EUA
European University Association

EUROPEAN UNIVERSITY ASSOCIATION
STRONG UNIVERSITIES FOR EUROPE

European doctoral education, a silent revolution

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## European University Association

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Quality in Postgraduate Research
Adelaide, Australia

EUA Council for Doctoral Education

- **EUA – European University Association**
- 850 universities and rectors' conferences in 47 countries
- Developing evidence-based policies
- Advocating these policies
- Promoting development of universities as institutions

- **Council for Doctoral Education (CDE)**
- a membership service focused on doctoral education
- Development of doctoral schools
- Doctorate-specific policy development
- 222 members in 35 countries (from Faro to Tomsk)

EUA MEMBERSHIP MAP AS OF 18 APRIL 2012
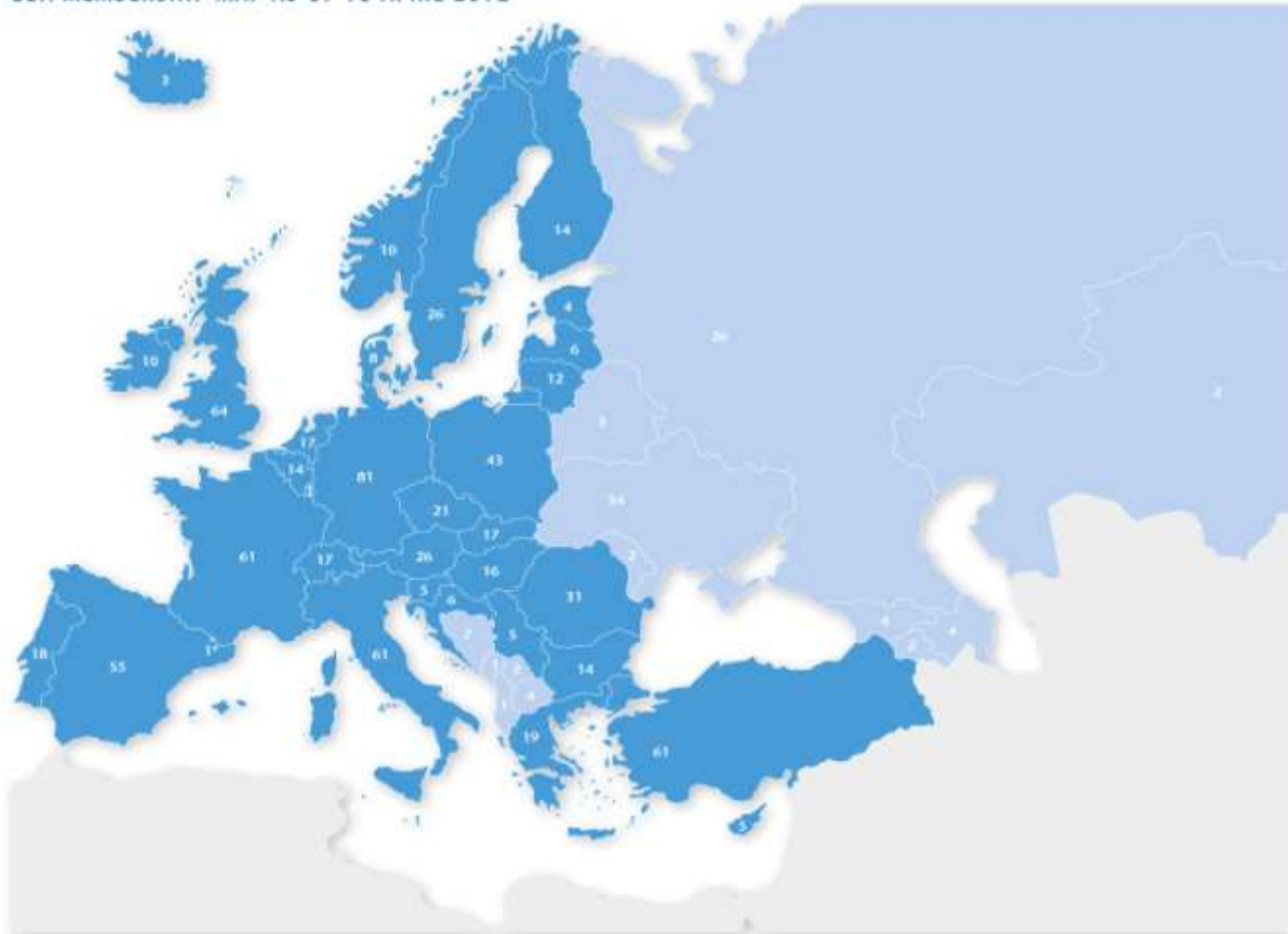
Countries with EUA collective members
Countries with no EUA collective members
Members per country
Andorra
Holy See

EUA has 25 Affiliates. They have not been integrated in the above map as they do not correspond necessarily to national bodies (please see www.eua.be for full list of members).

Increased political attention to doctoral education

- Inclusion in the Bologna Process 2003

- Salzburg Principles 2005 – Salzburg II 2010

- Increased importance for the European Research Area
  - ✓ Innovation Union 2010
    - The Commission commits itself to better doctoral training in Europe
  - ✓ Principles for Innovative Doctoral Training 2011
    - Triple-i : international, interdisciplinary and intersectoral

- National legislation

- Much of this is connected to the discourse about the knowledge society as a driver for growth

Growth in European Doctoral Education

- About 50% for the EU as a whole since 2004, with big variations

Growth in PhD Graduates 2004-2011 (2004=100)
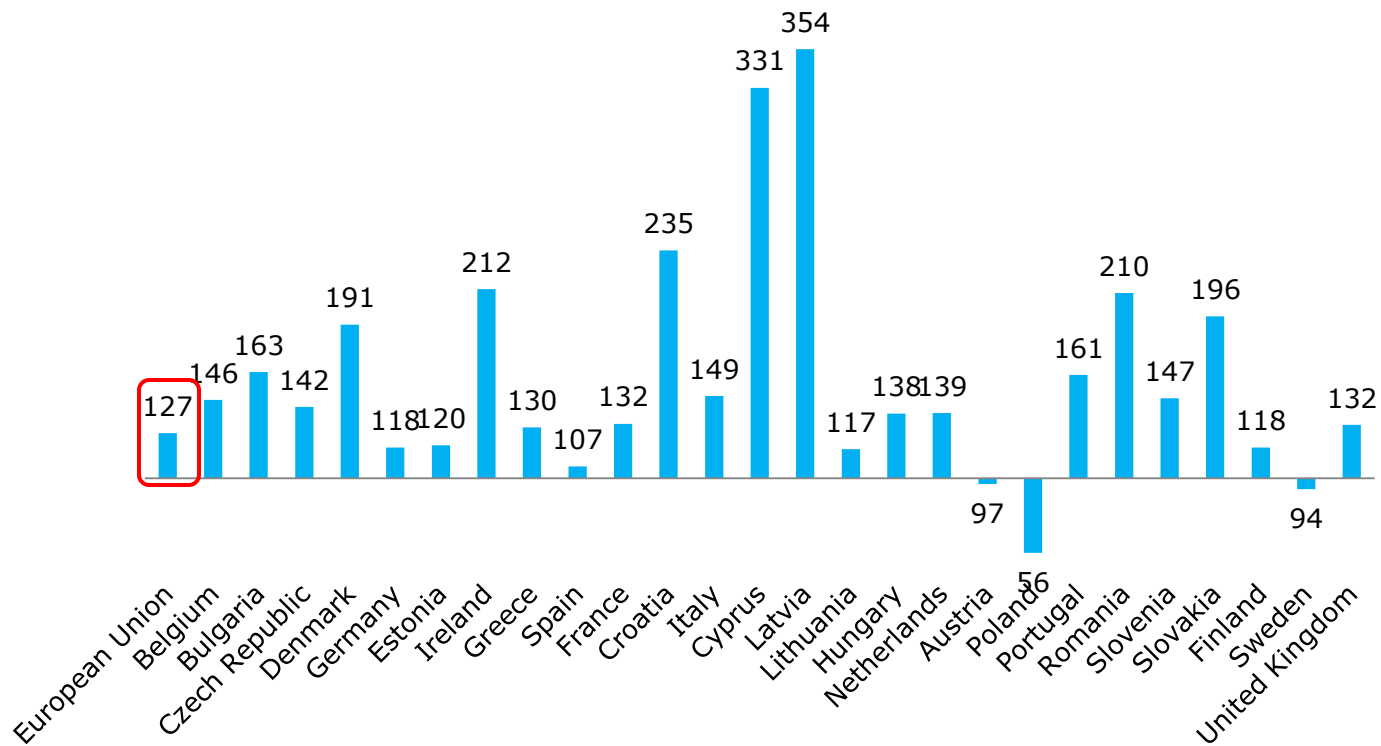
The rise of the doctoral school

- Since 2005, we have seen a 'silent revolution' in doctoral education
  - ✓ Professional management: The **Rise of the doctoral school**
    - 30 % of universities had a doctoral school in 2007
    - 65 % in 2009*
    - 82% ARDE 2011
    - Universal 2013**

  - ✓ Move towards a two-layered model of faculty/programme level schools and central, strategic units

TRENDS V, TRENDS 2010
*** EUA European Research Area Survey*

Salzburg Principles and recommendations

- Salzburg Principles from 2005 – outcomes of an EUA-led project and a Bologna seminar
  - ✓ The doctorate is **research-based**
  - ✓ Importance of institutional strategies
  - ✓ Diversity

- Salzburg recommendations 2010 – from consultations with CDE members
  - ✓ **Research** as the 'basis and the difference' from the other two cycles
  - ✓ Space for **individual development**
  - ✓ **Autonomy** for the institution to choose mission and strategy and to set up the appropriate structures

Curriculum reform ...

- Early reforms targeted modernisation (introduction) of curriculum and pooling research capacity
  - Doctoral schools = doctoral programmes
    - Interdisciplinarity
    - Transferable skills
    - Taught courses (70 % of respondents in TRENDS 2010)
    - ECTS or other credit systems as incentive for varied activities (or as legal 'Bologna' requirements)
   - Not a popular or growing phenomenon

… towards professional management

- There is a tendency towards a institutions introducing more sophisticated governance structures
  - ✓ Doctoral schools = Strategic units at the institutional level (Vice Rectors/Deans)
    - Common rules and guidelines
    - Monitoring, quality management, problem solving (research capacity, completion rates, satisfaction)
    - <u>Strategic planning</u> (capacity and talent development, outreach, internationalisation)
      - Which includes planning curriculum development

Doctoral Schools on many levels – differentiated between institution and programme

EUA European Research Area Survey 2013
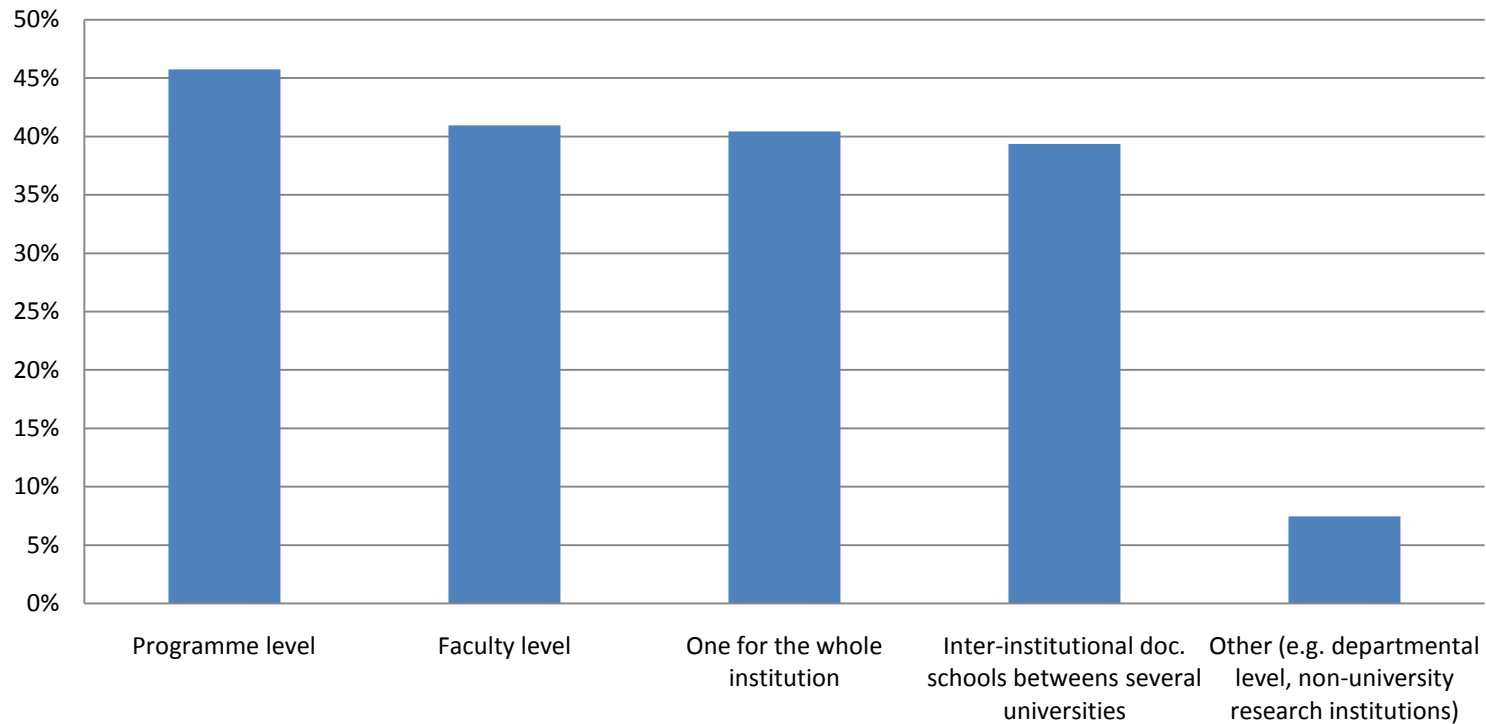
Procedures (internal QA) universally implemented

*EUA European Research Area Survey 2013*
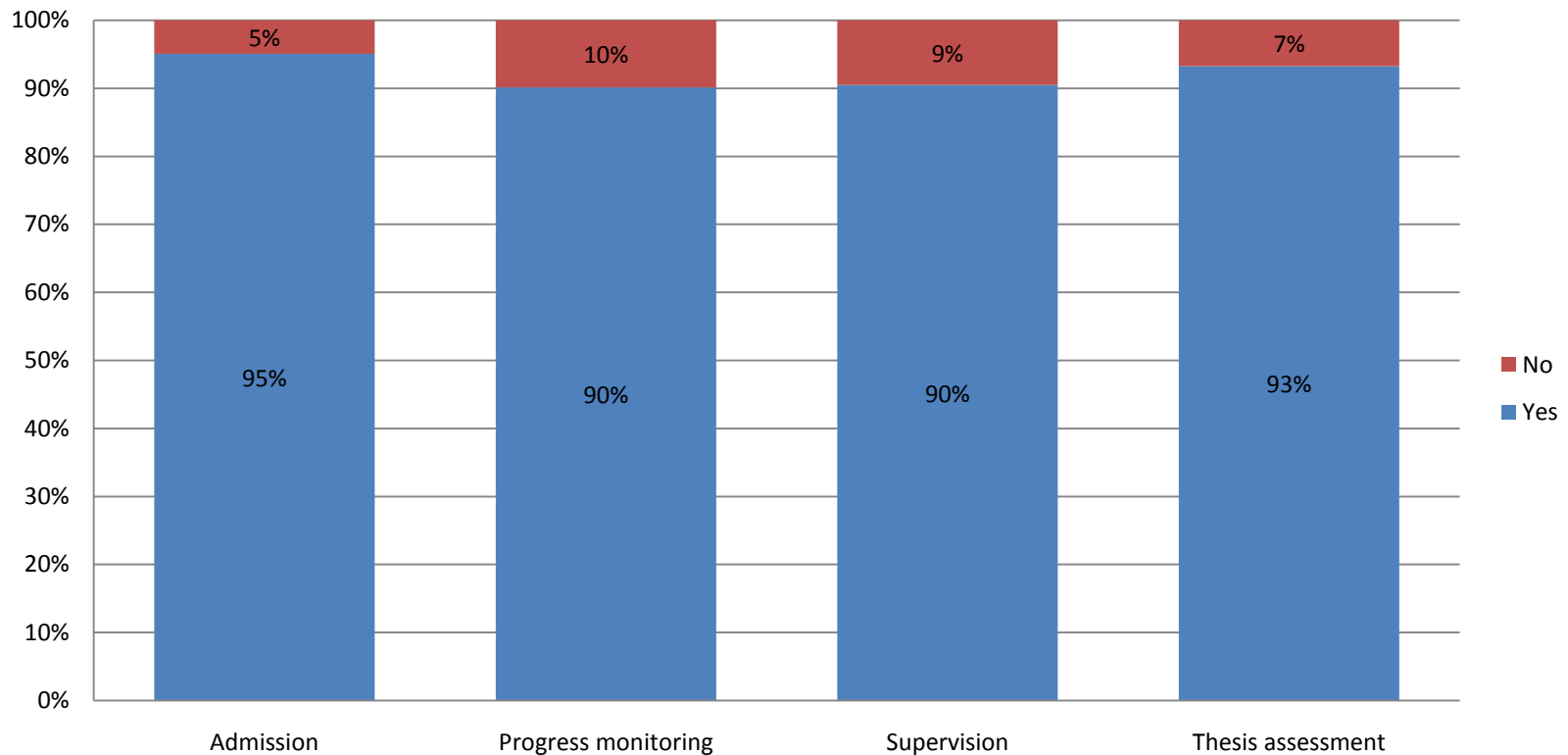
The ARDE Survey 2011

- 112 respondents
  - ✓ Mostly large, research-intensive institutions
  - ✓ ~ 130,000 doctoral candidates (22% of the estimated total)
- Questions about QA framework for doctoral education as well as specific procedures:
  - ✓ Admissions, registration, monitoring of progress, supervision, involvement of doctoral candidates, thesis evaluation
- Results largely confirmed by a larger EUA survey concerning universities in the European Research Area

Satisfaction with procedures

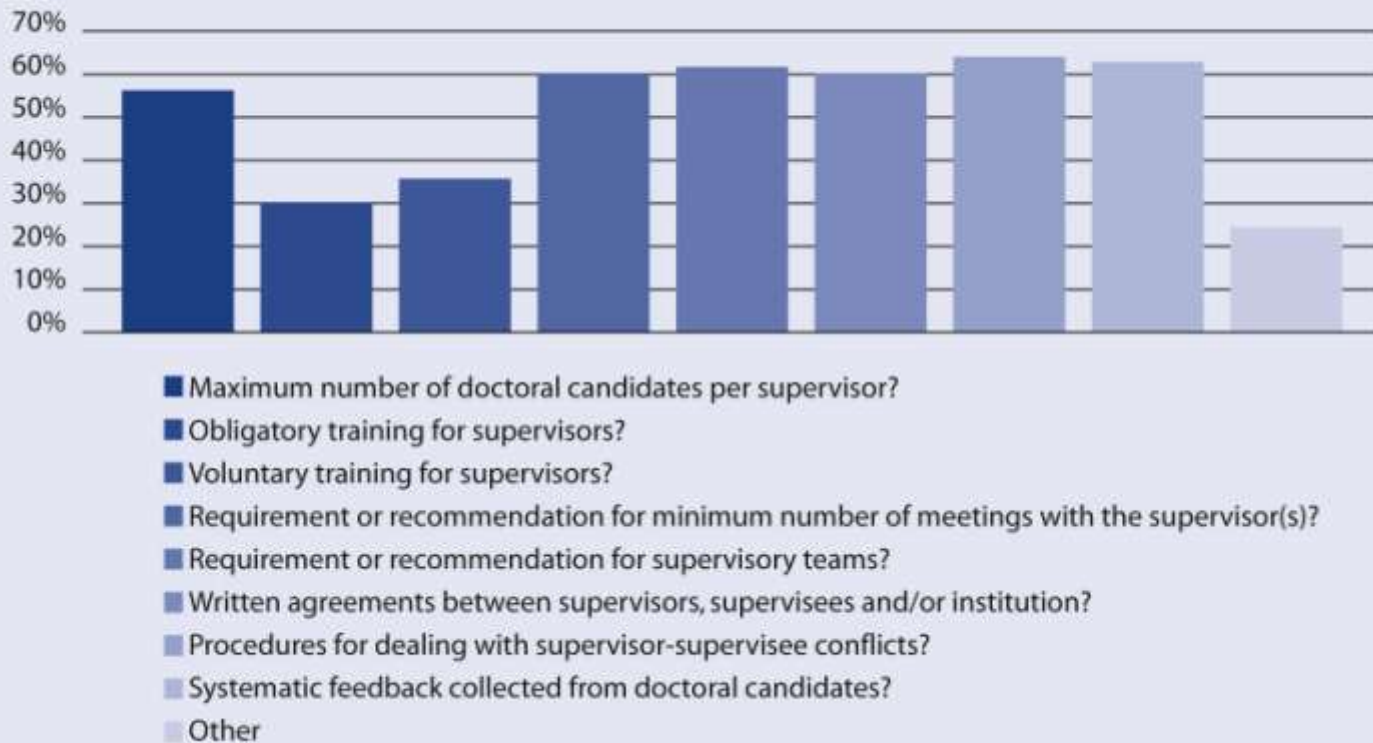Figure 5: Satisfaction with existing procedures
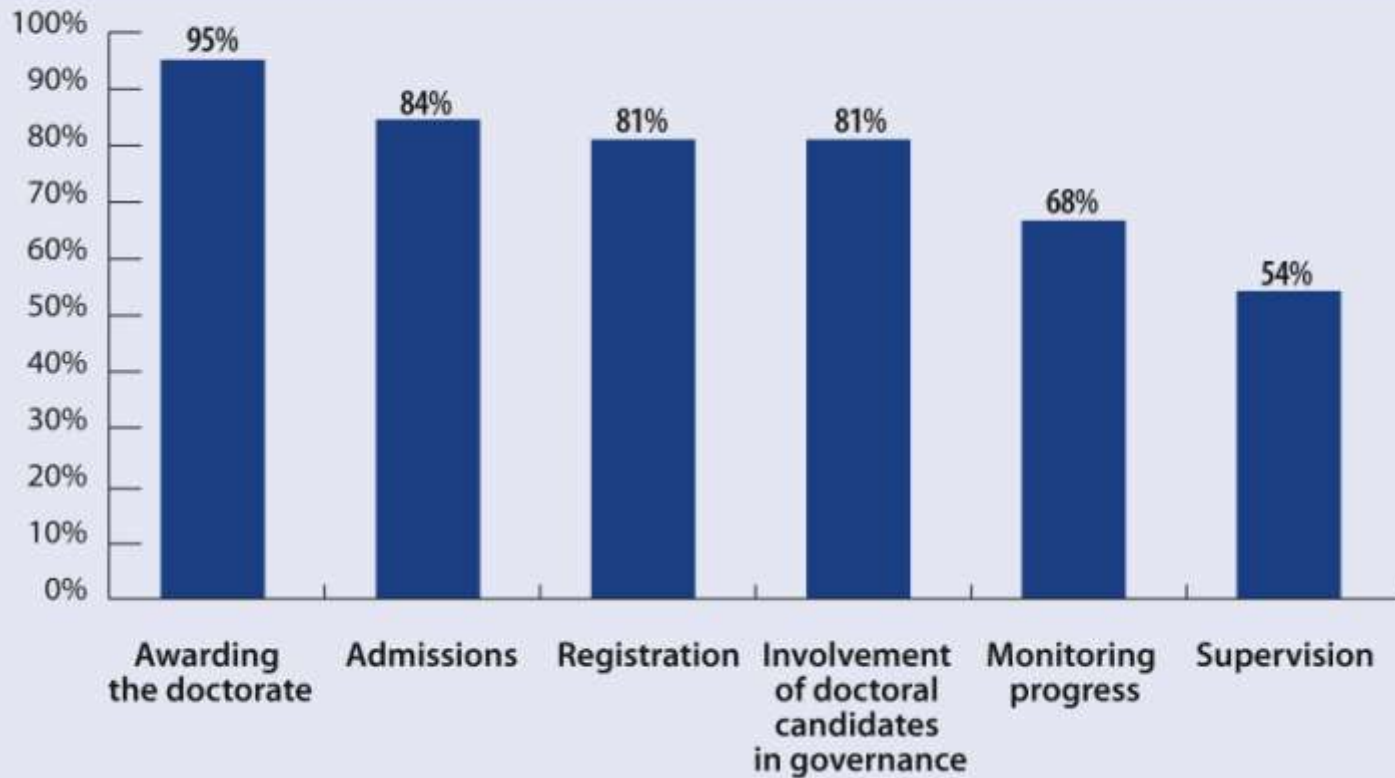
Supervision – a key issue: rules and guidelines

- Compliance
  - ✓ <u>Institutional rules</u> that specify how to comply with national legislation (many countries have supervision mentioned in national legislation)
  - ✓ Internal or external accreditation – for instance requirements for staff qualifications

- Transparency
  - ✓ <u>A combination of rules and guidelines</u>: Documents that specify what is expected or required
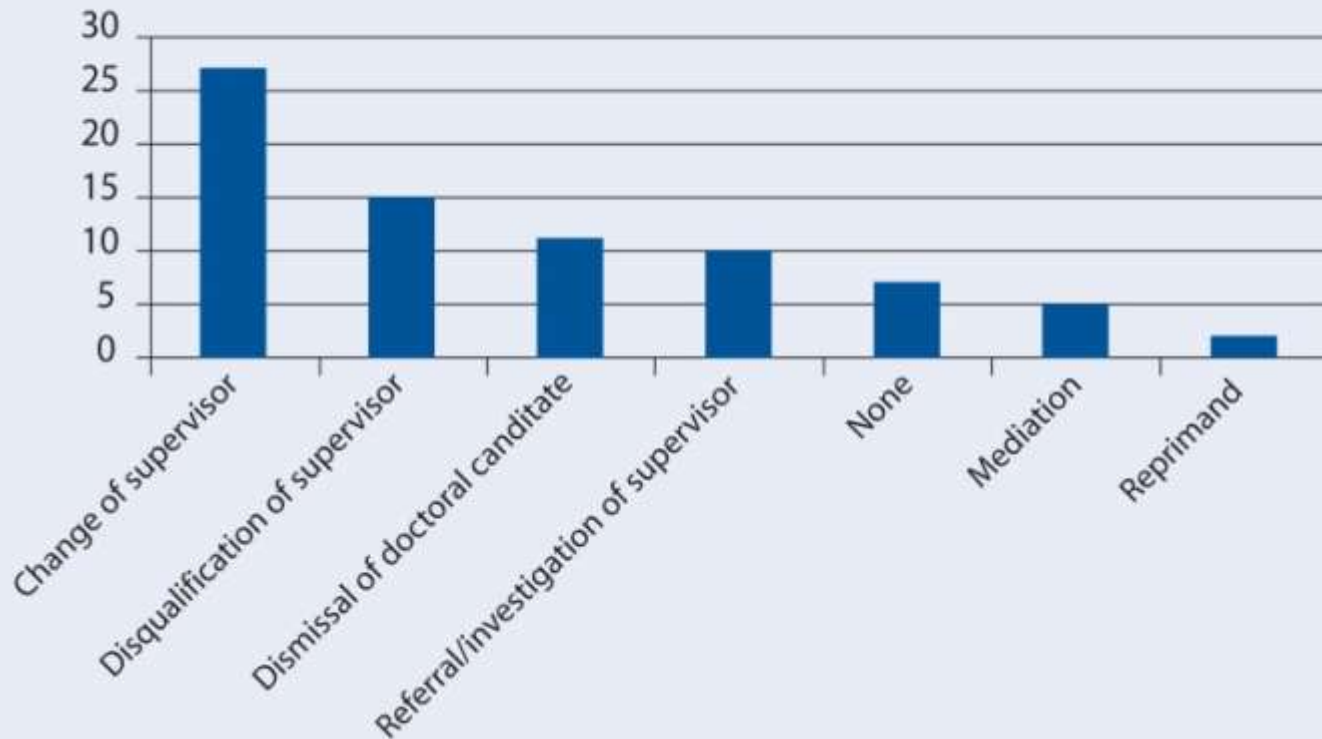 - ✓ Individual contracts between supervisor, supervisee and institution

What do rules and guidelines contain?

Figure 8: Content of supervision rules or guidelines

- Maximum number of doctoral candidates per supervisor?
- Obligatory training for supervisors?
- Voluntary training for supervisors?
- Requirement or recommendation for minimum number of meetings with the supervisor(s)?
- Requirement or recommendation for supervisory teams?
- Written agreements between supervisors, supervisees and/or institution?
- Procedures for dealing with supervisor-supervisee conflicts?
- Systematic feedback collected from doctoral candidates?
- Other

What are the sanctions?

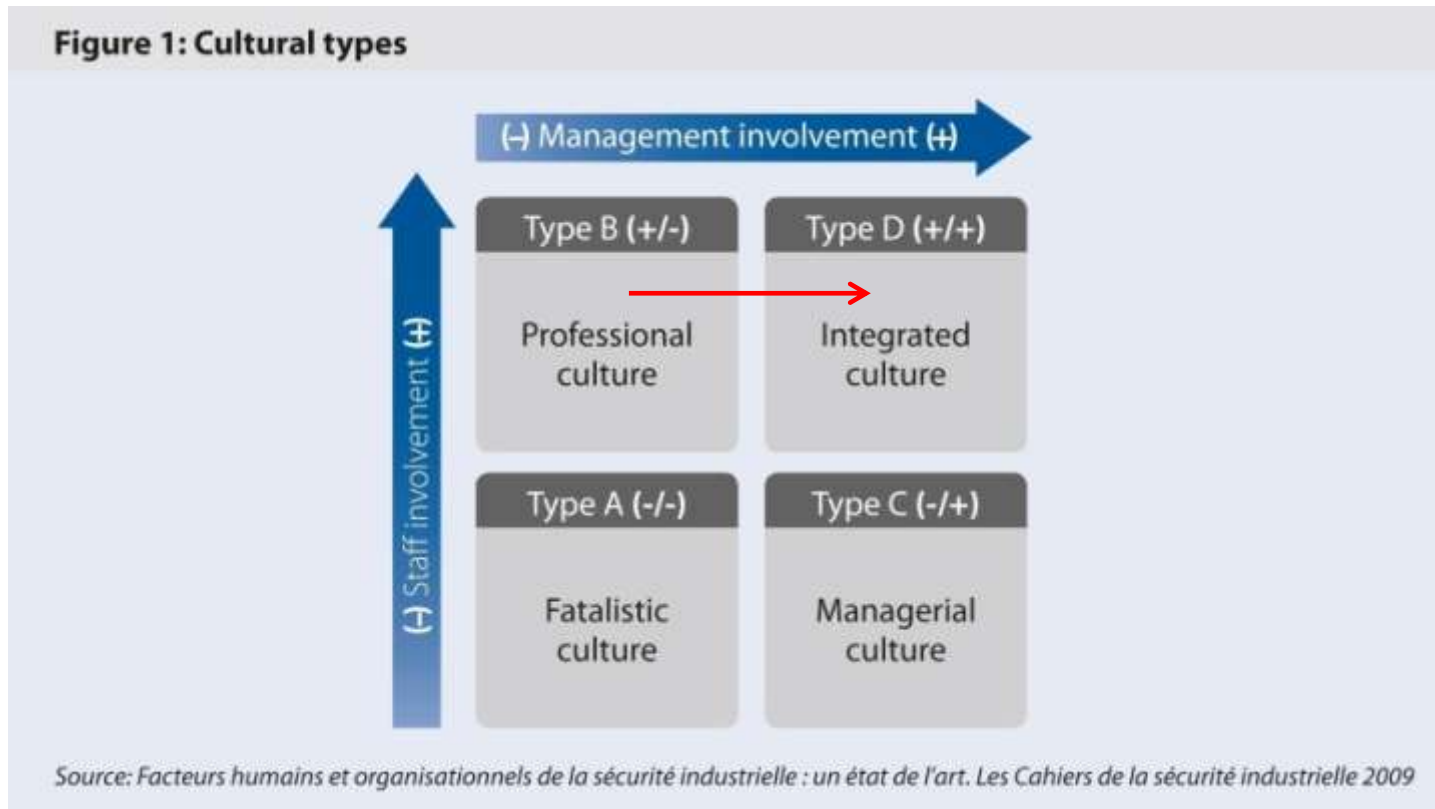Figure 7: Consequences of breach of supervision regulations

What about quality enhancement?

- How can rules and guidelines improve supervision?
  - ✓ Hard rules can turn into a tick-box exercise rather than fostering a quality culture
  - ✓ Guidelines might not offer protection for doctoral candidates
  - ✓ Making a document (rules, guidelines, handbook...) can create a better understanding between management and supervisors through dialogue

- Getting people to talk
  - ✓ It is important that supervisors talk and develop good practices among themselves
  - ✓ Developing a quality culture that combines the best of individual professionalism and institutional engagement

Quality Culture

- From a 'professional' to an 'integrated culture'

Figure 1: Cultural types

Source: Facteurs humains et organisationnels de la sécurité industrielle : un état de l'art. Les Cahiers de la sécurité industrielle 2009

Evaluations
Who is looking?

- Doctoral education is targeted by various assessments due to its nature as both research and education
  - ✓ QA
    - Institutional audit and programme accreditation systems (about 50 % of respondents in each category)
  - ✓ Research assessments
    - 33 % of respondents indicated that these included doctoral education (60 respondents skipped the question)
  - ✓ External funding
    - Large majority of respondents (~ 75%) indicated that doctoral education was assessed here as well

What are they looking at?

Figure 4: Indicators
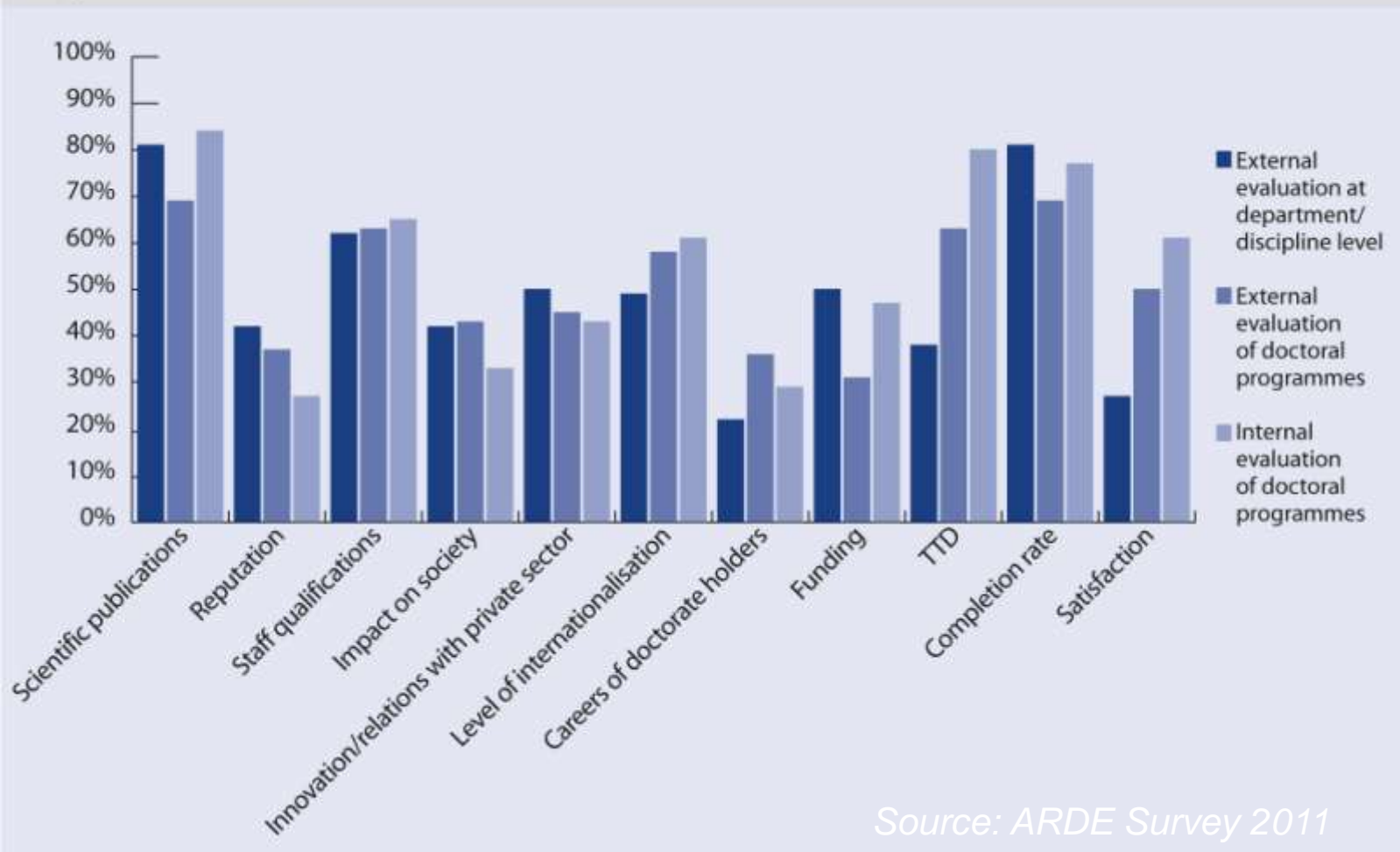
Source: ARDE Survey 2011

All is well in Europe?

- The trend towards professional management and better QA has been positive

- The structural framework is much stronger than 10 years ago

- Europe has been rather succesfull in raising the number of doctoral candidates and keeping TTD and completion rates under control

- But there are challenges…

The funding issue

- EUA has identified funding as the major obstacle to developing research capacity and doctoral education in Europe

- There is a widening funding gap in Europe (see map next slide)

- Performance-based funding is spreading, and doctoral education is an important factor

The EUA Public Funding Observatory

www.eua.be/publicfundingobservatory

Drive towards excellence - and concentration?

- Many countries are using competitive instruments to further excellence
  - ✓ Excellence initiatives (Germany, France, Spain)
  - ✓ Performance-based funding
  - ✓ Requirements for 'critical mass of research' in legislation and accreditation procedures (Italy, Spain)
  - ✓ Pooling and collaboration (Scotland)
- Competition could lead to concentration and more differentiation within the university sector

The Challenge of Autonomy

- Progress has been made in terms of making universities more autonomous

- ...but do universities get the resources to build the capacity for real autonomy?

- Is control shifting, for instance through performance based funding?

- http://www.university-autonomy.eu/

Summary

- European universities are going forward, raising the quality of doctoral education

- We have the principles and the policies

- … But there are serious challenges to overcome
- and they might not be too different from the global challenges for doctoral education

Thank you for your attention

Want to know more? EUA-CDE Annual Meeting 19-20 June in Liverpool, UK "Doctoral Education: Thinking globally, acting locally"

http://www.eua.be/eua-cde-liverpool.aspx