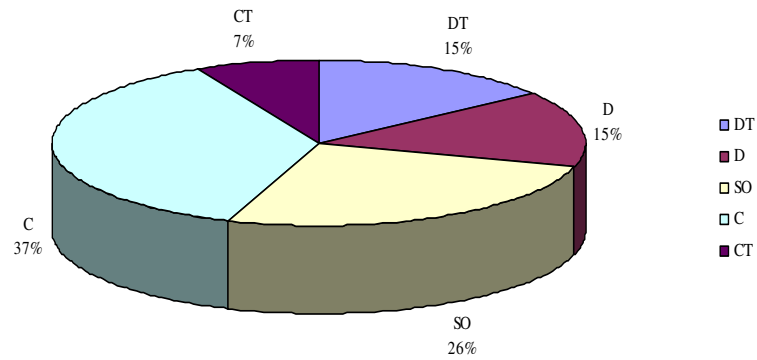


Figura 73 - Gráfico associado ao Indicador $IE_{1(3)}$

O gráfico anterior mostra que, o entendimento dos indivíduos inquiridos sobre esta temática se distribui da seguinte forma:

7%	Concordam totalmente	Que a Instituição promove a participação dos diversos departamentos nos projectos de investigação multidisciplinar.
37%	Concordam	
26%	Não têm opinião	
15%	Discordam	
15%	Discordam totalmente	

(iv) A partir da sub-matriz $E_{1,4R}$ a seguir indicada elaborou-se o gráfico da figura 75.

0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	1	0	1	0	0	0	0	0	0	0	1	4
0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	2
1	0	0	1	0	0	0	1	0	1	1	1	1	0	0	0	0	0	0	0	0	1	1	1	1	1	1	0	12	
0	1	1	0	1	1	1	0	0	0	0	0	0	0	1	1	0	0	1	0	1	0	0	0	0	0	0	0	9	
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	

Figura 74 - Sub-matriz $E_{1,4R}$

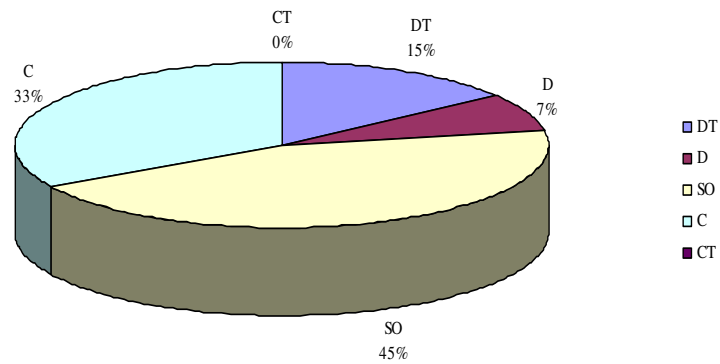


Figura 75 - Gráfico associado ao Indicador $IE_{1(4)}$

A opinião dos indivíduos inquiridos como mostra o gráfico anterior, é a seguinte:

0%	Concordam totalmente	Que a Instituição promove uma sensibilidade intercultural no diálogo dos investigadores com a comunidade para a definição e seguimento do processo de investigação.
33%	Concordam	
45%	Não têm opinião	
7%	Discordam	
15%	Discordam totalmente	

(v) A partir da sub-matriz $E_{1.5R}$ a seguir indicada elaborou-se o gráfico da figura 77.

[illegible]

Figura 76 - Sub-matriz $E_{1.5R}$

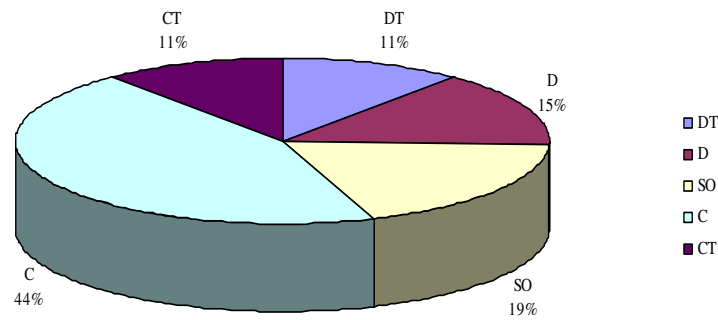


Figura 77 - Gráfico associado ao Indicador $IE_{1(5)}$

Como se pode ver através do gráfico anterior a opinião dos indivíduos inquiridos é a seguinte:

11%	Concordam totalmente	Que a Instituição durante a investigação disponibiliza processos de consulta com os utilizadores dos resultados, através de entrevistas, reuniões ou outras formas (Incentiva o desenvolvimento de formas novas e contínuas de diálogo entre os investigadores e outros agentes sociais).
44%	Concordam	
19%	Não têm opinião	
15%	Discordam	
11%	Discordam totalmente	

(vi) A partir da sub-matriz $E_{1.6R}$ a seguir indicada elaborou-se o gráfico da figura 79.

0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	1	
0	0	0	0	0	0	0	0	0	0	1	1	0	0	1	0	0	0	0	0	1	0	0	0	1	0	0	5
1	0	1	0	0	0	0	0	1	0	0	1	0	0	0	0	0	0	1	0	0	0	1	0	1	1	0	8
0	1	0	1	0	1	1	0	0	0	0	0	1	0	1	1	1	1	0	0	1	1	0	0	0	0	0	11
0	0	0	0	1	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2

Figura 78 – Sub-matriz $E_{1.6R}$

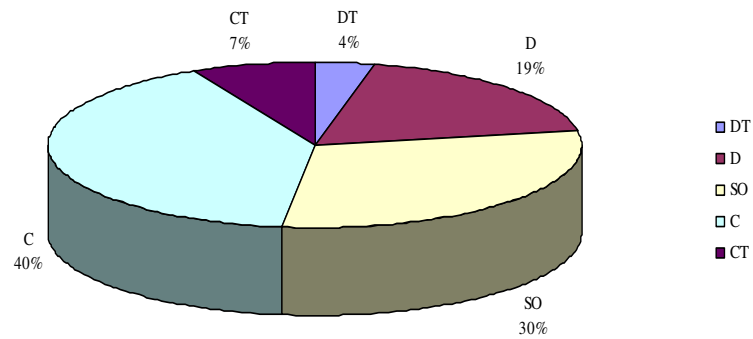


Figura 79 - Gráfico associado ao Indicador $IE_{1(6)}$

Neste ponto e como se pode ver no gráfico anterior os indivíduos inquiridos manifestaram-se do seguinte modo:

7%	Concordam totalmente	Que a Instituição permite aos envolvidos na investigação debater na sua avaliação final (resultados da investigação).
40%	Concordam	
30%	Não têm opinião	
19%	Discordam	
4%	Discordam totalmente	

(vii) A partir da sub-matriz $E_{1.7R}$ a seguir indicada elaborou-se o gráfico da figura 81.

0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	2	
0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	2
1	0	0	1	0	0	0	0	1	0	0	0	1	1	0	1	1	1	0	1	0	0	0	1	1	1	0	12	
0	1	1	0	0	0	1	0	0	0	0	1	0	0	1	0	0	0	1	0	1	1	0	0	0	0	0	8	
0	0	0	0	1	1	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	3	

Figura 80 – Sub-matriz $E_{1.7R}$

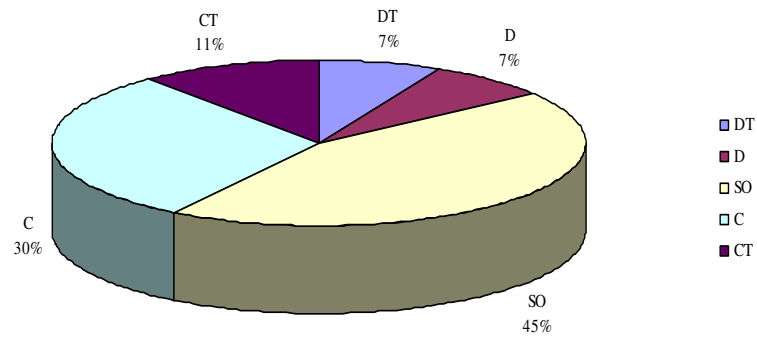


Figura 81 - Gráfico associado ao Indicador $IE_{1(7)}$

Tal como em casos anteriores, os indivíduos inquiridos, como se pode ver no gráfico anterior, manifestaram-se da seguinte maneira:

11%	Concordam totalmente	Que a Instituição tem sempre presente o princípio da incerteza do conhecimento.
30%	Concordam	
45%	Não têm opinião	
7%	Discordam	
7%	Discordam totalmente	

(viii) A partir da sub-matriz $E_{1.8R}$ a seguir indicada elaborou-se o gráfico da figura 83.

[illegible]

Figura 82 – Sub-matriz $E_{1.8R}$

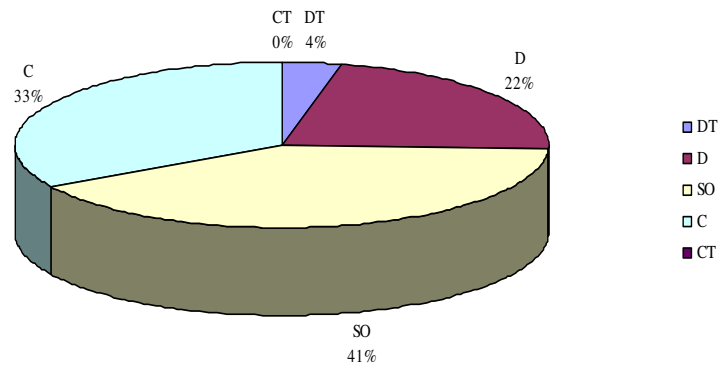


Figura 83 - Gráfico associado ao Indicador $IE_{1(8)}$

Aqui, numa perspectiva da realização dos trabalhos de investigação alinhados com as grandes preocupações dos cidadãos e decisores os inquiridos manifestaram-se da maneira seguinte:

0%	Concordam totalmente	Que a Instituição realiza os trabalhos de investigação alinhados com as grandes preocupações dos cidadãos e decisores, como por exemplo, a protecção do ambiente, a segurança dos alimentos e dos produtos químicos ou a segurança nuclear.
33%	Concordam	
41%	Não têm opinião	
22%	Discordam	
4%	Discordam totalmente	

(ix) A partir da sub-matriz $E_{1,9R}$ a seguir indicada elaborou-se o gráfico da figura 85.

[illegible]

Figura 84 – Sub-matriz $E_{1.9R}$

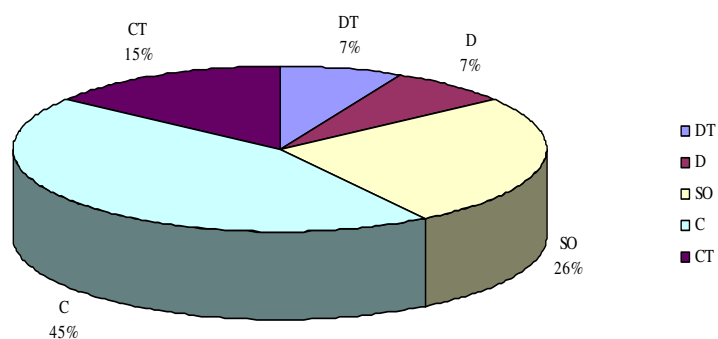


Figura 85 - Gráfico associado ao Indicador $IE_{1(9)}$

De acordo com os valores das percentagens mostradas no gráfico anterior a opinião dos indivíduos inquiridos reparte-se da seguinte forma:

15%	Concordam totalmente	A Instituição proporciona perspectivas de desenvolvimento de carreira favoráveis e uma imagem positiva da profissão de investigador.
45%	Concordam	
26%	Não têm opinião	
7%	Discordam	
7%	Discordam totalmente	

b) Indicador de Qualidade e pertinência social do conhecimento a Instituição

O quadro 10 mostra a opinião dos inquiridos quando confrontados com uma dada afirmação.

A primeira coluna do quadro é atribuída uma designação, que digamos, como vimos noutro quadro atrás, corresponde a um dado sub-indicador $E_{2.1}$ a $E_{2.6}$. A segunda coluna apresenta o assunto proposto ao inquirido, a terceira apresenta as várias hipóteses de escolha e a quarta coluna refere-se à percentagem de respostas dos indivíduos inquiridos em cada opção.

Estes valores das percentagens foram obtidos a partir da matriz dos dados: sub-matrizes $E_{2.1R}$ a $E_{2.6R}$.

Quadro 10 - Indicador de Qualidade e pertinência social do conhecimento

I	Descrição	Opinião	%
E _{2.1}	A Instituição dispõe de instrumentos de avaliação da qualidade, recorrendo a normas internacionais.	Concordam totalmente	4
		Concordam	33
		Não têm opinião	37
		Discordam	11
		Discordam totalmente	15
E _{2.2}	A Instituição Baseia-se em políticas de conhecimento definidas pela qualidade e pertinência social.	Concordam totalmente	4
		Concordam	37
		Não têm opinião	41
		Discordam	11
		Discordam totalmente	7
E _{2.3}	A Instituição estabelece alianças e sinergias com outros actores (organizações empresariais, Governo, etc.) para elaborar políticas de conhecimento, linhas de investigação e áreas de formação adequadas aos requisitos sociais.	Concordam totalmente	7
		Concordam	33
		Não têm opinião	38
		Discordam	11
		Discordam totalmente	11
E _{2.4}	A Instituição baseia-se em programas de apoio à ciência e tecnologia, para o seguimento das políticas públicas assim como a identificação e análise dos grandes temas da sociedade.	Concordam totalmente	11
		Concordam	48
		Não têm opinião	26
		Discordam	4
		Discordam totalmente	11
E _{2.5}	A Instituição dispõe de sistemas de promoção de investigação socialmente útil.	Concordam totalmente	0
		Concordam	37
		Não têm opinião	45
		Discordam	11
		Discordam totalmente	7
E _{2.6}	A Instituição intensifica a adaptação das actividades e política de investigação às necessidades da sociedade e toma em consideração as consequências sociais do progresso científico e tecnológico.	Concordam totalmente	11
		Concordam	26
		Não têm opinião	45
		Discordam	7
		Discordam totalmente	11

Passemos à análise dos dados obtidos a partir do questionário no que se refere à qualidade e pertinência do conhecimento.

(i) A partir da sub-matriz $E_{2.1R}$ a seguir indicada elaborou-se o gráfico da figura 87⁹.

0	0	0	0	0	0	0	0	0	1	0	0	0	0	1	0	0	0	0	0	0	0	1	0	0	0	1	4
0	1	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	3
1	0	1	1	0	0	0	1	0	0	1	0	1	0	0	1	0	0	0	1	0	0	0	1	0	1	0	10
0	0	0	0	1	1	1	0	0	0	0	0	0	0	1	0	1	1	1	0	1	0	0	0	1	0	0	9
0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1

Figura 86 - Sub-matriz $E_{1.1R}$

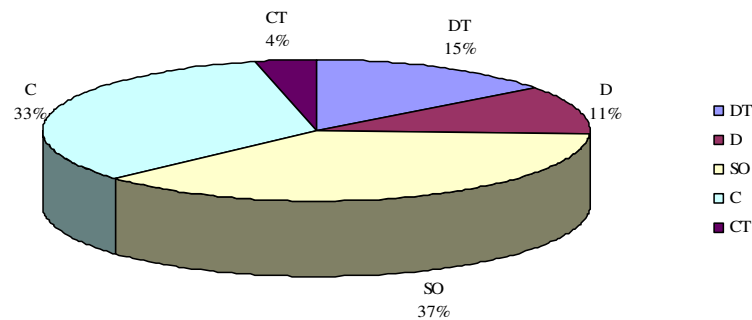


Figura 87 - Gráfico associado ao Indicador $IE_{I(1)}$

Com base no gráfico da figura 87 pode-se dizer que os indivíduos inquiridos se manifestaram da seguinte forma:

4% Concordam totalmente
 33% Concordam
 37% Não têm opinião
 11% Discordam
 15% Discordam totalmente

Que a Instituição dispõe de instrumentos de avaliação da qualidade, recorrendo a normas internacionais.

⁹ Neste gráfico e nos que se seguem, enquanto nada for dito em contrário, as letras CT, C, SO, D e DT correspondem a: (i) CT – concorda totalmente; (ii) C – concorda; (iii) SO – sem opinião; (iv) D – discorda e (v) DT – discorda totalmente.

(ii) A partir da sub-matriz $E_{2,2R}$ a seguir indicada elaborou-se o gráfico da figura 89.

0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	1	0	0	0	0	2
0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	1	3
0	1	0	0	0	0	0	1	1	1	1	0	1	0	0	1	0	0	0	1	0	0	0	1	1	1	0	11
1	0	1	0	1	1	1	0	0	0	0	0	0	0	1	0	1	1	1	0	1	0	0	0	0	0	0	10
0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1

Figura 88 - Sub-matriz $E_{2,2R}$

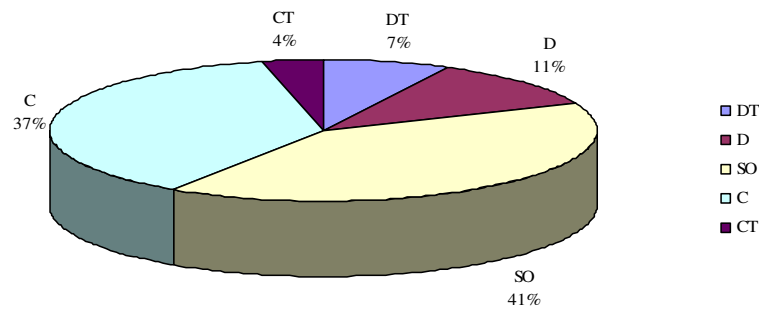


Figura 89 - Gráfico associado ao Indicador $IE_{2(2)}$

Com base no gráfico da figura 89 pode-se dizer que os indivíduos inquiridos se manifestaram da seguinte forma:

4%	Concordam totalmente
37%	Concordam
41%	Não têm opinião
11%	Discordam
7%	Discordam totalmente

Que a Instituição se Baseia em políticas de conhecimento definidas pela qualidade e pertinência social.

(iii) A partir da sub-matriz $E_{2,3R}$ a seguir indicada elaborou-se o gráfico da figura 91.

0	0	0	0	0	0	0	0	0	0	1	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	1	3	
0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	1	0	0	3
1	0	0	1	0	0	1	1	0	0	1	0	1	0	0	0	0	0	0	1	0	1	0	0	1	1	0	1	10	
0	1	0	0	1	1	0	0	1	0	0	0	0	0	1	0	1	1	1	0	1	0	0	0	0	0	0	0	9	
0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2	

Figura 90 - Sub-matriz $E_{2,3R}$

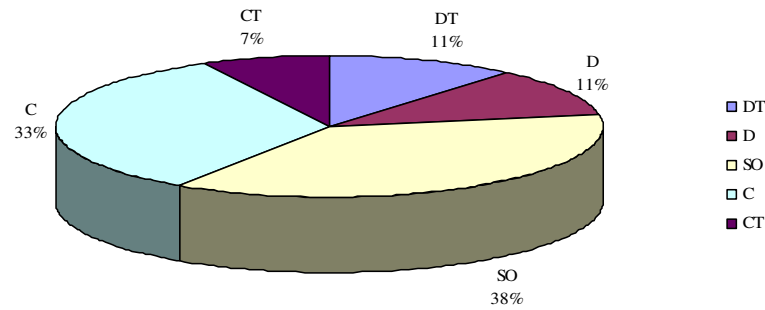


Figura 91 - Gráfico associado ao Indicador $IE_{2(3)}$

Com base no gráfico da figura 91 os indivíduos inquiridos manifestaram da seguinte forma:

7%	Concordam totalmente	Que a Instituição estabelece alianças e sinergias com outros actores (organizações empresariais, Governo, etc.) para elaborar políticas de conhecimento, linhas de investigação e áreas de formação adequadas aos requisitos sociais.
33%	Concordam	
38%	Não têm opinião	
11%	Discordam	
11%	Discordam totalmente	

(iv) A partir da sub-matriz $E_{2,4R}$ a seguir indicada elaborou-se o gráfico da figura 93.

0	0	0	0	0	0	0	0	0	1	1	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	3
0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1
0	0	1	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	1	0	0	1	1	1	1	0	7		
1	1	0	0	0	1	1	0	0	0	0	0	1	0	1	1	1	1	1	0	1	1	0	0	0	0	1	13			
0	0	0	0	1	0	0	1	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	3

Figura 92 - Sub-matriz $E_{2,4R}$

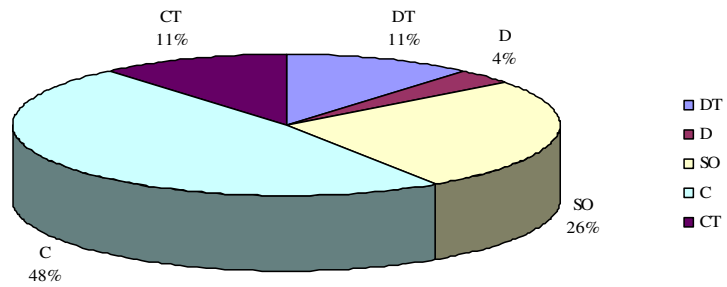


Figura 93 - Gráfico associado ao Indicador $IE_{2(4)}$

De acordo com o gráfico da figura 93 pode-se dizer que os indivíduos inquiridos manifestaram da seguinte forma:

11%	Concordam totalmente	Que a Instituição se baseia em programas de apoio à ciência e tecnologia, para o seguimento das políticas públicas assim como a identificação e análise dos grandes temas da sociedade.
48%	Concordam	
26%	Não têm opinião	
4%	Discordam	
11%	Discordam totalmente	

(v) A partir da sub-matriz $E_{2.5R}$ a seguir indicada elaborou-se o gráfico da figura 95.

[illegible]

Figura 94 - Sub-matriz $E_{2.5R}$

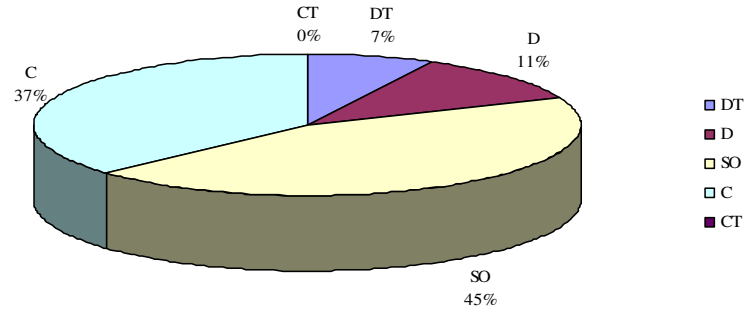


Figura 95 - Gráfico associado ao Indicador $IE_{2(5)}$

Tendo presente o gráfico da figura 95 pode-se dizer que os indivíduos inquiridos manifestaram da seguinte forma:

0%	Concordam totalmente	Que a Instituição dispõe de sistemas de promoção de investigação socialmente útil.
37%	Concordam	
45%	Não têm opinião	
11%	Discordam	
7%	Discordam totalmente	

(vi) A partir da sub-matriz $E_{2,6R}$ a seguir indicada elaborou-se o gráfico da figura 97.

0	0	0	0	0	0	0	0	0	0	1	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	1	3
0	0	0	0	0	0	0	0	0	1	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2
1	0	1	0	0	0	0	0	0	0	0	1	0	0	0	0	0	1	1	1	1	0	1	1	1	1	1	0	12
0	1	0	1	1	1	1	0	0	0	0	0	0	0	0	1	0	0	0	0	0	1	0	0	0	0	0	0	7
0	0	0	0	0	0	0	1	0	0	0	1	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	3

Figura 96 - Sub-matriz $E_{2,6R}$

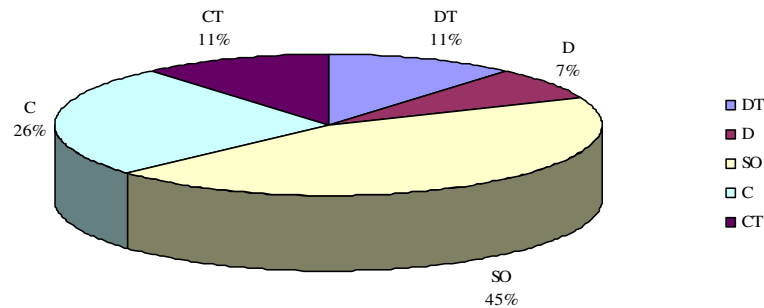


Figura 97 - Gráfico associado ao Indicador $IE_{2(6)}$

De acordo com o gráfico da figura 97 pode-se dizer que os indivíduos inquiridos manifestaram a seguinte opinião:

11%	Concordam totalmente	Que a Instituição intensifica a adaptação das actividades e política de investigação às necessidades da sociedade e toma em consideração as consequências sociais do progresso científico e tecnológico.
26%	Concordam	
45%	Não têm opinião	
7%	Discordam	
11%	Discordam totalmente	

c) *Indicador de Gestão social do conhecimento*

O quadro 11 mostra a opinião dos inquiridos quando confrontados com uma dada afirmação.

A primeira coluna do quadro é atribuída uma designação, que como se viu em outras situações anteriormente, digamos, corresponde a um dado sub-indicador $E_{3,1}$ a $E_{3,4}$. A segunda coluna apresenta o assunto proposto ao inquirido, a terceira apresenta as várias hipóteses de escolha e a quarta coluna refere-se à percentagem de respostas dos indivíduos inquiridos em cada opção.

Estes valores das percentagens foram obtidos a partir da matriz dos dados: sub-matrizes $E_{3,1R}$ a $E_{3,4R}$.

E _{3.1}	A Instituição promove e estimula a comunicação entre os investigadores e os decisores políticos.	Concordam totalmente	15
		Concordam	44
		Não têm opinião	30
		Discordam	4
		Discordam totalmente	7
E _{3.2}	A Instituição dispõe de meios específicos para a difusão e transferência de conhecimento.	Concordam totalmente	11
		Concordam	52
		Não têm opinião	19
		Discordam	11
		Discordam totalmente	7
E _{3.3}	A Instituição desenvolve políticas activas de divulgação à comunidade das suas actividades e resultados da investigação.	Concordam totalmente	15
		Concordam	30
		Não têm opinião	41
		Discordam	7
		Discordam totalmente	7
E _{3.4}	A Instituição procede ao inventário das necessidades (Inventaria as necessidades) de conhecimento pertinente dos grupos sociais mais desfavorecidos, promovendo investigação e acções.	Concordam totalmente	0
		Concordam	19
		Não têm opinião	44
		Discordam	26
		Discordam totalmente	11

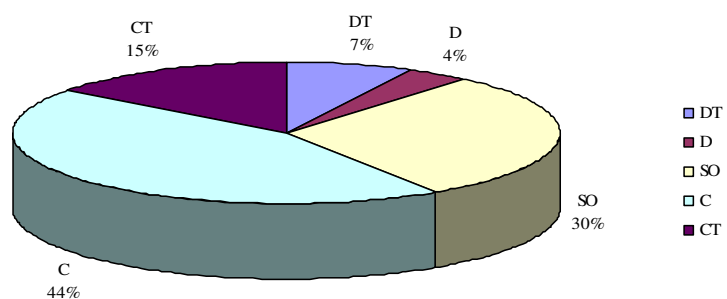


Figura 99 - Gráfico associado ao Indicador $IE_{3(1)}$

De acordo com o gráfico da figura 99 pode-se dizer que os indivíduos inquiridos manifestaram a seguinte opinião:

15%	Concordam totalmente	Que a Instituição promove e estimula a comunicação entre os investigadores e os decisores políticos.
44%	Concordam	
30%	Não têm opinião	
4%	Discordam	
7%	Discordam totalmente	

(ii) A partir da sub-matriz $E_{3,2R}$ a seguir indicada elaborou-se o gráfico da figura 101.

0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	1	2	
0	0	0	0	0	0	0	0	0	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	3
0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	1	1	0	0	1	0	0	1	0	5	
1	1	1	1	1	1	0	0	0	0	1	0	1	0	0	1	1	1	0	0	1	1	0	0	1	0	0	14	
0	0	0	0	0	0	1	0	0	0	0	1	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	3	

Figura 100 - Sub-matriz $E_{3,2R}$

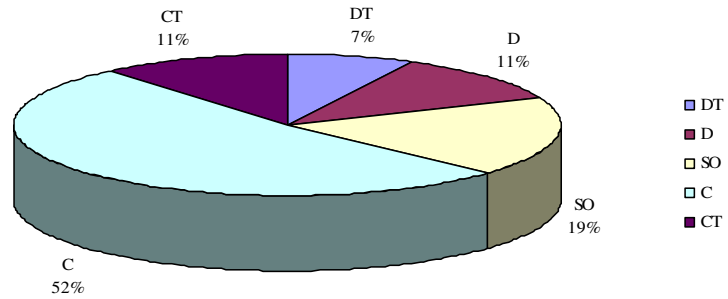


Figura 101 - Gráfico associado ao Indicador $IE_{3(2)}$

De acordo com o gráfico da figura 101 pode-se dizer que os indivíduos inquiridos manifestaram a seguinte opinião:

11%	Concordam totalmente	Que a Instituição dispõe de meios específicos para a difusão e transferência de conhecimento.
52%	Concordam	
19%	Não têm opinião	
11%	Discordam	
7%	Discordam totalmente	

(iii) A partir da sub-matriz $E_{3,3R}$ a seguir indicada elaborou-se o gráfico da figura 103.

[illegible]

Figura 102 - Sub-matriz $E_{3.3R}$

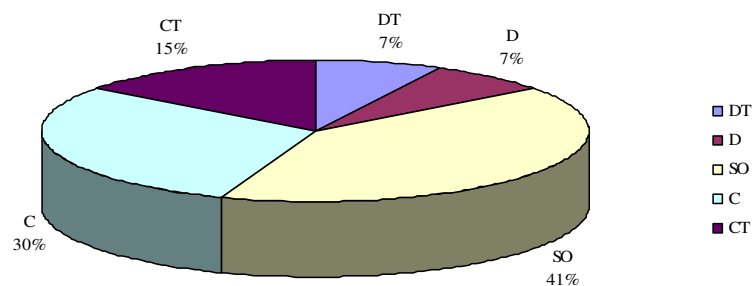


Figura 103 - Gráfico associado ao Indicador $IE_{3(3)}$

De acordo com o gráfico da figura 103 pode-se dizer que os indivíduos inquiridos manifestaram a seguinte opinião:

15%	Concordam totalmente	Que a Instituição desenvolve políticas activas de divulgação à comunidade das suas actividades e resultados da investigação.
30%	Concordam	
41%	Não têm opinião	
7%	Discordam	
7%	Discordam totalmente	

(iii) A partir da sub-matriz $E_{3,4R}$ a seguir indicada elaborou-se o gráfico da figura 105.

0	0	0	1	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	1	0	0	0	0	3
1	0	1	0	0	0	0	0	1	1	0	0	0	0	0	0	0	1	0	1	0	0	1	0	0	7
0	0	0	0	0	0	1	1	0	0	1	0	1	0	1	1	0	1	0	1	0	0	1	1	1	12
0	1	0	0	1	1	0	0	0	0	0	1	0	0	0	1	0	0	0	0	0	0	0	0	0	5
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

Figura 104 - Sub-matriz $E_{3,4R}$

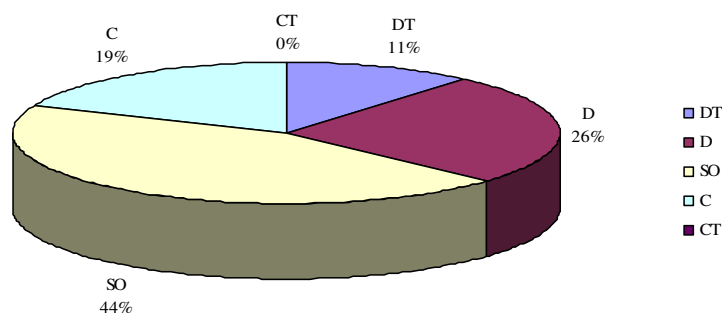


Figura 105 - Gráfico associado ao Indicador $IE_{3(4)}$

De acordo com o gráfico da figura 105 pode-se dizer que os indivíduos inquiridos manifestaram a seguinte opinião:

0%	Concordam totalmente	Que a Instituição procede ao inventário das necessidades (Inventaria as necessidades) de conhecimento pertinente dos grupos sociais mais desfavorecidos, promovendo investigação e acções.
19%	Concordam	
44%	Não têm opinião	
26%	Discordam	
11%	Discordam totalmente	

d) Indicador de Transdisciplinaridade e investigação

O quadro 12 mostra a opinião dos inquiridos quando confrontados com uma dada afirmação.

A primeira coluna do quadro é atribuída uma designação, ou seja, podemos dizer que corresponde a um dado sub-indicador $E_{4,1}$ a $E_{4,8}$. A segunda coluna apresenta o assunto proposto ao inquirido, a terceira apresenta as várias hipóteses de escolha e a quarta coluna refere-se à percentagem de respostas dos indivíduos inquiridos em cada opção.

Estes valores das percentagens foram obtidos a partir da matriz dos dados: sub-matrizes

$E_{4,1R}$ a $E_{4,8R}$.

Quadro 12 - Indicador de Transdisciplinaridade e investigação

E _{4.1}	A Instituição Promove a investigação interdisciplinar em relação aos problemas pluridisciplinares.	Concordam totalmente	15
		Concordam	30
		Não têm opinião	29
		Discordam	15
		Discordam totalmente	11
E _{4.2}	A Instituição possibilita, nas equipas interdisciplinares de investigação, uma estrutura social incorporando actores universitários, não universitários, empresários, outros.	Concordam totalmente	19
		Concordam	37
		Não têm opinião	22
		Discordam	11
		Discordam totalmente	11
E _{4.3}	A Instituição fomenta e reforça a inovação, a interdisciplinaridade e a transdisciplinaridade nos seus programas de estudo e investigação, assentando as orientações a longo prazo nos objectivos e necessidades sociais e culturais.	Concordam totalmente	11
		Concordam	30
		Não têm opinião	33
		Discordam	22
		Discordam totalmente	4
E _{4.4}	A Instituição proporciona (e motiva) uma atitude interdisciplinar aos docentes e investigadores.	Concordam totalmente	11
		Concordam	41
		Não têm opinião	26
		Discordam	15
		Discordam totalmente	7
E _{4.5}	A Instituição proporciona os meios adequados para comunicação entre pares sobre projectos em desenvolvimento entre disciplinas, investigadores, autoridades e sociedade.	Concordam totalmente	7
		Concordam	33
		Não têm opinião	34
		Discordam	19
		Discordam totalmente	7
E _{4.6}	A Instituição disponibiliza recursos para o fortalecimento de competências específicas de liderança e coordenação de equipas interdisciplinares.	Concordam totalmente	7
		Concordam	26
		Não têm opinião	41
		Discordam	22
		Discordam totalmente	4

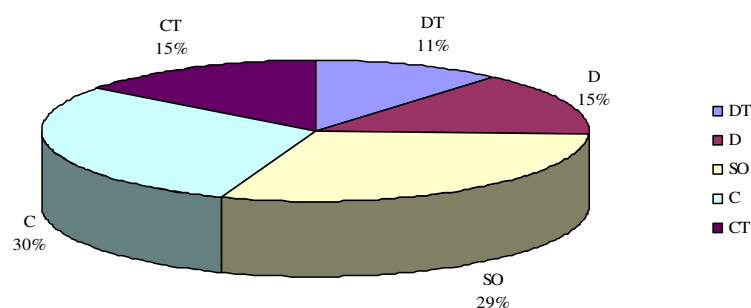
Quadro 12 - Indicador de Transdisciplinaridade e investigação (continuação)

E _{4.7}	A Instituição cultiva e recompensa activamente a apreciação mútua e o reconhecimento da necessidade interdisciplinar.	Concordam totalmente	0
		Concordam	51
		Não têm opinião	26
		Discordam	19
		Discordam totalmente	4
E _{4.8}	A Instituição alterou de forma significativa o ambiente da investigação e da política de investigação na Instituição devido ao projecto de Espaço Europeu da Investigação.	Concordam totalmente	7
		Concordam	33
		Não têm opinião	41
		Discordam	15
		Discordam totalmente	4

Façamos a análise no que se refere à transdisciplinaridade e investigação.

(i) A partir da sub-matriz E_{4.1R} a seguir indicada elaborou-se o gráfico da figura 107.

0	0	0	0	0	0	0	0	0	0	1	0	0	0	1	0	0	0	0	0	0	0	0	1	0	0	0	0	3	
0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	1	1	0	0	0	0	0	0	0	0	0	1	4
1	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1	0	1	1	1	0	8	
0	0	0	1	0	0	1	0	1	0	0	0	1	0	1	1	0	0	1	0	1	0	0	0	0	0	0	0	8	
0	0	0	0	1	1	0	1	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	4	

Figura 106 - Sub-matriz E_{4.1R}Figura 107 - Gráfico associado ao Indicador IE₄₍₁₎

De acordo com o gráfico da figura 107 pode-se dizer que os indivíduos inquiridos manifestaram a seguinte opinião:

15%	Concordam totalmente	Que a Instituição promove a investigação interdisciplinar em relação aos problemas pluridisciplinares.
30%	Concordam	
29%	Não têm opinião	
15%	Discordam	
11%	Discordam totalmente	

(ii) A partir da sub-matriz $E_{4,2R}$ a seguir indicada elaborou-se o gráfico da figura 109.

0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	1	0	0	0	1	3
0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	1	0	0	0	1	0	0	0	0	3
0	1	0	0	0	0	0	0	0	1	1	0	0	0	0	0	1	0	0	0	0	0	0	1	1	0	6
1	0	0	1	0	0	0	0	1	0	0	0	1	0	1	1	0	0	1	1	1	0	0	1	0	0	10
0	0	1	0	1	1	0	1	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	5

Figura 108 - Sub-matriz $E_{4,2R}$

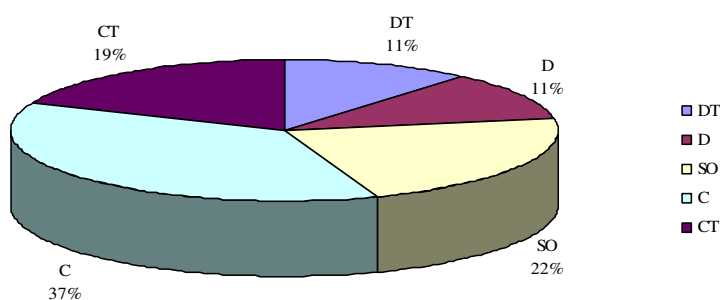


Figura 109 - Gráfico associado ao Indicador $IE_{4(2)}$

De acordo com o gráfico da figura 109 pode-se dizer que os indivíduos inquiridos manifestaram a seguinte opinião:

[illegible]

A 3D pie chart illustrating the distribution of responses for five categories. The categories and their respective percentages are: DT (4%), D (22%), SO (33%), C (30%), and CT (11%). The chart is viewed from an angle, giving it a three-dimensional appearance. A legend on the right side of the chart identifies the colors for each category: DT (light blue), D (maroon), SO (yellow), C (cyan), and CT (purple).

Category	Percentage
DT	4%
D	22%
SO	33%
C	30%
CT	11%

De acordo com o gráfico da figura 111 pode-se dizer que os indivíduos inquiridos manifestaram a seguinte opinião:

Tese de Doutoramento – Eduardo Jorge Simões Ganihlo - 2009

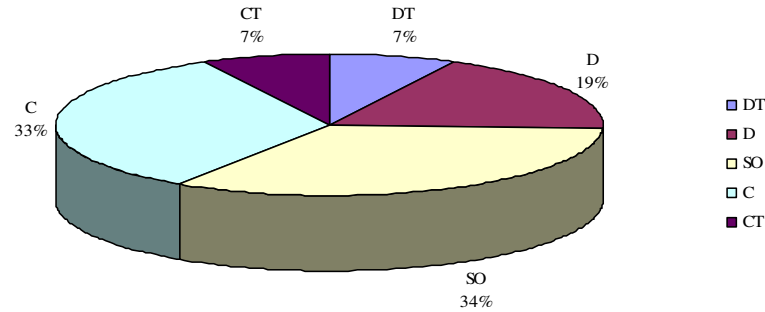


Figura 115 - Gráfico associado ao Indicador $IE_{4(5)}$

De acordo com o gráfico da figura 115 pode-se dizer que os indivíduos inquiridos manifestaram a seguinte opinião:

7%	Concordam totalmente	Que a Instituição proporciona os meios adequados para comunicação entre pares sobre projectos em desenvolvimento entre disciplinas, investigadores, autoridades e sociedade.
33%	Concordam	
34%	Não têm opinião	
19%	Discordam	
7%	Discordam totalmente	

(vi) A partir da sub-matriz $E_{4,6R}$ a seguir indicada elaborou-se o gráfico da figura 117.

[illegible]

Figura 116 - Sub-matriz $E_{4,6R}$

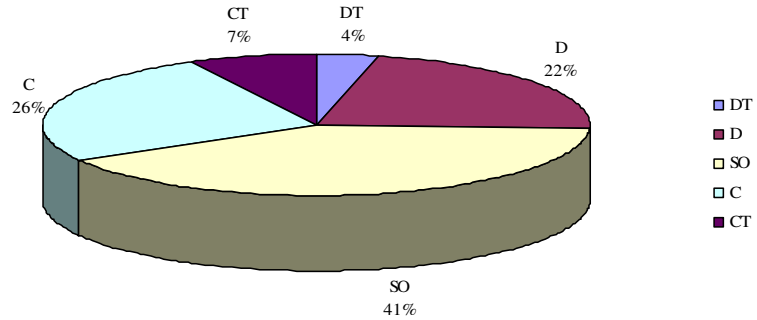


Figura 117 - Gráfico associado ao Indicador $IE_{4(6)}$

De acordo com o gráfico da figura 117 pode-se dizer que os indivíduos inquiridos manifestaram a seguinte opinião:

7%	Concordam totalmente	Que a Instituição disponibiliza recursos para o fortalecimento de competências específicas de liderança e coordenação de equipes interdisciplinares.
26%	Concordam	
41%	Não têm opinião	
22%	Discordam	
4%	Discordam totalmente	

(vii) A partir da sub-matriz $E_{4.7R}$ a seguir indicada elaborou-se o gráfico da figura 119.

[illegible]

Figura 118 - Sub-matriz $E_{4.7R}$

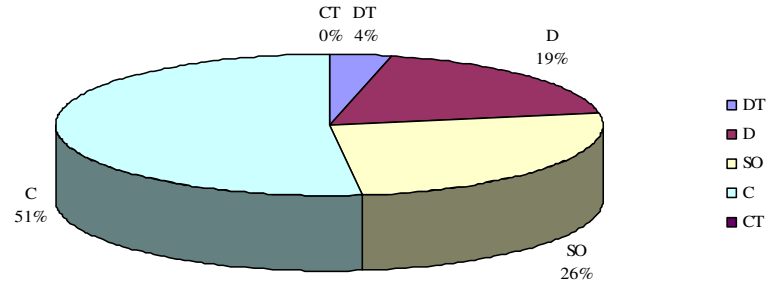


Figura 119 - Gráfico associado ao Indicador $IE_{4/(7)}$

De acordo com o gráfico da figura 119 pode-se dizer que os indivíduos inquiridos manifestaram a seguinte opinião:

0%	Concordam totalmente	Que a Instituição cultiva e recompensa activamente a apreciação mútua e o reconhecimento da necessidade interdisciplinar.
51%	Concordam	
26%	Não têm opinião	
19%	Discordam	
4%	Discordam totalmente	

(viii) A partir da sub-matriz $E_{4,8R}$ a seguir indicada elaborou-se o gráfico da figura 121.

[illegible]

Figura 120 - Sub-matriz $E_{4.8R}$

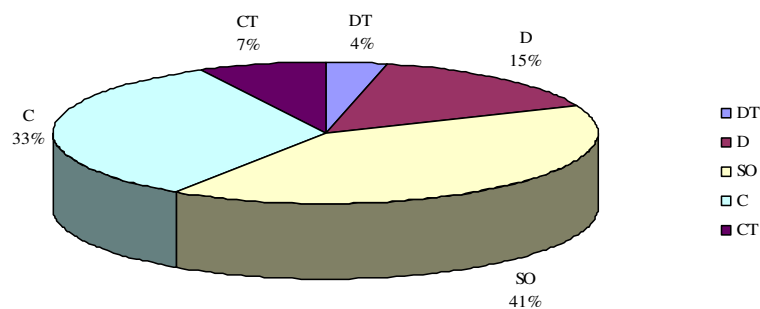


Figura 121 - Gráfico associado ao Indicador $IE_{4(8)}$

De acordo com o gráfico da figura 121 pode-se dizer que os indivíduos inquiridos manifestaram a seguinte opinião:

7%	Concordam totalmente	Que a Instituição alterou de forma significativa o ambiente da investigação e da política de investigação na Instituição devido ao projecto de Espaço Europeu da Investigação.
33%	Concordam	
41%	Não têm opinião	
15%	Discordam	
4%	Discordam totalmente	

e) Indicador de Ligação entre investigação e ensino

O quadro 13 mostra a opinião dos inquiridos quando confrontados com uma dada afirmação.

A primeira coluna do quadro é atribuída uma designação, que digamos, corresponde a um dado sub-indicador $E_{5,1}$ a $E_{5,5}$. A segunda coluna apresenta o assunto proposto ao inquirido, a terceira apresenta as várias hipóteses de escolha e a quarta coluna refere-se à percentagem de respostas dos indivíduos inquiridos em cada opção. Estes valores das percentagens foram obtidos a partir da matriz dos dados: sub-matrizes $E_{5,1R}$ a $E_{5,5R}$.

E _{5.1}	A Instituição promove a incorporação permanente de resultados de investigação, estudos de caso e metodologias nas unidades curriculares e na formação de docentes.	Concordam totalmente	11
		Concordam	30
		Não têm opinião	30
		Discordam	29
		Discordam totalmente	0
E _{5.2}	A Instituição promove a incorporação permanente de resultados de investigação, estudos de caso e metodologias nos currículos da formação dos estudantes.	Concordam totalmente	7
		Concordam	45
		Não têm opinião	26
		Discordam	22
		Discordam totalmente	0
E _{5.3}	A Instituição Incorpora, sistematicamente, nos projectos e programa de investigação os estudantes, e reconhece o trabalho destes.	Concordam totalmente	7
		Concordam	41
		Não têm opinião	30
		Discordam	15
		Discordam totalmente	7
E _{5.4}	A Instituição Facilita a relação fluida entre os departamentos de investigação e os de formação académica.	Concordam totalmente	15
		Concordam	15
		Não têm opinião	47
		Discordam	19
		Discordam totalmente	4
E _{5.5}	A Instituição facilita a relação entre os centros de investigação e os centros de ensino (departamentos/Faculdades nas Instituições de Ensino Superior).	Concordam totalmente	11
		Concordam	19
		Não têm opinião	44
		Discordam	26
		Discordam totalmente	0

[illegible]

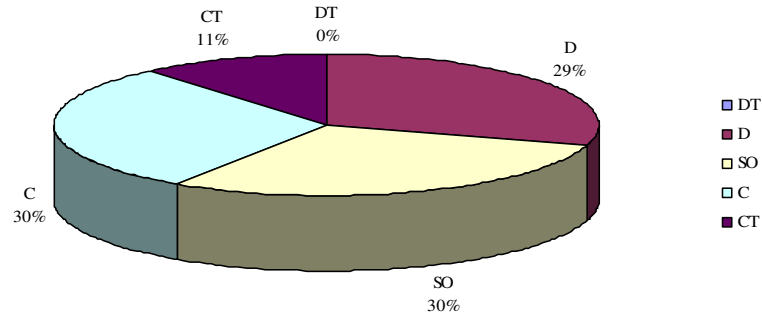


Figura 123 - Gráfico associado ao Indicador $IE_{5(1)}$

De acordo com o gráfico da figura 123 pode-se dizer que os indivíduos inquiridos manifestaram a seguinte opinião:

11%	Concordam totalmente	Que a Instituição promove a incorporação permanente de resultados de investigação, estudos de caso e metodologias nas unidades curriculares e na formação de docentes.
30%	Concordam	
30%	Não têm opinião	
29%	Discordam	
0%	Discordam totalmente	

(ii) A partir da sub-matriz $E_{5,2R}$ a seguir indicada elaborou-se o gráfico da figura 125.

[illegible]

Figura 124 - Sub-matriz $E_{5.2R}$

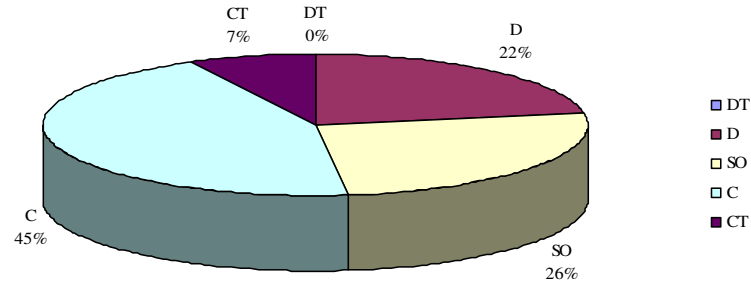


Figura 125 - Gráfico associado ao Indicador $IE_{5(2)}$

De acordo com o gráfico da figura 125 pode-se dizer que os indivíduos inquiridos manifestaram a seguinte opinião:

7%	Concordam totalmente	Que a Instituição promove a incorporação permanente de resultados de investigação, estudos de caso e metodologias nos currículos da formação dos estudantes.
45%	Concordam	
26%	Não têm opinião	
22%	Discordam	
0%	Discordam totalmente	

(iii) A partir da sub-matriz $E_{5,3R}$ a seguir indicada elaborou-se o gráfico da figura 127.

0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	1	0	0	0	0	0	0	0	0	2
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	1	1	0	1	0	0	0	0	0	0	0	4
0	0	1	1	0	0	1	0	0	1	0	0	1	0	1	0	0	0	0	0	0	0	1	0	0	1	0	0	8	
1	1	0	0	1	1	0	0	1	0	1	1	0	0	0	1	0	0	0	0	0	1	0	1	1	0	0	0	11	
0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	2	

Figura 126 - Sub-matriz $E_{5,3R}$

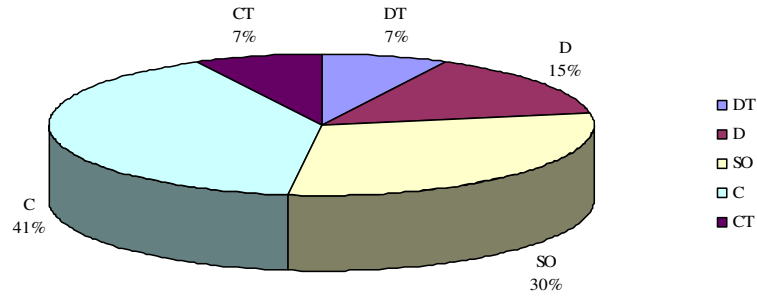


Figura 127 - Gráfico associado ao Indicador $IE_{5(3)}$

De acordo com o gráfico da figura 127 pode-se dizer que os indivíduos inquiridos manifestaram a seguinte opinião:

7%	Concordam totalmente	Que a Instituição facilita a relação entre os centros de investigação e os centros de ensino (departamentos/Faculdades nas Instituições de Ensino Superior).
41%	Concordam	
30%	Não têm opinião	
15%	Discordam	
7%	Discordam totalmente	

(iv) A partir da sub-matriz $E_{5,4R}$ a seguir indicada elaborou-se o gráfico da figura 129.

[illegible]

Figura 128 - Sub-matriz $E_{5.4R}$

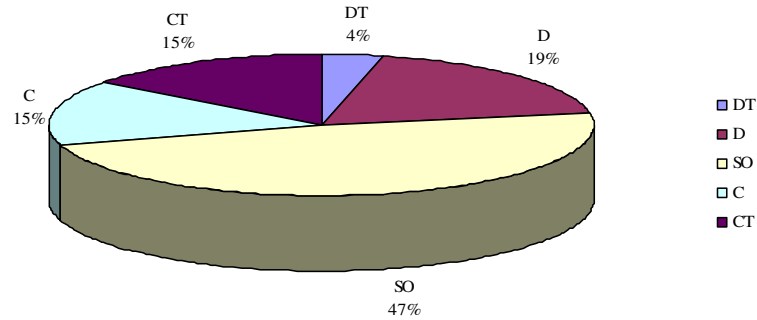


Figura 129 - Gráfico associado ao Indicador $IE_{5(4)}$

De acordo com o gráfico da figura 129 pode-se dizer que os indivíduos inquiridos manifestaram a seguinte opinião:

15%	Concordam totalmente	Que a Instituição facilita a relação fluida entre os departamentos de investigação e os de formação académica.
15%	Concordam	
47%	Não têm opinião	
19%	Discordam	
4%	Discordam totalmente	

(v) A partir da sub-matriz $E_{5,5R}$ a seguir indicada elaborou-se o gráfico da figura 131.

[illegible]

Figura 130 - Sub-matriz $E_{5.5R}$

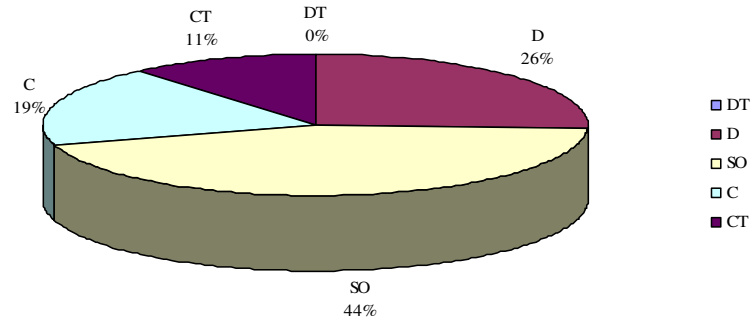


Figura 131 - Gráfico associado ao Indicador $IE_{5(5)}$

De acordo com o gráfico da figura 131 pode-se dizer que os indivíduos inquiridos manifestaram a seguinte opinião:

11%	Concordam totalmente	Que a Instituição facilita a relação fluida entre os departamentos de investigação e os de formação académica.
19%	Concordam	
44%	Não têm opinião	
26%	Discordam	
0%	Discordam totalmente	

f) Indicador de Ética da ciência

O quadro 14 mostra a opinião dos inquiridos quando confrontados com uma dada afirmação.

A primeira coluna do quadro é atribuída uma designação, que digamos, corresponde a um dado sub-indicador $E_{6,1}$ a $E_{6,6}$. A segunda coluna apresenta o assunto proposto ao inquirido, a terceira apresenta as várias hipóteses de escolha e a quarta coluna refere-se à percentagem de respostas dos indivíduos inquiridos em cada opção. Estes valores das percentagens foram obtidos a partir da matriz dos dados: sub-matrizes $E_{6,1R}$ a $E_{6,6R}$.

Quadro 14 - Indicador de Ética da ciência

E _{6.1}	A Instituição promove um Código de Ética da Ciência e dos cientistas, assim como a monitorização da actividade científica.	Concordam totalmente	11
		Concordam	30
		Não têm opinião	37
		Discordam	11
		Discordam totalmente	11
E _{6.2}	A Instituição monitoriza a formação académica de modo a que não se crie lacunas entre os valores morais e os factos científicos.	Concordam totalmente	0
		Concordam	37
		Não têm opinião	52
		Discordam	4
		Discordam totalmente	7
E _{6.3}	A Instituição inclui nos programas de estudo a ética da ciência, assim como uma formação relacionada com a história e a filosofia da ciência e suas repercussões culturais.	Concordam totalmente	0
		Concordam	33
		Não têm opinião	30
		Discordam	22
		Discordam totalmente	15
E _{6.4}	A Instituição preserva e desenvolve a sua função, submetendo todas as suas actividades às exigências da ética e do rigor científico e intelectual.	Concordam totalmente	4
		Concordam	37
		Não têm opinião	40
		Discordam	15
		Discordam totalmente	4
E _{6.5}	A Instituição desenvolve estudos e investiga no âmbito das dimensões éticas das Tecnologias da Informação e Comunicação.	Concordam totalmente	0
		Concordam	37
		Não têm opinião	55
		Discordam	4
		Discordam totalmente	4
E _{6.6}	A Instituição realiza as actividades de investigação respeitando os princípios éticos, incluindo os que se reflectem na Carta dos Direitos Fundamentais da União Europeia.	Concordam totalmente	7
		Concordam	48
		Não têm opinião	37
		Discordam	4
		Discordam totalmente	4

Passemos a análise deste indicador.

(i) A partir da sub-matriz $E_{6.1R}$ a seguir indicada elaborou-se o gráfico da figura 133.

0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	1	0	0	0	1	0	0	0	0	3
0	0	0	0	0	0	1	0	1	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	3
0	0	0	0	1	0	0	1	0	1	0	0	1	0	1	0	0	0	1	0	1	1	0	1	0	1	0	1	0	10
1	0	0	0	0	1	0	0	0	0	0	1	0	0	0	1	1	1	0	0	0	0	0	0	0	1	0	1	0	8
0	1	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	3

Figura 132 - Sub-matriz $E_{6.1R}$

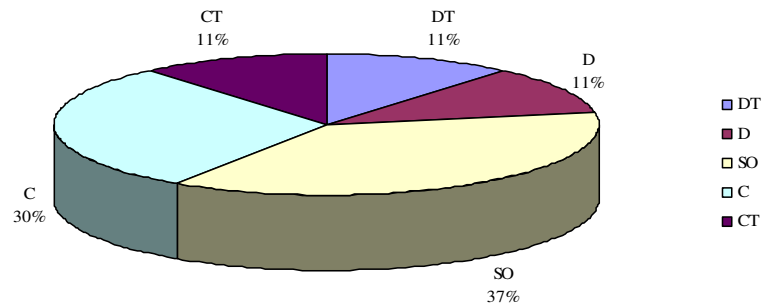


Figura 133 - Gráfico associado ao Indicador $IE_{6(1)}$

De acordo com o gráfico da figura 133 pode-se dizer que os indivíduos inquiridos manifestaram a seguinte opinião:

11%	Concordam totalmente	Que a Instituição promove um Código de Ética da Ciência e dos cientistas, assim como a monitorização da actividade científica.
30%	Concordam	
37%	Não têm opinião	
11%	Discordam	
11%	Discordam totalmente	

(ii) A partir da sub-matriz $E_{6.2R}$ a seguir indicada elaborou-se o gráfico da figura 135.

0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	1	0	0	0	0	0	0	2
0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1
0	0	0	0	1	1	1	1	0	1	1	0	1	0	1	0	0	0	0	0	1	0	1	1	1	1	1	14
1	1	1	1	0	0	0	0	0	0	0	1	0	0	0	1	1	1	1	0	0	1	0	0	0	0	0	10
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

Figura 134 - Sub-matriz $E_{6.2R}$

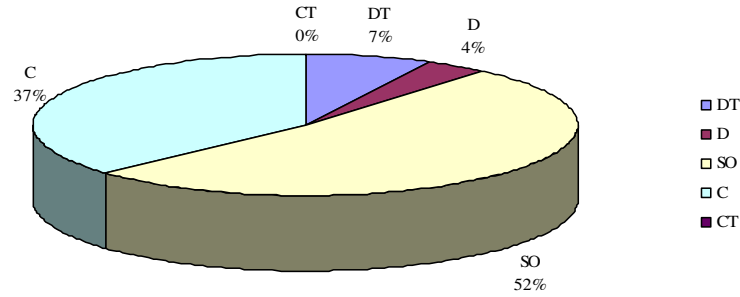


Figura 135 - Gráfico associado ao Indicador $IE_{6(2)}$

De acordo com o gráfico da figura 135 pode-se dizer que os indivíduos inquiridos manifestaram a seguinte opinião:

0%	Concordam totalmente	Que a Instituição monitoriza a formação académica de modo a que não se crie lacunas entre os valores morais e os factos científicos.
37%	Concordam	
52%	Não têm opinião	
4%	Discordam	
7%	Discordam totalmente	

(iii) A partir da sub-matriz $E_{6,3R}$ a seguir indicada elaborou-se o gráfico da figura 137.

[illegible]

Figura 136 - Sub-matriz $E_{6.3R}$

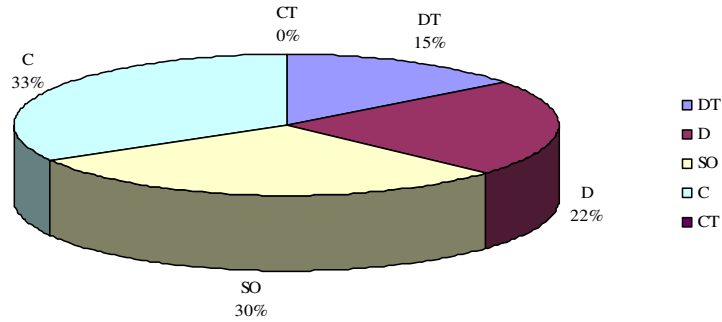


Figura 137 - Gráfico associado ao Indicador $IE_{6(3)}$

De acordo com o gráfico da figura 137 pode-se dizer que os indivíduos inquiridos manifestaram a seguinte opinião:

0%	Concordam totalmente	Que a Instituição inclui nos programas de estudo a ética da ciência, assim como uma formação relacionada com a história e a filosofia da ciência e suas repercussões culturais.
33%	Concordam	
30%	Não têm opinião	
22%	Discordam	
15%	Discordam totalmente	

(iv) A partir da sub-matriz $E_{6,4R}$ a seguir indicada elaborou-se o gráfico da figura 139.

0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	1
0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	1	1	1	0	0	0	4
0	1	0	1	0	0	1	0	0	0	1	0	1	1	0	0	0	0	1	1	0	0	0	1	1	1	0	11
1	0	1	0	1	1	0	0	1	0	0	1	0	0	1	1	1	1	0	0	0	0	0	0	0	0	0	10
0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1

Figura 138 - Sub-matriz $E_{6,4R}$

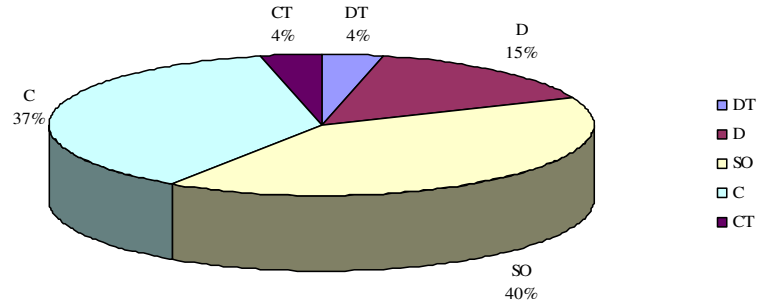


Figura 139 - Gráfico associado ao Indicador $IE_{6(4)}$

De acordo com o gráfico da figura 139 pode-se dizer que os indivíduos inquiridos manifestaram a seguinte opinião:

4%	Concordam totalmente	Que a Instituição preserva e desenvolve a sua função, submetendo todas as suas actividades às exigências da ética e do rigor científico e intelectual.
37%	Concordam	
40%	Não têm opinião	
15%	Discordam	
4%	Discordam totalmente	

(v) A partir da sub-matriz $E_{6,5R}$ a seguir indicada elaborou-se o gráfico da figura 141.

[illegible]

Figura 140 - Sub-matriz $E_{6.5R}$

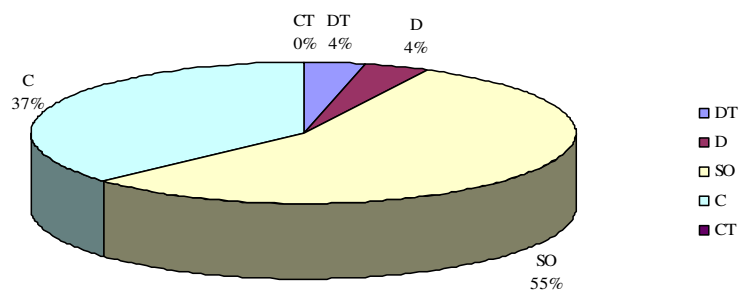


Figura 141- Gráfico associado ao Indicador $IE_{6(5)}$

De acordo com o gráfico da figura 141 pode-se dizer que os indivíduos inquiridos manifestaram a seguinte opinião:

0%	Concordam totalmente	Que a Instituição desenvolve estudos e investiga no âmbito das dimensões éticas das Tecnologias da Informação e Comunicação.
37%	Concordam	
55%	Não têm opinião	
4%	Discordam	
4%	Discordam totalmente	

(vi) A partir da sub-matriz $E_{6,6R}$ a seguir indicada elaborou-se o gráfico da figura 143.

0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	1
0	0	0	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1
0	1	0	1	0	0	0	0	1	0	1	0	0	1	0	0	0	0	0	1	0	1	0	1	1	1	0	1	1	1	0	1	10
1	0	0	0	1	1	1	1	0	0	0	1	1	0	1	1	1	1	1	0	1	0	0	0	0	0	0	0	0	0	0	0	13
0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1	2	

Figura 142 - Sub-matriz $E_{6,6R}$

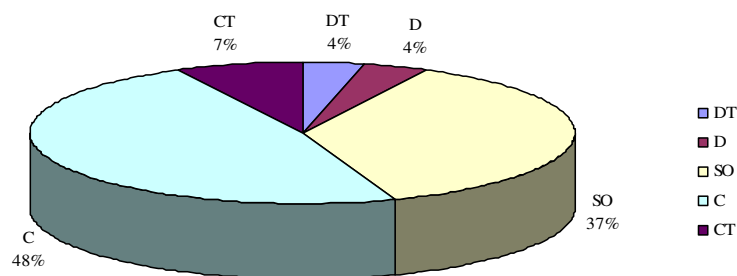


Figura 143 - Gráfico associado ao Indicador $IE_{6(6)}$

De acordo com o gráfico da figura 143 pode-se dizer que os indivíduos inquiridos manifestaram a seguinte opinião:

7%	Concordam totalmente	Que a Instituição realiza as actividades de investigação respeitando os princípios éticos, incluindo os que se reflectem na Carta dos Direitos Fundamentais da União Europeia.
48%	Concordam	
37%	Não têm opinião	
4%	Discordam	
4%	Discordam totalmente	

6. Aspectos a destacar

O estudo efectuado recorreu a cinco componentes da Responsabilidade Social das Instituições de Ensino Superior, abordadas no capítulo 5 deste trabalho. Relembrando, foram consideradas as cinco componentes seguintes:

- **Gestão ética e qualidade de vida na Instituição**
- **Gestão Ambiental Responsável**
- **Participação Social Responsável**
- **Formação Académica Socialmente Responsável**
- **Investigação Socialmente Útil e Gestão Social do Conhecimento**

Seguidamente referem-se algumas considerações que se consideram relevantes neste estudo.

Considerações no âmbito da Gestão ética e qualidade de vida na Instituição:***a) Princípios éticos***

Em relação aos Princípios éticos, a opinião dos indivíduos inquiridos, poderá querer dizer que existe um alheamento das instituições à temática referente aos princípios éticos, nuns casos, e em outros, embora podendo haver princípios estabelecidos, estes estão, provavelmente, pouco incorporados aos processos de trabalho e às atitudes/comportamento das pessoas.

b) Boas práticas laborais

Em face da opinião dos indivíduos inquiridos poderá dizer-se que em alguns casos existe um alheamento das instituições à temática referente às boas práticas laborais. Contudo, poderão existir políticas de selecção e avaliação de fornecedores e parceiros, conhecidas pelas partes envolvidas mas baseadas apenas em factores como a qualidade, o preço e o prazo (nível 1). Em outros casos fica a ideia de que as instituições dispõem de normas de selecção e avaliação de fornecedores, que contemplam critérios e exigências relativas ao cumprimento da legislação laboral, fiscal¹⁰ e outra aplicável (nível 2).

c) Gestão participada

As respostas dos indivíduos inquiridos apontam para a existência de uma aceitação da necessidade da gestão participada – disponibilização de informação sobre a instituição, e participação activa dos colaboradores na discussão e análise da informação económico-financeira, havendo uma comunicação regular com os elementos de governo das instituições.

d) Competências dos colaboradores

No que se refere às competências dos colaboradores, de acordo com as respostas dos indivíduos inquiridos, tendencialmente existe uma preocupação com a competência dos colaboradores, pois há a promoção de actividades de treino específico, centradas no desenvolvimento de tarefas específicas para os docentes e também para os colaboradores não docentes (posicionamento em torno do nível 1).

São mantidas, embora de uma forma ténue, actividades sistemáticas de desenvolvimento e capacitação contínua, visando o aperfeiçoamento contínuo de todos os seus colaboradores (docentes e não docentes), considerando a aplicabilidade na sua

¹⁰ Como já foi referido anteriormente, no âmbito das Instituições de Ensino Superior públicas a legislação impõe um conjunto de regras na contratação de serviços, pelo que, é uma das razões das exigências relativas ao cumprimento de legislação laboral, fiscal e outra aplicável.

função actual, e as Instituições utilizam o seu corpo docente para essa formação quando é possível.

São oferecidas algumas bolsas de estudo ou similares em todos os níveis hierárquicos, para a aquisição de conhecimentos com impacte positivo na colocação dos seus colaboradores (docentes e não docentes), independentemente da aplicabilidade na sua função actual. É facilitada a mobilidade docente financiando a presença noutras Instituições de Ensino Superior.

e) Marketing responsável

A opinião dos indivíduos inquiridos indicia que existe nas instituições uma política formal de comunicação alinhada com os seus princípios e valores, abarcando todo o seu material de comunicação, externo e interno. São realizadas análises prévias do material publicitário para verificar a conformidade com os seus valores éticos e com a legislação em vigor (embora o valor da percentagem referente ao alheamento nesta temática seja significativo (26%), contudo o seu posicionamento gira em torno do nível 1).

f) Saúde, segurança e condições de trabalho

Com base na opinião manifestada pelos indivíduos inquiridos, a saúde, segurança e condições de trabalho é um assunto a que as instituições não estão totalmente alheadas, pois cumprem as obrigações legais e têm intenção de alcançar padrões de excelência nesta matéria. Contudo, o seu posicionamento situa-se em torno do nível 1.

Considerações no âmbito da Gestão Ambiental Responsável

No âmbito da Gestão ambiental responsável pode-se destacar o seguinte tendo em conta as respostas dos indivíduos inquiridos:

- a) Transparece a ideia de que as instituições cumprem os requisitos exigidos pela legislação, reconhecem quem têm um impacte ambiental resultante das suas actividades e desenvolvem programas internos de melhoria. Embora o valor da percentagem referente ao alheamento nesta matéria seja significativo (33%) o seu posicionamento situa-se em torno do nível 1.
- b) Existe um indício de alheamento em relação à educação ambiental (nível 0) partilhado com o desenvolvimento pontual de acções de educação ambiental e treino sobre esta temática para os seus colaboradores (nível 1) por parte das instituições.

- c) 74% dos indivíduos inquiridos manifestam que as suas instituições não têm políticas no que respeita à poupança de água.
- d) Mais de metade dos indivíduos inquiridos (52%) pensam que a instituição a que estão ligados não tem uma política de poupança de energia.
- e) 67% dos indivíduos inquiridos consideram que a sua instituição possui uma política de reciclagem.
- f) 78% dos indivíduos inquiridos consideram que as suas instituições, não têm, uma política de tratamento de resíduos.
- g) 81% dos indivíduos inquiridos considera que a sua instituição não promove o recurso a energias renováveis, como seja, por exemplo, a instalação sistemas solares para aquecimento de águas ou painéis fotovoltaicos para a produção de energia eléctrica.

Considerações no âmbito da Participação Social Responsável

a) Relação da Instituição com os actores sociais

De acordo com a opinião dos indivíduos inquiridos pode dizer-se que, em relação a este assunto:

- (i) Mais de metade dos indivíduos inquiridos (52 %) concorda ou concorda em absoluto *que a instituição se preocupa com os problemas sociais e tem uma política institucional activa como agente activo do desenvolvimento humano*. Discordam ou discordam em absoluto 26% e 22% não têm qualquer opinião sobre o assunto.
- (ii) **Menos de metade** dos inquiridos (48%) concorda ou concorda em absoluto *que a instituição mantém relações estreitas com actores-chave do desenvolvimento social (Estado, ONG's, organizações internacionais, organizações empresariais)*. Discordam ou discordam em absoluto 33%. Não têm opinião sobre o assunto 19%.
- (iii) Mais de metade (52%) dos indivíduos inquiridos concorda ou concorda totalmente *que a instituição organiza foros e actividades nos quais participam pessoas e personalidades externas à instituição (uma política aberta à sociedade)*. Discordam ou discordam totalmente 15%. Não têm opinião formada sobre o assunto cerca de 33% dos inquiridos.

- (iv) Mais de metade dos indivíduos inquiridos (52%) concorda ou concorda totalmente *que a instituição participa na discussão de temas de desenvolvimento a nível local, nacional, internacional*. Discordam totalmente 11% e 37% não tem qualquer opinião sobre esta matéria.
- (v) **Menos de metade** dos indivíduos inquiridos (41%) concorda ou concorda totalmente *que a instituição mantém um contacto com os seus diplomados a fim de obter informação estratégica sobre o mercado laboral e social do país*. Discordam ou discordam totalmente 33%. Não têm qualquer opinião 26%.
- (vi) **Menos de metade** dos indivíduos inquiridos (44%) concorda ou concorda totalmente *que a instituição investiga as necessidades sociais não satisfeitas relacionadas com as especialidades que oferece*. Pelo contrário 37% discordam ou discordam totalmente. Não têm qualquer opinião sobre o assunto 19%.
- (vii) **Menos de metade** dos indivíduos inquiridos (37%) concorda que a instituição participa em redes de desenvolvimento com outras Instituições para a resolução de problemas sociais. Discordam ou discordam totalmente 18% e 45% não têm opinião formada sobre este aspecto.

b) Acessibilidade social

Tendo em conta a opinião demonstrada nos questionários pelos indivíduos inquiridos poderemos resumir neste aspecto que:

- (i) Mais de metade dos indivíduos (60%) que responderam ao questionário concorda ou concorda totalmente *que a Instituição caracteriza-se por oferecer aos docentes e estudantes oportunidades de interacção com diversos sectores sociais*. Cerca de 20% discordam ou discordam totalmente e 20% não têm opinião sobre o assunto.
- (ii) Mais de metade dos indivíduos inquiridos (78%) concorda ou concorda totalmente *que a Instituição no seu campus possibilita a presença de pessoas de diferentes condições sociais, religião, etc.* Em sentido contrário 11% discordam e 11% não têm qualquer opinião neste âmbito.
- (iii) **Menos de metade** dos indivíduos inquiridos (44%) concorda ou concorda totalmente *que a Instituição mantém uma quota para estudantes de baixos*

recursos com bolsas. Pelo contrário, 26% dos inquiridos discordam ou discordam totalmente e 30% não têm opinião.

- (iv) **Menos de metade** dos indivíduos inquiridos (29%) concorda ou concorda totalmente *que a Instituição está aberta às necessidades sociais de formação e propõe programas de ensino de livre acesso para públicos com baixos recursos económicos.* Cerca de 34% discorda ou discorda totalmente e 37% não tem opinião formada sobre este assunto.

c) Educação para o desenvolvimento

No que refere a este aspecto os indivíduos inquiridos manifestaram-se da forma seguinte:

- (i) Mais de metade dos indivíduos inquiridos (56%) concorda ou concorda totalmente *que a Instituição fomenta a abordagem e a aprendizagem sobre a realidade social e os problemas do desenvolvimento.* Pelo contrário 18% discordam ou discordam totalmente. Cerca de 26% não têm qualquer opinião.
- (ii) **Menos de metade** dos indivíduos inquiridos (45%) concorda ou concorda totalmente *que a Instituição se envolve na resolução dos problemas sociais do país.* Discordam ou discordam totalmente 30% e 25% não têm opinião sobre o assunto.
- (iv) **Menos de metade** dos indivíduos inquiridos (33%) concorda ou concorda totalmente *que os estudantes da Instituição participam (pelo menos uma vez) em projectos de desenvolvimento sustentado antes de se diplomarem.* Manifestam discordância ou discordam totalmente 18%. Quase metade dos inquiridos (49%) não tem opinião sobre este assunto.
- (v) **Menos de metade** dos indivíduos inquiridos (26%) concorda ou concorda totalmente *que a Instituição incute uma sensibilidade ambiental, e uma postura para a minimização dos impactes ambientais nos seus estudantes no seu quotidiano.* Quase um terço (33%) discorda ou discorda totalmente e 41% não têm opinião.
- (vi) Mais de metade dos indivíduos inquiridos (52%) concorda ou concorda totalmente *que a Instituição incute uma sensibilidade ambiental, e uma postura para a minimização dos impactes ambientais nos seus estudantes*

no seu quotidiano. Pelo contrário 29% discorda ou discorda totalmente. Não tem opinião sobre este assunto 19%.

Considerações no âmbito da Formação Académica Socialmente Responsável

No âmbito da formação académica socialmente responsável e de acordo com a opinião dos indivíduos inquiridos poder-se-á dizer que:

- 85% dos indivíduos inquiridos pensam *que os estudantes abordam matérias relacionadas com Ética, Responsabilidade Social e Desenvolvimento Sustentado*. Pelo contrário, 15% pensam que não;
- 56% dos indivíduos inquiridos pensam *que os estudantes participam nalgum projecto de desenvolvimento em colaboração com outros actores não universitários para a resolução de problemas sociais, como parte dos estudos, recorrendo aos seus conhecimentos, aferindo a sua atitude, e investigando para produzir novos conhecimentos*. Pensam o contrário 44%;
- 41% dos indivíduos inquiridos pensam *que os estudantes colaboram em algum projecto social ou ambiental directamente relacionado com a Instituição, para resolução de um problema concreto da mesma*. Pelo contrário 59% pensam que não;
- 44% dos indivíduos inquiridos pensam *que os estudantes trabalham em grupo com estudantes de outras especialidades, reconhecendo assim a necessidade de haver várias abordagens diferentes para ser possível a compreensão de algo ou resolver um problema complexo de modo inteligente*. Não concordam 56% dos inquiridos;
- 74% dos indivíduos inquiridos pensam *que os estudantes são sensíveis aos problemas sociais e ambientais e sabem o que fazer para participar na sua resolução*. Pelo contrário 26% pensam que não;
- 48% dos indivíduos inquiridos pensam *que os estudantes têm uma formação integral*. Pelo contrário 52% pensam que não;
- 63% dos indivíduos inquiridos pensam *que os estudantes compreendem o que é o Desenvolvimento Humano Sustentável (conhecem os objectivos da Declaração do Milénio)*. Pensam o contrário 37%.

Considerações no âmbito da Investigação Socialmente Útil e Gestão Social do Conhecimento

a) *Produção de conhecimento*

No âmbito deste aspecto a partir da opinião dos indivíduos inquiridos poder-se-á dizer o seguinte:

- (i) Mais de metade dos indivíduos inquiridos (52%) concorda ou concorda totalmente *que a Instituição possui linhas de investigação orientadas para a resolução de problemas da agenda do desenvolvimento sustentável*. Discordam ou discordam totalmente 22%. Mais de um quarto (26%) não tem opinião formada sobre o assunto.
- (ii) **Menos de metade** dos indivíduos inquiridos (26%) concorda *que a Instituição estabelece os temas de investigação após a consulta aos interesses dos grupos envolvidos*. Manifestam discordância ou discordância total 22%. Mais de metade (52%) não tem opinião nesta matéria.
- (iii) **Menos de metade** dos indivíduos inquiridos (44%) concorda ou concorda totalmente *que a Instituição promove a participação dos diversos departamentos nos projectos de investigação multidisciplinar*. Discordam ou discordam totalmente 30%. Mais de um quarto (26%) não têm opinião sobre este assunto.
- (iv) **Menos de metade** dos indivíduos inquiridos (33%) concorda *que a Instituição promove uma sensibilidade intercultural no diálogo dos investigadores com a comunidade para a definição e seguimento do processo de investigação*. Discordam ou discordam totalmente 22%. Não tem opinião 45%.
- (v) Mais de metade dos indivíduos inquiridos (55%) concorda ou concorda totalmente *que a Instituição durante a investigação disponibiliza processos de consulta com os utilizadores dos resultados, através de entrevistas, reuniões ou outras formas (Incentiva o desenvolvimento de formas novas e contínuas de diálogo entre os investigadores e outros agentes sociais)*. Pelo contrário, 26% discordam ou discordam totalmente. Não têm opinião sobre o assunto 19%.
- (vi) **Menos de metade** dos indivíduos inquiridos (47%) concorda ou concorda totalmente *que a Instituição permite aos envolvidos na investigação debater na sua avaliação final (resultados da investigação)*. Em oposição, 23%

discordam ou discordam totalmente. Mais de um quarto (30%) não tem opinião sobre esta temática.

(vii) **Menos de metade** dos indivíduos inquiridos (41%) concorda ou concorda totalmente *que a Instituição tem sempre presente o princípio da incerteza do conhecimento*. Discordam ou discordam totalmente 14%. Não tem opinião sobre este assunto 45%.

(viii) **Menos de metade** dos indivíduos inquiridos (33%) concorda *que a Instituição realiza os trabalhos de investigação alinhados com as grandes preocupações dos cidadãos e decisores, como por exemplo, a protecção do ambiente, a segurança dos alimentos e dos produtos químicos ou a segurança nuclear*. Discordam ou discordam totalmente 26% e 41% não têm opinião sobre esta temática.

(ix) Mais de metade dos indivíduos inquiridos (60%) concorda ou concorda totalmente *que a Instituição proporciona perspectivas de desenvolvimento de carreira favoráveis e uma imagem positiva da profissão de investigador*. Discordam ou discordam totalmente 14%. Mais de um quarto não tem opinião sobre o assunto.

b) Qualidade e pertinência social do conhecimento

Neste âmbito tendo presente as opiniões dos indivíduos inquiridos destaca-se o seguinte:

(i) **Menos de metade** dos indivíduos inquiridos (37%) concorda ou concorda totalmente *que a Instituição dispõe de instrumentos de avaliação da qualidade, recorrendo a normas internacionais*. Mais de um quarto (26%) discordam ou discordam totalmente *que a Instituição dispõe de instrumentos de avaliação da qualidade, recorrendo a normas internacionais*. Não têm opinião 37%.

(ii) **Menos de metade** dos indivíduos inquiridos (41%) concorda ou concorda totalmente *que a Instituição se Baseia em políticas de conhecimento definidas pela qualidade e pertinência social*. Discordam ou discordam totalmente 18%. Dizem não opinião 41%.

(iii) **Menos de metade** dos indivíduos inquiridos (40%) concorda ou concorda totalmente *que a Instituição estabelece alianças e sinergias com outros actores (organizações empresariais, Governo, etc.) para elaborar políticas*

de conhecimento, linhas de investigação e áreas de formação adequadas aos requisitos sociais. Discordam ou discordam totalmente 22%. Não possuem opinião sobre o assunto 38%.

(iv) Mais de metade dos indivíduos inquiridos (59%) concorda ou concorda em absoluto *que a Instituição se baseia em programas de apoio à ciência e tecnologia, para o seguimento das políticas públicas assim como a identificação e análise dos grandes temas da sociedade.* Discordam ou discordam em absoluto 15 %. Não tem opinião formada sobre o assunto 26%.

(v) **Menos de metade** dos indivíduos inquiridos (37%) concorda *que a Instituição dispõe de sistemas de promoção de investigação socialmente útil.* Discordam ou discordam totalmente 18%. Não tem opinião nesta matéria 45%.

(vi) **Menos de metade** dos indivíduos inquiridos (37%) concorda ou concorda em absoluto *que a Instituição intensifica a adaptação das actividades e política de investigação às necessidades da sociedade e toma em consideração as consequências sociais do progresso científico e tecnológico.* Discordam ou discordam totalmente 18%. Não tem opinião formada 45% dos inquiridos.

c) Gestão social do conhecimento

Em relação à Gestão social do conhecimento, pode-se resumir, de acordo com a informação constante dos questionários que:

(i) Mais de metade dos indivíduos inquiridos (59%) concorda ou concorda totalmente *que a Instituição promove e estimula a comunicação entre os investigadores e os decisores políticos.* Discordam ou discordam totalmente 11%. Dizem não ter opinião sobre este assunto 30%.

(ii) Mais de metade dos indivíduos inquiridos (63%) concorda ou concorda em absoluto *que a Instituição dispõe de meios específicos para a difusão e transferência de conhecimento.* Pelo contrário, 18% discordam ou discordam em absoluto. Não tem opinião 19%.

(iii) **Menos de metade** dos indivíduos inquiridos (45%) concorda ou concorda totalmente *que a Instituição desenvolve políticas activas de divulgação à*

comunidade das suas actividades e resultados da investigação. Discordam ou discordam totalmente 14%. Não tem opinião sobre o assunto 41%.

- (iv) **Menos de metade** dos indivíduos inquiridos (19%) concorda *que a Instituição procede ao inventário das necessidades (Inventaria as necessidades) de conhecimento pertinente dos grupos sociais mais desfavorecidos, promovendo investigação e acções.* Ao invés, 37% discorda ou discorda em absoluto. Não tem opinião formada sobre o assunto 44%.

d) Transdisciplinaridade e investigação

No âmbito da transdisciplinaridade e investigação a análise dos dados resultantes do questionários permite dizer que:

- (i) **Menos de metade** dos indivíduos inquiridos (45%) concorda ou concorda totalmente *que a Instituição promove a investigação interdisciplinar em relação aos problemas pluridisciplinares.* Pelo contrário, 26% discordam ou discordam totalmente. Dizem não ter opinião 29%.
- (ii) Mais de metade dos indivíduos inquiridos (56%) concorda ou concorda totalmente *que a Instituição possibilita, nas equipas interdisciplinares de investigação, uma estrutura social incorporando actores universitários, não universitários, empresários, outros.* Discordam ou discordam totalmente 22%. Não manifestam opinião sobre o assunto 22%.
- (iii) **Menos de metade** dos indivíduos inquiridos (41%) concorda ou concorda totalmente *que a Instituição fomenta e reforça a inovação, a interdisciplinaridade e a transdisciplinaridade nos seus programas de estudo e investigação, assentando as orientações a longo prazo nos objectivos e necessidades sociais e culturais.* Pelo contrário, 26% discorda ou discorda em absoluto. Não tem opinião 33%.
- (iv) Mais de metade dos indivíduos inquiridos (52%) concordam ou concordam em absoluto *que a Instituição proporciona (e motiva) uma atitude interdisciplinar aos docentes e investigadores.* Contrariamente, 22% discordam ou discordam totalmente. Manifestam-se sem opinião 26% dos inquiridos.
- (v) **Menos de metade** dos indivíduos inquiridos (40%) concorda ou concorda totalmente *que a Instituição proporciona os meios adequados para comunicação entre pares sobre projectos em desenvolvimento entre*

disciplinas, investigadores, autoridades e sociedade. Discordam ou discordam totalmente 26%. Não tem opinião 34%.

- (vi) **Menos de metade** dos indivíduos inquiridos (33%) concorda ou concorda em absoluto *que a Instituição disponibiliza recursos para o fortalecimento de competências específicas de liderança e coordenação de equipas interdisciplinares*. Pelo contrário, 26% discordam ou discordam em absoluto. Não têm opinião 41% dos inquiridos.
- (vii) Mais de metade dos indivíduos inquiridos (51%) concorda ou concorda totalmente *que a Instituição cultiva e recompensa activamente a apreciação mútua e o reconhecimento da necessidade interdisciplinar*. Ao invés, 23% discorda ou discorda em absoluto. Não têm opinião, sobre o assunto, 26%.
- (viii) **Menos de metade** dos indivíduos inquiridos (40%) concorda ou concorda totalmente *que a Instituição alterou de forma significativa o ambiente da investigação e da política de investigação na Instituição devido ao projecto de Espaço Europeu da Investigação*. Discordam ou discordam totalmente 19%. Não tem opinião sobre o assunto 41%.

e) Ligação entre investigação e ensino

Em relação à ligação entre investigação e ensino, de acordo com a análise ao resultado das respostas dos indivíduos inquiridos, pode dizer-se que:

- (i) **Menos de metade** dos indivíduos inquiridos (41%) concorda ou concorda totalmente *que a Instituição promove a incorporação permanente de resultados de investigação, estudos de caso e metodologias nas unidades curriculares e na formação de docentes*. 29% discordam e 30% não tem opinião.
- (ii) Mais de metade dos indivíduos inquiridos (52%) concorda ou concorda totalmente *que a Instituição promove a incorporação permanente de resultados de investigação, estudos de caso e metodologias nos currículos da formação dos estudantes*. Pelo contrário, 22% discorda. Não tem opinião formada neste assunto 26% dos inquiridos.
- (iii) **Menos de metade** dos indivíduos inquiridos (48%) concorda ou concorda totalmente *que a Instituição facilita a relação entre os centros de investigação e os centros de ensino (departamentos/Faculdades nas*

Instituições de Ensino Superior). Cerca de 22% discorda ou discorda totalmente e 30% não tem opinião.

- (iv) **Menos de metade** dos inquiridos (30%) concorda ou concorda totalmente *que a Instituição facilita a relação fluida entre os departamentos de investigação e os de formação académica*. Contrariamente, 23% discorda ou discorda em absoluto. Não tem opinião 47%.
- (v) **Menos de metade** dos inquiridos (30%) concorda ou concorda em absoluto *que a Instituição facilita a relação fluida entre os departamentos de investigação e os de formação académica*. Ao invés, 26% discorda ou discorda totalmente. Não tem opinião sobre o assunto 44%.

f) Ética da ciência

No que se refere à temática da Ética da ciência e de acordo com as respostas ao questionário, pode dizer-se que:

- (i) **Menos de metade** dos indivíduos inquiridos (41%) concorda ou concorda totalmente *que a Instituição promove um Código de Ética da Ciência e dos cientistas, assim como a monitorização da actividade científica*. discordam ou discordam em absoluto 22%. Não tem opinião formada sobre este assunto 37%.
- (ii) **Menos de metade** dos indivíduos inquiridos (37%) concorda *que a Instituição monitoriza a formação académica de modo a que não se crie lacunas entre os valores morais e os factos científicos*. Pelo contrário, 11% discorda ou discorda totalmente. Mais de metade (52%) não tem opinião sobre o assunto.
- (iii) **Menos de metade** dos indivíduos inquiridos (33%) concorda *que a Instituição inclui nos programas de estudo a ética da ciência, assim como uma formação relacionada com a história e a filosofia da ciência e suas repercussões culturais*. Discordam ou discordam totalmente 37%. Não tem opinião 30%.
- (iv) **Menos de metade** dos indivíduos inquiridos (41%) concorda ou concorda totalmente *que a Instituição preserva e desenvolve a sua função, submetendo todas as suas actividades às exigências da ética e do rigor científico e intelectual*. Não concordam ou discordam totalmente 19%. Manifestam não ter opinião 40% dos inquiridos.

- (v) **Menos de metade** dos indivíduos inquiridos (37%) concorda *que a Instituição desenvolve estudos e investiga no âmbito das dimensões éticas das Tecnologias da Informação e Comunicação*. Mais de metade (55%) não tem opinião sobre este assunto e 8% discorda ou discorda totalmente.
- (vi) Mais de metade dos indivíduos inquiridos (55%) concorda ou concorda totalmente *que a Instituição realiza as actividades de investigação respeitando os princípios éticos, incluindo os que se reflectem na Carta dos Direitos Fundamentais da União Europeia*. Discordam ou discordam totalmente 8% e 37% dos inquiridos não tem qualquer opinião.

Considerações diversas

Em relação à questão colocada - *se a Instituição dispõe de uma estrutura de custos definida, no caso de pretender candidatar-se a um financiamento através do Sétimo Programa-Quadro (7PQ) (2007-2013), da União Europeia, para investigação e desenvolvimento tecnológico, por exemplo* - só 78% dos indivíduos inquiridos respondeu. E destes, 86% consideram que sim, que a sua Instituição tem uma estrutura de custos definida. Os restantes, 14%, pensam que não. Quando questionados se a estrutura de custos foi auditada, só responderam 59% dos inquiridos, e destes, 75% consideram que sim, os restantes 25% pensam que não.

Antes de terminar convém referir que, estão implícitos no questionário utilizado no estudo efectuado, dois conceitos que devemos distinguir, o conceito de Responsabilidade Social e o conceito de Desenvolvimento Sustentável, os quais podem, eventualmente, ser confundidos.

O conceito de Desenvolvimento Sustentável foi definido em 1987 pela Comissão Brundtland como «o desenvolvimento que satisfaz as necessidades do presente sem comprometer a capacidade das gerações futuras satisfazerem as suas necessidades».

O conceito de Responsabilidade Social das organizações em geral relaciona-se com o contributo voluntário das organizações, como vimos anteriormente neste trabalho, para alcançar os objectivos do Desenvolvimento Sustentável. Manifesta-se quando as organizações se preocupam em desenvolver a sua actividade promovendo, simultaneamente, uma sociedade mais justa e um ambiente mais limpo. A contribuição das organizações é, muitas vezes, realizada através da adopção de uma política de Responsabilidade Social e de um conjunto de instrumentos de gestão que permitem que

a organização seja gerida tendo em consideração os seus aspectos económico-financeiros, sociais e ambientais. Esta nova filosofia de gestão das organizações pressupõe um alargamento das responsabilidades, tradicionalmente centradas na vertente económico-financeira, e agora alargadas para as dimensões sociais e ambientais.

A compreensão do conceito de Responsabilidade Social das organizações pressupõe o entendimento de dois pressupostos que a fundamentam: o primeiro diz respeito à natureza voluntária da Responsabilidade Social, ou seja, à inexistência de obrigatoriedade legal para a adopção de um sistema de responsabilidade social. Neste âmbito as organizações, em particular as Instituições de Ensino Superior, que decidam integrar os princípios da Responsabilidade Social nas suas práticas de gestão em todas as suas actividades, fazem-no de forma voluntária, como forma de contribuírem para uma sociedade mais justa e mais equilibrada e para uma gestão mais adequada às exigências e aos riscos que estão hoje expostas. A implementação destas práticas conduz, frequentemente, à criação de mais valias económicas para a própria organização, podendo ainda ser foco de diferenciação face a outras organizações, tornando-se, por isso, numa vantagem competitiva. O segundo princípio fundamental – a Responsabilidade Social não substitui o cumprimento da legislação – antes a completa e desenvolve, é, um acréscimo aos documentos legais existentes e, portanto, nunca os poderá substituir.

Outra das clarificações que se torna necessário fazer é a definição de ética. A ética refere-se ao conjunto de princípios que regem a conduta humana a nível pessoal ou profissional, como foi referido anteriormente neste trabalho. Assim, a ética é um conceito subjacente à Responsabilidade Social. Não é possível implementar os critérios de Responsabilidade Social, sem que haja ética nas actividades das organizações (ensino, investigação, comércio, etc.). Neste sentido, é importante a adopção de um Código de Ética, em particular um Código de Ética da Ciência e dos cientistas nas Instituições de Ensino Superior e investigação científica, que visa ser um instrumento orientador da sua conduta tanto a nível interno como na relação e interacção com o seu público ou públicos e parceiros.

Por exemplo, na Carta Europeia do Investigador¹¹, no âmbito dos Princípios éticos, é referido que: *«Os investigadores devem aderir às práticas éticas e aos princípios éticos fundamentais reconhecidos e adequados à(s) sua(s) disciplina(s), bem como às normas éticas documentadas nos diferentes códigos de ética nacionais, sectoriais ou institucionais, p.12»*. Por outro lado, aquela Carta também refere que é fundamental utilizar Boas práticas em investigação, ou seja: *«Os investigadores devem sempre adoptar práticas de trabalho seguras, consentâneas com a legislação nacional, e nomeadamente tomar todas as precauções necessárias para fins sanitários e de segurança e para a recuperação da informação em caso de desastres informáticos, por exemplo, preparando estratégias adequadas relativamente a cópias de segurança. Devem também ter conhecimento dos requisitos legais nacionais em vigor relativos à protecção dos dados e da confidencialidade e tomar as medidas necessárias para lhes dar sempre cumprimento, p.14»*.

Como se viu em muitas questões, nomeadamente, nos âmbitos da Participação Social Responsável e da Investigação Socialmente Útil e Gestão Social do Conhecimento os indivíduos inquiridos disseram (em percentagens significativas) que não tinham opinião, concluindo-se que as questões para as pessoas ainda são muito vagas, daí que, estes conceitos sejam uma novidade. Mendonça & Ganilho (2008) numa comunicação apresentada no Congresso «Modelos de Gestão e Governação do Ensino Superior», realizado na Universidade de Coimbra, consideravam mesmo a Responsabilidade Social como um desafio para a Qualidade do Ensino Superior.

¹¹ Comissão Europeia (2005), Carta Europeia do Investigador - Código de Conduta para o Recrutamento de Investigadores, Comissão Europeia, Bélgica, ISBN 92-894-9318-6. Pode ter interesse a consulta de: *Euraxess Researchers in Motion*, disponível em, <http://ec.europa.eu/euraxess>.

Apêndices

Apêndice 1

Questionário

1. Introdução

Com o questionário que ora se apresenta pretende-se obter informação, acerca de Instituições de Ensino Superior, cujo contributo se destina à obtenção de um grau de doutoramento com impacte na melhoria do Sistema de Ensino Superior.

A investigação em causa pretende conhecer os aspectos positivos e as boas práticas empreendidas pelas Instituições, bem como, identificar aspectos menos positivos que possam ser objecto de acções de melhoria.

No ponto 2 refere-se algumas orientações, que serão úteis, para responder às questões colocadas.

Antecipadamente, agradece-se a colaboração, pois é de extrema importância, dado que, sem esta, a investigação atrás referida não poderá ser concluído.

2. Instruções para preenchimento do questionário

O questionário é composto por seis módulos conforme se refere a seguir:

- **Módulo A** - Gestão ética e qualidade de vida na Instituição (cinco grupos de questões: **A1, A2, A3, A4, A5 e A6**);
- **Módulo B** - Gestão ambiental responsável (três grupos de questões: **B1, B2 e B3**);
- **Módulo C** - Participação Social Responsável (três grupos de questões: **C1, C2 e C3**);
- **Módulo D** - Formação académica socialmente responsável (um grupo de questões: **D1**);
- **Módulo E** - Investigação socialmente útil e gestão social do conhecimento (seis grupos de questões: **E1, E2, E3, E4, E5 e E6**).
- **Módulo F** – Informação diversa.

Nos grupos de questões **A1, A2, A3, A4, A5, A6, B1 e B2** dever-se-á **escolher uma, e uma só**, das opções de cada grupo que seja a mais consentânea com a realidade da Instituição.

Nos grupos de questões **B3** e **D1** a opção será «**Sim**» ou «**Não**» conforme o caso.

Nos grupos **C1**, **C2**, **C3**, **E1**, **E2**, **E3**, **E4**, **E5** e **E6** deverá ser escolhida a opção que seja a mais adequada tendo em conta que:

5 – Concorda totalmente

4 – Concorda

3 – Sem opinião

2 – Discorda

1 – Discorda totalmente

No módulo **F** - informação diversa – no grupo **F1**, **F2**, **F3**, **F4** e **F5** deverá ser escolhida a opção que está de acordo com a situação do inquirido. A questão **F6** tem duas opções «**Sim**» ou «**Não**».

Em **F7** – observações -, poderá o inquirido, se assim o entender, acrescentar, complementar, comentar ou relatar algum ou alguns aspectos que considere pertinente(s) no âmbito da Instituição, do Sistema de Ensino, do trabalho, de algum episódio positivo ou negativo ocorrido, dos receios face às alterações que se perspectivam decorrentes, por exemplo, dos Relatórios Internacionais da OCDE¹² e da ENQA¹³, financiamento e autonomia da Instituição, mobilidade de docentes e estudantes, acordos com Instituições Universitárias Internacionais (Universidade *Carnegie Mellon* (CMU), Universidade do Texas em *Austin* (UTAustin), *Massachusetts Institute of Technology* (MIT), etc.; vantagens e desvantagens), a possibilidade de transformação de uma instituição em fundação pública com regime de direito privado, etc.

¹² Organização de Cooperação e de Desenvolvimento Económico

¹³ *European Association for Quality Assurance in Higher Education*

A - Gestão Ética e Qualidade de Vida na Instituição

A1	<i>Adopção de princípios éticos – neste âmbito a Instituição:</i>
A1.1	Nunca abordou este assunto ou, pensa que este não lhe é aplicável (não é relevante).
A1.2	Formalizou os seus valores numa declaração de princípios, mas estão pouco incorporados aos processos de trabalho e às atitudes/comportamento das pessoas.
A1.3	Tem os valores e princípios documentados e conta com um processo de difusão sistemático centrado no público interno a cargo de pessoa ou área responsável.
A1.4	Possui um código de ética (conduta) e tem um programa de orientação e treino para os colaboradores de todos os níveis hierárquicos, assim como para docentes e estudantes, para garantir que os valores e princípios estejam incorporados nos processos de trabalho e às atitudes/comportamento das pessoas. E essas acções estão formalmente a cargo de uma pessoa ou área responsável.
A1.5	No seu código de ética (de conduta) prevê a participação dos membros da comunidade académica (docentes, estudantes, colaboradores não docentes), assim como as principais partes interessadas na sua elaboração e revisão e é submetido a controlo e auditoria periódicos. E a responsabilidade dessas acções está formalmente a cargo de uma equipa multidisciplinar.

A1.1 ☐A1.2 ☐A1.3 ☐A1.4 ☐A1.5 ☐

A2	<i>Boas Práticas Laborais - no que se refere este aspecto a Instituição:</i>
A2.1	Nunca abordou este assunto ou, considera que este não lhe é aplicável (não é relevante).
A2.2	Possui políticas de selecção e avaliação de fornecedores e parceiros, conhecidas pelas partes envolvidas e baseadas apenas em factores como a qualidade, o preço e o prazo.
A2.3	Possui normas conhecidas de selecção e avaliação de fornecedores que contemplam critérios e exigências relativas ao cumprimento da legislação laboral, fiscal e outra aplicável.
A2.4	Para além de critérios básicos de cumprimento da legislação, as suas normas de selecção e avaliação de fornecedores incluem critérios específicos de responsabilidade social, como a proibição do trabalho infantil, relações de trabalho adequadas e adopção de normas ambientais.
A2.5	Além dos critérios descritos anteriormente, estimula que os seus fornecedores reproduzam, por sua vez, as suas exigências quanto à Responsabilidade Social para com os seus respectivos fornecedores, e que esses critérios são monitorizados periodicamente.

A2.1 ☐A2.2 ☐A2.3 ☐A2.4 ☐A2.5 ☐

A3	<i>Gestão Participada – nesta matéria a Instituição:</i>
A3.1	Nunca abordou este assunto ou, pensa que este não lhe é aplicável (não é relevante).
A3.2	Disponibiliza informação ¹⁴ (histórico, missão, visão, políticas, organigrama, etc.) e treina (no momento da admissão, em programas de integração, seminários e palestras sobre novas políticas e estratégias, etc.) os colaboradores para que a possam compreender e analisar.
A3.3	Além disso, disponibiliza informação económico-financeira sobre a Instituição aos seus colaboradores.
A3.4	Para além do que foi referido nos dois pontos anteriores, tem um processo estruturado de discussão e análise da informação económico-financeira com os seus colaboradores com o objectivo de os preparar para participarem na gestão ou nas decisões estratégicas apresentando informação importante para a gestão de riscos e oportunidades.
A3.5	Promove a participação activa dos representantes dos colaboradores, nos comités/comissões de gestão ou nas decisões estratégicas e há uma comunicação regular com os elementos de governo da Instituição.

A3.1 ☐A3.2 ☐A3.3 ☐A3.4 ☐A3.5 ☐

¹⁴ Sobre a Instituição.

A - Gestão Ética e Qualidade de Vida na Instituição

Continuação

A4	<i>Competências dos colaboradores - neste âmbito a Instituição:</i>
A4.1	Nunca abordou este assunto ou, pensa que este não lhe é aplicável (não é relevante).
A4.2	Promove actividades de treino específico, centradas no desenvolvimento de tarefas específicas para os docentes e também para os colaboradores não docentes.
A4.3	Mantém actividades sistemáticas de desenvolvimento e formação, visando o aperfeiçoamento contínuo de todos os seus colaboradores (docentes e não docentes), considerando a aplicabilidade na sua função actual, e se utiliza o seu corpo docente para essa formação quando seja possível.
A4.4	Para além de promover a formação contínua, oferece bolsas de estudo ou similares para a aquisição de conhecimentos com impacte positivo na colocação dos seus colaboradores (docentes e não docentes), independentemente da aplicabilidade na sua função actual. E facilita a mobilidade docente financiando a presença noutras Universidades.
A4.5	Em todos os níveis hierárquicos, promove a formação contínua e oferece bolsas de estudo ou similares para a aquisição de conhecimentos, com impacte positivo na colocação dos seus colaboradores (docentes e não docentes), independentemente da aplicabilidade na sua função actual.

A4.1 ☐A4.2 ☐A4.3 ☐A4.4 ☐A4.5 ☐

A5	<i>Marketing Responsável - neste aspecto a Instituição:</i>
A5.1	Nunca abordou este assunto ou, pensa que este não lhe é aplicável (não é relevante).
A5.2	Tem uma política formal de comunicação alinhada com os seus princípios e valores, abarcando todo o seu material de comunicação, externo e interno. E realiza análises prévias do material publicitário para verificar a conformidade com os seus valores éticos e com a legislação em vigor.
A5.3	Para além de ter uma política de comunicação alinhada com os seus princípios e valores, procura utilizar as suas campanhas de marketing para promover diversos temas de Responsabilidade Social de utilidade pública.
A5.4	Para além do que se referiu nos pontos anteriores, procura estimular a comunicação com públicos especializados (organizações empresariais, associações profissionais, administração pública ¹⁵ , diplomados, outras instituições de ensino, etc.) e esclarecer aspectos inovadores ou genuínos dos serviços que oferece, dando a conhecer a sua especificidade.
A5.5	Tem consciência de que, para além de ter uma política de comunicação regida por princípios éticos e dirigida a determinados públicos, desenvolve associações estratégicas com organizações empresariais e outras organizações, fornecedores, outras instituições de ensino superior, entidades públicas, organizações internacionais, etc., para criar correntes de opinião a favor de uma cultura de Responsabilidade Social.

A5.1 ☐A5.2 ☐A5.3 ☐A5.4 ☐A5.5 ☐

¹⁵ Entendida, em Portugal, como Administração Pública Central, Regional ou Local.

A - Gestão Ética e Qualidade de Vida na Instituição

Continuação

A6	<i>Saúde, Segurança e Condições de Trabalho - neste aspecto a Instituição:</i>
A6.1	Nunca abordou este assunto ou, pensa que este não lhe é aplicável (não é relevante).
A6.2	Cumpr rigorosamente as obrigações legais e tem planos e metas para alcançar padrões de excelência em matéria de saúde, segurança e condições de trabalho.
A6.3	Possui indicadores para monitorizar os planos e metas para ultrapassar os padrões de excelência em matéria de saúde, segurança e condições de trabalho.
A6.4	Para além do que se referiu nos pontos anteriores, desenvolve campanhas regulares de consciencialização e investiga o nível de satisfação dos colaboradores (docentes, administrativos, etc.) em relação à temática, evidenciando as áreas críticas.
A6.5	Além de desenvolver campanhas e investigar (o nível de satisfação dos colaboradores), as metas e indicadores de desempenho relacionados com as condições de trabalho, saúde e segurança são definidas com a participação dos colaboradores, incluídas no planeamento estratégico e divulgados amplamente.

A6.1 ☐A6.2 ☐A6.3 ☐A6.4 ☐A6.5 ☐

B. Gestão Ambiental Responsável

B1	<i>Gestão ambiental - neste âmbito a Instituição:</i>
B1.1	Nunca abordou este assunto ou, pensa que este não lhe diz respeito (não é relevante).
B1.2	Cumpr rigorosamente os parâmetros e requisitos exigidos pela legislação, reconhece que tem um impacte ambiental e desenvolve programas internos de melhoria ambiental.
B1.3	Para além do que foi referido no ponto anterior, estabelece políticas preventivas e possui um sector/departamento responsável pelos assuntos ambientais em articulação com o governo da Instituição. E dispõe de investigadores que se especializaram na área ambiental e sugerem alterações institucionais.
B1.4	Trata das questões ambientais como tema transversal da sua estrutura organizacional e inclui-a no planeamento estratégico, assim como nos currículos dos cursos ministrados. E estabelece orientações de investigação dedicadas ao estudo do seu impacte ambiental e publica um balanço social sobre o seu desempenho ambiental.
B1.5	Considera o tema ambiental como um eixo da sua administração, selecciona e capacita os seus fornecedores no tema. Alcançou a certificação ambiental (por exemplo de acordo com a série de normas ISO 14000) e o seu sistema de gestão ambiental permite-lhe um alto nível de sustentabilidade que abarque toda a comunidade universitária por estar integrado nas actividades pedagógicas. E também a Instituição reconhece-se como «amiga» do ambiente.

B1.1 ☐B1.2 ☐B1.3 ☐B1.4 ☐B1.5 ☐

B2	<i>Educação ambiental - em relação a este aspecto a Instituição:</i>
B2.1	Nunca abordou este assunto ou, pensa que este não lhe diz respeito (não é relevante).
B2.2	Desenvolve pontualmente acções de educação ambiental e treino sobre esta temática para os seus colaboradores.
B2.3	Desenvolve sistematicamente actividades de educação ambiental centradas no público interno (docentes, colaboradores não docentes e estudantes) oferecendo informação, fomentando a sensibilidade ecológica e promovendo a discussão. E inclui a temática nos currículos das disciplinas afins.
B2.4	Para além de campanhas internas, desenvolve campanhas de consciencialização e de educação ambiental dirigidas a familiares de colaboradores e a certas comunidades da envolvente, oferecendo investigação ambiental e soluções técnicas para problemas ecológicos. Introduce o tema ambiental em todos os cursos de cultura geral.
B2.5	Para além de desenvolver campanhas, participa ou apoia projectos educativos em associação com organizações ambientais credíveis e entidades escolares.

B2.1 ☐B2.2 ☐B2.3 ☐B2.4 ☐B2.5 ☐

B. Gestão Ambiental Responsável

Continuação

B3	Atitude ecológica - neste âmbito a Instituição:	Sim	Não
B3.1	Tem uma política de poupança de água?		
B3.2	Tem uma política de poupança de energia?		
B3.3	Tem uma política de reciclagem?		
B3.4	Tem uma política de tratamento de resíduos?		
B3.5	Promove o recurso a energias renováveis (painéis solares para aquecimento de águas, painéis fotovoltaicos, etc.)?		

C. Participação Social Responsável

C1	Em relação com os actores sociais a Instituição:	1	2	3	4	5
C1.1	Preocupa-se com os problemas sociais e tem uma política institucional activa como agente activo do desenvolvimento humano sustentável do país.					
C1.2	Mantém relações estreitas com actores-chave do desenvolvimento social (Estado, ONG's, organizações internacionais, organizações empresariais).					
C1.3	Organiza foros e actividades nos quais participam pessoas e personalidades externas à Instituição (uma política de Instituição aberta à sociedade).					
C1.4	Participa na discussão de temas de desenvolvimento a nível local, nacional, internacional.					
C1.5	Mantém um contacto com os seus diplomados a fim de obter informação estratégica sobre o mercado laboral e social do país.					
C1.6	Investiga as necessidades sociais não satisfeitas relacionadas com as especialidades que oferece.					
C1.7	Participa em redes de desenvolvimento com outras Instituições para a resolução de problemas sociais.					
C2	Em relação à acessibilidade social a Instituição:	1	2	3	4	5
C2.1	Caracteriza-se por oferecer aos docentes e estudantes oportunidades de interacção com diversos sectores sociais.					
C2.2	No seu <i>campus</i> possibilita a presença de pessoas de diferentes condições sociais, religião, etc.					
C2.3	Mantém uma quota para estudantes de baixos recursos com bolsas.					
C2.4	Está aberta às necessidades sociais de formação e propõe programas de ensino de livre acesso para públicos com baixos recursos económicos.					
C3	Em matéria de Educação para o desenvolvimento a Instituição:	1	2	3	4	5
C3.1	Fomenta a abordagem e a aprendizagem sobre a realidade social e os problemas do desenvolvimento.					
C3.2	Envolve-se na resolução dos problemas sociais do país.					
C3.3	Os seus diplomados, enquanto estudantes, participam (pelo menos uma vez) em projectos de desenvolvimento sustentado.					
C3.4	Incute uma sensibilidade ambiental, e uma postura para a minimização dos impactes ambientais nos seus estudantes no seu quotidiano.					
C3.5	Incute uma sensibilidade social para o desenvolvimento sustentável.					

D. Formação Académica Socialmente Responsável

D1	No âmbito da formação académica socialmente responsável os estudantes:	Sim	Não
D1.1	Abordam matérias relacionadas com Ética, Responsabilidade Social e Desenvolvimento Sustentado.		
D1.2	Participam nalgum projecto de desenvolvimento em colaboração com outros actores não universitários para a resolução de problemas sociais, como parte dos estudos, recorrendo aos seus conhecimentos, aferindo a sua atitude, e investigando para produzir novos conhecimentos.		
D1.3	Colaboram nalgum projecto social ou ambiental directamente relacionado com a Instituição, para resolução de um problema concreto da mesma.		
D1.4	Trabalham em grupo com estudantes de outras especialidades, reconhecendo assim a necessidade de haver várias abordagens diferentes para ser possível a compreensão de algo ou resolver um problema complexo de modo inteligente.		
D1.5	São sensíveis aos problemas sociais e ambientais e sabem o que fazer para participar na sua resolução.		
D1.6	Têm uma formação integral.		
D1.7	Compreendem o que é o Desenvolvimento Humano Sustentável (conhecem os objectivos da Declaração do Milénio).		

E. Investigação Socialmente Útil e Gestão Social do Conhecimento

E1	Sobre a produção de conhecimento a Instituição:	1	2	3	4	5
E1.1	Possui linhas de investigação orientadas para a resolução de problemas da agenda do desenvolvimento sustentável.					
E1.2	Estabelece os temas de investigação após a consulta aos interesses dos grupos envolvidos.					
E1.3	Promove a participação dos diversos departamentos nos projectos de investigação multidisciplinar.					
E1.4	Promove uma sensibilidade intercultural no diálogo dos investigadores com a comunidade para a definição e seguimento do processo de investigação.					
E1.5	Durante a investigação disponibiliza processos de consulta com os utilizadores dos resultados, através de entrevistas, reuniões ou outras formas (Incentiva o desenvolvimento de formas novas e contínuas de diálogo entre os investigadores e outros agentes sociais).					
E1.6	Permite aos envolvidos na investigação debater na sua avaliação final (resultados da investigação).					
E1.7	Tem sempre presente o princípio da incerteza do conhecimento.					
E1.8	Realiza os trabalhos de investigação alinhados com as grandes preocupações dos cidadãos e decisores, como por exemplo, a protecção do ambiente, a segurança dos alimentos e dos produtos químicos ou a segurança nuclear.					
E1.9	Proporciona perspectivas de desenvolvimento de carreira favoráveis e uma imagem positiva da profissão de investigador.					

E. Investigação Socialmente Útil e Gestão Social do Conhecimento
Continuação

E2	<i>No que concerne à Qualidade e pertinência social do conhecimento a Instituição:</i>	1	2	3	4	5
E2.1	Dispõe de instrumentos de avaliação da qualidade, recorrendo a normas internacionais.					
E2.2	Baseia-se em políticas de conhecimento definidas pela qualidade e pertinência social.					
E2.3	Estabelece alianças e sinergias com outros actores (organizações empresariais, Governo, etc.) para elaborar políticas de conhecimento, linhas de investigação e áreas de formação adequadas aos requisitos sociais.					
E2.4	Baseia-se em programas de apoio à ciência e tecnologia, para o seguimento das políticas públicas assim como a identificação e análise dos grandes temas da sociedade.					
E2.5	Dispõe de sistemas de promoção de investigação socialmente útil.					
E2.6	Intensifica a adaptação das actividades e política de investigação às necessidades da sociedade e toma em consideração as consequências sociais do progresso científico e tecnológico.					
E3	<i>Em matéria de gestão social do conhecimento a Instituição:</i>	1	2	3	4	5
E3.1	Promove e estimula a comunicação entre os investigadores e os decisores políticos.					
E3.2	Dispõe de meios específicos para a difusão e transferência de conhecimento.					
E3.3	Desenvolve políticas activas de divulgação à comunidade das suas actividades e resultados da investigação.					
E3.4	Procede ao inventário das necessidades (Inventaria as necessidades) de conhecimento pertinente dos grupos sociais mais desfavorecidos, promovendo investigação e acções.					

E. Investigação Socialmente Útil e Gestão Social do Conhecimento
Continuação

E4	<i>No que se refere à transdisciplinaridade e investigação a Instituição:</i>	1	2	3	4	5
E4.1	Promove a investigação interdisciplinar em relação aos problemas pluridisciplinares.					
E4.2	Possibilita, nas equipas interdisciplinares de investigação, uma estrutura social incorporando actores universitários, não universitários, empresários, outros.					
E4.3	Fomenta e reforça a inovação, a interdisciplinaridade e a transdisciplinaridade nos seus programas de estudo e investigação, assentando as orientações a longo prazo nos objectivos e necessidades sociais e culturais.					
E4.4	Proporciona (e motiva) uma atitude interdisciplinar aos docentes e investigadores.					
E4.5	Proporciona os meios adequados para comunicação entre pares sobre projectos em desenvolvimento entre disciplinas, investigadores, autoridades e sociedade.					
E4.6	Disponibiliza recursos para o fortalecimento de competências específicas de liderança e coordenação de equipas interdisciplinares.					
E4.7	Cultiva e recompensa activamente a apreciação mútua e o reconhecimento da necessidade interdisciplinar.					
E4.8	Alterou de forma significativa o ambiente da investigação e da política de investigação na Instituição devido ao projecto de Espaço Europeu da Investigação.					
E5	<i>No âmbito da ligação entre investigação e ensino a Instituição:</i>	1	2	3	4	5
E5.1	Promove a incorporação permanente de resultados de investigação, estudos de caso e metodologias nas unidades curriculares e na formação de docentes.					
E5.2	Promove a incorporação permanente de resultados de investigação, estudos de caso e metodologias nos currículos da formação dos estudantes.					
E5.3	Incorpora, sistematicamente, nos projectos e programa de investigação os estudantes, e reconhece o trabalho destes.					
E5.4	Facilita a relação fluida entre os departamentos de investigação e os de formação académica.					
E5.5	Facilita a relação entre os centros de investigação e os centros de ensino (departamentos/Faculdades nas Instituições de Ensino Superior).					

E. Investigação Socialmente Útil e Gestão Social do Conhecimento
Continuação

E6	<i>Em relação à ética da ciência a Instituição:</i>	1	2	3	4	5
E6.1	Promove um Código de Ética da Ciência e dos cientistas, assim como a monitorização da actividade científica.					
E6.2	Monitoriza a formação académica de modo a que não se crie lacunas entre os valores morais e os factos científicos.					
E6.3	Inclui nos programas de estudo a ética da ciência, assim como uma formação relacionada com a história e a filosofia da ciência e suas repercussões culturais.					
E6.4	Preserva e desenvolve a sua função, submetendo todas as suas actividades às exigências da ética e do rigor científico e intelectual.					
E6.5	Desenvolve estudos e investiga no âmbito das dimensões éticas das Tecnologias da Informação e Comunicação.					
E6.6	Realiza as actividades de investigação respeitando os princípios éticos, incluindo os que se reflectem na Carta dos Direitos Fundamentais da União Europeia.					

F – Informação Diversa

F1 - A Instituição a que pertence está englobada:

F1.1 No Ensino Superior Universitário (Universidades, Institutos Universitários e outras Instituições de ensino universitário)

☐

F1.2 No Ensino Superior Politécnico (Institutos Politécnicos e outras Instituições de ensino politécnico)

☐

F2 - E insere-se:

F2.1 No Ensino Superior Público (Instituições pertencentes ao Estado e pelas Fundações por ele instituídas)

☐

F2.2 No Ensino Superior Privado (Instituições pertencentes a entidades particulares e cooperativas)

☐

F3 – O cargo que ocupa:

F3.1 Docência

☐

F3.2 Investigação

☐

F3.3 Administração

☐

F3.4 Coordenação/Direcção

☐

F3.5 Outro

☐

Qual?

F4 – Sexo:

Masculino

☐

Feminino

☐

F5 – Idade:

≤25

☐

26-35

☐

36-45

☐

46-55

☐

56-65

☐

>66

☐

F6 – Estrutura de Custos

Se a Instituição pretender candidatar-se a um financiamento através do Sétimo Programa-Quadro (7PQ) (2007-2013), da União Europeia, para investigação e desenvolvimento tecnológico, por exemplo, tem a sua estrutura de custos definida?

Sim

☐

Não

☐Se sim, essa estrutura de custos foi auditada?

Sim

☐

Não

☐

F7 – Observações¹⁶ (se necessário anexar uma ou mais folhas)

Muito obrigado pela colaboração prestada

¹⁶ Como foi referido no ponto 2, poderá complementar, acrescentar, relatar ou comentar algum ou alguns aspectos que considere pertinente(s) no âmbito da Instituição em que se encontra, do Sistema de Ensino, do trabalho, de algum episódio positivo ou negativo ocorrido, dos receios face às alterações que se perspectivam decorrentes, por exemplo, das recomendações contidas nos Relatórios Internacionais da OCDE¹⁶ e da ENQA¹⁶, financiamento e autonomia da Instituição, mobilidade de docentes e estudantes, acordos com Instituições Universitárias Internacionais (Universidade *Carnegie Mellon* (CMU), Universidade do Texas em *Austin* (UTAustin), *Massachusetts Institute of Technology* (MIT), etc.; vantagens e desvantagens), a possibilidade de transformação das Instituições de Ensino Superior em fundações públicas com regime de direito privado, etc.

Anexo 7

Contributo das TIC para a Melhoria da Qualidade no Ensino Superior

A informação e o conhecimento tem um papel importante ao longo da história da humanidade, daí não ser de estranhar que o Conselho Europeu de Lisboa, realizado no ano de 2000, estabelece-se como objectivo estratégico da União Europeia o desenvolvimento no prazo de dez anos de uma economia baseada no conhecimento.

Assistiu-se no século XVIII, na Inglaterra, ao início da Revolução Industrial com a mecanização dos sistemas de produção. Enquanto na Idade Média o artesanato era a forma de produzir mais utilizada, na Idade Moderna tudo muda. Procura-se a obtenção de maiores lucros, menores custos e produção acelerada, a busca de alternativas para melhorar a produção de mercadorias. Também podemos apontar o crescimento populacional, trazendo maior procura de produtos e mercadorias. Fazem parte das primeiras invenções deste período a máquina de tecer, a máquina a vapor, o barco a vapor, o telégrafo, a locomotiva.

A partir de 1860 um conjunto de novas transformações técnicas e económicas produziram grandes mudanças no processo de industrialização e que se estendeu até ao início da 1.^a Guerra Mundial (1914-1918). Começava a Segunda Revolução Industrial. Entre as invenções que assinalaram a Segunda Revolução Industrial, três merecem destaque especial: o processo de Bessemer de transformação do ferro em aço (Henry Bessemer¹), o dínamo, cuja invenção criou condições para a substituição do vapor pela electricidade. O petróleo (ouro negro) passou a ser utilizado como força motriz em navios e locomotivas.

Nas últimas décadas do século XX surgiu, o que alguns autores chamaram a Terceira Revolução Industrial, a qual se caracterizou por um progresso técnico, devido ao embaratecimento da electrónica e do processo de miniaturização dos componentes, que ocorrem praticamente em simultâneo nos campos da ciência, da tecnologia, da

¹ Sir Henry Bessemer (1813-1898), (<http://www.lucidcafe.com/library/96jan/bessemer.html>, 2005-01-02).

indústria e da administração. Este fenómeno tem implicações sociais e económicas de grande vulto.

Assim, o fluxo de produtos físicos deixou o seu papel central no processo económico, de modo que as organizações empresariais e os mercados, independentemente do sector que actuem, converteram-se em processadores de informação e geradores de novo conhecimento (Ameneiro et al., 2004).

Nas últimas décadas do século XX as relações entre os diferentes agentes sociais viram-se intensificadas pelas crescentes capacidades das tecnologias da informação e da comunicação (TIC), tendo estas propiciado uma série de interdependências, cada vez mais complexas.

Portanto, o avanço nas TIC foi capaz de reestruturar as relações existentes até à data entre o tempo e o espaço, convertendo-se no centro nevrálgico do processo de globalização.

Um exemplo paradigmático deste processo é a Internet². A sua expansão permitiu à economia funcionar como uma unidade em tempo real, conformando uma economia global definida principalmente pelos fluxos de capitais, pessoas e informação, onde as fronteiras deixaram de ter a importância (Ameneiro et al., 2004).

As organizações, encontram-se num momento em que o conhecimento é um recurso importante do ponto de vista estratégico. Daí que a OCDE definisse o novo ambiente como da economia baseada no conhecimento, no qual a base é a produção, distribuição e utilização do conhecimento e informação (Ameneiro et al., 2004).

O aspecto económico da actividade humana não é o único afectado pelas TIC. Os movimentos sociais, a actividade política e a vida quotidiana também estão a ser influenciados, já que as TIC potenciam a repercussão dos comportamentos e relações existentes. Assim, as novas formas de comunicação deram um novo impulso aos movimentos sociais, que viram como podem partilhar as suas inquietudes e os seus valores, que por sua vez os fazem chegar a um maior número de pessoas de uma forma quase instantânea, superando as barreiras geográficas.

² A Internet é uma teia. Quando vários computadores são ligados entre si, forma uma rede de computadores. A ligação entre diferentes redes de computadores constitui uma *internet* (uma rede de redes). A Internet (com letra maiúscula inicial) é a maior de todas as *internets*: uma rede de dimensão planetária, que liga milhares de redes e computadores (Carriço e Carriço, 1997).

Do que foi referido anteriormente é óbvio que as necessidades de formação dos cidadãos são cada vez maiores, tanto para a vida como para o trabalho. Por isso, as instituições de ensino superior devem estar preparadas para enfrentar nos próximos anos as mudanças qualitativas mais radicais e profundas desde que reorganizou o seu funcionamento em função do livro impresso (Drucker, 2000). Estas mudanças surgem em grande parte provocadas pelos efeitos das TIC sobre as funções desempenhadas pelas instituições de ensino superior: formação, investigação e, em geral, a prestação de serviços à sociedade. As TIC não só modificam o modo de realizar estas actividades, mas também as estruturas organizativas e de gestão que surgiram para as desenvolver.

No que se refere ao ensino, as novas tecnologias incorporam importantes vantagens ao processo educativo (Ameneiro et al., 2004):

- reduzem as limitações de espaço e de tempo, permitindo a aplicação de um modelo de aprendizagem mais centrado no estudante, quem pode organizar boa parte do seu tempo;
- permitem reduzir custos (por exemplo, custos de reprografia ou deslocações);
- facilitam ao educador o seguimento e a supervisão dos estudantes.

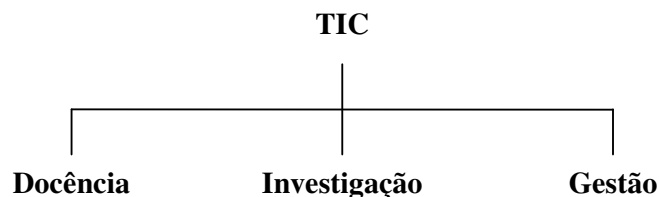
Os impactes das TIC nas Instituições Ensino Superior não são só no âmbito da ensino/formação, da investigação e na realização de outras actividades, mas também dentro da própria gestão oferecem-se serviços e infra-estruturas que facilitam as tarefas anteriores, conforme se mostra na figura 1.



Fonte: Ameneiro et al. (2004:14).

Figura 1 - Impactes das TIC no âmbito do Ensino Superior

Ou seja, existe um grupo de áreas onde o recurso às TIC poderá trazer valor acrescentado, a docência, a investigação e a gestão, conforme mostra o esquema da figura 2.



Fonte: elaboração do autor

Figura 2 - Implicações das TIC

No âmbito da docência as TIC devem estar ao serviço de uma formação de qualidade que proporcione um maior protagonismo ao aluno no processo de aprendizagem. Permitirá melhorar as suas competências no uso das novas tecnologias, ao formar parte activa da sua vida estudantil. Os conhecimentos adquiridos terão reflexos no desempenho da sua futura actividade profissional, permitindo-lhes desenvolverem-se com facilidade na sociedade da informação e da comunicação que actualmente já é uma realidade.

O docente do ensino superior já não é o único depositário do conhecimento, no entanto, continua a ser uma peça chave na sua transmissão, já que o estudante necessita, fundamentalmente, do seu ensino e orientação. Este processo exige por sua vez a

preparação do próprio docente, que deverá adoptar metodologias e abordagens novas ao processo de ensino e aprendizagem.

Por isso, esta adaptação dos docentes exige que se lhes sejam prestados apoio, tanto académico como político, em três aspectos fundamentais (Ameneiro et al., 2004):

- política de formação técnica e pedagógica (é necessário que os docentes utilizem as TIC e que considerem que estas acrescentam valor à actividade docente);
- política de motivação e reconhecimento (torna-se necessário existir sistemas que avaliem e reconheçam o esforço incluindo o âmbito de investigação, para uma melhoria da qualidade docente);
- política de investimento (disponibilidade de meios tecnológicos em quantidade, qualidade e acessibilidade adequada).

No âmbito da investigação, as TIC desempenham um papel fundamental no incrementam a quantidade e a qualidade da produção técnico-científica das instituições de ensino superior. A investigação no ensino superior funciona como um sistema de informação, em que os dados iniciais se submetem a um processo de tratamento e geram um resultado que, pela sua natureza, se transmite ao resto da comunidade científica e, deste modo ou outro, transferido para a sociedade.

Assim, o acesso à informação de partida é facilitado pelo processo de digitalização de grande parte do acervo documental e a incorporação das TIC aos serviços de biblioteca.

O processamento da informação é potenciado pelo equipamento físico e lógico cada vez com maior capacidade, disponível e acessível, que permite efectuar tarefas que eram impensáveis anteriormente ou melhorar as existentes.

A melhoria nas comunicações permitem que as comunidades científicas possam funcionar como comunidades de conhecimento globais nas quais, os intercâmbios, de resultados e descobertas se realizam de forma quase automática, favorecendo o conhecimento e a sua difusão.

Para mais, tal como ocorre com a formação, as TIC permitem as relações em tempo real entre investigadores, tanto de distintos âmbitos científicos como geográficas.

A colaboração com especialistas de vários países, assim como a criação de grupos interdisciplinares, permitem uma melhoria da investigação.

No âmbito da gestão, na actualidade, qualquer organização enfrenta a necessidade de receber, tratar e difundir informação de uma maneira cada vez mais massificada. Hoje seria inconcebível o funcionamento de uma instituição de ensino superior sem a automatização de processos como a gestão de recursos humanos, a gestão académica ou a gestão financeira, para referir só alguns aspectos.

As novas tecnologias permitem agilizar grande parte do processo burocrático e administrativo das instituições, facilitando por sua vez a descentralização e a redução de custos. Os benefícios são grandes não só para as instituições, que podem afectar recursos a tarefas de maior valor acrescentado, mas também para os seus utilizadores (pense-se como exemplo, na facilidade de um estudante se matricular, aceder às sua classificações, conhecer a atribuição de bolsas ou programas de intercâmbio solicitados sem ter de se deslocar, utilizando a Internet, ou outros instrumentos que permitam aceder online.

As TIC abrem novos horizontes, também na gestão, a um novo modelo de instituição de ensino superior, o *e-Learning* no campo do ensino superior, potencialmente aberta 24 por dia, durante 365 dias por ano. A introdução de ferramentas como a assinatura digital permitirá reconhecer a validade legal de qualquer procedimento ou trâmite administrativo, como se realiza já actualmente em outros âmbitos, por exemplo no fiscal.

Par além das aplicações tradicionais, a gestão poderá ser alargada à gestão de infra-estruturas e património ou aos sistemas de informação e ajuda à tomada de decisões.

Os cartões inteligentes, que integram a assinatura digital (estão hoje generalizados nas universidades espanholas), podem servir como um processo de entrada em todos os serviços informáticos da instituição de ensino superior.

A utilização das TIC no apoio à docência, investigação e gestão, trazem as vantagens referidas anteriormente, contudo, também encerram um perigo. Um funcionamento inadequado no momento em que utilizadores, tanto internos como

externos, não permitem a existência de erros nos serviços que considerem básicos, pode repercutir-se negativamente na imagem da Instituição de Ensino Superior.

O estabelecimento de uma arquitectura tecnológica adequada às necessidades concretas de cada IES e, dentro desta, a cada unidade ou função, é a chave para garantir o desenvolvimento da actividade. Mas, dado que cada vez mais se depende das TIC, é necessário que o seu processo de implementação seja coordenado, com o fim de evitar incompatibilidades lógicas ou físicas quando se pretende ligar as distintas unidades.

Deverá, também, referir-se a necessidade de realizar um esforço adicional para formar adequadamente tanto os colaboradores, para que façam uso das TIC nos seus postos de trabalho, como os estudantes, para que conheçam quais são as possibilidades que se lhes oferecem e como podem retirar o máximo benefício.

ANEXO 7

Redes de Comunicação

Resumo

O presente trabalho no âmbito da temática das redes de comunicação em geral, aborda diversos aspectos, tais como, o conceito de protocolo e seus objectivos, a arquitectura do Modelo OSI e do Modelo TCP/IP, bem como a relação entre estes, as redes de comunicações, em particular a problemática da escassez dos endereços IP, a questão da segurança nas redes de comunicações, o *Domain Name System* (DNS) e a qualidade de serviço, terminando com o exemplo da Rede de Investigação e Ensino Nacional. Em anexo é referida diversa legislação, no apêndice 1, e é feita referência a diversas instituições de ensino e investigação que se encontram ligadas à Rede de Investigação e Ensino Nacional (RCTS) no apêndice 2.

Palavras-Chave: Internet, Qualidade de Serviço, Protocolo(s), Redes de Comunicações, Segurança.

1. Introdução

Com o aparecimento dos computadores surgiu também a necessidade de troca de informação entre máquinas, em contraste com o telefone, em que os elementos nos extremos da comunicação são seres humanos. Começaram, então, a desenvolver-se as redes de comunicação de dados (digitais), que são redes em que a informação circula sob a forma binária (bits). O fluxo de informações que circula todos os dias com funções diversas e por meios distintos intensifica-se a cada momento

As redes de comunicação de dados, também vulgarmente designadas por redes de computadores, têm-se desenvolvido a um ritmo acentuado, sobretudo devido aos avanços nas áreas da microelectrónica e das nanotecnologias e da informática, sendo hoje imprescindíveis em praticamente todas as áreas de actividade (ensino, investigação, transportes e comunicações, Administração Pública, indústria, construção e obras públicas, comércio, actividades financeiras e imobiliárias, etc.). Estas redes disponibilizam aos utilizadores um conjunto de vantagens que as tornam atractivas. Entre outras, podem destacar-se a possibilidade de acesso a computadores remotos, o uso e a partilha de recursos diversificados e/ou dispendiosos, o acesso a informação e a facilidade de

transferência de dados.

Mas, para que a informação se transmita de forma eficaz, com qualidade, segura e confiável, é necessário estabelecer regras de comunicação, que se designam por protocolos e regras de segurança.

2. Conceito de Protocolo e Objectivos

O termo protocolo¹, nome masculino, tem diversos significados dependendo ao que nos estamos a referir. Assim, recorrendo ao dicionário da Infopédia ou a qualquer outro, por exemplo, protocolo em história refere-se ao registo dos actos públicos, na Idade Média. Pode significar o conjunto de formalidades e preceitos que se devem observar em cerimónias oficiais ou actos solenes (cerimonial, etiqueta). Pode, também, referir-se ao registo da correspondência expedida, com a assinatura dos destinatários ou à acta das conferências ou deliberações entre ministros plenipotenciários de diversos Estados, ou entre congressistas internacionais, ou à convenção entre duas ou mais nações². Pode também ser um acordo estabelecido entre entidades ou serviços. Em geral os protocolos são regras definidas. No domínio das redes de comunicação são regras definidas de comunicação³.

Os objectivos gerais do estabelecimento de protocolos (regras de comunicação) são os de tornar possível a comunicação entre computadores de diferentes tipos e a abstracção⁴ (os utilizadores não têm que se preocupar com os mecanismos de transporte de dados).

3. Modelo OSI

O Modelo OSI (*Open Systems Interconnection*) é um modelo proposto pela ISO (*International Organization for Standardization*) que tem como objectivo a normalização

¹ Do grego *protókolon*, «folha colocada na frente», pelo latim *protocollu-*, «protocolo».

² Referia-se também ao registo, feito pelo escrivão do juízo, do que se passou na audiência, significado considerado actualmente antiquado.

³ Em informática é o conjunto de regras que torna possível a execução de um programa de modo eficiente e sem erros. De um modo geral os elementos de um protocolo resumem-se a: (i) sintaxe (formato dos dados, níveis de sinal, etc.); (ii) semântica (informação de controlo, tratamento de erros) – procedimentos, e; (iii) temporizações (adaptação de velocidades, sincronização, ordenação dos dados).

⁴ Há a necessidade de hierarquização (reduzir para complexidade da implantação) – as tarefas da rede são distribuídas por camadas (*layers*). Uma camada: (i) é o conjunto de tarefas relacionadas com uma mesma função; (ii) é construída sobre a sua antecessora ficando dependente apenas desta, e; (iii) o desenvolvimento de uma aplicação numa camada apenas tem impacte na própria. As características da hierarquização passam por: (i) número de camadas varia de rede para rede; (ii) camadas idênticas comunicam entre si através de um protocolo; (iii) cada camada fornece serviços à camada superior; (iv) cada camada comunica com a camada inferior através de uma interface por esta fornecida; e; (v) o transporte de dados ocorre ao nível da camada mais baixa (camada física).

no âmbito da interligação de sistemas abertos⁵ à comunicação com outros sistemas. Embora nunca tenha sido utilizado, serviu de modelo base – padrão – para todos os outros que surgiram posteriormente - a ISO costuma trabalhar em conjunto com outra organização, a ITU (*International Telecommunications Union*), publicando uma série de especificações de protocolos baseados na arquitectura OSI. Estas especificações são conhecidas como «X ponto», por causa do nome dos protocolos - X.25, X.500, etc.

O Modelo OSI assenta em sete camadas (*Layers*) ou níveis, como mostra a figura 1, com diferentes funções. E porquê sete camadas?

Porque: (i) uma camada deve surgir com um grau de abstracção diferente; (ii) cada camada ou nível deve efectuar uma função bem determinada; (iii) a função de cada camada deve ter em vista a normalização internacional dos protocolos; (iv) a delimitação de cada camada deverá minimizar o fluxo de informação através das interfaces; (v) o número de camadas deverá ser suficientemente grande para que funções distintas não fiquem na mesma camada e suficientemente pequeno, para que a arquitectura não fique desorganizada.

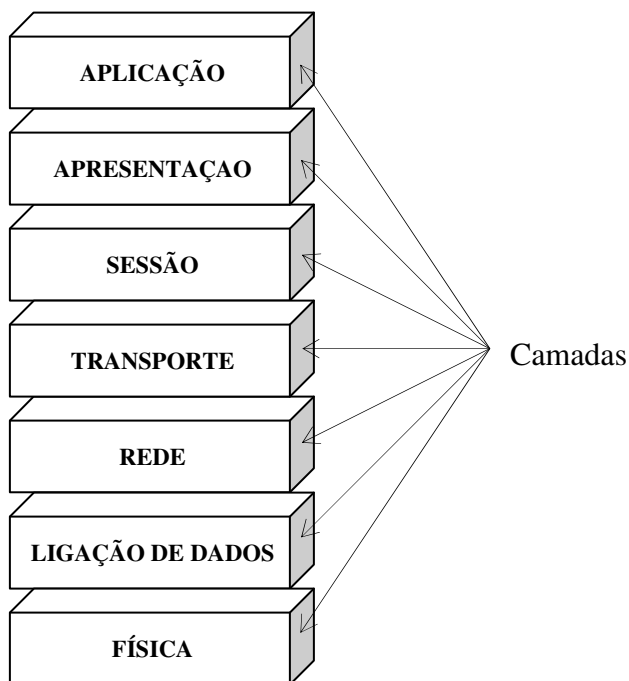


Figura 1: Modelo OSI

⁵ De acordo com a Norma NP EN ISO 9000:2005 (IPQ, 2005:4) «sistema» define-se como um conjunto de partes dependentes umas das outras. No âmbito da informática, «sistema» é tudo o que é indispensável à execução de uma tarefa completa com a utilização de um computador: hardware, software e pessoas responsáveis pelo funcionamento correcto dos equipamentos (Infopédia, <http://www.infopedia.pt>, consulta efectuada em 2009-01-14). Um sistema aberto é um sistema que apresenta trocas de energia com o ambiente envolvente, através de entradas e saídas.

Descrição das camadas

Este modelo é dividido em camadas hierárquicas, ou seja, cada camada usa as funções da própria camada ou da camada anterior, para esconder a complexidade e transparecer as operações para o utilizador, seja ele um programa ou uma outra camada.

a) Camada Física - *Physical Layer*

A camada física define as características técnicas dos dispositivos eléctricos (físicos) do sistema. Constitui o suporte físico, material, para a comunicação. Preocupa-se, portanto, em permitir uma comunicação bastante simples e confiável⁶, na maioria dos casos com controlo de erros básico, ou seja:

- transmitir, e reconhecer os bits de informação - move bits (ou bytes, conforme a unidade de transmissão) através de um meio de transmissão;
- define as características eléctricas e mecânicas do meio, taxa de transferência dos bits, tensões etc.;
- controlo de acesso ao meio; confirmação e retransmissão de quadros;
- controlo da quantidade e velocidade de transmissão de informações na rede.

É uma Interface com o meio físico de comunicação. Não efectua controlo de erros de transmissão. Pode aparecer dividida em duas sub-camadas: (i) PHY (*PHYsical Protocol*), e; (ii) PMD (*Physical Medium Dependent*).

Ou seja, a camada física diz respeito à transmissão de um fluxo não estruturado de bits através do meio físico; trata das características mecânicas, eléctricas, funcionais e procedimentais para acesso ao meio físico.

b) Camada Enlace ou Ligação de Dados - *Data Link Layer*

Esta camada proporciona uma ligação ponto a ponto sem erros de transmissão. Tem como função:

- o controlo de erros do fluxo de dados
- o controlo do ritmo de transmissão – «funil»
- utilizar da melhor forma o nível físico – *full duplex*

⁶ Diz-se do objecto ou sistema em cuja segurança, resistência, ou precisão se pode confiar.

A camada de ligação de dados garante a fiabilidade da transferência de dados através da ligação física; envia blocos de dados (quadros) com a sincronização, controlo de erros e controlo de fluxo necessários. Nas redes locais⁷ (LAN's) aparece dividida em duas sub-camadas: (i) LLC (*Logical Link Control*), e; (ii) MAC (*Medium Access Control*).

c) Camada Rede - *Network Layer*

Esta camada tem como função principal fazer o endereçamento de mensagens. Este nível estabelece a relação entre um endereço lógico e um endereço físico, depois de localizar o destinatário da informação, determina qual o melhor percurso que a informação, determina qual o melhor percurso que a informação deve fazer e estabelece o nível de prioridade de envio desses dados. Tem ainda a capacidade de efectuar a gestão de problemas associados ao tráfego da informação controlando o congestionamento dos dados, por exemplo, se o computador de destino não tiver a capacidade de receber uma mensagem devido á sua dimensão, a camada rede no computador emissor divide a mensagem original em partes mais pequenas, de modo a que estas possam ser recebidas pelo destinatário, no destinatário, a camada rede reagrupa as mensagens.

A camada de rede garante a independência das camadas superiores relativamente às tecnologias de transmissão e comutação⁸ de dados utilizadas para ligar sistemas; é responsável pelo estabelecimento, manutenção e terminação de ligações lógicas⁹.

d) Camada Transporte – *Transport Layer*

A camada transporte pretende: (i) garantir comunicação fiável «extremidade-a-extremidade» (comunicação entre sistemas terminais independente do tipo e qualidade das redes de transporte utilizadas); (ii) efectuar a detecção/correção de erros, e; (iii) proceder ao controlo de fluxo/sequência. Ou seja, garante a transferência de dados fiável e transparente entre dispositivos terminais e desempenha as funções de recuperação de erros e de controlo de fluxo entre extremos.

e) Camada Sessão – *Session Layer*

Esta camada faz o controlo de sincronização de diálogo - comunicação unidireccional (*Simplex*), comunicação bidireccional (*Half-duplex*) e comunicação simultânea (*Full-*

⁷ Rede de comunicação de dados em ambiente circunscrito, que permite a interligação e intercomunicação de um grupo de computadores, para partilha de recursos e troca de informação.

⁸ Comutação segundo os dicionários Michaelis ou Infopédia significa permutação, substituição. Em computação, a Comutação de circuitos e pacotes é utilizada, por exemplo, em sistemas de comunicação onde o tráfego é constante.

⁹ Garante a interligação entre quaisquer computadores e redes e procede ao encaminhamento da informação (*routing*).

duplex) - entre as entidades de aplicações comunicantes, isto é, fornece a estrutura de controlo para comunicação entre aplicações; estabelece, gere e termina ligações lógicas (sessões) entre aplicações colaborativas.

f) Camada Apresentação - *Presentation Layer*

A camada apresentação garante a independência dos processos de aplicação relativamente à representação dos dados (sintaxe) tendo por missão: (i) garantir a normalização de representação de dados transmitidos entre computadores diferentes, e (ii) a definição de estruturas de dados abstractas (possibilitar a comunicação entre computadores que utilizam formatos específicos; conversão de formatos de computadores em formato standard da rede - ASN.1 (*Abstract Syntax Notification*), por todos compreendido).

g) Camada Aplicação - *Application Layer*

Esta camada fornece o acesso ao ambiente OSI e serviços de informação distribuídos. É a interface utilizador de aplicação/rede pois disponibiliza serviços específicos para cada tipo de aplicação (por exemplo, emulação de terminais¹⁰).

Resumindo, poder-se-á dizer que o Modelo OSI proposto pela ISO:

- permitiu estabelecer uma referência para o desenvolvimento de equipamentos por parte dos diversos fabricantes;
- é uma construção genérica e abstracta: não implementa nenhum protocolo concreto;
- estabelece conceitos base importantes e, apesar de antigo, ainda é utilizado para descrever protocolos recentes (é base fundamental para outros protocolos);
- divide-se em sete camadas.

E:

- caracteriza-se por ser um Modelo estratificado;
- cada camada desempenha um subconjunto das tarefas de comunicações requeridas;

¹⁰ Na computação, um emulador é um software que reproduz as funções de um determinado ambiente, a fim de, permitir a execução de outro software. Emulação de terminais é a técnica que permite a um computador imitar um terminal usando software que obedece a padrões específicos de emulação de terminais, como o ANSI (*American National Standards Institute*, <http://www.ansi.org/>). O software de emulação de terminais permite que o computador funcione como se fosse um determinado tipo de terminal e comunique com outro computador (NETPÉDIA Dicionário <http://www.netpedia.com.br>).

- cada camada confia à camada imediatamente inferior o desempenho de tarefas mais primitivas;
- cada camada fornece serviços à camada imediatamente superior;
- as alterações numa camada não devem requerer alterações nas outras.

4. Modelo TCP/IP

Aspectos históricos

Nos anos 60 do século XX a agência americana ARPA (Advanced Research and Projects Agency) desenvolveu uma rede designada por ARPANet a qual tinha como objectivo ligar as bases militares e os departamentos de investigação do governo americano¹¹.

No início da década de 70 do século passado, universidades e outras instituições que faziam trabalhos ligados à defesa, tiveram permissão para se ligar à ARPANet, e em meados de 1975, existiam aproximadamente 100 sítios (*sites*).

No final dos anos 70 do século XX, a ARPANet tinha crescido tanto que o seu protocolo de comutação de pacotes original, designado por *Network Control Protocol* (NCP), tornou-se inadequado¹². Foi então que a ARPANET começou a usar um novo protocolo chamado TCP/IP¹³ (*Transfer Control Protocol/Internet Protocol*).

O Modelo TCP/IP foi desenhado para suportar a comunicação entre redes físicas distintas (integrado no UnixBSD (*Interface Sockets*) sendo desenvolvido um grande número de aplicações e utilitários). Muitas instituições usaram a tecnologia TCP/IP para interligarem as suas redes com a DARPA: a *National Science Foundation* (NSF), *Department of Energy* (DOE), *Department of Defense* (DOD), *Health and Human Services Agency* (HHA), *National Aeronautics and Space Administration* (NASA) (ISEL, 2005).

A entidade resultante, conhecida por «*Connected Internet*», «DARPA/NSF Internet»

¹¹ Esta rede teve o seu berço dentro do Pentágono e foi baptizada com o nome de ARPANet. A ARPANet foi totalmente financiada pelo governo Norte-Americano, durante o período que ficou conhecido como «Guerra Fria», período caracterizado pelo embate ideológico entre a extinta União Soviética (URSS) e os EUA (Estados Unidos da América). Temendo um ataque por parte dos seus opositores, os americanos tinham como objectivo desenvolver uma rede de comunicação que não os deixassem vulneráveis, caso houvesse algum ataque soviético ao Pentágono. Pode-se dizer que a ARPANet foi a mãe da Internet.

¹² Os protocolos usados na ARPANet não eram adequados para se utilizarem em várias redes.

ou simplesmente «Internet», permitiu às instituições trocarem facilmente informação. O sucesso desta cooperação demonstrou a viabilidade do TCP/IP, sobre um conjunto heterogéneo de redes. O que torna o modelo TCP/IP interessante é a sua adopção quase universal, bem como a dimensão que a Internet atingiu (ISEL, 2005).

Arquitectura do Modelo TCP/IP

O conjunto de protocolos TCP/IP é um conjunto de protocolos de comunicação entre computadores em rede.

A designação TCP/IP surge dos dois protocolos mais importantes do conjunto: o TCP (*Transmission Control Protocol* - Protocolo de Controlo de Transmissão) e o IP (*Internet Protocol* - Protocolo de Interconexão ou interligação). O conjunto de protocolos pode ser visto como um modelo de camadas, onde cada camada é responsável por um grupo de tarefas, fornecendo um conjunto de serviços bem definidos para o protocolo da camada superior. As camadas mais altas estão logicamente mais perto do utilizador (chamada camada de aplicação) e trabalham com dados mais abstractos, confiando em protocolos de camadas mais baixas para tarefas de menor nível de abstracção.

Ou seja, os protocolos TCP/IP consistem numa arquitectura composta por quatro camadas: *Application*, *Transport*, *Internet* e *Network Interface*. A figura 2 pretende mostrar a relação existente entre a arquitectura TCP/IP e o modelo OSI.

¹³ A DARPA (*Defense Advanced Research Projects Agency*) começou a trabalhar numa tecnologia para a Internet em meados da década de 70. Surgiu um conjunto de protocolos (1977-79), o qual tomou a forma conhecida actualmente – Modelos TCP/IP.

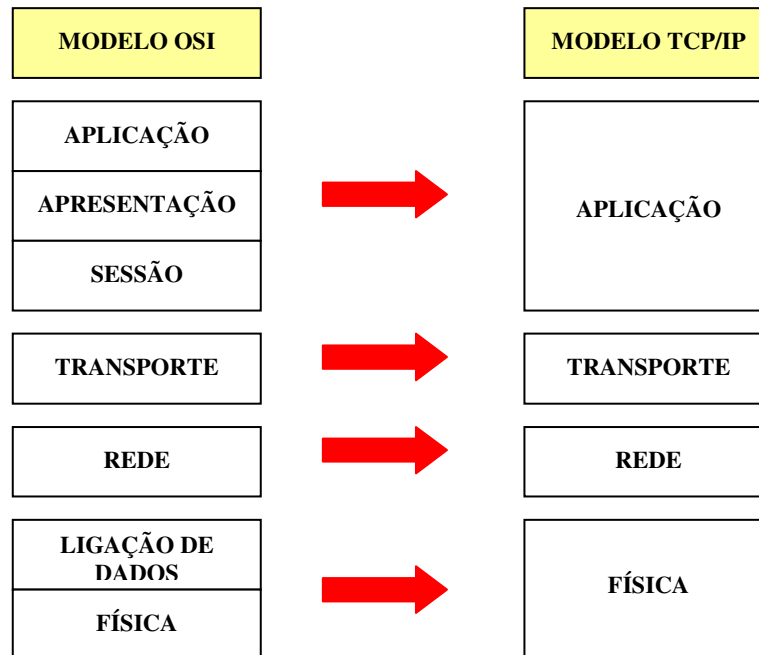


Figura 2 - Arquitectura TCP/IP e o modelo OSI

a) Camada Interface (*Network Interface layer*)

Esta camada é responsável por colocar os *frames*¹⁴ no meio de transmissão e por receber os *frames* desse meio de transmissão. A camada *Network Interface* do modelo TCP/IP corresponde às camadas *Data Link* e *Physical* do modelo OSI.

Ao nível desta camada podem ser usadas várias tecnologias e protocolos quer para a comunicação em redes locais (por exemplo, *Ethernet*¹⁵ ou *Token Ring*) quer para ligações WAN (por exemplo *Frame Relay*¹⁶ ou ATM).

b) Camada Internet (*Internet layer*)

As funções de endereçamento e *routing* de *packets* são da responsabilidade da camada Internet que, no modelo TCP/IP é correspondente à camada designada por *Network* no modelo OSI.

Ao nível desta camada, existem vários protocolos: IP (*Internet Protocol*), ARP (*Address Resolution Protocol*), ICMP (*Internet Control Message Protocol*) e IGMP

¹⁴ *Frame*, conjunto de quadros (imagens) ou pacotes.

¹⁵ *Ethernet* é uma tecnologia de interligação para redes locais (*Local Area Networks* - LAN).

¹⁶ O *Frame Relay* é uma tecnologia de comunicação de dados usada para transmitir de maneira rápida e barata a informação digital através de uma rede de dados, dividindo essas informações em *frames* (quadros).

(*Internet Group Management Protocol*).

c) Camada de Transporte (*Transport layer*)

A camada de Transporte (*Transport*) é responsável pela prestação de serviços de transporte de dois tipos: *connectionoriented* (orientado à ligação) e *connectionless* (não orientado à ligação).

Os protocolos desta camada são: TCP (*Transmission Control Protocol*) e UDP (*User Datagram Protocol*).

d) Camada Aplicação (*Application layer*)

A camada *Application* é a camada que proporciona às aplicações os meios de comunicação com as restantes camadas e define os protocolos que as aplicações usam para comunicar entre si. Ao nível desta camada existe um grande número de protocolos e, pela sua própria natureza, existe sempre um grande número de outros protocolos em desenvolvimento.

Actualmente, os protocolos mais conhecidos e utilizados ao nível desta camada são: HTTP (*Hypertext Transfer Protocol*), FTP (*File Transfer Protocol*), SMTP (*Simple Mail Transfer Protocol*) e Telnet (usado como protocolo para emulação de terminais e para *logon* em computadores remotos). Ao nível desta camada, podem ainda considerar-se ao nível desta camada protocolos como DNS (*Domain Name System*), utilizado para traduzir nomes em endereços IP, protocolos de *routing* e outros protocolos de gestão de redes e *internet*.

Os principais interfaces de comunicação ao nível desta camada, são: *Windows Sockets* e *NetBIOS* (*Network Basic Input-Output System*)¹⁷.

Os protocolos para *internet* formam o grupo de protocolos de comunicação que implementam a pilha de protocolos sobre a qual a Internet e a maioria das redes comerciais funcionam. São chamados «protocolos TCP/IP», já que os dois protocolos mais importantes desse modelo são: o protocolo TCP - *Transmission Control Protocol* (Protocolo de Controlo de Transmissão); e o IP - *Internet Protocol* (Protocolo de Internet). Esses dois protocolos foram os primeiros a serem definidos.

O modelo OSI descreve um grupo fixo de sete camadas que pode ser comparado, a

¹⁷ Interfaces desenvolvidas para permitir a comunicação entre máquinas.

grosso modo, com o modelo TCP/IP. Essa comparação pode causar confusão ou trazer detalhes mais internos para o TCP/IP.

A figura 3 mostra os diversos protocolos TCP/IP.

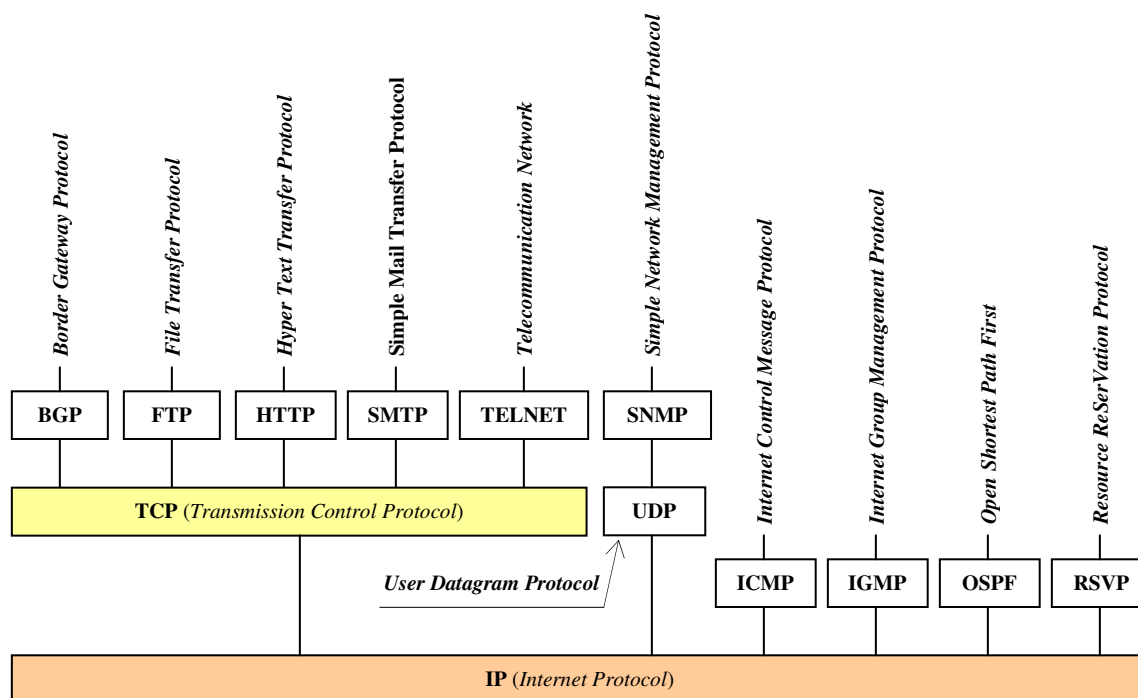


Figura 3 – Protocolos TCP/IP

Resumidamente, o modelo é uma «solução prática para problemas de transmissão de dados». Características do TCP:

- estabelece uma ligação lógica estável para a transferência de dados entre aplicações em sistemas terminais distintos;
- uma ligação lógica é simplesmente uma associação lógica temporária entre duas entidades em sistemas distintos;
- cada PDU (*User Datagram Protocol*) do TCP, designado por segmento TCP, inclui no cabeçalho os endereços dos portos das entidades fonte e destino (estes endereços identificam as respectivas aplicações das duas entidades logicamente ligadas)
- durante o tempo de vida de uma ligação lógica, cada uma das duas entidades ligadas controla a sequência de segmentos TCP recebidos e enviados, de maneira a regular o fluxo de segmentos e poder recuperar os segmentos perdidos ou danificados (isto é, com erros).

Num sistema de comunicação em rede existe uma grande variedade de protocolos de comunicação. Esses protocolos de comunicação são utilizados para controlar, entre muitas outras, os seguintes aspectos: agrupamento de dados em pacotes (*packets*), detecção e controlo de erros de transmissão, controlo do fluxo de dados, estabelecimento de caminhos optimizados em topologias dinâmicas¹⁸, resolução de endereços e mensagens.

5. As Redes de Comunicações

Uma rede, no domínio das comunicações, é um sistema de comunicação que torna possível a transferência de dados entre computadores e outros dispositivos. Segundo Carriço & Carriço (2004a) a expressão de dados entre computadores envolve uma grande variedade de actividades, entre as quais se podem destacar o acesso à informação remota, partilha de recursos e dispositivos de hardware (por exemplo, a computação Grid (*Grid Computing*), ensino a distância, sistemas de comércio electrónico (*e-commerce*), comunicação interpessoal (por exemplo, o correio electrónico), acesso a bases de dados (por exemplo, consulta de artigos matriciais pelos respectivos titulares, consulta de artigos matriciais por entidades públicas) entre outras.

A integração de redes de computadores, as redes de comunicação telefónica e o mundo das comunicações *wireless*¹⁹, tornam as redes de comunicação um elemento essencial na vida das organizações e das pessoas.

As redes de computadores podem ser classificadas de acordo com diversos critérios por exemplo, dimensão geográfica (tipos LAN²⁰, MAN e WAN), topologia²¹, arquitectura

¹⁸ Em topologias dinâmicas, como é o caso da Internet, as tabelas dos *routers* (dispositivos dinâmicos de conectividade que permitem criar as *internets*, através da ligação de várias redes físicas distintas numa rede lógica) tem de ser actualizadas permanentemente para que, as decisões de encaminhamento dos pacotes sejam as mais correctas. A actualização dinâmica das tabelas é feita pelos protocolos de *routing* processo através do qual um pacote (*packet*) é enviado a um *host* de origem para um *host* de destino através de uma *internet*. Normalmente, numa *internet*, os computadores são geralmente designados por *hosts*. Uma tabela de *routing* é um conjunto de registos utilizados pelos *routers* (e, eventualmente, pelos *hosts*) para as decisões de encaminhamento de pacotes. Uma tabela de *routing* possui uma entrada para cada rede que pode constituir o destino de um *datagrama* (um *datagrama* IP é um segmento do protocolo TCP acrescido de uma *header* IP) (Carriço & Carriço, 2004a).

¹⁹ A transmissão sem fios (*wireless*) é a transmissão de dados ou de voz em que o sinal é enviado através do ar, sob a forma de ondas electromagnéticas, pelo menos numa parte do percurso, entre a origem e o destino.

²⁰ Redes locais. As redes locais podem ser fixas (LAN) ou *wireless* (WLAN), ou ainda, uma combinação de uma parte fixa e uma parte móvel.

²¹ A topologia de uma rede designa o desenho físico da rede, ou seja, a estrutura física das ligações entre computadores, dispositivos de conectividade, meios de transmissão e sistemas intermédios, isto é, a topologia de uma rede designa a estrutura física e a configuração lógica (representa o verdadeiro fluxo de informação na rede) do sistema de ligação dos computadores, meios de transmissão e outros dispositivos de conectividade que constituem a rede. Pode-se considerar as redes agrupadas em dois tipos fundamentais: topologia ponto-a-ponto e topologia tipo *broadcast*.

de software da rede²², tipo de meios de transmissão utilizados *wireless* ou cabos²³.

Independentemente da dimensão geográfica e da topologia de uma rede, o funcionamento do sistema de comunicação de dados entre computadores exige uma arquitectura de software e uma ou mais tecnologias de transmissão de dados. A arquitectura de software²⁴ é geralmente designada por software de rede ou protocolos de rede. A tecnologia de transmissão de dados é o conjunto de técnicas utilizadas para codificar a informação a transmitir por meio de sinais propagados através dos meios de transmissão utilizados na rede (Carriço & Carriço, 2004a).

O modelo tipicamente utilizado para a comunicação entre aplicações numa rede é designado por cliente-servidor²⁵. Esta designação deriva do modelo de interacção entre as aplicações. O cliente é a aplicação que requisita serviços²⁶.

A problemática da escassez dos endereços IP

Numa rede que funciona através do conjunto de protocolos TCP/IP tratados anteriormente, o sistema de endereçamento é definido pelo protocolo IP (*Internet Protocol*). De acordo com as especificações do protocolo IP, a cada *host* da rede pode ser atribuído um endereço único formado por um número de 32 bits. Esse endereço é designado por endereço IP que é constituído por duas partes: um prefixo (indica a rede física a que o computador pertence) e um sufixo (indica cada um dos computadores existentes dentro de uma rede fixa). Os endereços de IP têm de ser únicos.

Na situação actual com 32 bits pode ser criado um número máximo de endereços diferentes de $2^{32} = 4\,294\,967\,296$. Será teoricamente o número máximo de endereços que podem ser criados numa *internet*. Corresponde ao protocolo IPv4.

Vários especialistas internacionais nesta área antecipam que os endereços da Internet actual, os endereços IPv4, se esgotem a curto prazo criando-se problemas técnicos para as

²² A arquitectura de software é geralmente designada por software de rede ou protocolos de rede.

²³ Uma distinção fundamental pode ser feita entre redes que utilizam meios de transmissão guiados (cabos de diversos tipos) e as redes *wireless* (sem fios) que comunicam através de ondas magnéticas, propagadas através do ar.

²⁴ A arquitectura de software é o conjunto de programas que é executado nos computadores e nos dispositivos intermédios para assegurar o funcionamento da rede.

²⁵ Uma rede cliente-servidos é uma rede onde existe um ou mais computadores cuja função exclusiva é executar o software de uma ou mais aplicações do servidor. O computador ou computadores onde é executado o software servidor, são genericamente designadas por servidores ou servidores dedicados. O servidor é a aplicação que fornece serviços) por exemplo, a aplicação que, depois de executar uma *query* sobre a base de dados, envia o resultado dessa *query* à aplicação (cliente). Os servidores podem ser de aplicações, de ficheiros, de impressão, *Web* (Carriço & Carriço, 2004a).

²⁶ Por exemplo, uma aplicação (cliente) executada num dos computadores da rede requisita a uma outra aplicação (servidos) executada noutro computador, a execução de uma *query* sobre uma base de dados.

organizações em geral que não se tenham preparado a tempo.

Existem em particular duas causas que concorrem para o problema do endereçamento IP v4: a capacidade disponível cada vez menor e a existência de tabelas de *Routing* com dimensão limitada.

Encontraram-se algumas soluções, mas, temporárias, que passam pela criação de sub-redes (*subnets*) -segmentação de campo «terminal»- e super-redes (*supernets*) -agregação de endereços-, a conversão de endereços e os endereços dinâmicos (ISTEC, 2006). Contudo a solução efectiva passa pela criação de uma nova versão do protocolo IP. Encontra-se em desenvolvimento uma nova versão do protocolo IP, designada por IPv6, onde são utilizados 128 bits para cada endereço IP. Assim, com 128 bits, o número de endereços possíveis será 2^{128} , ou seja, um número da ordem de $3,402823669 \times 10^{38}$ de endereços diferentes.

A questão da segurança nas redes de comunicações

Num sistema de comunicações, os objectivos fundamentais a atingir por um modelo de segurança são, de acordo com Carriço & Carriço (2004a), a autenticidade, a integridade, a disponibilidade, a confidencialidade e a não-repudição. Cada um destes objectivos pode ser alvo de um conjunto de ameaças. A identificação, a defesa e a prevenção contra essas ameaças está no cerne da edificação dos sistemas de segurança em comunicações.

Actualmente, a segurança é uma das maiores preocupações ao nível da gestão de redes. A informação é um activo que, como outros activos importantes, é essencial para o negócio de uma organização e em consequência necessita de ser protegida adequadamente. Isto é importante num ambiente cada vez mais interligado. Como resultado desta interligação, a informação está exposta a um número cada vez maior e uma variedade mais ampla de ameaças (causas potenciais de um incidente não desejado, o qual poderá resultar num dano para um sistema ou organização) e vulnerabilidades (a debilidade de um activo ou grupo de activos que pode ser explorada por uma ou mais ameaças) (ISO/IEC, 2005b; ISO/IEC, 2004). O objectivo no contexto das redes alargadas é controlar o acesso aos recursos de rede de forma a evitar a sabotagem (intencional ou não) e controlar o acesso a informação sensível. Como se sabe, a segurança da informação é a protecção da informação das ameaças para poder assegurar a continuidade do negócio, minimizar o risco comercial e maximizar o retorno dos investimentos e as das oportunidades de negócio. Um sistema

ideal de gestão de equipamentos deve permitir, por exemplo, monitorizar todos os recursos e conceder acesso, ou não, aos mesmos, sendo possível guardar toda a informação gerada no processo (manutenção de *logs* - um «*Log*» é um registo das actividades de um sistema, como actividades desempenhadas por programas e mudanças na base de dados ou ficheiros. Os ficheiros «*Log*» podem determinar a causa exacta de vários erros e defeitos de programas, para além disso, proporcionam uma radiografia do sistema, do funcionamento do hardware, de acessos, emails, etc. (RNP, 2008)). A segurança alcança-se, implementado um adequado conjunto de controlos; incluindo políticas, processos, procedimentos, estruturas organizacionais e funções de software e hardware. Como se sabe a informação e os processos, sistemas e redes de apoio são activos importantes para qualquer área de negócio.

Definir, alcançar, manter e melhorar a segurança da informação pode ser essencial para manter uma vantagem competitiva, rentabilidade, imagem da organização, etc.

DNS (Domain Name System)

Quando a *internet* ainda era uma ferramenta de uso militar e não possuía muitos computadores, o acesso aos nomes era possível graças a um ficheiro de nome *hosts.txt*. Esse ficheiro continha os endereços de cada nome existente. Com o crescimento da *internet*, esse ficheiro passou a crescer de igual forma e chegou ao ponto de ser tão grande que causava atraso nas actualizações. Por volta de 1983, o esquema hoje conhecido como DNS tomou forma para resolver esse problema. A primeira especificação surgiu com o documento RFC 883 - *Domain names: Implementation specification*²⁷.

Mas, o que é o *Domain Name System*?

O *Domain Name System*, ou simplesmente DNS é, segundo Carriço & Carriço (2004a), um sistema hierárquico que permite identificar *hosts* em *internets* (seja na Internet, seja em grandes *internets* privadas). O sistema foi idealizado para permitir: (i) a utilização dos nomes simbólicos em vez de endereços IP; (ii) a criação de um sistema que permite armazenar as listas que associam os nomes simbólicos aos endereços IP, de forma distribuída, e; o funcionamento de um sistema que permite efectuar consultas (ou *queries*)

²⁷ O documento RFC883 - *Domain names: Implementation specification* (e outros RFC's), pode ser consultado em: FAQS.ORG, RFC 883 - *Domain names: Implementation specification*, <http://www.faqs.org/rfcs/rfc883.html>. Cada documento RFC recebe um número. Depois de publicado, um documento já não é mais actualizado. No caso de revisões, é criado um outro documento, com outro número, destinado a substituir o anterior (ISTEC, 2008).

para obter os endereços IP a partir de nomes simbólicos.

Embora o utilizador comum não se aperceba disso, cada vez que um computador se liga à Internet é-lhe atribuído um número único que o identifica em todas as comunicações. Peça fundamental no funcionamento de toda a Internet, o DNS (*Domain Name System*) é constituído por uma rede global de servidores encarregues de fazer a conversão entre os nomes dos domínios em endereços IP e vice-versa. A vantagem dos nomes é que, sendo alfabéticos, são passíveis de ser memorizados pelos humanos, em relação às combinações de algarismos que constituem os endereços IP. Mas, como referido acima, a Internet é constituída por IP's, o que obriga à existência de servidores de DNS para se efectuarem todas as traduções necessárias.

Na Internet alguns dos domínios de alto nível são administrados por uma autoridade nacional (por exemplo, em Portugal cabe à FCCN, no âmbito da delegação efectuada pela IANA – *Internet Assigned Numbers Authority*²⁸ (RFC 1032/3/4 e 159) a responsabilidade pela gestão, registo e manutenção de domínios sob o TLD .pt, domínio de topo correspondente a Portugal). Esses domínios são divididos em dois grandes grupos, os domínios organizacionais e os domínios geográficos. Por exemplo, os domínios organizacionais são designados por um nome que indica o tipo de organização, por exemplo: **.com** (empresas); **.edu** (sector da educação); **.gov** (Governo); **.int** (organizações internacionais); **.mil** (organizações militares); **.org** (organizações não comerciais); **.net** (organizações ligadas a serviços de redes e da Internet). Nos domínios geográficos, são por exemplo, **.uk** (Reino Unido); **.pt** (Portugal), etc.

Qualidade de serviço

Em gestão da qualidade a Norma NP ISO 9000 (IPQ, 2005) define qualidade como *o grau de satisfação de requisitos* (necessidade ou expectativa expressa, geralmente implícita ou obrigatória) *dado um conjunto de características* (característica como elemento diferenciador) *intrínsecas*. Nas redes, no âmbito da Qualidade de Serviço destaca-se os seguintes aspectos (ISTEC, 2006):

- a qualidade de um serviço é caracterizada pela sua fiabilidade, avaliada pelos seguintes parâmetros: (i) perdas de dados (originadas pela sobrecarga da rede ou encaminhamento incorrecto); (ii) atrasos na recepção de dados (*Jitter* – variações

de atrasos²⁹); (iii) ritmo de transmissão;

- a rede deve satisfazer o nível da qualidade de serviço (*Quality of Service*) acordado com o utilizador, usando os seguintes mecanismos: (i) definição de prioridades; (ii) reserva de recursos, e; (iii) sobredimensionamento da rede.

O exemplo da Rede de Investigação e Ensino Nacional

A Rede de Investigação e Ensino Nacional, abreviadamente designada por RCTS, é uma rede informática gerida pela FCCN que usa os protocolos da Internet para garantir uma plataforma de comunicação e colaboração entre as instituições do sistema de ensino, ciência tecnologia e cultura, ou seja, fornece uma plataforma de comunicação para que os investigadores, professores e estudantes portugueses tenham acesso a uma rede privativa e específica para fazer face às exigentes necessidades desta comunidade. A Rede tem-se constituído igualmente como uma infra-estrutura de experimentação para aplicações e serviços avançados de comunicações.

Caracteriza-se pelo facto, de ser uma rede de alto desempenho para as instituições com maiores requisitos de comunicações, nomeadamente, Universidades, Laboratórios de Estado, Institutos Politécnicos, constituindo-se assim como uma plataforma de experimentação para aplicações e serviços avançados de comunicações.

A topologia da RCTS é composta por dois nós principais, um em Lisboa e outro no Porto, aos quais se ligam as instituições acima referidas (ver no anexo 2 as instituições que se encontram ligadas à RCTS). É também nestes dois nós que se liga a rede das escolas, através de ligações agregadoras de alto débito e redundantes entre si.

Trata-se de uma rede informática que utiliza o protocolo IP para garantir uma plataforma de comunicação e colaboração entre as instituições do sistema de ensino, ciência, tecnologia e cultura.

As principais tecnologias utilizadas nas ligações entre as instituições mencionadas e a RCTS são: a tecnologia *Ethernet* ponto-a-ponto a 10Mbit/s, 100Mbit/s e 1Gbit/s, para

²⁸ IANA – *Internet Assigned Numbers Authority*, <http://www.iana.org/>.

²⁹ *Jitter* é uma variação estatística do atraso na entrega de dados numa rede, ou seja, pode ser definida como a medida de variação do atraso entre os pacotes sucessivos de dados. Refira-se ainda que, uma variação de atraso elevada produz uma recepção não regular dos pacotes *Wikipédia*, <http://pt.wikipedia.org/wiki/Jitter>, consulta efectuada em 2009-01-22).

acessos iguais ou superiores a 10Mbit/s, e VPN-IP³⁰ com acessos através de Circuitos Dedicados³¹ para os acessos com débitos inferiores.

A RCTS é, actualmente, de acordo com Veiga et. al. (2007) uma rede integralmente *Ethernet*, em que todos os acessos com 10Mbs ou mais são separados nesta tecnologia. As suas funcionalidades principais são: a integração simplificada entre os ambientes LAN e WAN, a possibilidade de criação de VPN-*Ethernet* ponto-a-ponto ou ponto-multiponto e a capacidade de transporte de novos tipos de tráfego IP (por exemplo, IPv6).

A Rede de Investigação e Ensino Nacional e a Responsabilidade Social

A entidade gestora ligou à Internet, via RCTS, um número considerável de entidades que actuam na área da exclusão social, designadamente, organizações de e para pessoas com deficiências, ligadas à toxicodependência, jovens em risco, entre outros, os quais integram a denominada Rede Solidária.

No âmbito do previsto no «Programa Nacional para a participação dos cidadãos com necessidades especiais na sociedade da informação» considera-se que o acesso generalizado às novas tecnologias da informação e do conhecimento, constituem um contributo salutar para a integração social com sucesso dos grupos referidos (UMIC, 2003).

6. Conclusão

A comunicação de dados -em sentido lato, entidades usadas para representar qualquer tipo de informação, analógica ou digital (texto, voz, vídeo, imagem, gráficos, etc.)-, isto é, a transmissão de dados deve ser feita de forma controlada, com segurança e tão fiável quanto possível entre sistemas. A comunicação de dados entre sistemas requer, em primeiro lugar, um sistema de transmissão eficiente e eficaz.

³⁰ VPN IP (*Virtual Private Network IP*) - rede de comunicações privada normalmente utilizada por uma empresa ou um conjunto de empresas e/ou instituições, construída sobre uma rede de comunicações pública (como por exemplo, a Internet). O tráfego de dados é efectuado pela rede pública utilizando protocolos padrão, não necessariamente seguros. Para segurança, são usados protocolos de criptografia (simétrica ou assimétrica) - ciência que estuda os processos que permitem assegurar a confidencialidade e integridade das mensagens trocadas entre um emissor e um receptor (Carriço & Carriço, 2004a). É comum recorrer-se a protocolos de criptografia por túnel (protecção de todo o pacote; o pacote é tratado como dados de um novo pacote) que fornecem a confidencialidade, autenticação e integridade necessárias para garantir a privacidade das comunicações requeridas. Quando adequadamente implementados, estes protocolos podem assegurar comunicações seguras através de redes inseguras.

³¹ Circuito dedicado é um circuito de transmissão de dados, analógico ou digital, estabelecido permanentemente entre dois pontos (<http://gsi.iscap.ipp.pt/glossario.htm>, consulta efectuada em 2009-01-22).

A comunicação (troca de informação) entre computadores ligados através de uma rede (conjunto de equipamentos ligados entre si por canais de transmissão) requer um conjunto diversificado de funções e a cooperação entre diferentes tipos de sistemas (equipamentos terminais, que usam os serviços disponibilizados pela rede para comunicarem entre si, e equipamentos que constituem a infra-estrutura da rede de transporte de informação).

Na comunicação existem um conjunto de regras que regulam a comunicação entre entidades homólogas (*peer entities*) que residem (normalmente) em sistemas diferentes (entidades (programas), sistemas (computadores)) designadas por protocolos (por exemplo, o conjunto de protocolos TCP/IP, conjunto de protocolos de comunicação entre computadores em rede, que tiveram por base o Modelo OSI) cujos elementos essenciais assentam na sintaxe (formato dos dados, etc.), na semântica (informação de controlo, tratamento de erros) – procedimentos e nas temporizações (adaptação de velocidades, sincronização, ordenação dos dados).

São funções de um sistema de comunicação: (i) a utilização eficiente do sistema de transmissão; (ii) interface com o sistema de transmissão; (iii) geração de sinais a transmitir; (iii) sincronização; (iv) gestão da comunicação; (v) detecção e correcção de erros; (vi) controlo de fluxo; (vii) endereçamento e encaminhamento; (viii) recuperação de anomalias; (ix) representação da informação (formatação dos dados); (x) segurança nas comunicações (normalmente recorrer-se à criptografia simétrica ou assimétrica), e; (xi) gestão da rede.

As redes de comunicações rompem barreiras de tempo e espaço. E podem melhorar as relações humanas bem como a gestão do conhecimento.

É reconhecido pelos especialistas que as Tecnologias da Informação e da Comunicação (TIC) têm trazido ao Mundo em geral enormes contributos ao desenvolvimento económico e social, nomeadamente através de aumentos de competitividade das organizações (empresas, instituições) e das economias, bem como do reforço de sustentabilidade nos planos social e ambiental.

Em Portugal, a Resolução do Conselho de Ministros n.º 120/2008 de 30 de Julho, assume que as Redes da Nova Geração (RNG) (*Next Generation Networks* – NGN) devem ser a prioridade estratégica para o país, tendo fixado grandes objectivos, como sejam: (i) ligar 1 milhão de utilizadores; (ii) ligar todas as escolas do ensino básico e secundário; (iii) toda a rede pública de hospitais e centros de saúde; (iv) ligar todos os serviços públicos de

justiça; (v) ligar todas as instituições públicas de ensino superior e politécnico; (vi) ligar as redes públicas de museus e bibliotecas.

Glossário

Activo – qualquer coisa que tenha valor para a organização (ISO/IEC, 2004; ISO/IEC 2005a).

Base de dados – uma base de dados é um sistema cuja finalidade pode ser definida do seguinte maneira: registar, actualizar, manter e disponibilizar a informação relevante para a actividade de uma organização ou de um projecto (Carriço & Carriço, 2004b:17).

Bit – a palavra bit resulta da contracção da expressão *binary bit* (dígito binário). Do ponto de vista físico, um bit é qualquer dispositivo capaz de assumir dois estados diferentes e constitui a unidade básica de representação da informação nos computadores (Carriço & Carriço, 2004a:29).

Byte – um byte é um conjunto de oito bits e constitui a unidade básica utilizada para medir a capacidade de armazenamento dos dispositivos de um computador, designadamente a capacidade da memória principal e a capacidade das memórias externas (disquetes já em desuso, discos) (Carriço & Carriço, 2004a:31).

Computação GRID - a Computação GRID (a que também se costuma chamar Computação em «Grelha») é uma tecnologia de computação distribuída que nasceu em 1994-95 no Laboratório Nacional Argonne dos EUA pelas mãos de Ian Foster, Steven Tuecke e Carl Kesselman, reconhecidos como os «pais» da Computação GRID. A ideia da Computação GRID é replicar para o processamento computacional a filosofia e os princípios de funcionamento da *World Wide Web* (WWW) para a disponibilização de informação à escala mundial. A WWW tornou possível disponibilizar de forma distribuída e a partir de milhares de computadores usuais uma quantidade gigantesca de informação que seria impossível disponibilizar com um pequeno número de computadores, mesmo que estes tivessem capacidades extremamente elevadas. De forma análoga, a Computação GRID consegue disponibilizar elevadas capacidades computacionais à custa de distribuir tarefas de processamento por vários computadores de forma coordenada e eficiente (Ministério da Ciência, Tecnologia e Ensino Superior, s/d). Uma *grid* é, pois, um sistema distribuído que agrega numa única infra-estrutura recursos computacionais autónomos, heterogéneos, geograficamente dispersos e distribuídos por diferentes entidades (Veiga et. al., 2004b).

Comunicação de dados - transmissão, recepção e validação de dados entre uma origem e um destino através de um meio de transmissão de acordo com protocolos específicos (ISCAO, s/d).

Confidencialidade – propriedade que garanta que a informação disponível não seja divulgada a pessoas, entidades ou processos não autorizadas (SO/IEC, 2004; ISO/IEC 2005a).

Criptografia - processo de fazer com que as informações se tornem indecifráveis através de códigos secretos, a fim de protegê-las contra a consulta ou o uso não autorizado (ISCAP, s/d).

Disponibilidade – propriedade referente à disponibilização da informação utilizável quando uma entidade autorizada ou pessoa a requeira (SO/IEC, 2004; ISO/IEC 2005a).

Domínio - designação que identifica um sítio (*site*) na Internet (ISCAP, s/d).

Draft Standard – documento considerado suficientemente estável para poder ser objecto de implementação

Emulador de terminal - software que permite a um computador funcionar como um terminal (ISCAP, s/d).

Encriptação - processo de codificação de dados, a fim de evitar que estes possam ser lidos por utilizadores não autorizados. A *encriptação* é um excelente método para garantir a segurança, sobretudo nos sistemas de rede aberta. (ISCAP, (s/d).

Endereço IP - frequentemente designado pela expressão inglesa *IP address*, constitui um protocolo Internet (ou *Internet Protocol*) que controla a comunicação e troca de dados entre os computadores. Um dos mais importantes entre todos os protocolos presentes na Internet, tem por missão identificar as máquinas e redes e fazer o reencaminhamento (*routing*) correcto das transmissões entre elas (endereço IP. In Infopédia [Em linha]. Porto: Porto Editora, 2003-2009, [http://www.infopedia.pt/\\$endereco-ip](http://www.infopedia.pt/$endereco-ip), consulta efectuada em 2009-01-14).

FCCN - a FCCN (Fundação para a Computação Científica Nacional) é uma instituição privada sem fins lucrativos designada de utilidade pública que iniciou a sua actividade em Janeiro de 1987. Desde então, com o apoio das Universidades e diversas instituições de I&D nacionais, a FCCN tem contribuído para a expansão da Internet em Portugal. Como principal actividade a FCCN tem o planeamento, gestão e

operação da Rede Ciência, Tecnologia e Sociedade (RCTS), uma rede de alto desempenho para as instituições com maiores requisitos de comunicações, constituindo-se assim uma plataforma de experimentação para aplicações e serviços avançados de comunicações.

Frames - divisão de uma página *Web* em várias áreas navegáveis de forma independente (ISCAP, s/d). Também, conjunto de quadros ou figuras.

FTP (*File Tranfer Protocol*) - protocolo de transferência de ficheiros pela Internet. O FTP permite transferir ficheiros entre computadores mesmo que tenham sistemas operativos diferentes. Revela-se precioso para explorar os arquivos de acesso livre que fornecem uma espécie de serviço público mundial (ISCAP, s/d).

Gestão de rede - conjunto de funções que controlam uma rede de comunicação (ISCAP, s/d).

Host - computador anfitrião (*mainframe*) que serve de repositório de informação e fornece uma série de serviços aos utilizadores ligados em rede (ISCAP, s/d).

HTTP (*HyperText Transport Protocol*) - protocolo de transferência de ficheiros de hipertexto pela Internet (ISCAP, s/d).

Incidente (de segurança da informação) – um ou uma série de eventos que comprometam a segurança da informação não desejados ou inesperados que têm uma significativa probabilidade de comprometer as operações comerciais (ou outras) e ameaçam a segurança da informação (ISO/IEC, 2004; ISO/IEC 2005a).

Informação – dados com significado (IPQ, 2005)

Integridade da informação – propriedade de salvaguardar a exactidão e integridade dos activos (ISO/IEC, 2004; ISO/IEC 2005a).

Interface - interliga dois equipamentos que têm características ou funções diferentes, pretendendo-se que se tornem compatíveis. Essa especificação refere-se ao tipo, número e função dos circuitos de interligação, assim como ao tipo e forma dos sinais intercambiados por esses circuitos (ISCAP, s/d).

Internet - rede mundial de comunicação por computadores, de origem norte-americana, que permite aos seus utilizadores a troca de mensagens e o acesso a grande quantidade de informação. Ou seja, sistema de redes de computadores com cobertura planetária que utiliza o protocolo TCP/IP, onde se encontram sistemas de informação e serviços

(ISCAP, s/d). – No caso de redes internas (*intranets*) utilizam os mesmos protocolos e tecnologias da Internet.

IP (*Internet Protocol*) - é um protocolo de comunicações que especifica o formato de pacotes (também chamados de *datagramas*) e o esquema de endereçamento. Muitas redes combinam o IP com um protocolo de mais alto nível chamado TCP (*Transport Control Protocol*) que estabelece uma conexão virtual entre o destino e a fonte. O IP, por si só, assemelha-se ao sistema postal. Permite endereçar um pacote e colocá-lo no sistema mas, não estabelece nenhuma ligação directa entre o remetente e o destinatário. O TCP/IP, por outro lado, estabelece uma ligação entre duas máquinas de forma a poderem enviar e receber mensagens durante o período de tempo que a ligação se mantém (IP. In Infopédia [Em linha]. Porto: Porto Editora, 2003-2009, [http://www.infopedia.pt/\\$ip](http://www.infopedia.pt/$ip), consulta efectuada em 2009-01-14).

ISO (*International Organization for Standardization*) – a ISO (<http://www.iso.org>) é uma organização, não governamental fundada em 1947, com sede em Genebra, na Suíça, compreende cerca de 157 países e é formada por organizações ou institutos de normalização nacionais, à proporção de um membro por país (no caso de Portugal é o IPQ (Instituto Português da Qualidade) que faz parte da ISO). A missão da ISO é promover o desenvolvimento da normalização e das actividades com ela relacionadas a nível mundial com o objectivo de facilitar a troca de bens e serviços, e promover a cooperação a nível intelectual, científico, tecnológico e económico. ISO não é um acrónimo. «ISO» é uma palavra, derivada do grego «*isos*», que significa «igual», raiz do prefixo «*iso*», que aparece numa grande quantidade de termos (por exemplo, isotérmico, isobárico, etc.).

Mainframe - computador principal, central ou *host*. Trata-se de um sistema de grande computador, concebido para processar dados de alta velocidade e com grande capacidade de armazenamento de dados (ISCAP, s/d).

MAN (*Metropolitan Area Network*) – são redes de área metropolitana. Estas redes podem ser utilizadas para interligar computadores e redes locais, dentro dos limites geográficos de uma rede metropolitana. Utilizam meios de transmissão fornecidos por organizações de telecomunicações.

Mbit (*Megabite*) - designação utilizada como unidade de medida para descrever velocidades de transmissão de dados, equivalente a um milhão de dígitos binários ou bits (ISCAP, s/d).

Nanotecnologias - as nanotecnologias estão associadas a diversas áreas (como a medicina, electrónica, ciência da computação, física, química, biologia e engenharia dos materiais) de investigação e produção à escala nano (escala atómica). O princípio básico das nanotecnologias é a construção de estruturas e novos materiais a partir dos átomos (os tijolos básicos da natureza). É uma área promissora, mas que dá apenas os seus primeiros passos, mostrando, contudo, resultados surpreendentes (na produção de semicondutores, Nanocompósitos, Biomateriais, Chips, entre outros) (wikipedia, <http://pt.wikipedia.org/wiki/Nanotecnologia>, consulta efectuada em 2009-01-16).

Pacote (*Packet*) - conjunto finito de *bits* susceptível de ser manipulado por uma rede de comutação de pacotes. Ou seja, trata-se de uma sequência de dígitos binários, incluindo dados e sinais de controlo, transmitidos e comutados como um todo (ISCAO, s/d).

Query – consulta a uma base de dados.

Rede - conjunto de equipamentos ligados entre si por canais de transmissão (ISCAP, s/d)

Rede LAN (*Local Area Networks*) – são vulgarmente designadas por redes locais (confinadas às instalações de uma organização e localiza-se num piso, num edifício, e em determinadas circunstâncias, em edifícios adjacentes, em *campus* universitários ou a uma área reservada de uma unidade fabril com vários edifícios).

Redes de Nova Geração (RNG) (*Next Generation Networks* – NGN) - nova tendência tecnológica que visa a integração de todas as tecnologias de rede numa rede única, multisserviço, com flexibilidade para ampliação, baixo custo operacional e com tecnologia Internet. A arquitectura da NGN é dividida em camadas: a camada de acesso, a camada de núcleo e a camada de controlo e gestão. Em princípio, cada camada é independente das demais e os equipamentos podem ser adquiridos de fornecedores diferentes, em cada camada e até dentro da mesma camada. Isso promove a criação de novos fornecedores em nichos especializados, a concorrência e a consequente baixa de preços das redes de telecomunicações. A Editora Érica (<http://www.editoraerica.com.br>), publicou, em 2006, o livro com o título «Redes de

Nova Geral: A Arquitetura de Convergência do IP, Telefonia e Redes», de Tânia Regina Tronco (ISBN: 8536501383).

Redes WAN (*Wide Area Networks*) – são frequentemente designadas por redes de área alargada. Para este tipo de redes não existem limites geográficos definidos. Uma rede WAN pode estender-se a várias cidades, países ou continentes.

Segurança da informação – preservação da confidencialidade, integridade e disponibilidade da informação; podem estar envolvidas outras propriedades com a autenticidade, não-repudição, responsabilidade e confiabilidade (SO/IEC, 2004; ISO/IEC 2005a).

Servidor - computador com um software específico para fornecimento de recursos de informação e serviços a outros servidores clientes (ISCAP, s/d).

Servidor de aplicações – executa aplicações a pedido de aplicações clientes. (Carriço & Carriço, 2004a:78).

Servidor de ficheiros – proporciona serviços de armazenamento e acesso a informação contida em ficheiros (Carriço & Carriço, 2004a:78).

Servidor de impressão – são utilizados principalmente em redes locais e têm por função gerir a utilização de impressoras pelos vários clientes da rede, através de um pool que controla a sequência de impressão de vários documentos (Carriço & Carriço, 2004a:78).

Servidor Web – é uma aplicação que disponibiliza o acesso a páginas de informação e, em alguns casos, serviços de acesso a bases de dados. Tipicamente, o cliente é um Web browser (Carriço & Carriço, 2004a:78).

Sistemas abertos - sistemas que permitem a comunicação com diferentes tipos de utilizadores, equipamentos e serviços (ISCAP, s/d).

SMTP (*Simple Mail Transfer Protocol*) - protocolo standard desenvolvido para suportar os serviços de correio electrónico em redes TCP/IP, como a Internet (ISCAP, s/d).

TCP/IP (*Transmission Control Protocol/Internet Protocol*) - é um pacote de protocolos de comunicação utilizado para a conexão de máquinas hospedeiras à Internet. O TCP/IP utiliza vários protocolos sendo os principais, o TCP e o IP. O TCP/IP está altamente enraizado no sistema operativo UNIX o que o tornou no standard de facto para a transmissão de dados em redes (TCP/IP. In Infopédia [Em linha]. Porto: Porto Editora,

2003-2009, [http://www.infopedia.pt/\\$tcpip](http://www.infopedia.pt/$tcpip), consulta efectuada em 2009-01-14). Digamos, é um conjunto de convenções de transmissão de dados que está na base da Internet (ISCAP, s/d).

Topologia *broadcast* – é um tipo de topologia, onde o meio de transmissão é partilhado por todos os computadores. Neste tipo de tipologia de rede, é necessário implementar protocolos que permitam gerir o acesso dos diversos computadores ao meio de transmissão.

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Apêndice 1

Legislação

Decreto-lei n.º 104/2002, de 12 de Abril - Aprova o regime de aquisição de bens por via electrónica por parte dos organismos públicos.

Decreto-lei n.º 143/2001, de 26 de Abril - Transpõe para a ordem jurídica interna a Directiva 97/7/CE do Parlamento Europeu e do Conselho, de 20 de Maio, relativa à protecção dos consumidores em matéria de contratos celebrados à distância, regula os contratos ao domicílio e equiparados, as vendas automáticas e as vendas especiais esporádicas e estabelece modalidades proibidas de vendas de bens ou de prestação de serviços.

Decreto-Lei n.º 192/2000, de 18 de Agosto - Diploma que estabelece o regime de livre circulação, colocação no mercado e colocação em serviço no território nacional dos equipamentos de rádio e equipamentos terminais de telecomunicações, bem como o regime da respectiva avaliação de conformidade e marcação.

Decreto-Lei n.º 197/99, de 8 de Junho - Aprova o regime jurídico de realização de despesas públicas.

Decreto-lei n.º 256/2003, de 21 de Outubro - Transpõe para a ordem jurídica nacional a Directiva n.º 2001/115/CE do Conselho, de 20 de Dezembro, que altera a Directiva n.º 77/388/CEE, tendo em vista simplificar, modernizar e harmonizar as condições aplicáveis à facturação em matéria de imposto sobre o valor acrescentado (factura electrónica).

Decreto-lei n.º 290-D/99, de 2 de Agosto - Aprova o regime jurídico dos documentos electrónicos e da assinatura digital, alterado pelo Decreto-lei n.º 62/2003, de 3 de Abril, que visa compatibilizar o regime jurídico estabelecido pelo diploma alterado com a Directiva 1999/93/CE do Parlamento e do Conselho, de 13 de Dezembro, relativa a um quadro legal comunitário para as assinaturas electrónicas.

Decreto-lei n.º 7/2004, de 7 de Janeiro - No uso da autorização legislativa concedida pela Lei n.º 7/2003, de 9 de Maio, transpõe para a ordem jurídica nacional a Directiva n.º

2000/31, do Parlamento Europeu e do Conselho, de 8 de Junho de 2000, relativa a certos aspectos legais dos serviços da sociedade da informação, em especial do comércio electrónico, no mercado interno (lei do comércio electrónico).

Decreto-lei n.º 252/94, de 20 de Outubro - Transpõe para a ordem jurídica interna a Directiva n.º 91/250/CEE, do Conselho, de 14 de Maio, relativa ao regime de protecção jurídica dos programas de computador.

Lei n.º 109/91, de 17 de Agosto - Lei da criminalidade informática.

Lei n.º 41/2004, 18 de Agosto - Transpõe para a ordem jurídica nacional a Directiva n.º 2002/58/CE, do Parlamento Europeu e do Conselho, de 12 de Julho, relativa ao tratamento de dados pessoais e à protecção da privacidade no sector das comunicações electrónicas (revogou a Lei n.º 69/98, de 28 de Outubro, que regulava o tratamento de dados pessoais e a protecção da privacidade no sector das telecomunicações (transpõe a Directiva n.º 97/66/CE, do Parlamento Europeu e do Conselho, de 15 de Dezembro de 1997).

Lei n.º 5/2004, de 10 de Fevereiro - Lei das Comunicações Electrónicas.

Lei n.º 67/98, de 26 de Outubro - Lei da protecção de dados pessoais (transpõe para a ordem jurídica portuguesa a Directiva n.º 95/46/CE do Parlamento Europeu e do Conselho, de 24 de Outubro de 1995, relativa à protecção das pessoas singulares no que diz respeito ao tratamento dos dados pessoais e à livre circulação desses dados.

Resolução do Conselho de Ministros n.º 107/2003, de 12 de Agosto - Aprova o Plano de Acção para a Sociedade da Informação, principal instrumento de coordenação estratégica e operacional das políticas do XV Governo Constitucional para o desenvolvimento da Sociedade da Informação em Portugal.

Resolução do Conselho de Ministros n.º 109/2003, de 12 de Agosto - Aprova a Iniciativa Nacional para a Banda Larga.

Resolução do Conselho de Ministros n.º 110/2003, de 12 de Agosto - Aprova o Programa Nacional para a Participação dos Cidadãos com Necessidades Especiais na Sociedade da Informação.

Resolução do Conselho de Ministros n.º 111/2003, de 12 de Agosto - Aprova o Programa Nacional de Compras Electrónicas.

Resolução do Conselho de Ministros n.º 115/98, de 1 de Setembro - Cria a Iniciativa

Nacional para o Comércio Electrónico.

Resolução do Conselho de Ministros n.º 120/2008, de 30 de Julho de 2008 - Define como prioridade estratégica para o País no sector das comunicações electrónicas a promoção do investimento em redes de nova geração.

Resolução do Conselho de Ministros n.º 135/2002, de 20 de Novembro - Define o novo enquadramento institucional da actividade do Governo em matéria de sociedade da informação, da inovação e do governo electrónico.

Resolução do Conselho de Ministros n.º 94/99, de 25 de Agosto - Aprova o Documento Orientador da Iniciativa Nacional para o Comércio Electrónico.

Apêndice 2

Instituições de Ensino e Investigação ligadas à RCTS

Neste anexo refere-se as diversas instituições de ensino e investigação que se encontram ligadas à Rede de Investigação e Ensino Nacional (RCTS).

Quadro 1 – Instituições de ensino e investigação ligadas à RCTS

Instituição	Débito
Laboratório de Instrumentação e Física Experimental de Partículas (LIP)	1 Gbps
Universidade Nova de Lisboa - Reitoria (UNL-Reitoria)	1 Gbps
Universidade Técnica de Lisboa (UTL)	1 Gbps
Universidade de Coimbra (UC)	1 Gbps
Universidade de Lisboa (UL)	1 Gbps
Universidade do Minho	1 Gbps
Universidade do Porto - IRICUP (UP)	1 Gbps
Instituto Politécnico de Lisboa (IPL)	500 Mbps
Instituto Politécnico do Porto (IPP)	500 Mbps
Universidade de Aveiro (UA)	500 Mbps
Instituto Politécnico de Coimbra - Instituto Superior de Engenharia de Coimbra (IPC-ISEC)	100 Mbps
Instituto Politécnico de Leiria - Escola Superior de Tecnologia e Gestão (IPLeiria - ESTG)	100 Mbps
Universidade Aberta (UAberta)	100 Mbps
Universidade Católica Portuguesa	100 Mbps
Universidade de Évora (UEvora)	100 Mbps
Universidade de Trás-os-Montes e Alto Douro (UTAD)	100 Mbps
Universidade do Algarve (UAlg)	100 Mbps
Instituto Superior de Ciências do Trabalho e Empresa (ISCTE)	60 Mbps
Instituto Gulbenkian de Ciência (IGC)	50 Mbps
Instituto Politécnico de Bragança (IPB)	50 Mbps
Instituto Politécnico de Castelo Branco	50 Mbps
Instituto Politécnico de Setúbal (IPS)	50 Mbps
Instituto Politécnico de Viseu (IPV)	50 Mbps
Laboratório Nacional de Engenharia Civil (LNEC)	50 Mbps
Universidade da Beira Interior (UBI)	50 Mbps
Instituto Politécnico da Guarda - Escola Superior de Tecnologia e Gestão (IPG-ESTG)	20 Mbps

Quadro 1 – Instituições de ensino e investigação ligadas à RCTS (continuação)

Instituição	Débito
Instituto Politécnico de Beja - Escola Superior de Tecnologia e Gestão de Beja (IPBeja-ESTGB)	20 Mbps
Instituto Politécnico de Portalegre (IPPortalegre)	20 Mbps
Instituto Politécnico de Santarém - Acesso 1 (IPSant-1)	20 Mbps
Instituto Politécnico de Tomar	20 Mbps
Instituto Politécnico de Viana do Castelo	20 Mbps
Universidade da Madeira (UMa)	20 Mbps
Universidade dos Açores - Pólo Ponta Delgada (UAc-PD)	20 Mbps
Biblioteca Nacional (BN)	10 Mbps
Escola Superior de Enfermagem de Lisboa (ESEL)	10 Mbps
Escola Superior de Hotelaria e Turismo do Estoril	10 Mbps
Instituto Politécnico do Cavado e do Ave (IPCA) - Acesso1	10 Mbps
Ministério da Ciência, Tecnologia e Ensino Superior - Agência para a Sociedade do Conhecimento (MCTES-UMIC)	10 Mbps
Ministério da Educação – Equipa de Missão Computadores, Redes e Internet na Escola (MIN-EDU-CRIE)	10 Mbps
Instituto Nacional de Engenharia e Tecnologia Industrial (INETI)	8 Mbps
Universidade Portucalense Infante D. Henrique (Uportu)	6 Mbps
Escola Náutica Infante D. Henrique	4 Mbps
Escola Superior de Enfermagem de Francisco Gentil – ESEFG	4 Mbps
Universidade Lusíada de Lisboa (Ulusíada-Lx)	4 Mbps
Universidade Lusíada de Vila Nova de Famalicão (Ulusíada-VNFamalicão)	4 Mbps
Universidade Lusíada do Porto (Ulusíada-Porto)	4 Mbps
Escola Superior de Enfermagem de Coimbra – Bissaya Barreto (Pólo B) – ESEC	2 Mbps
Escola Superior de Enfermagem de Coimbra – Dr. Ângelo da Fonseca (Pólo A) – ESEAF – Acesso 1 (ESEAF)	2 Mbps
Universidade Atlântica (Uatla)	1 Mbps
Universidade Nova de Lisboa – Instituto da Higiene e Medicina Tropical (UNL-IHMT)	1 Mbps
Débito Total	9.87 Gbps

Fonte: FCCN