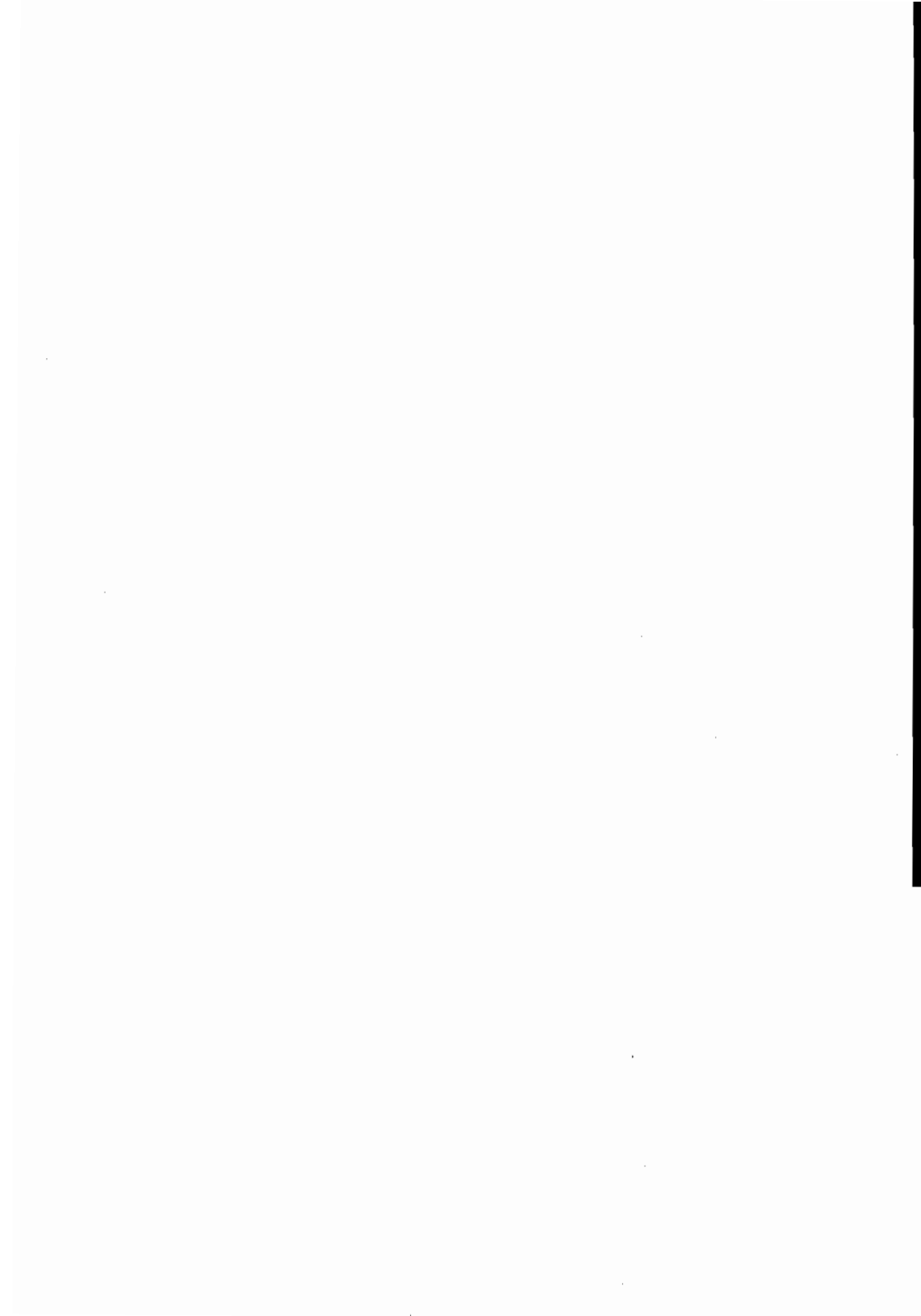Andris Barblan
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(eds.)

Implementing European Policies in Higher Education Institutions

Reihe WERKSTATTBERICHTE

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Implementing European Policies in Higher Education Institutions

A Project of the Association of European Universities (CRE), Geneva

WERKSTATTBERICHTE

The study was undertaken by the Association of European Universities (CRE) in cooperation with the Centre for Research on Higher Education and Work of the University of Kassel. It was commissioned by the Directorate General XXII Education Training and Youth of the European Commission.

The present report has been prepared in the context of the monitoring and evaluation of SOCRATES. It is designed primarily for the use within the services of the European Commission, and although this report is being placed at the disposal of the general public, it is emphasized, that the views which it contains are those of the authors and do not necessarily represent the official position of the Commission.

Content

Preface

During the 1990s, institutions of higher education in Europe increasingly became aware that their international and European activities had become so prominent that they were requesting a response of the institution as a whole. This coincided with the European Union, asking, since 1997, to formulate a *European Policy Statement* when institutions were applying for ERASMUS support in the framework of the new SOCRATES programme.

In order to accompany this process of change and assess its impact, the Association of European Universities (CRE) was entrusted with three studies by the European Commission. In the first study, leaders of higher education discussed the potential for the development of European strategies in universities. The document summarizing their suggestions, entitled *Universities' European Strategies*, was published by the CRE in March 1996. A second study aimed to establish the extent to which SOCRATES was stimulating a strategic approach on the part of the higher education institution and the extent to which this had a mobilisation effect. For this purpose, the CRE, in cooperation with the Centre for Research on Higher Education and Work of the University of Kassel (Germany) undertook an analysis of all *European Policy Statements* submitted in the first year, a study that was complemented by visits to some twenty higher education institutions. A summary of the results was published by the CRE in 1998, under the title *University Responsibility for European Cooperation and Mobility*, and the complete report was published by the Centre in Kassel under the title *Emerging European Policy Profiles in Higher Education Institutions*.

The present study served two purposes. Firstly, it analysed along the lines used previously the *European Policy Statements* submitted for SOCRATES support in 1998/99 and 1999/2000. This allowed for a survey of how the institutions of higher education in Central and Eastern Europe differ in their European approaches from their counterparts in the West. Secondly, some thirty site visits were undertaken in institutions of higher education to assess the institutional role played by European policies some time after the formulation of the policy statement.

The major findings were published in March 2000 by the CRE (*CREdoc No. 6*) under the title *Implementing European Strategies in Universities: the Socrates Experience* (authors: Andris Barlan and Ulrich Teichler). The complete reports on which this summary was based are now made public in the present document.

The overall responsibility of the project rested with Andris Barblan, Secretary General of the CRE, while the academic coordinator was Ulrich Teichler, Director of the Centre for Research on Higher Education and Work of the University of Kassel in Germany. Martina Schotte (Kassel) was in charge of the analysis of all

European Policy Statements while Sybille Reichert (Konstanz) coordinated the site visits and their study.

We would like to express our gratitude to all those who joined in the information gathering and analysis: Manuel Assunçao (Aveiro, Portugal), Lieve Bracke (Gent, Belgium), Alison Browning (Warwick, United Kingdom), Carolyn Campbell (London, United Kingdom), Christian Delporte (Louvain-la-Neuve, Belgium), Hans de Wit (Amsterdam, the Netherlands), Gerhild Framhein (Konstanz, Germany), Marianne Hildebrand (Stockholm, Sweden), Barbara Kehm (Wittenberg, Germany), Zoe Miariti (Thessaloniki, Greece), Elizabeth Ogden (Milton Keynes, United Kingdom), Aaro Ollikainen (Helsinki, Finland), Particia Pol (Créteil, France) and Marijk van der Wende (Enschede, the Netherlands). We also appreciated the advice received from the members of the project's Advisory Board consisting of representatives of the European Commission as well as of Hilary Callan (European Association of Higher Education – EURASHE). Finally, we are grateful to staff members of the CRE and of the Centre for Research on Higher Education and Work who supported the project administratively and contributed to the quality of the publication

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EUROSTRAT III – First Findings: ERASMUS under SOCRATES – From the Visionary to the Realistic Strategic Development at European Universities

Sybille Reichert
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1   The Project

1.1   Introduction: The history and aim of the project

With the implementation of the Institutional Contract under SOCRATES, institutions of higher education were given more opportunity and responsibility with regard to the planning, coordination and implementation of their European cooperation activities. SOCRATES support being requested by and awarded to the central level of HEIs, it was implied that coherent goals, strategic thinking and more centralised decision-making processes would improve the efficiency and long-term viability of cooperation activities. In order to consider these hypotheses more systematically, the CRE undertook a study (EUROSTRAT II, the precursor of this project) in 1997 which raised four questions:

a) To what extent did SOCRATES really stimulate a strategic approach? To what extent is there a growing coherence of goals, a higher degree centralisation, and an increase of strategic thinking and targeted management in relation to European cooperation activities?

b) Has the range of cooperation and mobility activities changed? What effects of mobilisation can be observed?

c) What resources does the institution provide for these activities, and what role do the SOCRATES funds play?
d) Are there indications as to an improvement of the European activities (quality enhancement, more cross-fertilisation etc.) as a consequence of the strategic approach, the widened areas of support and the explicit fostering of institutional and other complementary funding?

Due to the fact that the EUROSTRAT II visits took place mostly before the institutional contract activities started, the project could only assess the processes leading to the formulation of the European policy and analyse institutional choices made in preparation of SOCRATES activities. Thus questions c) and d) had to remain essentially unanswered.

This year, however, data of and experience with the actual implementation of the planned activities can be studied. Three years have passed since the advent of SOCRATES with its new cooperation modalities and managerial framework. Last autumn higher education institutions have submitted their third round of applications for an institutional contract and are soon to receive their awards for the third time. They have been implementing their SOCRATES cooperation plans for more than one and a half years. Thus, pursuing their interest in European cooperation and strategic development further, the CRE undertook this follow-up study, EUROSTRAT III, which aims to elucidate the ways in which higher education institutions (henceforth also called 'universities') participating in the SOCRATES programme develop and adapt their European profiles, institutional strategies and modes of operation with respect to cooperation under the impact of SOCRATES.

Consolidation and change are the key terms pointing to this project's angle on strategic development at European universities. The importance of this historical moment, at which we can get a second glance at institutional strategy development, lies in the opportunity it offers us to approach institutional policies by way of their implementation. We can see how policies are supposed to be reflected in cooperation activities, to what extent strategic thinking is really at play in the framework of the institutional contract and how policies, procedures and activities are adapted due to more experience with the new cooperation modalities.

Furthermore, with another year of SOCRATES activities and planning of future activities having gone by, EUROSTRAT III should allow us to test the findings of the precursor project. Moreover, some of the worries associated with SOCRATES having strengthened the central level management of cooperation may now be verified or falsified. We should also be in a better position to observe trends and developments with respect to institutional strategic management and its conditions.

EUROSTRAT II had already shown that there are great discrepancies of experience with strategic planning and institutional management in Europe. With growing competition for limited resources, institutions of higher education are

forced to define their profiles more precisely, to set clearer priorities and to develop a better understanding of the advantages and limitations of strategic planning. Since this development increasingly also concerns their institutional management of cooperation, an exchange of experience and expertise is becoming a valuable input and in some cases even a vital support function for cooperating institutions. It is thus intended that some of the findings of this project may serve as a first feed back as well as providing an empirical basis for future support actions with regard to strategic development of international cooperation.

1.2   The Structure of the Project

The project consists of two parts: First, nearly 486 European Policy Statements (EPS) are analysed on the basis of the same grid and sets of questions which were used in 1997 for the study of the 1583 EPS received in the first round of SOCRATES applications. Of these EPSs, 228 are from EU institutions of higher education participating in SOCRATES activities for the first or second time in 1998/99 and 1999/2000 and the rest (258) form part of the institutional applications received from Central and Eastern European countries which entered the SOCRATES programme in 1998/99 or 1999/2000. For both sets of EPSs, reports will be produced thus completing the structured documentation and analysis concerning EPSs done in 1997 (see Martina Schotte-Kmoch's report).

In the second part of the project, 31 site visits have been organised in order to study institutional development of strategies and modes of operation concerning European cooperation in the first two years of the implementation of the institutional contract under SOCRATES. 2 additional institutions had agreed to the visit but postponed the visit for reasons of lacking availability of the concerned persons. Hence these visits could not have been taken into account for the final analysis and had to be dropped for that reason. All in all, 21 institutions in EU countries and 10 in CEE countries have been visited by one expert each or, in 8 cases, by two experts (4 in EU countries, 4 in CEE countries).

In addition to the central aims mentioned above, the site visits also served to refine, validate and amend the previous analysis of the EPSs and applications by
- allowing the researchers to trace information in more detail;
- helping the researchers to get an impression of how honest, boasted etc. the information given in the EPS really is;
- allowing the researchers to collect additional information on relevant issues which, as a rule, were not or only shortly addressed in the EPSs and the applications.

– Furthermore, the EUROSTRAT III site visits allowed the researchers to compare the findings of EUROSTRAT II concerning the processes leading to the formulation of European Policies with the actual implementation of such institutional plans in the past year. Processes of change, adaptation and development were a central focus of the analysis.

Under CRE aegis, Ulrich Teichler was in charge of the scientific development of the analysis of the desk research of the EPSs, for which Martina Schotte-Kmoch was responsible, as well as of the 31 site visits which Sybille Reichert coordinated and analysed. The expert team of site visitors, all of whom have ample experience with the analysis and/or management of European cooperation, comprise Manuel Assunçao, Alison Browning, Claudio Borri, Carolyn Campbell, Christian Delporte, Hans de Wit, Gerhild Framhein, Marianne Hildebrand, Barbara Kehm, Elizabeth Ogden, Patricia Pol, and Marijk van der Wende. Ulrich Teichler, Martina Schotte-Kmoch and Sybille Reichert also conducted two or three institutional visits.

1.3   Selection of Higher Education Institutions

The institutions chosen for the site visits were selected on the basis of two kinds of criteria: firstly, they were to cover a range of different types of institutions, i.e. among the 31 there should be a range of
a) institutions with centralised and decentralised institutional structure,
b) both university and other higher education institutions, with special attention to include non-university institutions of those countries where two cases were to be included and where this sector is particularly well-developed,
c) multidisciplinary as well as specialised institutions,
d) sizes,
e) reputations,
f)   types of locations (all EU member states and CEE countries which have joined the SOCRATES programme should be represented, the bigger ones with two institutions; some institutions should be in metropolitan, some in regional, some in border areas),
g) institutions not yet visited within the framework of EUROSTRAT II.

Secondly, it was decided that no institutions should be included which are complete newcomers to SOCRATES cooperation and whose EPS were below average, in order to ensure that the visits would offer enough "meat" for the analysis. It should be self-critically noted that this last criterion collided to some extent with the other ones so that the range of different types of institutions was not as wide as would have been desirable.

In two cases, institutions were selected but different ones visited in the same town due to a confusion of addresses in the CRE secretariat. For the analysis, this decreased the bias toward institutions with a relatively good EPS very slightly.

1.4   Process and Methodology

In order to ensure that the site visits be undertaken with an optimal homogeneity of perspective, an induction seminar was organised for all experts on the 13th to 14th of March 1999 in Amsterdam. At this meeting, the experts were introduced to the aims of the project as well as to the interview themes, attitudes and process. Changes proposed by the experts were discussed and included in the site visit guidelines of which a first draft had been distributed for the meeting. These guidelines were one of the documents to be taken on each visit. Others included
a)   a list of themes and questions to be asked during the interviews,
b)   the two CRE letters sent to the institution prior to the visit,
c)   the project introduction / one-page hand-out for interviewees,
d)   the EPS and application of the given institution,
e)   the analysis of the EPS as carried out by experts of EUROSTRAT II or of the first part of this project,
f)   for Western European institutions, the SOCRATES final reports (after one year of implementation of SOCRATES activities),
g)   the documents which the given institution had sent to the CRE upon the latter's request (and which was handed on to the interviewer at the Amsterdam meeting), or which the institution sent to the interviewer directly, prior to his visit. These were typically, the institutional brochures, ECTS pamphlets, information leaflets for foreign visitors and/or students, and general planning documents if available.

After the induction seminar, at which the selected institutional cases were distributed among the experts according to their areas of language fluency, each expert contacted his or her institutions to make detailed arrangements and discuss the programme of the visit. This was generally unproblematic although in half-a-dozen cases, the CRE letters had been misplaced by the institution, or responsibility for the visit was unclear on the part of the institution so that arrangements became time-consuming. One expert had a problem with the idea of contacting anyone below the level of the vice-rector personally, resulting in a first contact which started on a bad note due to the less hierarchically minded institutional culture of the institution to be visited. This culture clash was soon repaired, however, by the other expert's and the CRE's diplomatic intervention. One institution agreed to the visit but after several postponements could not find any date to accommodate the

expert so that the visit had to be dropped. In sum, 31 visits were conducted, reported on and analysed.

To every participant in the project, experts as well as institutional representatives, it was stressed that the project aims to explore the range of different types of European strategies and their development and that it is not the individual institutions that are being assessed per se. All interviewers, institutional representatives and interviewees were reminded that since it is the SOCRATES programme's impact on institutional strategic development and not the institutions as such that were to be analysed, all information, not only regarding the individual interviewee but also the given institution was to be treated confidentially. This was also meant to allow anyone to speak as freely as possible. The final report will refer to the institutions only through aggregate information or at most include references to individual anonymous cases.

Each site visit comprised 7-10 mostly one-on-one interviews with a range of different institutional actors on different levels of institutional management, all of whom played a role in European and/or international cooperation. There was always at least one senior institutional representative of the central decision-making process interviewed, usually the vice-rector responsible for educational cooperation, and the director of international relations or of another administrative service or office dealing with cooperation matters. In quite a few cases, other vice-rectors and administrative actors with other functions relevant to international cooperation were included among the interviewees. The actors at de-central level were most often SOCRATES coordinators either on faculty or departmental level and members of the committee or task force which dealt with SOCRATES cooperation. Individual academics who were particularly active in ERASMUS cooperation or who had an important mobilising function with respect to cooperation were sometimes added to the list. Students were only interviewed if they played a role in the decision-making process regarding international/European cooperation policy-making.

The interviews covered at least one and a half days so that an evening in between provided some time for reflection on the process of the first interviews, for establishing which gaps had to be filled on the next day and for preparing the feed-back session which was to conclude each visit. It was left to the judgement of the interviewer how to handle these feed-back sessions. It was felt that, on the one hand, the interviewees would expect some feed-back or be interested in an outside impression of their Europeanisation efforts. On the other, there was a consensus that the impressionistic nature of the observations should not be overburdened with the weight of the possible impact that such outside evaluative remarks could have. The "deluxe" visits were agreed to provide a sounder inter-subjective basis for feed-back so that it was recommended at the induction seminar to make a version of the site visit report (different from the one submitted for analysis to Sybille

Reichert) available to the institution, in order to provide more structured feed-back. Of the 31 site-visit reports, most mentioned that there were no particular expectations on the side of the institutional representatives regarding such feed-back but that the experts' comments were received with interest, some surprise and even verbal signals to some willingness to take up individual recommendations where they were given. All in all, there seems to be a large variety of degrees of awareness with respect to evaluation of international cooperation.

As mentioned above, 8 visits were carried out by two experts. Instead of divid-ing the labour of these two experts strictly into an interviewer and a monitor func-tion, a softer cooperation was recommended, although the exact role distribution was left to the given pair of experts.

The two person visits were perceived by the concerned experts, most of whom also conducted single-expert visits, to be extremely successful for two reasons. First, they were seen to provide more reliable and complete information on the project's issues. This was attributed to the fact that the course taken by the primary interviewer who had to concentrate on conversational tactics and follow-up ques-tions could be corrected and completed by the secondary one whose role consisted in looking for questions which had been left out. In most cases, these roles of pri-mary agent and observing/intervening secondary agent were regularly exchanged during the course of the visit so as to allow an optimal degree of concentration on the part of the primary interviewer for each given interview. The roles were dis-tributed according to the perceived role and background of the interviewee so that the optimal match between interviewer and interviewee could be obtained. Hence mixed teams as far as gender, background, professional functions, and atmospheric radiance are concerned, were seen to be of advantage. Such a mix also conferred a liveliness to the interviews which resulted in a particularly open and seemingly spontaneous conversational atmosphere and thus in more reliable information.

The second advantage of the team visits was felt to consist in the quality of the feed-back which the team was able to give to the institutional representatives. Provided sufficient time is built into the programme of a site visit to allow for an exchange of views of the interviewers before, between and after the interviews, it was felt that the different perspectives of the two interviewers resulted in mutual correction and in better diplomacy regarding the presentation of the feed-back to the institutional representatives. Moreover, the interviewers felt more comfortable in providing such feed-back at all after just a two-day visit. It was also felt that the feed-back received more weight and was received with greater interest by the in-stitution when presented by two people as opposed to one.

One last remark should be made concerning team-building. Each expert team mentioned that some time was needed to become familiar with the other partner expert's background, approach and style so as to allow for a smooth interplay be-tween the members of the team. It was thus recommended that once a team had

functioned well one should try to use the same combination again for future projects' site visits.

2   Problems and Solutions: ERASMUS under SOCRATES

On the basis of the 31 site visits, some clear impressions emerge as to the continuity and changes which have emerged since the implementation of SOCRATES. Due to the small number of CEEC visits, references to the particularity of institutional conditions and experiences in these countries have been restricted to impressionistic remarks. Nevertheless since the particularity of the CEEC experience is of great importance in the context of this project, references to the CEEC institutions were made whenever possible, i.e. when agreement was found on a given aspect among most of the 10 institutions.

2.1   Structures

2.1.1   Centralisation through SOCRATES

EUROSTRAT III confirms effects of centralisation through SOCRATES which had already been noted in EUROSTRAT II, although qualifications have to be added. Firstly, with the advent of SOCRATES or shortly before or after, *many institutions enlarged their international offices*. It is difficult to establish to what degree this enlargement can be attributed to the new SOCRATES modalities. Only in a few cases it was specified that a staff person was employed in order to deal with the additional SOCRATES administration. While a few institutions mentioned that their international offices were founded only a few years ago, only 2 Eastern European institutions had founded a new international office within the last two years. It should also be noted that a few larger institutions with a de-central structure added international administrators at de-central level. Two institutions which were in the process of decentralising their structures had decreased their staff on the central level and added staff to the administrators at faculty level. In comparison with EUROSTRAT II, the rather *rapid trend of expansion with respect to internationalisation staff* in spite of frequently mentioned grave budgetary constraints is noteworthy. At some institutions it was felt that a threshold had been reached beyond which further expansion was unlikely.

Secondly, *special coordination procedures for SOCRATES were introduced in near to all cases*. At the few institutions where no additional coordination had been noted, representatives emphasised the need for such coordination. The noted special procedures took the form of special SOCRATES committees / boards / task forces or special meetings of international relations committees (or a sub-group thereof) for the purpose of disseminating information, coordinating the consulta-

tion and discussing EPS drafts, and coordinating the implementation of SOCRA-TES activities. The SOCRATES committee was sometimes a sub-group of the international committee but more often, in so far as detailed information was given in the reports, composed largely of academics who had been particularly active in ERASMUS and who had been appointed SOCRATES coordinators in their departments or faculties. Looking at the range of institutions, the composition of the SOCRATES committees can be said to be remarkably homogeneous, always comprising the top person responsible for SOCRATES on the central level (usually the vice-rector and/or the institutional SOCRATES coordinator), the director of the International Office, the SOCRATES coordinators on faculty or departmental level, sometimes with individual academics particularly active in ERASMUS added on. As an aside one should note that there seemed to be no correlation between the existence of an international committee and the degree of experience with international cooperation: Only three Western and three Eastern European institutions had no international relations committees. These institutions were not categorised as having less or below average international experience and used other bodies for regular international functions.

At a number of institutions it was mentioned that the *SOCRATES committees met much more frequently during the preparation of the first SOCRATES application*, especially for the purpose of discussing and drafting the EPS. Once the statement was written and approved, meetings became rarer, not more than a few times a year, even in those cases where positive spin-off effects for inter-faculty communication were noted by committee members. For these meetings to actually take place regularly, there had to be some pressure to produce a document together by a certain deadline.

2.1.2   Consultation

In a vast majority of cases, *consultation regarding the overall SOCRATES application was conducted in a bottom-up manner*; proposals were gathered without any institutional selection. Priority setting never occurred in this application phase but rather later when the award was known and cuts had to be made. At a few institutions, however, the next round of applications was handled with more selective approach from the outset with encouragement and discouragement proceeding from the central administration.

The most frequently mentioned area in which top-down filtering occurred concerned partnerships: At a considerable number of institutions of all types, *concerns about the quality of the partnerships led the central level to favour multi-link partnerships with institutions of comparable profile or reputation*. The traditional bottom-up genesis of partnerships thus began to collide with a new selective, more strategic approach of the institutional centre. Quite a few individual academics or

departmental coordinators voiced concern about this issue, especially in the less mainstream types of subject areas where partnerships crossed lines of institutional compatibility. To give an example, at one institution with a range of "established" traditional and selected technological subject areas, a more marginal department of applied social studies whose partners are located in different types of institutions in other countries had problems with the central administration who did not want the support those partnerships.

In most cases, confirming the findings of EUROSTRAT II in this regard, *consultation regarding the EPS was handled differently from the rest of the SOCRA-TES application*, involving fewer people mostly on the central level, typically the vice-rector and the director of the international office. The draft EPS was then circulated for comments, or not, as was the case in at least three institutions. But in none of these cases the top-down procedure was regarded as a problem, even when it was conducted with minimal consultation. Most academics did not have a central function in the central or faculty coordination of SOCRATES cooperation did not know the content of the EPS and often even had difficulties recalling the existence of such a statement. Yet none seemed to regard this as a problem. Not SOCRA-TES as such, but the policy statement seemed to be largely regarded as a non-academic administrative matter. (One well-organised institution felt it should brief the interviewees on the institution's EPS before the site-visit.)

In contrast, most central administrators who had had to coordinate the drafting of the EPS also saw some positive points. While the drafting of the EPS was also regarded as a more or less burdensome task, *central coordinators of the programme seemed to feel that the process leading to the formulation of the EPS had positive communicational effects*. However, at institutions which already had some statement on internationalisation or had included it in their strategic plan (the majority), these benefits seemed to weigh less. At a handful of institutions which had just begun the process of developing an institutional strategy, the EPS preparation and consultation tended to be seen most positively and was reported to have resulted in some form of institutional learning. Judging from the reports, however, this *learning process concerned the central level of the institution and the faculty or departmental coordinators involved*, rather than the general population of internationally active academics.

It should be added that the classification of consultation procedures as top-down or bottom-up seems to be somewhat misleading in most universities visited: even when the ultimate decision lay in the hands of a top-level decision-maker, this was not necessarily always known to individual professors, who were under the impression that their views made a real difference to the decision-making process. At the same time, the fact of being the person authorised to make the final decision does not say anything about the importance of consultations with individuals and their impact on the decision-making. In general, one can say that an *argumentative*

consensus-oriented culture seems to be deeply rooted and *coexists with* or under-lies (rather than being simply supplanted by) *the more hierarchical managerial decision-making structures which have been introduced at some institutions of late.* A good example is an institution in a country where more managerial struc-tures are now supported by the new national legislation: while these are welcomed by central decision-makers and even some faculty professors, they all stressed the continuing importance of winning the constituency of individual academics over for all important decisions, even where the new law gave the latter no say at all.

On the basis of the above-described judgements of institutional representatives and given the fact that the content of the EPS largely focussed on particular activ-ity goals and only rarely reflected links between these activities and other institu-tional developments, one may summarise by saying that *the EPS became a sym-bolic expression of the additional intra-institutional coordination warranted by the new SOCRATES modalities – rather than a real channel for institutional de-velopment.* Only at those institutions which had reached a threshold in their coop-eration activities and which thus warranted greater central coordination and prior-ity-setting, SOCRATES acted as a catalyst and helped to push the institution in the already intended direction.

2.1.3 Centralisation and decentralisation trends

The institutional approach of SOCRATES was received with varying enthusiasm according to the structural trend of the given institution – trends that are often though not necessarily national, so it seems. Naturally, such effects were appreci-ated by those institutions in which had centralisation had taken place independ-ently (5 cases). Here, the central decision-makers clearly saw the potential of the centralising approach, such as introducing institution-wide incentives, optimising synergies between international cooperation programmes, introducing and enforc-ing institution-wide guidelines for quality cooperation especially with respect to recognition. Nevertheless, such potential was only realised in a minority of cases, namely in institutions with comparatively great international involvement that seemed to have reached a quantitative threshold.

At other institutions, notably in CEE countries and East Germany, the Nether-lands and Norway, *independent decentralisation* had taken place and had *collided with the centralising approach* of SOCRATES, resulting in communication prob-lems with partner institutions because of structural differences and leading to dou-ble tasks within the institution and to the general perception of unnecessary bu-reaucracy. Here, the potential of the institutional approach (creation of synergies, better exchange of information on and experience with cooperation programmes and partner institutions, creation of competition between different parts of the institution, best practice and quality guidelines, etc.) was seen less often. However,

the increase of transparency with respect to the level of European cooperation activity was always appreciated.

De-central structures, when linked with devolved funding and greater faculty autonomy, also resulted in *less flexibility of flow compensation between faculties.* The loss of such flexibility, which had formerly existed within the network structures, was often mentioned. The new possibility of compensating unexpectedly lower figures in SM or TS of one department with higher ones in another was often made virtually impossible because of comparatively autonomous faculties or departments with quasi-territorial attitudes.

2.1.4   Operational advantages regarding student mobility

Most institutional representatives agreed, however, that some *operational problems pertaining to SM are clearly more efficiently dealt with* on the institutional level. In this context, recognition, accommodation, information dissemination, and reciprocity guidelines were mentioned frequently. The last issue, reciprocity, had clearly become more visible at any type of institution, central or decentral. But the degree of enforcement varied considerably. *Reciprocity was enforced most strictly at those institutions where student places were quickly associated with financial gains or losses.* With decreased flexibility regarding the compensation of flows (see above), a decrease of overall take-up seemed to be the result. The stricter enforcement of reciprocity rules presented a particular problem to institutions who were still less present in the European networking scene – the newcomers or recent starters in SOCRATES, or all those where the number of outgoing students (or staff) greatly exceeded the number of incomers (all of the CEEC institutions mentioned this problem).

2.1.5   Synergies and integration

While many individual academics mentioned the *synergies between their various cooperation activities,* especially regarding the use of their contacts, such synergies were only hoped for but rarely noted among central and faculty level administrators and coordinators. Within the range of SOCRATES activities, SM and TS were the only activities where synergies were noted and fostered. At a few institutions, international offices combined the administration of SOCRATES, other educational and research cooperation, which fostered synergies between these types of cooperation. One institution had an innovation centre for Europe, which had been established with the help of structural funds and which combined research and educational cooperation with and technology transfer and industry links, a model which was appreciated for its optimisation of synergies. More often, though, educational mobility and research cooperation were separately administered and even represented by different individuals on the top-level, e.g. a vice rector for

finances dealing with research cooperation and a vice rector for student affairs or international relations responsible for educational cooperation. However, quite a few institutional representatives mentioned the wish to integrate these forms of cooperation in the future.

The integration of SOCRATES goals or of the wider context of European policies into decision-making regarding the regular substance of higher education was even rarer. Hardly ever was there a mention of cooperation being considered in the context of regular or planning discussions concerning teaching and research. Unfortunately, the project's list of questions did not emphasise the links between the management of international cooperation and other "normal" management processes so that only a very limited amount of information could be derived on the interplay between internationalisation and other institutional planning processes.

2.2   Attitudes

Generally, SOCRATES seems to have contributed to enhancing institutional self-awareness as well as international, quality and cost awareness. This was the case especially during the first year of application in which the efforts were concentrated on building up the communication necessary to compose an institutional application and on drafting the EPS. While being deplored because of their time-intensity, these efforts were also welcomed because they helped to create an institutional overview and clearer definition of international goals and priorities. In this respect, the underlying assumption of SOCRATES that something should be done at institutional level in order to enhance institutional ownership of European cooperation activities was right. However, the enhanced institutional commitment to European cooperation seems to be limited to the more established mobility activities and has not yet become an integral part of the development of the institution's central substantive functions, i.e. research, teaching and learning. With only a few exceptions, European (and international) cooperation – while being regarded as vital for the reputation or competitiveness of the institution – is still managed and developed in ways that remain separate from the substantive institutional development.

2.2.1   Institutional self-definition

EUROSTRAT III confirms that the preparation of the first SOCRATES application with its requirement to draft a European policy, forced many institutions to establish an *"état de lieu"* and to define European goals for the first time. Among the persons who had to coordinate this new flow of information, *institutional "self-awareness"* was enhanced, helping to prepare the ground on which institutional

self-definition could grow. After the first application, however, these channels of communication were not used as often (committees met less often) nor were they used for any such developmental questions any more. The latter seem to have remained important only for top-level actors (mostly the vice-rectors for international relations). The meetings of the SOCRATES coordinators, committees etc., tend to take place less frequently (due to time shortage) and focus on operational issues with no particular relevance for institutional development. Some institutional representatives still mentioned the potential which such coordinating meetings could have for developing European and or international cooperation in a more targeted innovative manner. The optimal integration of European or international cooperation into the general institutional development did not seem to be much of an issue at most of the EU institutions visited. At CEEC institutions, Europeanisation constituted a more prominent and pressing issue and was related more directly to the general institutional development. In particular, the enhancement of the institutional profile, the integration into European networks and partnerships, were seen as ways of innovating the institutional provision of courses, the qualifications of students and staff and of creating a basis for research cooperation in areas where this was lacking.

2.2.2   European awareness

European and international awareness is clearly increasing everywhere. Even at small institutions with comparatively little cooperation experience, internationalisation is seen as a vital part of institutional survival. While this seems to be the case with or without SOCRATES, it is judged to have received a tremendous push through the EU/funded large-scale mobility, and has gained an important place in the minds of most top-level decision-makers. Confirming EUROSTRAT II, such international awareness seems to have increased at the central and faculty/departmental level of most institutions with the new institutional approach of SOCRATES, helped greatly by the increased transparency regarding the level of cooperation activity of many departments.

It should be pointed out that Europeanisation is not a simple integrated part of internationalisation but may also be seen in some tension with one another. At institutions which had very strongly developed their international (as opposed to European) cooperation, SOCRATES played a lesser role, as might be expected. Europeanisation and SOCRATES were always linked (there was no institution which was focussing on European cooperation rather than on international cooperation at which SOCRATES was regarded as comparatively unimportant). Interestingly, there seems to be a correlation between highlighting and pushing the interest toward other parts of the world and the dominance of economic and market concerns and rhetoric. At institutions in Ireland, Great Britain, and the Nether-

lands, most prominently, international student recruitment, especially at graduate level, has become a priority because of income generation. Here, European exchange students are seen to be living of the benefits of the structures and services created for paying international students.

Last not least, it should be noted that the institutional and individual investments into European cooperation exceed the outside support and immediate personal and institutional gain by far so that a more idealistic motivation seems the only possible explanation for such investments. With the absence of such idealistic motivation, hardly any educational cooperation would survive.

2.2.3   Cost awareness

Cost awareness also seems to have increased everywhere. With increased transparency, the overall costs involved in managing cooperation have become more apparent and, with public funding steadily, in some places heavily decreasing, costs have also become an even more pressing issue. Budgetary questions were described as stumbling blocks for many cooperation activities at most institutions, although standards and expectations varied considerably. The co-funding approach of SOCRATES and the low amounts awarded resulted in the fact that the fate of a given activity depends on the institutional and other support given. However, top-ups differ greatly according to national and institutional resources and the institution's (or departmental) capacity to mobilise outside funds. The differences in paying power are sometimes mentioned as straining partnerships: Cooperative networks are either capable and willing to compensate the financial shortages of some partners or have to continue in reduced size. According to institutional representatives at all institutions, TS is often not realised because of lack of top-ups and CD and IP projects are conditional on the award of COM funding (and even then often greatly reduced in extent because of the low awards). At most institutions, SM grants are low enough to exclude students without independent or family means. (A small minority of institutions mentioned institutional, departmental or national top-ups for these disadvantaged students.) The situation is particularly drastic at CEEC institutions. Here institutional representatives describe their needs regarding European cooperation development as being categories above what they can actually realise and realistically apply for under the SOCRATES conditions.

In contrast, the seed money (carrot-and-stick) approach seems to work comparatively well for institutions which combine three features:
1) an already well-established infrastructure in international cooperation,
2) a good share of additional resources or capacity to mobilise such resources, and
3) an ideological bias regarding European culture and identity building.

If 1. is not given, the additional infrastructure needed presents a cost problem. If 2. is absent, the SOCRATES funds are insufficient so that cooperation through other more generous programmes is favoured. If 3. is not given, European educational cooperation programmes is declined in favour of more lucrative European research cooperation (which does not emphasise European cultural identity) or international cooperation programmes. For institutions at which all three conditions are given, the SOCRATES award seems to be enough of a label to the outside and intra-institutional world to allow them to seek additional funds, convince the relevant finance committees, and motivate individuals to work extra unpaid hours for the development of a European dimension in the higher education they want to provide.

2.2.4   Quality awareness

Most institutional representatives of institutions with well-established previous ERASMUS experience believe quality awareness to have increased with and during the advent of SOCRATES. However, this statement should be differentiated according to the object to which quality considerations apply. The most frequently mentioned area in which quality concerns are voiced and in which institutional filters are sometimes applied consists in the choice and *rationalisation of cooperation partnerships*. Furthermore, the *quality of services* provided to outgoing and incoming students and staff was mentioned frequently. At a number of institutions, the introduction of SOCRATES has also helped the introduction of *institution-wide guidelines concerning recognition*. In contrast, faculty and departmental representatives frequently mentioned that the quality of academic preparation, supervision and academic support of students studying abroad, as well as the preparation and thus the integration of teaching units taught abroad has suffered from the decreased opportunities of academic partners to meet. The decreased opportunities to meet were attributed to the institutional filter which has entered the allocation of mobility resources. To summarise, one may say that *quality awareness pertaining to institutional cooperation services and policies has clearly increased while the academic quality of study and teaching abroad (integration and supervision of outgoing and incoming students and of teaching staff) do not figure as prominently in the central decision-making.* Concerns regarding academic quality seem to be limited to academics and some departmental coordinators who believe to have less means than before to preserve or enhance it.

2.3   Motivation and Initiative

2.3.1   *The changing role of academics*

Regarding *motivation and "esprit d' initiative"*, one should first point to the fact that the range of individuals who appear to be very motivated with respect to the Europeanisation of higher education now include a considerable number of vice-rectors. Regardless of the criticism of given aspects of SOCRATES, the increased top-level involvement (mostly vice-rectors) and enlarged coordination functions of central and faculty administrators are reflected in their relatively high level of motivation and their readiness to take initiatives. At most institutions, they made remarkable efforts during the first round of SOCRATES applications to mobilise cooperation initiatives in hitherto less active areas, both with respect to the spread of departments involved as with respect to the range of activities pursued. Accordingly, the disappointment regarding the small awards and low success-rate of the project applications was wide-spread and deep, resulting in the immediate freeze of such mobilisation efforts. But the motivation to enhance European cooperation seems to be deep enough to bear the blow. Highly motivated visionaries became fairly motivated realists. Currently, most top-level decision-makers, central and faculty administrators and coordinators are most concerned with optimising realism in their application data, enhancing take-up rates and preventing further de-mobilisation among the disgruntled academics.

The academics who do not fulfill some coordinating role (but whose cooperation partnerships and links are still supposed to be providing the basis for educational cooperation) clearly constitute the most de-motivated group. Apart from not feeling to be the heart and blood of the programme anymore, the overwhelmingly voiced criticism of the new SOCRATES era consists in the greatly decreased opportunities for networking. The radical decrease of multilateral meetings – which were only upheld by a few very established ICPs (the former departmentally based misleadingly labelled "Inter-University Cooperation Partnerships") at the more well-to-do institutions – was mentioned time and again. While quite a number of individual academics admitted that some rationalisation was needed both with respect to the number of meetings as with respect to the number of partners, it was felt that the minimal amount was not granted anymore.

Such meetings were seen to be:
1. more efficient for solving problems with network partners than a series of bilateral meetings, especially regarding academic integration, comparison of teaching contents, not just because all network partners were present at one place but also because of the abundance of potential mediators;
2. necessary for truly integrated TS, the preparation of which demands a lot of communication and which can be helped by other partner's experience;

3. a good probing ground for possible CD development;
4. an optimal opportunity to find new partners, helped by the mediation of established partners present (this was strongly voiced by newcomers to ERASMUS in the CEEC);
5. an excellent tool for building a European identity for all of the partners involved – at multilateral meetings, national identities were seen to feeding better into a common European group identity, better than any series of bilateral meetings could ever hope to achieve.

At two institutions, thematic Networks were mentioned as a good complementary forum. However, they were regarded as too big and too different (though complementary) in purpose to be able to compensate for the loss of multilateral meeting opportunities.

Thus, one may say that the assumption of SOCRATES that no support is needed at the level of individuals and their cooperative networks independent from the institutional level is not confirmed.

2.3.2   Widening of activity-focus

Regarding the new emphasis on virtual mobility in SOCRATES, one also receives a remarkably homogeneous response through the site visit interviews. *After an impressive surge of mobilisation* at many institutions during the first year of SOCRATES, *an equally widespread de-mobilisation occurred with respect to TS, IPs, and all CDs* (CDI, CDA, EM, ILC). SM seems to remain the only firmly rooted activity which every institution will go to great length to support. Regarding project cooperation (IPs and CDs), the combination of low success-rates, small awards, the absence of explanations regarding the reasons for declined proposals, as well as the greater transparency of these three effects, seems to be a killer for the will to cooperate in this way under SOCRATES. Nevertheless, there continues to be enormous potential for these activity types, as many initiatives and a notable number of on-going debates on curricular reform within the visited institutions (independent of SOCRATES) testify. In some countries, national legislation and inter-governmental cooperation in the framework of the Sorbonne Declaration had recently triggered such curricular reform debates and projects (Ireland, Austria, Italy, CEEC), often against the resistance of conservative teaching staff. Such curricular innovation seems to remain completely separate from joint curriculum development under SOCRATES. At CEEC institutions, some fatigue regarding the idea of curricular innovation could be noted, due to the extensive reforms in recent years.

With respect to IPs, it should be added that while the threshold for applying is high and low awards prevent the uninitiated from going through the enormous efforts needed to prepare IP cooperation, IPs are still enthusiastically supported by

all those, who have gained some experience in their preparation and implementation. The latter believe IPs to be the activity type with the most intense and long-term effect for participants, ideally suited for creating communication networks that are often maintained long after the event.

Integrated language courses are not yet understood by the majority of academics who could be interested in their use. Ironically, at a number of institutions, integrated language courses outside of SOCRATES support, in the form of programmes with integrated language provision, are developed more strategically than any other CD, e.g. as mechanisms for increasing outgoing mobility, enhancing European profile of graduates.

TS is the only one of the newly emphasised activities which has found wider acceptance at most institutions. At many institutions, attempts are made to combine teaching staff visits with other institutional tasks, most prominently SM-related. The proper integration of such visits into the normal teaching of the host institution seems to present problems at most places. In so far as can be derived from the site visit interviews, such integration is seen to be conditional on very close ties with the host department and on more in-depth preparation, i.e. more meetings and more funds than can currently be obtained through SOCRATES. Truly integrated TS seems to be the minority. The fact that TS is more well-rooted than CD cooperation is also reflected in the relatively frequent mention of TS undertaken outside of SOCRATES but with SOCRATES partners. Such alternative TS was favoured by some because of the unbureaucratic arrangements and easier combination of teaching with research functions. TS seems to also be quite sensitive to the provision of institutional top-ups. The often dramatically low take-up rates were attributed by most institutional representatives to be owed, first, to the great time lapse between the first expressions of interest forwarded by teachers to the central administration and the actual visit, second, to the low SOCRATES award and top-ups resulting in cuts of the overall number of visits, and third, to the late notification of the award by the Commission (during the summer break), which is given too late for allowing proper integration of the planned visit, i.e. at a time when the normal course provision is already settled.

To summarise, one can say that the attempt to widen the activity-focus as intended by SOCRATES resulted in considerable mobilising efforts on the part of institutions and in corresponding de-mobilisation once the low amounts awarded were known. At the same time, one has good grounds to believe that the widening of the activity-focus would have fallen on very fertile ground, at least with institutions which had already been very active in European cooperation for a number of years, if more money, more user-friendly timing and a more open publication of reasons for rejection had accompanied the rhetoric.

2.4   The Central and Eastern European Countries Perspective

The particularity of the CEEC perspectives justifies a separate section on these site visits, not only because of the recent admission to participation in the SOCRATES programme imposing a "newcomer" perspective but more importantly because of the very different institutional conditions under which the SOCRATES had to be implemented in these countries.

The greatest hope associated with SOCRATES after a number of years of participation in Tempus was vested in the idea of reciprocity. In most cases, the hope for recognition as an equal partner was shattered in so far as mobility was concerned. While enormous efforts had to be made to offer the appropriate services to incoming students and courses in English, these were in no way justified by the number of incoming students. In three cases, a zero-outturn was reported. In contrast, the demand for studies abroad is strong and steadily growing, dampened only by the small grants which impose a socially stratifying filter on the range of potential applicants (only the students from more well-to-do families can leave). For this reason, CEEC institutions face particular problems with partners who want to enforce reciprocity rules more strictly, Great Britain being the frequently mentioned example.

Linked with the hope for recognition as an equal partner is the frequently found misunderstanding of the use and function of ECTS. While support for ECTS was wide-spread, it was often seen as a tool for establishing standards of recognition, with the hope that once ECTS was accepted, this would act as a general quality seal. Another less precarious and quite constructive use of ECTS, consisted in using it as a way of increasing the flexibility of study within the university and of introducing new curricular mixes. Trends to "flexibilise" the curricula and use ECTS for this purpose were mentioned by a majority of CEEC institutions.

In a majority of cases, the central institutional actors had started to design or implement measures to enhance the attractiveness of the institution for incoming students from the west. Their efforts were aimed at services and infrastructure, e.g. bringing accommodation up to western standards. Teaching in English or other more widely spoken foreign languages was also seen as a key to attract interest. Some institutions with particularly active international cooperation were already quite attuned to this service, although staff development measures were still needed. However, at most institutions this still presented a major problem due to the limited English language competence of the teaching staff (especially its older members). For only a handful of incoming students, the Herculean efforts needed to offer courses in other foreign languages hardly seemed justified, resulting in somewhat of a vicious circle. Several institutional representatives also mentioned the lack of service culture which slowed down any efforts to obtain the required standards in student services and support infrastructure, even for home-students.

At several institutions a considerable brain drain effect was mentioned. Often the most enterprising younger members of staff, who would be the most likely "internationalisers", take the first opportunity to leave. On top of it all, some initially more enthusiastic supporters for outgoing international mobility are lost in the process.

Another problem consists in the difficulties faced in the search for partners. While all institutions were able to make use of Tempus contacts for this purpose, this in itself was not perceived to be enough. The preparatory visit grants were also by far not sufficient. Institutional representatives felt that multilateral meetings would have been much more efficient tools for partner search in so far as already established partners could serve as mediators in the forging of new partnerships. Thus they greatly missed this opportunity for networking which, they had heard, their western colleagues had benefited from in their own build-up phase.

The level of cooperation activity was also limited by the comparatively widespread lack of initiative and responsibility felt by individual academics regarding the quality and international openness of the academic offer. The lack of initiative and sense of responsibility once activities were started was widely seen to be a heritage from the past system. At the same time initiatives from the central authorities were seen with mistrust and the belief in the superiority of a decentralised system was firmly established. The result is a curious combination of attitudes which make the SOCRATES approach particularly difficult: Central initiatives are needed for mobilisation and targeted action but go against the grain of the new belief in de-centralised individualised action. Yet, although bottom-up initiatives and de-central decision-making seemed to provide enough of a basis at 4 out of 10 institutions, at most institutions there seemed to be too few initiatives at de-central level and these seemed to be concentrated in a small number of strong already internationally more engaged departments. Generally, the level of international and European cooperation is not high enough to warrant priority setting and resources are too restricted for strategic action. Mobilising less active areas, spreading participation and creating the right conditions for a spirit of cooperation to take root are the actions which are most needed at this point. For this, combined support schemes targeting central level as well as individual initiatives would have seem most appropriate.

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Another blow received with the transition from Tempus to SOCRATES concerned the latter's principle of co-funding. With the dramatic shortage of institutional funds and extremely low salaries, neither the institution nor the individuals

were in a position to fill the gap and devote their resources – be it money or time (in some countries the salaries are so low that professors hold two posts or have two jobs in order to be able to survive) – to the realisation of international coop-eration. Teaching staff mobility greatly suffered from this, with few people being interested in the first place and low take-up rates. Generally, the drive for interna-tionalisation was greatly dampened by this shortage of lack of time and resources. A lack of equipment to facilitate and speed up organisation should also be men-tioned in this context.

One institution drew the interesting conclusion from the difficulties with out-going mobility, that a focus on incoming teaching staff mobility and CD and IP projects would be the solution. Here, however, the co-funding principle is even more difficult to come to terms with. Nevertheless, in so far as can be judged now, the idea of a combination of activities which uses institutional strengths as a cur-rency with which to enhance quality in other parts of the institution generally seems the more successful path to follow.

An additional burden on the CEEC institutions consists in the sometimes far-reaching restructuring imposed by national policies. While these may well enhance strategic planning at central level which would smoothen the implementation of SOCRATES, such restructuring sometimes prevents institutions from being able to insert SOCRATES measures into still changing institutional structures. Thus na-tional policies in Higher Education (such as the initiatives of the Accreditation Committee in Slovakia, or the merger movement in Hungary, to name just two examples) were generally seen as obstacles to a smooth running of SOCRATES at the affected institutions.

Generally, it should be noted that the central, strategic initiatives which resulted from national level policies and which often went against the grain of the revival of de-centralised institutional culture after the fall of the iron curtain, were often seen to be quite disjointed from the academic and even administrative life at de-central levels.

2.5   Conclusion

Under SOCRATES, European educational cooperation has seen a trend to stratifi-cation. Fostering centralisation and strategic development, it is clearly received most positively by institutions which are currently trying to move in that direction anyway, independently from SOCRATES. Here SOCRATES gives institutional decision-makers and administrators a welcome push. Among these institutions, those with well-established international experience and infrastructure can make the most of the support given, since SOCRATES itself offers only little support for the sort of networking which allows for the creation of fresh partnerships, nor

funds to set up infrastructure, and presumes that institutional and other co-funding can be obtained for the realisation of planned activities.

While the potential for targeted action is also welcomed by new participants to the programme, here such potential can usually not be realised due to limited resources and infrastructure. Generally, at the more well-to-do fairly Europeanised institutions, the meetings and activities that are regarded as necessary while not being supported sufficiently by SOCRATES have been rationalised but continued. At the less well-to-do institutions, such meetings are being reduced to the minimum necessary to maintain SM.

Expansion, mobilisation and strategic development only seems to have taken place and succeeded at institutions which were relatively immune to the low awards and intending to move into that direction even without the help of SOCRATES, which was the case only for a small minority. Those which were most advanced in this respect, however, were also most indifferent to SOCRATES and less willing to go out of their way to invest what was regarded as a lot of effort for little net gain.

It seems that the reality of implementing SOCRATES brings out its inherent tensions, namely

- of emphasising expansion and mobilisation, without offering the money needed to support such expansion, and with few higher education institutions in a position to provide such funds out of their own resources or to raise such funds outside;
- of emphasising innovation and virtual mobility, when its centralising impact, limited funds and wealth of accrued experience with mobility are most suited to accelerate the normalisation of these more established activities – which amounts to presenting a transformation rhetoric with a routinisation agenda;
- of ignoring the fact that innovation and normalisation of European cooperation may need different, though possibly complementary approaches to the institutional actors concerned;
- of trying to foster strategic development while being best suited for those who need such development least.

SOCRATES has clearly put its finger on an enormous potential need for concerted and targeted action at institutional level. But it seems to have poured out the baby with the bath water: it seems to have overestimated the capacity of central institutional coordinators to safeguard the spring of all cooperation activities in times of limited resources. At the same time, SOCRATES may have underestimated the independent value of networking between individual academics for the creation of a European identity and as a playground from which academic innovation may spring forth. Fortunately, the baby is still alive and kicking and simply has to be picked up.

Table 1 a: **Institutional Profile, Resources and Task Distribution in Internationalisation at Western, Central, Southern EU HEIs**

HE Institution → Characteristics↓	1	2	3	4	5
Country	E	E	I	I	P
Size	m	b ("sm")	b	b/m	m
Age	o	m/y	o	vo	y
Area	rc	ru	ru	rc	met
Type	u m	u m t p	u t	u m	u m
Perc. foreign stud.		1 % <			
International Exp.	+	± <	+	+	+
SOC Experience	+	± <	++	++	±
SOC comp. imp.	- / SM +	+	± >	+>	+ (80% mobility)
Europ./int. orient.	Eu / int	Eu /(int<)	Eu / int<	Eu	Eu
Non-EU coop.focus	Lat. Am.	Lat. Am.	US <	US <	Lat. Am.
Int. Office	1+ dec	5+ dec	12 (5)	6+	3+ some fac. IOs
Add. Staff	+ fac. staff	+ 5 (last 2 yrs)	+ recent		
Fund Raising Cap.	++	± / +	+	+	±
Add Funds	r, i, p	r, i	r, n, i, p	+	i
Budget cuts constraining	-				
Inst. Top-up	+	+75 % of total	+	+	30 % gen
Inst. Top-up/Act	SM, TS	SM, TS, ECTS	SM	SM, TS, IP	SM 10%
Key function	vr	r, vr, dio. Int. prog.	vr	vr	pro-rec., vr, DIO
Key actor	vr		vr, other		
Top-level involv.	± vr	+	+ vr	± >	+
Imp.indiv.pushers	+	++	++	+	±
Ctd. involv. Acad.	±	±	± >		± >

Table 1 a continued

HE Institution → Characteristics↓	6	7	8	9	10
Country	GR	IR	UK	UK	NL
Size	s/m	m	b	m	s
Age	y	o	o	o	r
Area	rc	ru	ru	met	ru
Type	u m	u m	u t p	u m	P
Perc. foreign stud.	6 %		6.8 %	33%	< 5 %
International Exp.	± / -	++	+	++	- <
SOC Experience	± / -	+	+	+	-
SOC comp. imp.	+	±	+ / -	-	+
Europ./int. orient.	Eu	Eu / int	Eu / int	Eu / int	50-75% Eu
Non-EU coop.focus		US	Far East CEEC	US	CEEC
Int. Office	1 (part of PR)	6½ (2)	DICE 10 (3)		
Add. Staff	needed, no funds	+ IO	3 SOC	-	
Fund Raising Cap.		++	+ / -	+	±
Add Funds	-	+	I		N, i, p
Budget cuts constraining	++			35 % decr.	
Inst. Top-up	-	++	± / - dep. on fac-ulty	-	+
Inst. Top-up/Act	SM incoming	TS, IP	± / - dep. on fac.	-	SM
Key function	vr	vr	vr, pro-vicechan	pro-pro-vost	DIO
Key actor	ex- rector	task force coord.	DICE staff	pro-pro-vost	DIO
Top-level involv.	±	+ vr, registrar	± vr	± pro-pro-vost	DIO
Imp.indiv.pushers	+	++	+		+
Ctd. involv. Acad.		± >	+	>(dep.on depart.	?

<div align="right">to be continued</div>

Table 1 a continued

HE Institution → / Characteristics↓	11	12	13	14	15	16
Country	NL	D	D	F	F	A
Size	m/b	b	s/m 5500	m	m	vb
Age	o 19000	o		y	m	o
Area	ru	ru	rc	ru/c	ru/c	ru
Type	u m	u m	p	um	um	um
Perc. foreign stud.		7 %		4 %	10 %	7 %, 0,8 exchange
International Exp.	+	±	+	±	± / -	+
SOC Experience	+	±	+	±	±	+
SOC comp. imp.	75% SM other >	++	±	+	±	SM +
Europ./int. orient.	Eu / int.	Eu	Eu /(int<)	Eu + CEEC <	Eu/(US<)	Eu, CEEC
Non-EU coop. focus	Indones. CEEC	US, Viet., Cuba	Asia	EU + CEEC	US CEEC	CEEC
Int. Office	c+ dec	3	2	3 (1)	1 new Ext. Rel.	9 / 6
Add. Staff	tasks < SOC >		-	need +	1+ fac coord.	2 SOC
Fund Raising Cap.		-	±		-	±
Add Funds	i	n, i	- not nec.	r, i	r, i	n, i
Budget cuts con-straining		+			+	± proj.
Inst. Top-up	+	-	-	20 %		+
Inst. Top-up/Act	SM top-ups	ECTS	SM (out of TS)	SM 2000 F	TS	SM, IP, CD
Key function	head int.com.	acad. coord.	pres., DIO	vr, indiv.	Eur. coord.	vr, chair IR board
Key actor			pres, DIO	vr - EPS	Eur.coor DIO	vr, chair IR board
Top-level involv.	univ. board		+ r	- <	±	+
Imp. indiv. pushers	±	++	++	+	+	+
Ctd. Involv. Acad.	± >	+	±	>	+	+ ICP c. as fac.c

Table 1 b: Institutional Profile, Resources and Task Distribution in Internationalisation at Northern, Central, Eastern European HEIs

HE Institution → Characteristics↓	17	18	19	20	21
Country	DK	FIN	FIN	N	S
Size	b	m	m	S	b
Age	o	y	y	R	o
Area	met	rc	rc	Ru	ru
Type	um	pm	um	p	um
Perc. Foreign students					
International Exp.	+	±	± (recent) < strat. F.	- / ±	++
Soc Experience	+	±	little ICP exp.	± begin.	+
SOC comp. Imp.	+ >	-/SM+	+	+	+
Europ./int. orient.	Eu / (int<)	EU/int	Eu	Eu	EU/int
Non-EU coop. focus	US	US Far East	US, Asia	Africa	US Baltic states
Int. Office		3(+other Poly staff)	6+	1+ dec	6 (+Depts)
Add. Staff	+	-		dec	+1
Fund Raising Cap.		±			+
Add Funds	i	I	n, r, i	i	I (100,000 Euros)
Budget cuts constraining					New bldg prog.
Inst. Top-up	+	+	+	+	++
Inst. Top-up/Act	SM	ECTS,SM	SM, TS	+	All activities
Key function	vr, dio	Vr	vr, strat. Group	vr	DirIO
Key actor	ex vr	IR manager	vr, dep. coord.	teachers	DirIO+ Coord. Soc

Table 1 b continued

HE Institution → Characteristics↓	17	18	19	20	21
Country	CZ	CZ	H	H	RO
Top-level involv.	Vr + new sen. Pos.	± vr	+	+	±r
Imp.ind.pusher(s)	±	++	+ "en-thus."	+	+
Ctd. Involv. Acad.	±	± but uneven		+	>

Table 1 b: Institutional Profile, Resources and Task Distribution in Internationalisation at Northern, Central, Eastern European HEIs

HE Institution → Characteristics↓	22	23	24	25	26
Country	CZ	CZ	H	H	RO
Size	m	m	m	m	m
Age	o	m	m	o	m
Area	rc	met	met	ru	rc
Type	um	us	us	um	um
Perc. Foreign students	3	5	17		3
International Exp.	-, since 90 <	±	++	+ uneven	- / ±
Soc Experience	- < ±	- < ±	- < ± T:+	- < T:+	- < T:+
SOC comp. Imp.	++	+	+	-	++
Europ./int.orient.	Eu	Eu	Eu / int	Eu / int	Eu
Non-EU coop.focus		US	US	US	S. Med.
Int. Office	11		Int. Serv. Centre	2	6 (2)
Add. Staff	+				
Fund Raising Cap.		+	- / + dep.	±	- (encou.)
Add Funds	n, i	i, p	i, p	p	
Budget cuts constraining	+	+ (SM grants)	+	+	
Inst. Top-up	± lge staff	+	-	-	-

Table 1 b continued

HE Institution → Characteristics↓	22	23	24	25	26
Country	CZ	CZ	H	H	RO
Inst. Top-up/Act	SM, TS	SM (Ph)			
Key function	r, vr, dio	vr	r, fac c	r	r
Key actor	ex r, vr	vr	indiv.	Fac, library	r, Soc coord.
Top-level involv.	+	++	+	± (dec)	+
Imp. ind. pusher(s)	+ (ex r)	+ (vr)	++	++	+
Ctd. Involv. Acad.	+		+ (Temp)	+	

Table 1 b: Institutional Profile, Resources and Task Distribution in Internationalisation at Northern, Central, Eastern European HEIs

HE Institution → Characteristics↓	27	28	29	30	31
Country	RO	SK	SK	PL	PL
Size	m	b	m	b	b
Age	o	o	o / m	o	m
Area	ru	met	rc	m	ru
Type	um	um	u s t	u m t	u m
Perc. Foreign students	2.5		<1%		0.2
International Exp.	+	- <	+	+	± SM –
Soc Experience	- < T:++	- < T:+	-<	- < T:++	- < T:+
SOC comp. Imp.	++ (strat)	++	±	+	+
Europ./int.orient.	Eu	Eu	EU/int	Eu	Eu
Non-EU coop.focus	Ceec	Arab.	US, CEEC		
Int. Office	8(1)	since'98	1(+Vice Dean)		5 (2)
Add. Staff	1	2+	-		training
Fund Raising Cap.		-	+ some subjects	±	–
Add Funds			-	–	–

Table 1 b continued

HE Institution → Characteristics↓	27	28	29	30	31
Country	RO	SK	SK	PL	PL
Budget cuts constraining	++	+			
Inst. Top-up	-	-	-	± / −	± / −
Inst. Top-up/Act	SM spons.	SM (Ph)	-		
Key function	r, ic	r, dio	vr	ic	vr, former r
Key actor	r, vr ir, ic, dio		IR Ma-nager	int.co.	vr, former r
Top-level involv.	++	+	+vr	vr	vr
Imp.ind.pusher(s)	+		++	"	o
Ctd. Involv. Acad.		Only in beginning	N/a	± / -	± / -

Table 2 a: Structures and Attitudes to SOCRATES Implementation at Western, Central, Southern EU HEIs

HE Institution → Characteristics↓	1	2	3	4	5	6
Country	E	E	I	I	P	GR
Decision-making	c		c	c	dec, no select	dec, no select
Distribut. Of funds	c		c	c	dec: fac	
Restructuring (indep. Of SOC)	c• dec	+	• c, t-d decision	-	+	
Spec. Proc. SOC		+	+	+	+	+ coord.
Spec. SOC com		+	+	+	+	+
Int.rel.com.	-	+	+	+	+	+
Add. Coordination	+ (c • f)	+	+	+	+ c / fac.	+ SOC coord.
Centralisation	-	+	+	+	+	+
Mission, strat.plan	+	- int. Plan	+	-	- no doc.	+, -
Proactive planning	±	+ <	+	± post-grad. Res.	-	-
Policy centr/dec.	C / dec	c	c	c	c	c
Dec.:indiff. To EPS	+				+	
Probl.-rel. Goals	±	+	±	+ dec	± in EPS	±
SOC f. profile	-	+	± prest. Partners	±	+	+
Aware of str/w	±	+	+	±	± CRE self-eval.	±
Imp. Of inst. Netw.	-	+	++	+ Coim-bra		
Choice of partners	dec + c	netw. Dec + c	sel. <	sel <	+ a. th. Goes	+ a. th. Goes
Faculty participat.	Uneven	uneven >	uneven >	uneven	uneven	very uneven
Mobilisation	+	++	+	- (thresh.)	+ TS	+ Soc coord.
Demobilisation	+	-	+ proj.	+ proj.	+ TS	+ thr.loss of ICPs

to be continued

Table 2 a continued

HE Institution → Characteristics↓	1	2	3	4	5	6
Country	E	E	I	I	P	GR
Int. Awareness	+	+ <	+	+	± <	-
Inst. Awareness	± dec	+ <	+	-	± <	-
Cost Awareness	+	+ <	+	+	±	+
Motivation Adm	±	+	+	-	+	±
Motivation Acad	- coord: ±	± <	± uneven	-	> (loss of ICPs)	
Loss of netw. Oppt.	+		±	+	+ ICP	+

Table 2 a: Structures and Attitudes to SOCRATES Implementation at Western, Central, Southern EU HEIs

HE Institution → Characteristics↓	7	8	9	10	11	12
Country	IR	UK	UK	NL	NL	D
Decision-making	c	c	dec, no select	c	dec + board	
Distribut. of funds	c	dec	dec	c	dec	
Restructuring (indep. of SOC)	dec • c t-d	in indiv. Fac.		+	-	-
Spec. Proc. SOC	+	+		+	integr. W. other int.	
Spec. SOC com	+ >	+ >	+ netw. SOC co.	-	integr. W. other int.	
Int.rel.com.	-	+			+ at fac.	
Add. Coordination	+	+		+	+ all int.	C • dec ad hoc
Centralisation	+			already c	-	-(against)
Mission, strat.plan	- , +	+	+	+ int. Pl.	+, +	plan dev.
Proactive planning	± <	± <	+	± <	±	± <

Table 2 a continued

HE Institution → Characteristics↓	7	8	9	10	11	12
Country	IR	UK	UK	NL	NL	D
Policy centr/dec.	C	c / (dec)	c / dec	c	c / dec	c / dec
Dec.:indiff. To EPS					+	
Probl.-rel. goals	+	± dec	-	+	+	
SOC f. profile	± prest. partners	±	-	+	± >	+
Aware of str/w	+	+	+ strengths		±	±
Imp. of inst. netw.	± (dep.)		- UNICA		+ Coimb.	+ Utrecht
Choice of partners	dec + c sel.	dec + c selection	to be ra-tional-ized		b-up Coimbra	b-up
Faculty participat.	uneven	uneven	uneven		+ fac.	
Mobilisation	+	- (thresh.)	- (only by alumni recruit.)	+	SM + central + other ±	inf.
Demobilisation	+	+ proj.		+ (no success)	TS, CD	
Int. Awareness	+	+ thr. ICE	++	+	++	+ debate started
Inst.Awareness	+	+	+	+	±	+
Cost Awareness	+	++	++	+	+ <	
Motivation Adm	±	+	+	+	±	
Motivation Acad	±	-	SOC -	- unimp.	- no compens.	+ / 20% -
Loss of netw. oppt.	+	+	+			+

Table 2 a: Structures and Attitudes to SOCRATES Implementation at Western, Central, Southern EU HEIs

HE Institution → Characteristics↓	13	14	15	16
Country	D	F	F	A
Decision-making	c		dec +	dec
Distribut. of funds	c			dec
Restructuring (indep. of SOC)	-	-	-	+ auton. <
Spec. Proc. SOC	+	+	±	+
Spec. SOC com	-	spec. meeting		+
Int.rel.com.	- adv. group	+		+
Add. coordination	+	+	+	+
Centralisation	not nec.	+	+	-
Mission, strat.plan	+	-	+	
Proactive planning	+	-	±	±
Policy centr/dec.	c	(c) indiv.	c	c
Dec.:indiff. to EPS	+	+	+	+
Probl.-rel. goals	+	-	+	±
SOC f. profile	+	±	+	+
Aware of str/w	+	-	±	±
Imp. of inst. netw.	-			± Utr/ Coi
Choice of partners	c / dec	b-up	b-up, c < (netw.)	dec,some filter
Faculty participat.	uneven	uneven	uneven	uneven
Mobilisation	+ proj.	±	+ persua.	+
Demobilisation	+ proj.	+ TS	+ proj.	+ proj. success
Int. Awareness	++	±		+
Inst.Awareness	+	-		±
Cost Awareness	+	(±)		±
Motivation Adm	+	+	+	+
Motivation Acad	±	- no time	±	- / +
Loss of netw. oppt.	+	+ ICP		+

Table 2 b: Structures and Attitudes to SOCRATES Implementation at Northern, Central, Eastern European HEIs

HE Institution → Characteristics↓	17	18	19	20	21
Country	**DK**	**FIN**	**FIN**	N	S
Decision-making	**dec**	**dec + IO**	(c) / dec	dec	c: IO
Distribution funds	**dec**	c	c / dec	dec	c
Restructuring (indep. of SOC)	dec → c			dec<	
Spec. Proc. SOC	-	**+**	**+**	-	
Spec. SOC com	-	Intgr with other IR	strat.group	-	-
Int.rel.com.	**+**	**+**	strat.group	+ c / dec	+
Add. coordination bec. of SOCRATES	- need +		+	- need +	+
Centralisation	+ (recent)	+	+ :filter w. applic.	-	+
Mission, strat.plan	+(1st)	+	+	+ (re-cent)	+
Proactive planning	- <	+	+	+	+
Policy centr/dec.	dec	c / dec	c / dec	c / dec	c / dec
Dec.:indiff. to EPS		+			
Probl.-rel. goals	-	±(TS)	+	+	-
SOC f. profile	-	+	+	+	±
Aware of str/w	-	+	+	-	+
Imp. of inst. netw.		±		only dep.	+ Coimbra
Choice of partners	→ c more selective	b-up, c<	dec./ c some filter t&r same	dec / c initia., no se-lect.	Netw+,b-up within pol
Faculty participat.	uneven >	Uneven	uneven>	uneven	Uneven
Mobilisation	+ CD	++(IM)	+ (info)	+	+(Soc coord)
Demobilisation	+ proj.		+, some filter	-	
Int. Awareness	± <		+	+	

to be continued

Table 2 b continued

HE Institution → Characteristics↓	17	18	19	20	21
Country	DK	FIN	FIN	N	S
Inst.Awareness	- <	+	+	- <	++
Cost Awareness	+ <		±	±	
Motivation adm.	±	+	+	±	+
Motivation acad.	± >	±uneven	+/ some ±: benefit unclear	±	>but uneven
Loss of netw. oppt.	+	-			+

Table 2 b: Structures and Attitudes to SOCRATES Implementation at Northern, Central, Eastern European HEIs

HE Institution → Characteristics↓	22	23	24	25	26
Country	CZ	CZ	H	H	RO
Decision-making	→ t-d	t-d	dec	dec	t-d
Distribution funds	c	c / dec	dec	dec	
Restructuring (indep. of SOC)	+ dec → c	+	- < ± (nat. legisla.)	+ (merger)	+
Spec. Proc. SOC	+		+	+	+
Spec. SOC com	+		+	+	+
Int.rel.com.	- (SOC gremium)	+	+		
Add. coordination bec. of SOCRATES	+	+	- < ± need +	- need +	+ need dep.+
Centralisation	+ <	- (→ info probl.)		-	
Mission, strat.plan	+	+ (Temp)	-	+	+
Proactive planning	+	± <	-	-	±
Policy centr/dec.	c	c	dec	dec	c / dec
Dec.:indiff. to EPS				+	
Probl.-rel. goals	+	+	± / -	±	+

<div align="right">to be continued</div>

Table 2 b continued

HE Institution → Characteristics↓	22	23	24	25	26
Country	CZ	CZ	H	H	RO
SOC f. profile	+	±	+	±	++
Aware of str/w	++		+	±	+
Imp. of inst. netw.		+ CEMS	+ CEMS	-	+ Rum. net. f. int.
Choice of partners	dec. → c	c through netw. (quality)	dec (filter rare)	dec	
Faculty participat.	uneven >		uneven	uneven	uneven <
Mobilisation		+	± (inf.)	± (inf)	+ (inf) not nec.
Demobilisation		- SM +	+ (CD)		
Int. Awareness	± <	+	+	+	+
Inst.Awareness	± <	+	-	-	+
Cost Awareness	+ < eval.	+	+	+	+
Motivation adm.	+	+		±	+
Motivation acad.	± / -	- < ±	+ / -	++	
Loss of netw. oppt.		+ (Temp.)			

Table 2 b: Structures and Attitudes to SOCRATES Implementation at Northern, Central, Eastern European HEIs

HE Institution → Characteristics↓	27	28	29	30	31
Country	RO	SK	SK	PL	PL
Decision-making	t-d	dec	dec	dec	t-d
Distribution funds	c	c / dec (non-steer.)	c (no selection)	c	
Restructuring (indep. of SOC)	+ (ongo-ing)	-	+		no
Spec. Proc. SOC	+	+ (IO est.)	+	+	+
Spec. SOC com	+	+	-	+ p	+

Table 2 b continued

HE Institution → Characteristics↓	27	28	29	30	31
Country	RO	SK	SK	PL	PL
Int.rel.com.	- (board of deans)	+	in facul- ties	-	
Add. coordination bec. of SOCRATES	+	+need +		+	− need+
Centralisation		+	-		
Mission, strat.plan		+	+	-	-
Proactive planning		-	-	c ±	± / -
Policy centr/dec.	c / dec	dec	-	c	c /dec
Dec.:indiff. to EPS	+		+		
Probl.-rel. goals	+	±	±(TS)	±	± / - (lge)
SOC f. profile	++	+	+	+	+
Aware of str/w	+	±	±	+	+
Imp. of inst. netw.	+ Coim- bra		±(T., reg.)		
Choice of partners	dec	dec through Tempus partners	b-up	through EU partners	dec
Faculty participat.	uneven	uneven	v.uneven	widesprea	i
Mobilisation	+	- (inf)	±	++SM, CD<	+
Demobilisation	+ (SM bec. stip-)	+ (comp. Temp.-)		TS	
Int. Awareness	+	- < (plan)		±	±
Inst.Awareness	+	±	-	−−	−
Cost Awareness	+	+		+	+
Motivation adm.	+	±	+	±	±
Motivation acad.	± / -	± / -	-uneven	± / ·	± / -
Loss of netw. oppt.			N/a		

Table 3 a: Priorities, Tools and Problems of SOCRATES Implementation at Western, Central, Southern EU HEIs

HE Institution → Characteristics↓	1	2	3	4	5	6
Country	E	E	I	I	P	GR
Incentives	-	+	-	-	-	-
Priorities in impl.		SM, TS <	+ <	-	SM, TS <	
Activity focus	SM	SM, TS	SM, TS	SM	SM, TS	SM target 18 %
Increase activity level	-	++	+	-	+	- SM out > grant.•
TS imp.	± low take-up	+	+ low take-up	± / -	- < low take-up	- < low take-up
IP imp.	-	- <	+	+	- >	
CD imp.	-	- <	- but out. of SOC	± >	- >	
Curricular reform	-		+		-	new dep.
Teaching in English/ other lges	-				+	-
Reciprocity probl.	-	-	+	- (o < i)	+> teach. in Engl.	+
Lang. probl. central	+	±	+	+ budget cuts	+	+
Recognition probl.						+
COM timing probl.	+		+			
Synergy int. prog.	±	± (<)	+	± / -	±	
Links to ind./bus	+	+ <	+		± but not for int.	- need +
Quality assess.		+	+	+	- / ±	
Continuing educ.	center		+ dist.	+ pilot prog.	(+) same prof.	
Increase attn. to adv/postgrad st.	+	+	+	+	(+)	
Imp. of work pl.	+	+	+			

<div align="right">**to be continued**</div>

Table 3 a continued

HE Institution → Characteristics↓	1	2	3	4	5	6
Country	E	E	I	I	P	GR
Increase attn. to res. coop.	+	+	+	+	+	
Impact nat. legisl.	constr. (curric.)	constr. = res. crit. f. staff recr.	o	-	constr.	
Imp. of reg. dev.	+	+ c *	+			+
Imp. of struct. funds			+	-		
Managerial culture	+	+			-	-

Table 3 a: Priorities, Tools and Problems of SOCRATES Implementation at Western, Central, Southern EU HEIs

HE Institution → Characteristics↓	7	8	9	10	11	12
Country	IR	UK	UK	NL	NL	D
Incentives	+	-	- (EU res.+)	-	-	
Priorities in impl.	+ <	fac.	outg. SM		+ fac.	student
Activity focus	SM	SM, TS	SM, TS	SM	SM, TS	SM target 18 %
Increase activity level	-	++	+	-	+	- SM out > grant.•
TS imp.	± low take-up	+	+ low take-up	± / -	- < low take-up	- < low take-up
IP imp.	-	- <	+	+	- >	
CD imp.	-	- <	- but out. of SOC	± >	- >	
Curricular reform	-		+		-	new dep.
Teaching in English/ other lges	-				+	-

to be continued

Table 3 a continued

HE Institution → Characteristics↓	7	8	9	10	11	12
Country	IR	UK	UK	NL	NL	D
Reciprocity probl.	-	-	+	- (o < i)	+> teach. in Engl.	+
Lang. probl. Central	+	±	+	+ budget cuts	+	+
Recognition probl.						+
COM timing probl.	+		+			
Synergy int.prog.	±	± (<)	+	± / -	±	
Links to ind./bus.	+	+ <	+		± but not for int.	- need +
Quality assess.		+	+	+	- / ±	
Continuing educ.	center		+ dist.	+ pilot prog.	(+) same prof.	
Increase attn. to adv/postgrad st.	+	+	+	+	(+)	
Imp. of work pl.	+	+	+			
Increase attn. to res. coop.	+	+	+	+	+	
Impact nat. legisl.	constr. (curric.)	constr. = res. crit. f. staff recr.	o	-	constr.	
Imp. of reg. Dev.	+	+ c *	+			+
Imp.of struct.funds			+	-		
Managerial culture	+	+			-	-

Table 3 a: Priorities, Tools and Problems of SOCRATES Implementation at Western, Central, Southern EU HEIs

HE Institution → Characteristics↓	13	14	15	16
Country	D	F	F	A
Incentives	-	-	-	-
Priorities in impl.		(SM) none	ECTS, TS	SM, -
Activity focus	SM, TS, ECTS	SM, TS <	SM, TS, ECTS	SM

Table 3 a: Priorities, Tools and Problems of SOCRATES Implementation at Western, Central, Southern EU HEIs

HE Institution → Characteristics↓	13	14	15	16
Country	D	F	F	A
Increase activity level	+	+	+ mobil	+
TS imp.	+ strat. but often outs.SO C	± < (low take-up)	+ (low take-up)	±
IP imp.	-	-	>	±
CD imp.	± >	-	>	± <
Curricular reform	± tea in Engl.	-	-	+
Teaching in English/ other lges	-± <		science	
Reciprocity probl.	± o > i			
Lang. probl. central	± (for i)	(+)	+ • pol.	
Recognition probl.	+			+
COM timing probl.	± SM	++ TS		+
Synergy int.prog.	+ (Leon.)			
Links to ind./bus.	++	-	+	
Quality assess.	+ thru strat. rep.	-		
Continuing educ.	-	+ not strat.	+	
Increase attn. to adv/postgrad st.	-	+ (c)	+	
Imp. of work pl.	++	± <	+ <	
Increase attn. to res. coop.	-	(+)		
Impact nat. legisl.	constr.	constr.	constr. (nat. ag)	o, constr. Eur.mast.
Imp. of reg. dev.	±	reg. com-petition	+	
Imp.of struct. funds				
Managerial culture	± <	-		-

Table 3 b: Priorities, Tools and Problems of SOCRATES Implementation at Northern, Central, Eastern European HEIs

HE Institution → Characteristics↓	17	18	19	20	21
Country	DK	FIN	FIN	N	S
Incentives	-	-	+ = bonus for active int.	+	-
Priorities in impl.	-	SM,TS, ECTS	quality, consolid.	too early	SM
Activity focus	SM,some dep. CD	SM,TS	SM, TS, ECTS,	SM	SM,CDA
Increase activity level	= stabil.	SM,TS,IP	+	+ → 10% SM	SM
TS imp.	± some dep.	+ nat crit for qa	+ < inte-gr.	+	
IP imp.	± some dep.	+	>	±	
CD imp.	± some dep.	+	+ goal		+(ODL)
Curricular reform	±	±	+		
Teaching in English	+	+	+ dev<	- but proj. in Engl.	
Reciprocity problematic	-	-	+ i<o (flex. betw. fac.)	±	
Language probl. central	±	± (SM in)	+	±	-
Recognition problem		-			+
COM timing problem	+	+ (SM)		+	
Synergy betw. int. prog.	-		+ t&r	± attn.<	
Links to ind./bus.		±would like +	± (pl:<)	some dep.	+(internal eval)
Quality assessment		+ (nat eval)	cent. goal (dio/ dep)	+ <	
Continuing educ./ODL	±	+centre			+Masters
Increase attn. to advan/ postgrad. st.		-	+ (synergy w. res.)		

<div align="right">to be continued</div>

Table 3 b continued

HE Institution → Characteristics↓	17	18	19	20	21
Country	DK	FIN	FIN	N	S
Imp. of work pl.		+		+ Leona.	+
Increase attn. to res. coop.	+	-(no R&D)	some dep	+	
Impact of national legisl.	o	+(SM,TS)	o, c (quant. goals)		+
Imp. of regional devel.	++	++	+		+ (R+D)
Imp. of structural funds					+
Managerial culture	<	+	<		

Table 3 b: Priorities, Tools and Problems of SOCRATES Implementation at Northern, Central, Eastern European HEIs

HE Institution → Characteristics↓	22	23	24	25	26
Country	CZ	CZ	H	H	RO
Incentives	+	+	-	-	-
Priorities in impl.	staff dev., language		- equity	research (depart.)	SM, TS
Activity focus	SM, TS, CD <	SM, TS	SM	SM,ECTS	SM, TS
Increase activity Level	+ CD	+		+	+
TS imp.	< (low take-up)	± <	+	low take-up	+ strat. use f. SM
IP imp.		- <	-		-
CD imp.	- <	- <	± >	-	-
Curricular reform	- need +	+ MBA	+	+	± <
Teaching in English	+	+ some dep. <	+	+ some dep. <	
Reciprocity problematic	+	-	±	± i < o	+
Language probl. central	+ lge pol.	+	- ISC	- / ± for i	+ i
Recognition problem				-	+
COM timing problem	+	+	+	++	+

Table 3 b continued

HE Institution → Characteristics↓	22	23	24	25	26
Country	CZ	CZ	H	H	RO
Synergy betw. int. prog.	± attempt			-	±
Links to ind./bus.		+	+	+	- <
Quality assessment	++ (self-eval.)	+	+ dec	+ in res., curr. inno.	-
Continuing educ./ODL				+ (t-d init)	-
Increase attn. to ad-van/postgrad. st	+	+		+	+ good multiplier
Imp. of work pl.	-				
Increase attn. to res. coop.		+ com-bin. t&r		+ res. priority	
Impact of national legisl.	o		c (no. of fac., staff points	o / c	
Imp. of regional devel.				+	+
Imp. of structural funds					
Managerial culture	-	+		-	-

Table 3 b: Priorities, Tools and Problems of SOCRATES Implementation at Northern, Central, Eastern European HEIs

HE Institution → Characteristics↓	27	28	29	30	31
Country	RO	SK	SK	PL	PL
Incentives	- (at-mos.+)	-	-	- pl	- need
Priorities in impl.	SM	-	TS(in) SM,CD	+ SM	
Activity focus	SM, TS, ECTS	SM, ECTS			SM, ECTS
Increase activity level	+		SM,CD		

Table 3 b continued

HE Institution → Characteristics↓	27	28	29	30	31
Country	RO	SK	SK	PL	PL
TS imp.	++ (low take-up)		+low take-up		±
IP imp.	- <	-	+	± <	- <
CD imp.	- <	- < (flex.)	+	± <	± <
Curricular reform	± <	± need +	±	r	need+
Teaching in English		+ some dep.	+		
Reciprocity problematic	++ i < o	+	+ (SM, TS out)	+ i	+ i
Language probl. central	+	+	-	+	+
Recognition problem			+		
COM timing problem	++	+		+	+
Synergy betw. int. prog.		-	±hope<		-
Links to ind./bus.		-	+ reas. f.partic.	+	-
Quality assessment	+ vague	+	±		
Continuing educ./ODL	+ ODL		+Mast.		
Increase attn. to ad-van/postgrad. st	+ some dep.		+ some dep.		
Imp. of work pl.		+ Leonar.	±		
Increase attn. to res. coop.					
Impact of national legisl.	o (impact on nat. reform)	c	+		
Imp. of regional devel.			++		
Imp. of structural funds			-		
Managerial culture		-			

List of Abbreviations

acad.:	academic
add.:	additional
adm.:	administrative
adv.:	advanced
ag.:	against
applic.:	application

assess.:	assessment
a.th.:	anything
attn.:	attention
auton.:	autonomous
b:	big (over 15000)
b-up:	bottom-up
c:	central
Cap.:	capacity
CD:	curriculum development
CDA:	curriculum development at advanced level
CEEC:	Central and Eastern European countries
CEMS:	Central and Eastern European Management Schools
circ.:	circulated
co./ coord.:	coordinator / coordination
com.:	committee / commission
comb.:	combination
comp.:	comparative
coop.:	cooperation
crit.:	criterium
ctd.:	continued
curr.:	curricular / curriculum
dec:	decentralised
decr.:	decreasing
dep./ depart.:	departmental
dev./devel.:	developed / development
DIO:	director of international office
dist.:	distribution
doc.:	document
educ.:	education / educational
encou.:	encouraged
enthus.:	enthusiastic
est.:	established
Eu/Eur:	European
EPS:	European Policy Statement
Exp.:	experience
Ext. Rel.:	external relations
fac.:	faculty
flex.:	flexibility
gen:	general
Indones.:	Indonesia
i. / inst.:	institutional
ic:	institutional coordinator
ICE:	innovation centre for Europe
ICP:	Interuniversity Cooperation Programme (coop. management network in ERASMUS)

imp.:	important
impl.:	implementation
ind.:	individual
ind/bus:	industry / business
inf.:	information
initia.:	initiated
innov.:	innovation
int:	international
integr.:	integrated
int.rel.com:	international relations committee
involv.:	involvement
IP:	intensive programme
IO:	international office
Lat. Am.:	Latin America
lang.:	language
legisl.:	legislation
lges:	languages
m:	medium (size: over 5.000 under 15.000 students; age: under 50, over 20 years)
met:	metropolitan
n:	national/federal government
nat. ag:	national agency
nec.:	necessary
netw.:	network
o:	old (over 50 years)
outg.:	outgoing
outs.:	outside cf
p:	professional school
p:	private funds
pl.:	plan
pol.:	political / policy
pos.:	position
postgrad..	postgraduate
PR:	public relations
pres.:	president
prest.:	prestigious
probl.:	problem / problematic
prog.:	programme
proj.:	project
qual.:	quality
quant.:	quantitative
r:	rector
r:	regional (government/ authority)
rc:	regional/country
rec:	recent (under 5 years)

recr./ recruit.:	recruitment
rep.:	report(s)
res.:	research
ru:	regional/urban
s:	small (under 5000)
sel.:	selection
self-ev.:	self-evaluation
SM:	student mobility
S.Med.:	Southern Mediterranean countries
spec.:	special / specialization
str/w:	strenghts/weaknesses
strat.:	strategy / strategic
struct.:	structural
stud.:	student
T/Temp.:	Tempus
t-d:	top-down
thr.:	through
thresh :	threshold
t&r:	teaching and research
TS:	teaching staff mobility
um:	university multi-subject
UNICA:	network of universities in capital cities
unimp.:	unimportant
us:	university specialised
US:	United States of America
ut:	university technical
Indones.:	Indonesia
Viet.:	Vietnam
vr:	vice rector
w:	with
work pl.:	work placement
y:	young (under 20, over 5 years)

2

European Strategies: Higher Education Policy Statements of Institutions in Central and Eastern Europe in Comparative Perspective

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1   Introduction

1.1   EUROSTRAT and the Analysis of European Policy Statements

With the launch of the SOCRATES programme in 1995/96, ERASMUS became a sub-programme of SOCRATES, and the target areas of support were modified. While the support for student mobility remained more or less unchanged, support for teaching staff mobility was extended. In addition, more emphasis was placed on curriculum development, recognition issues and the stimulation of innovation, e.g. through thematic networks.

Furthermore, the administrative arrangements were changed substantially. All institutions aiming to be supported in the framework of SOCRATES from the academic year 1997/98 onwards had to fulfil the following requirements:

- to submit a single institutional application encompassing all exchange and co-operation activities,
- to substitute the inter-university agreements between networks of departments of the past by bilateral cooperation agreements between partner institutions, and
- to formulate a European Policy Statement (EPS) which explains the SOCRA-TES support applied for in the framework of all European/international policies and activities.

This new SOCRATES approach induced the applying institutions to reflect and put a stronger emphasis on the coherence of European and international goals

which they want to pursue. The institutions of higher education were also expected to strengthen the responsibility and the commitment on the central level of the higher education institution with regard to European activities. Thus, the SOCRA-TES programme aimed to develop and reinforce strategic thinking.

Initially, this new SOCRATES approach met with controversial reactions. Views varied both as regards the extent to which the various institutions were prepared to consider the mobility and cooperation activities in a strategic framework and as regards the strengths and weaknesses of this new managerial approach in general.

In 1997, an analysis of the EPSs which had been submitted as part of the institutional application for SOCRATES support for 1997/98 was undertaken. In the framework of the so-called EUROSTRAT II Project, 1,578 European Policy Statements (99.7 percent of those actually submitted) were analysed[1]. In addition, about 20 visits were arranged in order to examine the processes of formulating the European Policy Statements and the strategic reasoning prevailing in the respective institutions.

Subsequently, 224 Western European institutions and 251 Central and Eastern European institutions formulated European Policy Statements in order to be awarded SOCRATES support from 1998/99 onwards or from 1999/2000 onwards. While the Western European Institutions could have already applied earlier, institutions from Central and Eastern European countries only became eligible for support in 1998/99 or even later.

The focus of this analysis will be on the comparison of the newly submitted European Policy Statements of higher education institutions in Central and Eastern European countries with those from Western European institutions: To what extent do the institutions of higher education in Central and Eastern European countries differ, for example, as regards their understanding of strategic thinking, the role the centre of the institutions play, the expectations they put on SOCRATES support and the activities they envisage? For this purpose, the EPS submitted by the Central and Eastern European institutions for the years 1998/99 and 1999/2000 are compared to those submitted by the Western European countries for the years 1997/98, 1998/99 and 1999/2000.

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[1] The results of the EUROSTRAT II project comprising the analysis of all EPSs submitted for the academic year 1997/98 and a report on 20 site visits which was the second part were published in: Barblan, Andris et al. (eds.). *Emerging European Policy Profiles of Higher Education Institutions.* Kassel: Wissenschaftliches Zentrum für Berufs- und Hochschulforschung der Gesamthochschule Kassel, 1998 (Werkstattberichte 55).

1.2 The Project

The analysis of the European Policy Statements of the Central and Eastern European institutions of higher education in comparative perspective is part of a series of projects which the European Commission entrusted to the Association of European Universities (CRE), Geneva. The so-called EUROSTRAT projects were coordinated by Andris Barblan (CRE). Ulrich Teichler (Centre for Research on Higher Education and Work, University of Kassel, Germany) was academically responsible for the analyses of the European Policy Statements and of the visits to various institutions.

Martina Schotte-Kmoch (Centre for Research on Higher Education and Work) examined the findings of this study on European strategies of Central and Eastern European institutions of higher education and wrote this report. A team of experts from different European countries – Manuel Assunçao (Aveiro, Portugal), Lieve Bracke (Gent, Belgium), Zoe Miariti (Tessaloniki, Greece) and Aaro Ollikainen (Helsinki, Finland) – participated in the analysis of the individual European Policy Statements. This study drew heavily on the preceding study on the European strategies of Western European institutions of higher education, the report of which was written by Barbara M. Kehm (Institute for Higher Education Research, Wittenberg), and on the analysis of European Policy Statements by the above named experts as well as by Jochen Hellmann (Hamburg, Germany) and Outi Snellman (Rovianemi, Finland). All of them have experiences in mobility and cooperation activities of European universities, and most of them have also be involved in research on the processes of Europeanisation and internationalisation of higher education institutions. Their commitment to the study provide the basis for this report.

It should be pointed out that both the copies of the European Policy Statements provided by the European Commission to the members of the international working group as well as the completed form-sheets were kept absolutely confidential.

The process of coding, data input and data analysis was undertaken at the Centre in Kassel. Annette Fleck conducted most of the data entry. Dirk Martin was also involved in data entry and was in charge of programming and provision of tables and charts, table calculations and design and especially for producing the comparable data sets.

1.3 Aims and Themes of the Analysis

It should be pointed out, first of all, that the structure of the European Policy Statements was not clearly prescribed or standardised by the European Commission. The institutions were only instructed to write a maximum of two to three pages and to provide detailed information on the following points:

- a description of general plans for the strategic development of the institution;
- a description of the plans for European and international cooperation and how they fit into the institution's strategic development plan;
- a definition of the quantifiable aims of the international cooperation activities;
- a description of the general context, to give a clearer insight into the activities for which assistance is requested;
- a description of initiatives to provide and/or obtain additional grants;
- the method planned by the institution in the framework of its European cooperation activities for addressing such European policy issues as the full participation of disadvantaged people.

The analysis of the EPS was undertaken by a group of experts with the help of a detailed form-sheet. Notably, five themes were addressed in the analysis:
- the substance of goals stated and the references to the institutional setting;
- the configuration of goals stated, the coherence with mission, choice of partner institutions, preferences and priorities;
- the activities and priorities envisaged;
- the forms of strategic reasoning, i.e. statements about reasons, opportunities and constraints, conditions for progress;
- the ways in which the EPS and the applications were prepared; i.e. processes and tools in the management of European activities, the consultancy and decision-making processes. the key actors and their role in management and support structures.

For most of the varying sub-themes of these thematic areas, the experts examined whether the theme was addressed, the way it was addressed (with strong emphasis or only mentioned in passing, targeted or vague, etc.), the substance of the text (e.g. which goals were mentioned, and possibly reasons named for pursuing those goals). Additionally, it was suggested to the experts to select interesting formulations for possible quotation.

The form-sheet for the analysis of EPS presented for SOCRATES award from 1998/99 onwards and 1999/2000 differed slightly from the initial form-sheet used in the framework of the previous Eurostrat II project. Some small improvements were implemented on the basis of experiences acquired in the initial study. The following analysis is based on the revised scheme. Where necessary, changes are named in the respective tables and paragraphs.

1.4   Countries and Institutions Participating in SOCRATES

The study is based on 2,053 European Policy Statements altogether:

- 251 submitted by institutions located in Central and Eastern European countries in order to be awarded SOCRATES support from 1998/99 onwards or 1999/2000 onwards;
- 1,802 submitted by Western European institutions of higher education, of which 1,578 had already been submitted for support from 1997/98 onwards (and had thus already been included in the prior study) and of which 224 were submitted as part of the applications for support from 1998/99 onwards or 1999/2000 onwards.

Institutions from five Central and Eastern European countries were eligible for SOCRATES from 1998/99 onwards: Romania, Hungary, the Czech Republic, Poland, and the Slovak Republic. Institutions from five additional countries could submit applications for the first time for SOCRATES support starting in the academic year 1999/2000: Estonia, Latvia, Lithuania, Bulgaria, and Slovenia. Table 1 shows the distribution of EPSs according to these ten countries.

Table 1
SOCRATES Applications Submitted by CEE Institutions for the Academic Years 1998/1999 and 1999/2000 – by Country (in percent and absolute numbers)

Country	%	(n)
Bulgaria	3	(8)
Czech Republic	9	(23)
Estonia	4	(10)
Hungary	18	(45)
Lithuania	6	(16)
Latvia	6	(14)
Poland	31	(79)
Romania	14	(36)
Slovak Republic	6	(15)
Slovenia	2	(5)
Total CEE	100	(251)

In Western European countries, institutions of higher education from all 15 member states of the European Union as well as Iceland, Liechtenstein and Norway were eligible for support in 1997/98. Institutions from Cyprus, which are counted

as part of Western Europe in the context of the analysis, became eligible for the first time in 1998/99. As Table 2 shows, almost half of the Western European institutions of higher education were located in France, Germany and the United Kingdom, and only four percent in Western European countries which are not members of the European Union.

In the subsequent text, the country groups will be named CEE and EU for convenience sake. The reader should bear in mind that Cyprus, Iceland, Liechtenstein, and Norway are included in the latter group even though they do not form part of the EU.

Table 2

SOCRATES Applications Submitted by Western European Institutions for the Academic Years 1997/1998 and 1999/2000 – by Country

(in percent and absolute numbers)

Country	%	(n)
Austria	3	(63)
Belgium	6	(107)
Cyprus	0	(7)
Denmark	6	(108)
Finland	6	(106)
France	22	(390)
Germany	14	(260)
Great Britain	12	(224)
Greece	2	(36)
Iceland	0	(8)
Ireland	2	(33)
Italy	6	(115)
Liechtenstein	0	(2)
Luxembourg	0	(3)
Norway	3	(49)
Portugal	5	(86)
Spain	5	(83)
Sweden	3	(51)
The Netherlands	4	(71)
Total EU	100	(1802)

The 251 institutions of higher education in the Central and Eastern European countries which constituted the focus of this analysis do not form a homogeneous

group by any standards. One could, for example, examine the differences of the EPSs according to individual countries. However, as the number of individual institutions is very small in some countries, we shall not present information which differentiates according to national origins.

Instead we decided to classify the institutions of higher education of all Central and Eastern European countries according to characteristics we consider relevant for cooperation and mobility according to prior studies on the TEMPUS programme and first-hand experiences of experts presented in preparatory meetings of this project. We eventually opted for three groups:

- *Traditional universities*, i.e. institutions with a long tradition and a wide range of disciplines;
- *Specialised university-type institutions*, e.g. technical universities, agricultural universities and medical academies, most of them having already existed for a long period;
- Newly established and regional universities and other institutions of higher education.

2   European Policies

2.1   General Impressions

For all Central and Eastern higher education institutions, participating in the SOCRATES programme constituted their first involvement in a European programme based on free access and competition. The fall of the 'iron curtain' and the political changes since 1989 play a significant role in most of the EPSs in many ways: the new democratic system and its impacts on universities' management structures, the need to participate in European and international activities due to the lack of European cooperation and exchange during the communist regime, the modernisation and transformation of the educational system, the desire to contribute to the country's integration into the European Union, etc. are among the many examples given to describe the political contexts which form the basis of the European Policy Statements. One institution describes this very illustratively:

"The University acts in a changing environment, witnessing and supporting over the last eight years the birth of democratic institutions and the practice of democratic life, the inevitably painful transition from a centralised economy to a market economy. The recent 40 years of severely restrictive academic life (with some forbidden scientific fields, very scarce travel abroad and limited access to foreign scientific literature and equipment) explain to a large extent the university's dramatic need and lasting enthu-

siasm for an active participation in European and international academic life."

This general impression recurs in nearly all EPSs of the Central and Eastern European countries in one aspect or another. In comparing the EPS and the SOCRATES applications formulated in various European countries one should keep in mind these different starting points of Central and Eastern European and Western European higher education institutions.

2.2   Goals and Activities

2.2.1   *The coherence and substance of European and international goals stated in the EPS*

Almost all CEE and EU institutions applying for SOCRATES support stated their major goals with regard to their European and international policy and named a plurality of goals they aimed to pursue.
–   According to the members of the expert team, the statement of goals in the framework of EPS were clear and targeted in the case of almost half of both the Central and Eastern European as well as the Western European institutions of higher education,
–   similarly, more than one third of both the EU and the CEE institutions seemed to have stated their goals in the European Policy Statements quite clearly,
–   and only in about one seventh of the cases the goals were judged to be vague or diffuse.

In most cases, links between the various goals were clearly stated, with the exception of 20 percent of the EPSs of the Central and Eastern European institutions as compared to 10 percent of the EU institutions. In particular, internationalisation was often viewed as closely related to aims concerning curricular reform.

Most of the institutional statements comprised an explanation of the relationships between various internationalisation goals:
–   In 29 percent of the Central and Eastern European EPSs, an elaborate explanation of these relationships was provided, as compared with 24 percent of the Western European institutions;
–   29 percent of the CEE institutions gave some explanation (compared with 40% of the EU institutions), and
–   21 percent of the CEE institutions explained these relationships only in occasional references or not at all, as compared with 14 percent of the Western European institutions.

The goals stated are widely spread (cf. Table 3). Most institutions put nearly the same emphasis on operational goals, such as improvement and increasing student

and staff mobility (49% and 42%), promoting the internationalisation of curricula by various means (45%) as well as on the change and improvement of support measures for cooperation, such as improving learning and teaching measures (46%) or improving recognition and/or implementing the European Credit Transfer System (ECTS) (47%).

Table 3
Major European Goals Stated – by Country Group
(in percent; multiple response possible)

	EU	CEE	Total
Europeanisation/internationalisation	50	33	48
Achievements of teaching/learning related impacts	49	25	46
Achievements of research related impacts	18	12	17
*Quality of Western European Higher Education**	*0*	*25*	*3*
Achievements of other impacts	3	4	3
Student mobility (change of pattern)	61	49	59
Staff mobility (change of pattern)	46	42	46
Internationalisation of curricula (IP, CDA, CDI, EM)	45	45	45
*Internationalisation of research activities**	*0*	*11*	*1*
Other measures	3	6	3
Improving partnership configuration	46	39	45
Improving institutional support	23	22	23
Improving teaching/learning measures	41	46	42
Improving recognition/ECTS	30	47	32
*Improving General level/quality of education**	*4*	*45*	*9*
Other changes/improvements	2	10	3
No answer	2	1	2
Total	422	462	427
Count (n)	(1802)	(251)	(2053)

Question 1.1: What are the major goals?
*Only coded for EPS submitted for support in 1998/99 and 1999/2000.

Central and Eastern European institutions mentioned three European goals which Western institutions had hardly addressed at all:
– Almost half of the CEE institutions (45%) intend to improve the general level and quality of education by means of implementing and improving the existing degree structure (e.g. offering more master programmes and PhD programmes),

by modernising curricula, by improving teaching and learning methods in general, etc.
- Additionally, 25 percent of the CEE higher education institutions mentioned in their presentation of European and international goals that they intend to reach the perceived standard and quality of Western European higher education.
- Finally, eleven percent of all CEE institutions stated that they aim at internationalising their research activities.

Obviously, SOCRATES is expected to serve the improvement of the quality of education in order to be on a par with what is perceived to be the quality of Western European higher education:

"The key-word of the EPS for our SOCRATES/ERASMUS IC is 'Integration by Improved Education and Cooperation' and is directly dependent on the improvement of the infrastructure as well as on material, human resources and facilities, the educational system, students policy, research activity, international relations, etc."

Almost all CEE and EU institutions indicated expected impacts which went beyond operational goals:
- 61 percent of the EPSs of CEE institutions, as compared to almost three quarters of the EPSs of Western European institutions, put an emphasis on *educational impacts*, such as the increase of the European awareness and international knowledge, preparing graduates for the requirements of a European labour market, general improvement of educational achievements and, most importantly, the improvement of the foreign language proficiency. In most EPSs of CEE institutions the development and improvement of foreign language skills is viewed as a prerequisite to achieve European and international goals.
- Two-thirds of both CEE and Western European institutions named European goals in terms of *SOCRATES-related activities*, such as the improvement of student and staff mobility, the implementation of ECTS, and the increase of courses taught in a foreign language, etc.
- One third of the CEE institutions stated what *impacts on society and culture* they expect to achieve with the help of their European policy. As noted above, these aims seem to be highly regarded in the CEE countries. In a substantial proportion of the EPS, reference is made to laws enacted during the 1990s, e.g. "... the university follows the demands of training, and the policy of meeting the standards of European higher education promoted by the Ministry of National Education in Romania". In addition, the wish was frequently expressed that graduates be prepared for the requirements in a new political, social and economical environment to contribute actively to the national transformation process and become multipliers of the 'new knowledge and European awareness'. In

EU institutions the impacts on society and culture expected from European activities were stated less often (28%).

In contrast, fewer EPSs from CEE institutions than from Western European institutions point out a link between European and international goals and policies (49% as compared with 76%). This finding does not come as a surprise, because most of the Central and Eastern European countries developed their cooperation activities in the early 1990s primarily with Western European institutions, often in the framework of the TEMPUS programme.

2.2.2 Continuity and change

In most of the EPSs a need is expressed to serve both continuity and change in the European activities supported by SOCRATES. A detailed analysis, however, shows that the Central and Eastern European institutions of higher education view their involvement more frequently contributing to improvement and change than their Western European counterparts. Actually
- almost three quarters of the CEE institutions put an emphasis on further development and improvement of activities as compared to almost two-thirds of the EU institutions, and
- 61 percent of CEE institutions as compared to less than half of the EU institutions emphasise a substantial change of goals.

In this context, it should be noted that change and improvement is more frequently named by specialised university-level institutions and other higher education institutions than by the traditional multidisciplinary universities in Central and Eastern European countries.

The *areas of development and improvement* most frequently named by CEE institutions of higher education are the following:
- mobility activities such as student mobility (40% compared with 29% at EU institutions) and staff mobility (39% compared with 29% at EU institutions),
- cooperation with partners and in networks (30% compared with 17% at EU institutions),
- educational programmes and curricula (22% compared with 19% at EU institutions) and
- credit transfer and recognition (18% compared with 7% at EU institutions).

It should be noted that traditional multidisciplinary institutions state less frequently than other CEE institutions that they want to embark in or improve open and distance learning (ODL) activities (12% compared with 7%). In contrast, they put a stronger emphasis on administrative and academic support measures (12% compared with 6%).

As Chart 1 shows, *new goals and activities* vary in emphasis by type of institution. The traditional higher education institutions in Central and Eastern Europe are more often eager than other institutions to provide strong support for European activities at the central level of the university, and they aim frequently to become involved in curriculum development activities. In contrast, those institutions classified as 'others' seem to place their emphasis more on the basic activities, i.e. establishing staff and student mobility.

Chart 1
Reference to New Goals and Activities – by Types of CEE Higher Education Institution (in percent, multiple response possible)
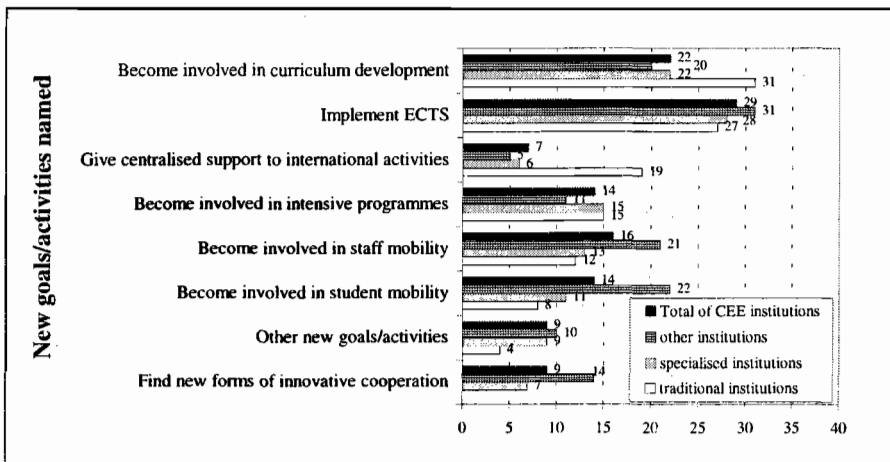
Question 2.3.3: Is there a reference to continuity and change in European/international goals and activities?

2.2.3 Links viewed between European goals and major functions of higher education

Obviously, given the focus of the SOCRATES programme on teaching and learning, almost all institutions of higher education mention, in their EPSs, ways in which their European policy should contribute to teaching and learning. It is more noteworthy that almost two-thirds of the CEE institutions (65% as compared to 43% of the Western European institutions) emphasise research-related goals in their EPSs, even though SOCRATES does not comprise support for research activities. In contrast, only 36 percent of the CEE institutions (as compared to 60% of the Western European institutions) want to improve their service functions with the help of European and international activities.

Chart 2
Reference Made in EPS to Goals Related to Main Functions of Higher Education – by Country Group (in percent)
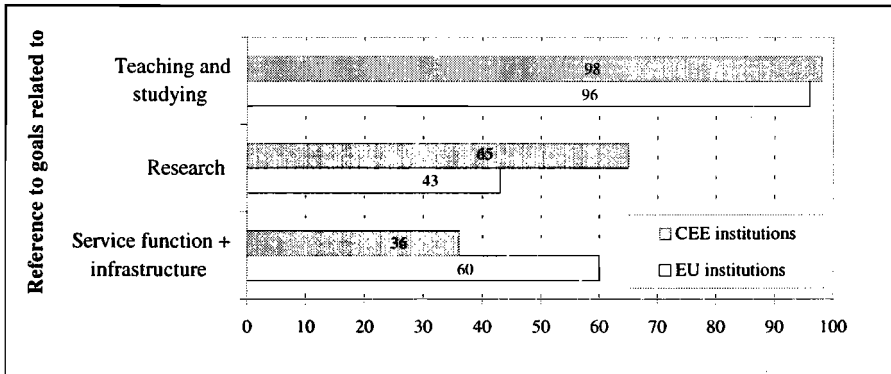
Question 1.7: Which goals related to teaching and studying are emphasised?
Question 1.8: Which goals related to research are emphasised?
Question 1.9: Which goals related to services and other tasks are emphasised?

The institutions of higher education address a wider range of functions which should be fostered through the SOCRATES programme and related higher education policies. Notably, the European policies are expected to contribute to the academic excellence of the institutions and to the training of qualified graduates. In this context, we note substantial differences between institutions of higher education of CEE and Western European countries.

– The improved training of graduates (86%) and the academic enhancement (80%) was strongly underscored by the CEE institutions (compared with 59% and 74% of the Western European institutions).

– In contrast, the CEE institutions strive to a lesser extent for regional cooperation (21% compared with 46%), for an increased cooperation with industry (21% compared with 41%) or for an improvement of the service functions of the institution (34% compared with 16% of the Western European institutions) with the help of European policies; they also aim less frequently at strengthening their leadership role by means of a European and international policy (10% in comparison to 21% of the Western European institutions).

Even though most CEE institutions focus more strongly on the enhancement of the academic dimension in their European Policy Statements we can observe differences regarding the main functions emphasised in the EPSs by type of institution (cf. Table 4). Traditional CEE higher education institutions aimed more often – compared with the average of CEE institutions – at enhancing regional cooperation

(35%), institutional leadership (23%) and the service functions of the institution (23%).

Table 4
Wider Functions of Higher Education Emphasised – by Types of CEE Higher Education Institutions* (in percent; multiple response possible)

| | Types of institutions | | | |
	Traditional	Specialised	Others	Total
Academic enhancement/excellence	96	83	71	80
Training of graduates	85	87	84	86
Cooperation with industry	19	22	20	21
Institutional leadership	23	12	2	10
Regional cooperation	35	16	24	21
Other functions	27	20	36	26
No answer	0	3	8	4
Total	285	243	245	247
Count (n)	(26)	(138)	(87)	(251)

Question 1.5.3: **Which functions of higher education are addressed in goal statement?**
(multiple response possible)
* Explanation see chapter 1.3

2.2.4   Teaching- and learning-related goals

As the SOCRATES programme promotes cooperation and mobility in order to strengthen the European dimension and to promote experience in other European countries in the framework of curriculum development, teaching and learning, a closer look at the teaching- and learning-related goals is appropriate.

As one might expect from the previous findings, many Central and Eastern European institutions emphasise the aim of improving the teaching and learning quality by means of European and international cooperation and related activities as a major teaching-related goal. Actually, 69 percent of the CEE name this goal as compared to 51 percent of the Western European institutions.

The slogan "integration by improved education and cooperation" illustrates this priority in the process of adaptation, transformation, modernisation and Europeanisation of Central and Eastern higher education institutions. This approach is illustrated in the following example:

"Following the provisions of the EU educational policy, the University of L. intends to improve its educational activities by learning from the EU partners the good educational expertise and making the best use of the diversity of education systems in Europe. The international feedback coming from student and staff mobility is vital for upgrading the quality of education ..."

The CEE institutions also emphasise the aim of improving foreign language proficiency with the help of their European policy somewhat more strongly than their Western European counterparts (55% as compared to 48%).

"To achieve goals on the international forum it is necessary to develop and maintain foreign language skills."

In this context, the CEE institutions do not only refer to the foreign language proficiency of students, they also intend to support the improvement of their staff's and some of their administrators' foreign language proficiency.

While stressing the educational and linguistic goals of SOCRATES more strongly than their Western counterparts, the Central and Eastern European institutions put less emphasis on the cultural and professional goals. The awareness of other cultures is named only by 27 percent of the CEE institutions as compared to 58 percent of the Western European institutions. The aim of preparing for the world of work is stated by 38 percent and 60 percent respectively.

The different types of institutions in Central and Eastern European countries vary significantly with respect to the academic goals which they associate with SOCRATES support of teaching and learning. The traditional multidisciplinary institutions underscore strongly the value of general academic education (cf. Chart 3), whereas the specialised and the other institutions emphasise the value of specialised academic education. The traditional multidisciplinary institutions also mention the aim of improving the teaching quality with the help of SOCRATES. It is certainly more surprising to note that the types of institutions do not differ in the value they place on the cultural and professional function of SOCRATES.

Chart 3
Types of Teaching- and Learning-Related Goals Stated – by Types of CEE Higher Education Institutions* (in percent; multiple response possible)
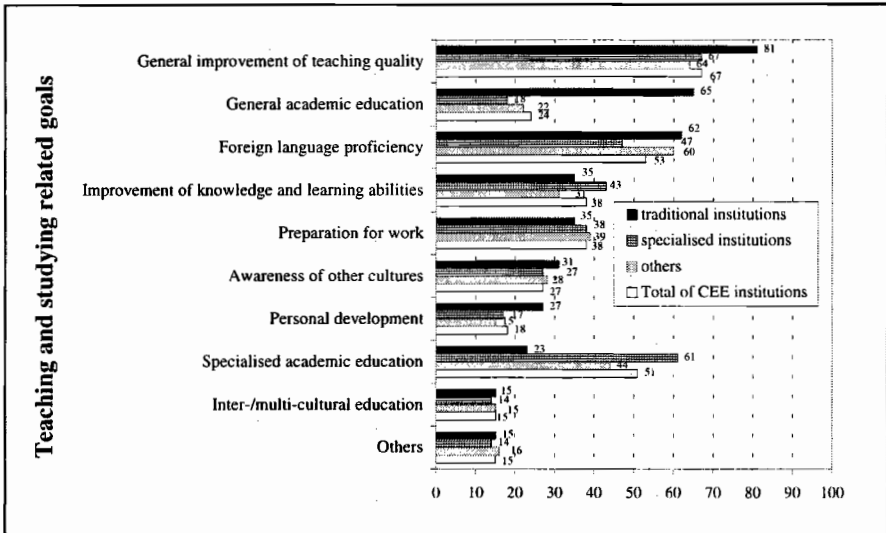
Question 1.7.3: Which goals related to teaching and studying are emphasised? (multiple response possible) ?
* Explanation see chapter 2.1.

2.2.5 *The institutional context and its relationship to European/international goals*

The institutional setting plays a significant role for the European policies in almost all CEE institutions applying for SOCRATES support, as it also was noted for Western European higher education institutions. For example, more than three quarters both of CEE (78%) and Western European institutions (79%) stated that the already existing partnerships were crucial for their European policy options. They vary only regarding the context in which prior contacts were established. The CEE institutions often refer in their SOCRATES application to their partnerships and cooperation agreements built up in the framework of the TEMPUS programme. TEMPUS plays a significant role in the institutional setting and was often described as essential for European cooperation activities and the European policy of the CEE institutions.

For example, a Czech institution points out that
> "the experiences and knowledge gained in TEMPUS will be a vital contribution for the successful management of the ERASMUS agenda".

Or a Polish institution argues:
> "In the first seven years after Poland had re-entered Europe, TEMPUS being an assistance programme, created the background for joining the SOCRATES programme, based on cooperation rather than on financial aid."

Almost a quarter of all CEE institutions applying for SOCRATES support stated in their EPSs that the participation and the experiences acquired in other educational programmes (24%) and that the membership in European or international networks and organisations (24%) play an important role for their European policy. A similar proportion of institutions considers the availability of foreign language training provisions as instrumental for their policies.

In some respect, the weight of contextual factors vary between CEE and Western European institutions.

– Central and Eastern European institutions often state that their own specialisation and their own reputation (each 36%) were instrumental to their European policy. In contrast, these factors were pointed to by only eleven percent and 24 percent of the Western European institutions.
– In contrast, CEE institutions less often saw their European and international course provision (7%) as important as Western European institutions (18%).
– Infrastructure and support services were regarded as slightly more important by CEE institutions (26%) than by Western European institutions (20%).

CEE institutions differed in their responses according to institutional type (cf. Table 5):

– Traditional, multi-disciplinary universities often state that – apart from the existing partnerships – their own reputation (58%), their infrastructure and support services (38%), their international student population (35%), their internationalised curricula (23%) and their foreign language provision (19%) were at the heart of their European policies.
– For specialised university-type institutions the reputation (43%) and specialisation (45%) also play a significant role in the formulation of the European policies. While the infrastructure and support services play an important role (20%) they put least emphasis on the foreign language provision (9%).

– Finally the other institutions of higher education indicated that – apart from their existing partnerships and their own specialisation (37%) – their foreign language provision (20%) were instrumental to their European policy. In contrast to the traditional and specialised institutions they often pointed out (11%) that their provision of innovative European or international specialisation is an essential element of their European policy.

Table 5
Role Played by Institutional Setting in European Policy – by Types of CEE Higher Education Institutions* (in percent; multiple response possible)

	Types of Institutions			
	Traditional	Specialised	Others	Total
Existing partnerships	92	78	74	78
Own reputation	58	43	17	36
Own specialisation	8	45	37	38
International student population	35	15	6	14
International staff	19	12	14	13
Internationalised curricula	23	12	11	13
Offer of innovative European/ international specialisation	4	4	11	7
Offer of great diversity of foreign languages	19	9	20	14
Infrastructure and support services	38	20	14	20
Lack of/marginal European activities	0	6	7	6
Other elements	62	58	57	58
No answer	4	5	7	6
Total	362	307	275	301
Count (n)	(26)	(138)	(87)	(251)

Question 1.6.3: What elements of the institutional setting/environment play a role in the European policy?
* Explanation see chapter 2.1.

2.2.6   General institutional goals

Nearly two-thirds of all CEE and Western European institutions of higher education applying for SOCRATES funds stated their general goals in their EPSs. In some cases, the statement of such general goals may have been formulated especially for that purpose, in others they were referred as being part of an already existing formal statement (e.g. "mission statements"). Interestingly, the statements of the CEE institutions were more often rated by our experts as clear in form and almost equally often in substance than the statements of the Western European

institutions (75% compared to 58% or 61% respectively). Some of the CEE institutions refer to explicit 'missions' such as a Romanian institution which is

"... officially committed to become a 'gateway' to the community and for the community by promoting the lofty ideas and ideals of peace, cooperation, tolerance and by opening treasures of human knowledge to both students and non-academics."

In some statements one can also find references to institutional development plans. In others the general institutional goals are merely enumerated. Examples include goals such as diversifying the types and levels of courses, getting university rights within the next years, enhancing skills of academic staff, preparing students for a common European market, etc. In general, a substantial number of CEE institutions refer to their strategic development plans which state internationalisation or Europeanisation as a main priority for future development. Furthermore, some institutions refer to the links between their development plans and the European policies of their governments, as the following examples illustrate:

"The university's policy also takes into consideration the objectives and trends of national government in the gradual integration of ... (name of the country) into Europe."

"In the general context of European integration, the University (...) has focussed on supporting this process as its main goal. It has devised an original strategy in this direction, which is in concordance with the ... (name of the country) strategy of European integration."

The major goals mentioned vary between the CEE and Western European countries in various respects:

- As one might expect, both CEE and Western European institutions indicated that providing a high quality of education and professional training is one of the most important mission goals of the institution, with the former pointing to this emphasis less frequently than the latter (27% as compared to 38%).
- In their mission and declaration of general goals, the CEE institutions mentioned more rarely the aim of preparing students for a global labour market and future careers (26% compared with 17% of the CEE institutions).
- CEE institutions also stressed less frequently the maintenance or enhancement of their institutional leadership as a major goal.
- In contrast, CEE institutions emphasised more strongly the challenges of Europe (23% compared to 15% of the EU institutions) and to foster excellence and creativity in research (21% compared to 13%).

Almost three quarters (73%) of the traditional, multidisciplinary CEE higher education institutions stated explicitly their institutional mission or goals as compared

to almost two-thirds of the specialised institutions (63%) and of the other institutions (66%). In this context, it should be noted that multidisciplinary institutions emphasised over-proportionally in their European Policy Statement

- the challenge of Europe (42%),
- the strengthening of the role of the institutional leadership (38%),
- the development of a European profile of all faculties (27%), and
- the promotion of excellence and creativity in research (27%).

Both CEE and Western European institutions demonstrate in their EPSs that internationalisation is an integral part of their institutional policy, with the CEE institutions placing a stronger emphasis on their general institutional goals or mission in their EPS (45% of the former as compared to 29% of the latter).

A high extent of coherence between European goals and the general goals ("missions") of the institution could be noticed in more than half (57%) of the CEE European Policy Statements (almost as often as among Western European institutions). According to the experts examining the EPSs, the European and international dimension was viewed as absolutely central to the general institutional goals for a larger proportion of Central and Eastern European institutions of higher education than of Western European institutions.

A Hungarian case exemplifies such a close link between general goals and European goals:

"The strategic goal of the College is to become a university within a few years. In order to reach this goal it is very important to gain more experiences in cooperation with higher education institutions in EU countries. The strategic plan includes the opening of MSc courses in some of the engineering areas, as well as in Information Technology. The international cooperation programs would contribute to the development of curricula of the new masters courses. Therefore the subject areas of the planned cooperations mostly coincide with the subject areas of the planned masters courses."

2.2.7   Institutional impacts

The information provided in the European Policy Statements suggests that Europeanisation does not only rank highly among the goals stated but also plays a significant role for the activities of the institutions of higher education. A higher proportion of the CEE institutions (87%) than of the Western European institutions (71%) indicates in their EPS that European and international activities contribute to defining their institutional profile. Accordingly, a higher proportion of CEE institutions expressed their belief that European and international activities will help enhancing their profile (47% as compared to 36%).

Central and Eastern European institutions name many domains in which they consider the European and international activities as being instrumental for their institutional profile: not only regarding the change of the institutional profile as a whole (73% as compared to 55% among the EU institutions (cf. Chart 4), but also regarding enhancement or change in the profile of specific subject areas (25% as compared to 7%) and personnel decisions (17% as compared to 6%).

Chart 4
Proportion of Institutions Stating Changes in their Institutional Profile through European/International Activities – by Country Group
(in percent; multiple response possible)

Elements of institutional profile

Change in institutional profile as a whole	73 / 55
Change in resource allocation	43 / 28
Change in policy decisions	39 / 37
Change in profile of specific subject areas	25 / 7
Change in personnel decisions	17 / 6
Changes in other areas of strategic decisions	9 / 1
Change in decisions related to access	11
No answer	13 / 35

□ CEE institutions
□ EU institutions
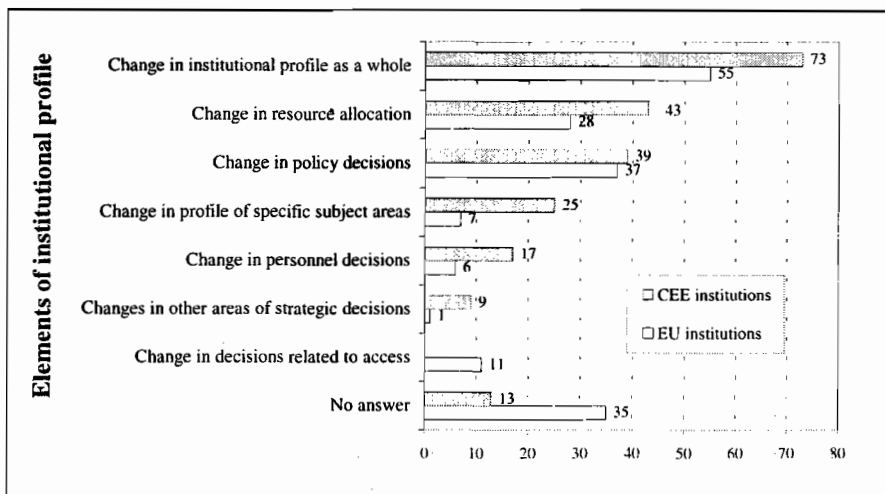
Question 6.3.3: To what extent are European/international activities seen as an instrument to change the profile of the institution?

2.2.8   *Activities and their consistency with goals*

In most European Policy Statements specific SOCRATES activities were mentioned to underscore or exemplify the European policy of the institution. According to the expert ratings, Western European institutions used concrete references to SOCRATES supported-activities in order to explain their policies somewhat more frequently and in a more targeted manner. At 56 percent of the Western European and 47 percent of the Central and Eastern European institutions a very targeted reference to the areas of support was made in order to explain the policy.

It is difficult to interpret this finding since, in some cases, a strong reference to the SOCRATES-related activities might indicate a clear relationship between goals and means, whereas in other cases such references may merely amount to a very operational definition of goals. Moreover, the following findings suggest that those institutions which are involved in a broad range of activities are more inclined to state the relationships between European policy goals and SOCRATES-supported activities.

Chart 5
Policy Relevant SOCRATES Activities* – by Country Group
(in percent; multiple response possible)
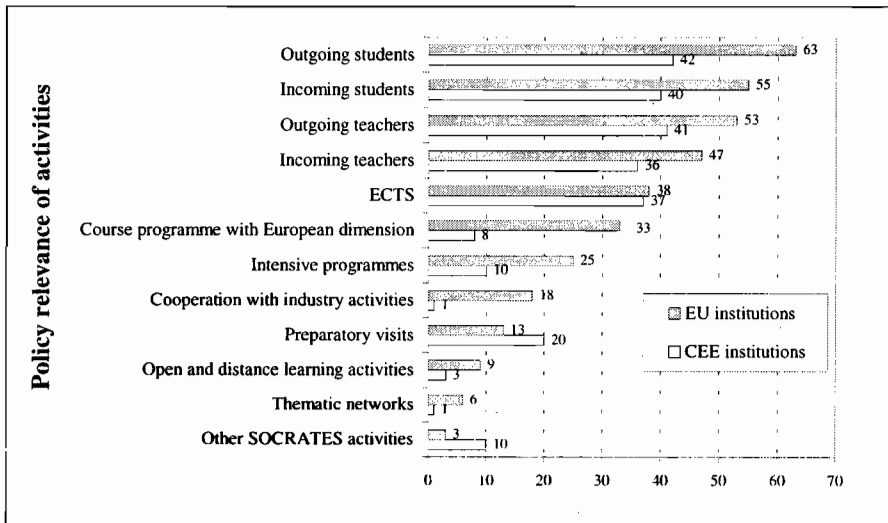
Question 10.3.3a: **Which SOCRATES programme** activities serve to underscore or exemplify the European policy/strategy?

* Rated with 1 on a scale from 1 = high to 3 = low

As Chart 5 shows, **Central and Eastern European** institutions of higher education refer to almost all types of SOCRATES-supported activities less frequently when explaining their policy than Western European institutions do. Notably activities serving cooperation with industry (1% as compared to 18%), course programmes with an European dimension (8% as compared to 33%) and intensive programmes (10% as compared to 25%) are referred to relatively seldom in this context. Only preparatory visits (20% as compared to 13%) are more often referred to by CEE institutions, and reference to ECTS is made by CEE institutions more or less as often as by Western European institutions (37% as compared to 38%).

When asked what changes of activities they envisage, the CEE institutions envisage growth patterns less frequently than the Western European institutions. For example,

- 60 percent of the CEE institutions want to increase the number of outgoing students in comparison to 74 percent of the Western European institutions;
- 57 percent of the CEE institutions as compared to 69 percent of the Western European institutions intend to increase the number of outgoing teachers;
- 58 percent of the CEE institutions as compared to 69 percent of the Western European institutions want to increase the number of incoming students and 53 percent as compared to 62 percent the number of the incoming teachers; finally,
- the expansion or implementation of ECTS is envisaged in 52 percent of the CEE institutions as compared with 59 percent of the Western European institutions.

Altogether, the Central and Eastern European institutions of higher education are just starting their SOCRATES activities and, for the near future, also expect them to remain on a smaller range than customary for Western European institutions. Notably, they emphasise the traditional mobility-related ERASMUS activities, i.e. both students and teaching staff mobility in conjunction with preparatory visits and ECTS. Many of them are envisaging a "step by step" implementation of SOCRATES activities. Initial teaching staff mobility and preparatory visits are often expected to help find new partners and intensify cooperation activities with old partners in order to prepare new cooperation activities, especially intensive programmes and curriculum development as well as assistance in the implementation of ECTS. This step by step implementation of SOCRATES activities is described in the following example of a Polish institution:

"In the first year the activities will focus on the introduction of new thinking among the faculties. Preparatory visits will be aimed at facilitation of student exchange and introduction of ECTS and QA procedures. (...) Our academic teachers will be lecturing abroad and collecting expertise in international standards of curricula and credit system practice."

The step by step implementation of SOCRATES activities is also expected to increase the focus on improving the conditions and especially the recognition procedures for incoming students in order to achieve a more balanced flow of incoming and outgoing students. Ten percent of the CEE institutions intend to increase the proportion of courses taught in a foreign language to attract more foreign students at their institutions in order to come closer to a reciprocity of exchange.

Frequently, teaching staff mobility is highly appreciated by CEE institutions and described as a basis to internationalise the institution and as having an important multiplier effect for the institution. This should serve to pass on European

experiences to those students who cannot go abroad as well as to consolidate new cooperation links necessary for the whole institution.

Central and Eastern European institutions of higher education refer more often in their European Policy Statements to links between SOCRATES and other European and international activities than Western European institutions (61% as compared to 48%).

Actually,

- 58 percent (as compared to 54%) named other students and staff exchanges;
- more than half (compared to 41%) mentioned links with other educational programmes in general;
- almost half (compared to 21%) addressed links with research activities, and
- 44 percent (compared to 17%) pointed out a link with other curricular development activities.

Altogether, CEE institutions referred frequently in this context to programmes targeting especially the Central and Eastern European countries:

- 90 percent named TEMPUS activities and 18 percent PHARE activities in general,
- 35 percent mentioned activities in the Framework Programme for Research and Technological Development, and
- 15 percent activities in the framework of CEEPUS.

The frequent cross-reference to other European programmes on the part of the CEE institutions may be explained primarily by the fact that the TEMPUS programme which targets CEE countries and provides support in many areas which are eligible for SOCRATES support. It should be added that CEE institutions mention links between teaching-related and research-related activities more often than the Western European institutions. The latter seem to be more aware of the European Commission's clear separation of support for teaching and research.

2.3   Institutional Strategies and Commitment to European Goals

The SOCRATES approach of underscoring European policies, a contracting relationship and a strong responsibility of the institution as a whole is obviously meant to reinforce the strategic thinking of the higher education institutions with regard to their European and international policies. Actually, Chart 6 shows that Central and Eastern European institutions expose a high degree of strategic reasoning in their European Policy Statements.

- Almost all CEE institutions as compared with almost three fourths of the EU institutions applying for SOCRATES support indicated reasons to pursue the goals stated in the EPS.

– Reflections about opportunities and constraints were stated by 56 percent of the CEE institutions as compared to 45 percent of the Western European institutions.
– Only conditions and considerations necessary to achieve progress and further development of European and international activities were named slightly less frequently by CEE institutions (31% as compared to 35% of the Western European institutions).

Chart 6
Elements of Strategic Thinking Indicated – by Country Group (in percent)
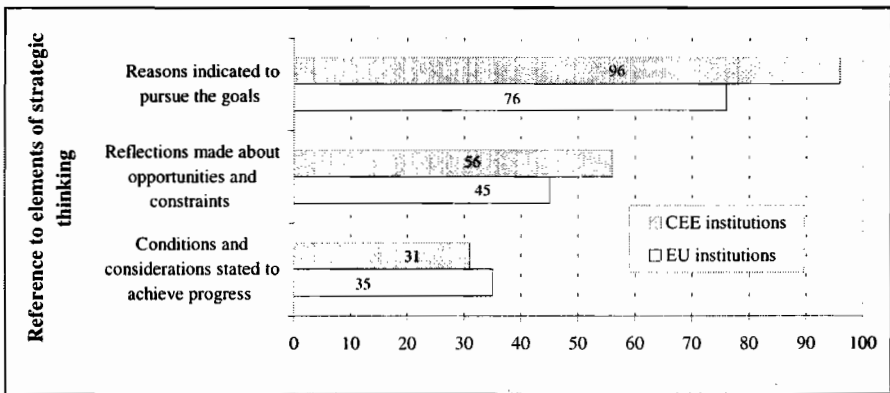
Question 5.1: What are the reasons indicated to pursue the goals contained in EPS?
Question 5.2: Is there a statement concerning conditions related to opportunities and constraints which became relevant for management and policies chosen?
Question 5.4: Are there conditions and considerations indicated necessary to achieve progress and further development of EU/internat. activities?

2.3.1 Strategic reasoning

Three fourths of all Central and Eastern European institutions of higher education want to improve their teaching and learning functions with regard to European and international activities, and 61 percent see a need to emphasise the European and international dimension of teaching and learning (cf. Chart 7). These figures are not surprising when we take into account the major goals stated in the EPS of CEE institutions. Reaching the standard and quality of European higher education (teaching methods, multimedia, curricula, degrees, etc.) seems to be the most important target. This is viewed as indispensable in order to become an equal part of the European academic community. In this context, some EPSs emphasise European educational diversity and national characteristics while others express a de-

sire to harmonise education in Europe. Yet others try to describe diversity and homogenisation as compatible goals, as the following quotation shows:

"Within the processes of democratisation it is especially important to support the autonomy of the education system continuously and step-by-step the harmonisation of Western, Central and Eastern educational systems without betraying Central and Eastern history, culture and education."

More than a third of CEE institutions hope to profit from the Europeanisation in terms of wider spin-offs. In this respect most institutions desire impacts on staff qualifications, especially with regard to their foreign language proficiency. Further, they hope that SOCRATES will contribute to increased research cooperation and opportunities for their staff to publish internationally. The aim of developing and enhancing the European and international profile of the institution in general was stated by almost one quarter of the CEE institutions as a reason to pursue European goals.

Chart 7
Reasons to Pursue European/International Goals – by Types of Institutions
(in percent; multiple response possible)
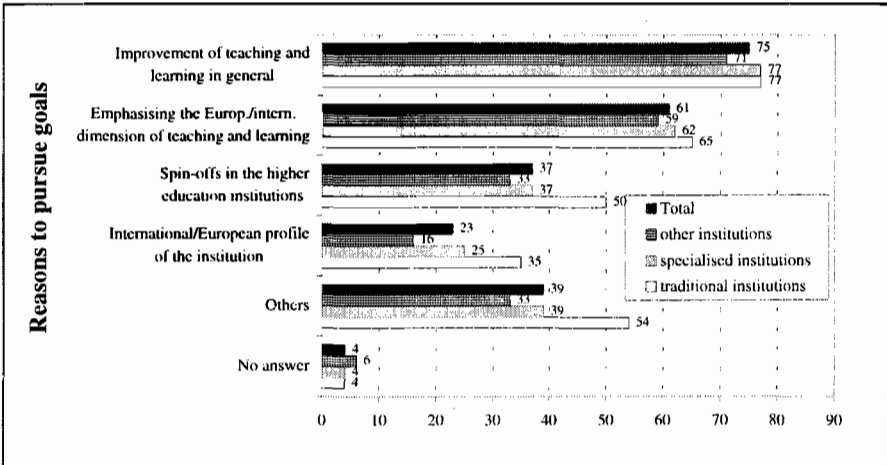
Question: 5.1.3: What are the reasons indicated to pursue the goals contained in the EPS?

2.3.2 *Opportunities and constraints*

As already stated, Central and Eastern European institutions reflected the opportunities and constraints which conditioned their European Policy Statements more often than their Western European counterparts. The following tables also shows

that Central and Eastern European institutions mention opportunities much more frequently than constraints. Among all CEE EPSs which refer to opportunities and constraints, 91 percent underscore opportunities, while only 41 percent name constraints. In contrast, 73 percent of the Western European institutions addressing opportunities and constraints actually name constraints.

Table 6
Opportunities Stated With Regard to European/International Policies and Management Chosen – by Country Group
(in percent; multiple response possible)

Opportunities stated in terms of	EU	CEE
Financial resources	8	8
Legal/regulatory framework	4	6
Academic environment/attitudes	11	8
Organisational/managerial conditions	10	10
SOCRATES programme itself	7	39
Other opportunities	6	13
No answer	72	50
Total	120	118
(n)	(1802)	(251)

Question 5.2.3a: Is there a statement concerning conditions related to opportunities and constraints which became relevant for management and policies chosen?

The most noteworthy difference expressed EU and CEE institutions with regard to opportunities and constraints stated in the EPSs appears to be simple enough. Many Central and Eastern European institutions consider the possibility as such to participate in the SOCRATES programme as an opportunity. While only seven percent of the EU institutions mentioned the SOCRATES programme per se as an opportunity which is of relevance for the definition of their European policies, 39 percent of the CEE institutions did so (cf. Table 6). One Polish institution describes illustratively the value it associates with participating in SOCRATES:

"The SOCRATES-ERASMUS programme may serve as a very convenient way to introduce, into our educational activity, reforms which are indispensable to adjust this activity to European standards. It provides us with an organised framework for an international system of educational contacts. The funds hopefully received within the programme will definitely enhance the necessary reforms. We hope to benefit from ERASMUS development-oriented and flexible design, and after the first year of

gaining the necessary experience, we will aim at expanding our international activity."

On the other hand, financial conditions constituted the most significant constraints with regard to European policies chosen in CEE and EU institutions (cf. Table 7). The CEE institutions often mention their limited general budget and the low salaries of academic staff as compared with staff in industry in particular.

Table 7
Constraints Stated With Regard to European/International Policies and Management Chosen – by Country Group (in percent; multiple response possible)

Opportunities stated in terms of	EU	CEE
Financial resources	10	14
Legal/regulatory framework	4	2
Academic environment/attitudes	8	3
Organisational/managerial conditions	5	6
Other constraints	3	9
No answer	79	77
Total	109	112
(n)	(1802)	(251)

Question 5.2.3a: Is there a statement concerning conditions related to opportunities and constraints which became relevant for management and policies chosen?

Only a few CEE institutions made less pessimistic statements as regards the financial conditions as exemplified by the following quotation:

"The staff is internationally oriented, we have very good connections to the veterinary institutions around Europe. (...) Regaining the autonomy of the university after the political changes several young talented and enthusiastic graduates were attracted by the university. The self-commitment and enthusiasm of these young, open-minded, Europe-oriented assistants together with the university professors made it possible to survive the financial restrictions of the recent years."

2.3.3 Further progress and institutional commitment

Nearly the same proportion of all Central and Eastern European institutions of higher education (31%) as of Western European institutions (35%) indicate conditions necessary to achieve progress and further development in European and international activities. However, a higher proportion of CEE institutions mentions

concrete conditions and aims for improvement. Actually, 60 percent (compared to 33% of the Western European institutions) express a desire to improve their financial resources, and 45 percent (compared to 38%) want to improve their organisational and managerial conditions and resources. Fund-raising to increase mobility grants seems to be the most important strategic goal for numerous CEE institutions. These findings confirm the results of the site visits where budgetary questions were described as "stumbling blocks" for many cooperation activities, especially at CEE institutions.

Chart 8

Expression of Commitment of the Institution to European and International Activities – by Country Group (in percent; multiple response possible)
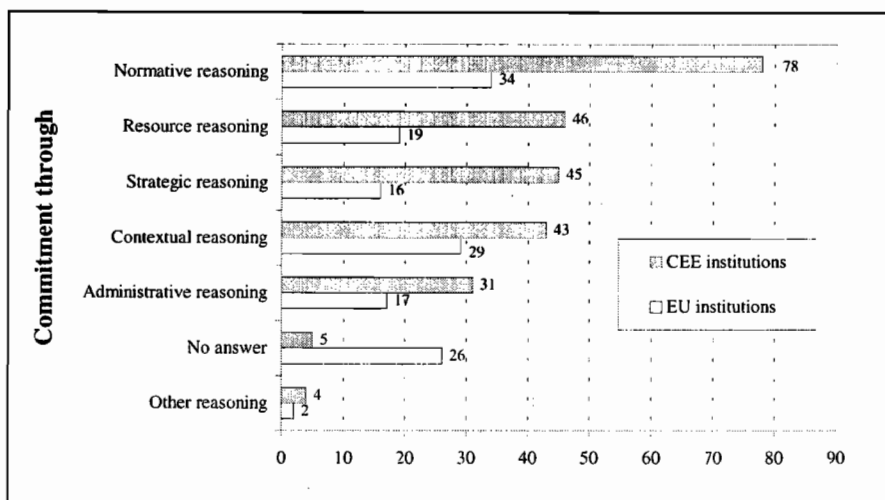
Question: 6.1.3: Is there a reference to the commitment of the institution to European/international activities?

Almost all CEE institutions (95%) and more than three quarters of the EU institutions (79%) expressed their commitment to European and international goals and activities in the EPS. According to the expert rating, 47 percent of the CEE institutions and 38 percent of the Western institutions were strongly committed to their European goals. In reverse, only seven percent of the CEE institutions as compared to 19 percent of the Western European institutions expressed a weak commitment.

The Central and Eastern institutions of higher education explained their commitment to European and international activities as a rule in a substantially more elaborate manner than the Western European institutions. This holds true for all

different modes of reasoning identified (cf. Chart 8). This again underscores the crucial role many CEE institutions attribute to their involvement in SOCRATES in order to be an internationally accepted institution.

This does not mean, however, that the strategic thinking of the CEE institutions of higher education expressed in the EPS is more elaborate or refined than that of Western European institutions. Actually, the experts participating in this study rated the overall strategic thinking in policy and management of European activities on the part of CEE institutions as strong less frequently than on the part of Western European institutions (38% as compared to 43%).

3   Management of SOCRATES-Supported Activities

One of the objectives of the new SOCRATES approach consisted in strengthening centralised processes and structures of management and administration of international activities. Therefore, it would be interesting to analyse the actual change which occurred in this respect. Not surprisingly, though, the European Policy Statements provide only limited information about management and decision-making processes with regard to international activities.

Altogether, CEE institutions provide less information about the processes of decision-making and management of SOCRATES-related activities.

– Only about half of the CEE institutions refer to international offices or other units in charge of regular services for European activities in this context (as compared to about two-thirds of the Western European institutions).
– 41 percent of the CEE institutions (as compared to 53% of Western European institutions) made a reference to special committees or key actors regularly responsible for European and international activities in their institution.
– Only nine percent of the CEE institutions and 18 percent of the Western European institutions addressed the process of consultation and decision-making which had been undertaken to formulate the EPS and to prepare the SOCRATES application.

Of those institutions which referred in their EPS to special committees and key actors regularly responsible for European and international activities

– 58 percent of the CEE and 61 percent of the Western institutions stated that the responsibilities for European/international activities were more centralised;
– only six percent of the CEE but 30 percent of the EU institutions stated that responsibilities were more decentralised, and
– 24 percent of the CEE institutions stated that there was a division of responsibilities between decision-making on the one hand and coordination of activities on the other hand (compared to 8% of the EU institutions).

In pointing out the units or persons in charge of carrying through the major SOC-RATES-related EPS, CEE institutions referred slightly more often than Western European institutions (26% as compared to 20%) to a central international office as being responsible for European and international activities. 29 percent of the CEE institutions named other offices or individuals responsible for European and international activities (compared to 6% of the Western European institutions); the former notably named other individuals (15%), programme coordinators on faculty level and coordinators for international activities on central level (each 12%).

Altogether, the experts analysing the European Policy Statements came to the conclusion that European activities are less often managed dominantly either on the central level or in de-central units of the higher education institution. The management of European and international activities was viewed as centrally organised only at 36 percent of the Central and Eastern European institutions as compared to 56 percent of the Western European institutions. Similarly, a clearly de-centralised pattern was identified for six percent of the CEE and 23 percent of the Western European institutions. In contrast, the EPS from Central and Eastern European institutions provided frequently too little information on the management process to allow for any rating. In 39 percent of the CEE cases (as compared to 2% of the EU cases) no rating was possible.

4   Concluding Observations

The universities and other institutions of higher education in Central and Eastern European countries seem to be more strongly in favour of an explicit European policy than their Western European counterparts, and underscore more strongly that the centre of the institution should play a major role in this respect. This finding is surprising at first glance because, altogether, the CEE institutions of higher education seem to be less inclined to put an emphasis on strategic goals and are more de-centralised on average than higher education institutions in Western Europe. Three factors which came to the fore in the analysis of the European Policy Statements but also in the interviews during the site visits might help explain this finding. First, the departmental basis for student exchange was less developed in the CEE countries, because TEMPUS and similar exchange activities included a smaller number of departments than the ERASMUS programme in Western Europe. Second, a considerable proportion of rectors in CEE countries regarded SOCRATES as an opportunity to strengthen the traditionally weak role of the centre of the university. Third, given the conditions of socio-economic transition, SOCRATES was more often viewed in CEE countries as crucial for the reputation of the institution than in the Western European countries.

The goals which institutions pursue through participation in SOCRATES seem to be very broadly defined, both in Central and European countries and in Western European countries. However, CEE countries put a much stronger emphasis on the academic dimension. Most importantly, participation in SOCRATES was hoped to pave the way towards an acceptance on equal terms by their partners in the West. Also, the widespread promotion of the European Credit Transfer System (ECTS) as a tool for calculating and documenting study achievements was clearly reinforced by the hope that this formal mechanism could be a magic tool for recognition.

The Central and Eastern European institutions of higher education emphasise links between SOCRATES and other EU programmes more often than their EU and other Western European counterparts. This can be attributed to the fact that, for the former, SOCRATES is directly associated with the TEMPUS programme. Moreover, CEE institutions of higher education more often state that they have established links between educational and research programmes.

The Central and Eastern European institutions of higher education provide less information in the EPS on the managerial processes related to SOCRATES than the Western European institutions. All of the available information suggests that fewer CEE institutions strive for managerial changes in order to establish and implement European strategies. However, when CEE institutions did mention changes of managerial structures, these generally had a centralising effect.

Among the activities for which SOCRATES support can be provided, student exchange is even more in the forefront in Central and Eastern European countries than in Western Europe. The European Policy Statements suggest that student mobility is viewed as an entrée into European cooperation. CEE institutions see a greater need to extend preparatory visits, notably in order to improve contacts which could serve to increase student exchange. In contrast, fewer CEE institutions of higher education want to be involved in SOCRATES activities aimed at stimulating educational innovation. As far as explanations are provided, they suggest that this in not a reservation in principle against such activities. Rather, the establishment of student exchange is viewed as being a natural first step on the way to establishing cooperation which eventually might be broadened.

Last but not least, institutions of higher education in Central and European countries are reluctant to embark in a broad range of SOCRATES-related activities, e.g. curricular innovation or staff exchange, because of financial constraints. As was often expressed during the site visits, they see few opportunities of providing additional resources themselves and often criticise their governments for not providing additional support, as well as the EU for some of its bureaucratic procedures, notably the late provision of funds, which often act as a barrier against an increase of activities.

Clearly, this analysis took place at the very beginning of the involvement of Central and Eastern European institutions of higher education in SOCRATES. The role which SOCRATES might play for Central and Eastern European institutions of higher education will become more clearly discernible in the next few years. However, it is clear enough already now that both the fact that significantly less substantial aid was provided through SOCRATES than was customary in TEMPUS, and the increased opportunities of cooperating with Western European institutions of higher education on equal terms, posed important new challenges for higher education institutions in Central and Eastern Europe.

3

Implementing European Strategies in Universities: The Socrates Experience

Andris Barblan
Ulrich Teichler

1 Introduction

1.1 The Socrates Approach

Cooperation between higher education institutions in Europe has grown substantially in the 1980s and 1990s, making out of international mobility a normal option for students and staff alike. The ERASMUS Programme coordinated by the European Commission, which was launched in 1987 after a decade of successful experimentation, did not merely reflect this evolution. It triggered its development by turning cooperation and mobility from exceptional phenomena into a regular feature of the higher education landscape in Europe.

When SOCRATES was launched in 1995, the European Union was hoping to achieve a new stage of international exchange. SOCRATES was not only to bring together various educational programmes under a single administrative roof – that pertaining to higher education remaining known as ERASMUS -, but it also aimed to encourage European and international activities in higher education to move from the institution's "periphery" to its hard "core", i.e. to transform the sectorial focus on "external relations" into a policy encompassing the whole institution from students (mobile and non-mobile) to curricula.[1]

By turning *ad hoc* European activities into an institutional transversal interest, the European Union was proposing a shift of emphasis with substantive consequences for externally funded activities. Although the focus of primary attention

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[1] U. Teichler, *Internationalisation as a Challenge for Higher Education in Europe*, Tertiary Education and Management, vol. 5, no. 1, 1999, pp. 5-23.

was to remain student mobility, a holistic view of international linkages implied an extension of support to other activities: thus, teaching staff exchange, while paving the way to the mobility of people, was also expected to play a crucial role in strengthening the European experience of non-mobile students. i.e., the mobility of ideas. To structure intellectual collaboration, various measures stimulating curricular innovation were reinforced (for instance, the programme strands on "curriculum development", "intensive programmes", and "opened and distance learning"). Moreover, support was provided for "thematic networks", i.e., joint ventures for institutions ready to share curricular change.

Beyond content, this shift of emphasis brought about substantial managerial changes. To receive SOCRATES support, from academic year 1997/98 onwards, institutions of higher education

- were to submit a single application encompassing all their exchange and cooperation activities, thus replacing previous applications submitted by multilateral networks of cooperating departments coming from different institutions;
- were to multiply bilateral cooperation agreements between partner institutions to cover international activities which had been arranged earlier through multilateral agreements between partner departments;
- were to formulate a European Policy Statement (EPS) which would draw a framework for all European activities organised in the applying institution, thus showing the contribution of SOCRATES to the institution's European profile.

1.2 Prior Studies

This new institution-centered SOCRATES approach for higher education was accompanied by studies discussing related changes in the conceptual framework for European policies in the academic world in order to provide feedback on the options chosen by the EU and the role they actually played in developing international cooperation. Thus, since 1995, 3 studies were entrusted by the Commission to the Association of European Universities (CRE).

The first one was based on discussions arranged with leaders of higher education institutions in order to determine the development potential they could explore through well-defined European strategies. As a result, CRE formulated an *aide-mémoire* which the Commission made available to all higher education institutions wishing to develop a European policy. This document, entitled *Universities' European Strategies* was first drafted by *Andris Barblan*, the CRE's Secretary General, and published in Brussels in March 1996.

To assess the use made of these recommendations, CRE then proposed to the Commission to make a detailed survey of all European Policy Statements received for the first round of SOCRATES applications. This study, undertaken in 1997,

comprised an in-depth analysis of almost 1,600 European policy statements as well as site visits to some twenty higher education institutions in EU member States to monitor the development of European policies as they related to SOCRATES: the results of this research were then submitted to higher education leaders and international relations agents in three conferences where the implications of SOCRATES first year experience were set in the perspective of future action. The results of this complex process were published in 1998.[2]

This second study raised two questions in particular:
(a) To what extent did SOCRATES stimulate a *strategic approach* on the part of the institutions of higher education? Did the programme incite goal coherence, some degree of centralisation, strategic thinking or targeted management in relation to activities of European cooperation?
(b) How did the range of activities envisaged for cooperation and mobility evolve in such an institutional framework? What effects on *mobilisation* could be derived from the new SOCRATES approach?

The second study, however, had difficulties to answer these questions as site visits took place mostly before SOCRATES-supported activities actually started and, in many cases, even before the financial award granted to develop them had been announced. Therefore, the possible long-range effects of SOCRATES could not really be considered.

1.3   Aim, Content and Procedure of this Study

The third study commissioned to CRE was to take into account the *maturation* process from the "old" ERASMUS towards "ERASMUS within SOCRATES" by focusing on two areas of interest. Firstly, the "newcomers", i.e., the European Policy Statements drafted by institutions of higher education in Central and Eastern Europe joining for the first time, an analysis to be done in a comparative perspective: to what extent did these EPSs differ from those coming from institutions already involved in Western Europe, for example, as regards strategic thinking, the emphasis on European policies, the role of the institutional centre, the expectations set on SOCRATES and the activities envisaged? Secondly, an update of the situation in EU countries.

For this purpose, 251 EPSs submitted by CEE countries for academic years 1998/99, (when three countries became eligible for SOCRATES) and 1999/2000

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[2] A. Barblan and U. Teichler, *University Responsibility for European Cooperation and Mobility,* CRE-Geneva, 1998, CREdoc No. 4; and A. Barblan, B.M. Kehm, S. Reichert and U. Teichler, eds. *Emerging European Policy Profiles of Higher Education Institutions,* Kassel, Wissenschaftliches Zentrum für Berufs- und Hochschulforschung der Universität Gesamthochschule Kassel, 1998, Werkstattberichte, No. 55.

(when others joined) were analysed, thus bringing into consideration institutions from Bulgaria, the Czech Republic, Estonia, Hungary, Lithuania, Latvia, Poland, Romania, the Slovak Republic and Slovenia. They were compared to 1,802 EPSs coming from institutions in Western Europe, i.e. those 1,578 already analysed in the preceding study (strategies submitted for the 1997/98 round of support) as well as another 224 submitted for the first time in 1998/99 or 1999/2000. Among the latter, seven were from Cyprus which became eligible for participation in SOC-RATES in 1998/99; otherwise most of the Western European institutions represented could have applied for SOCRATES support earlier, and were "latecomers" in the programme.

Next to the desk research, 32 site visits were organised to monitor the development of institutional strategies and modes of operation in institutions which, for most of them, had been engaged for two years in SOCRATES. 22 institutions were selected from EU and other Western European countries that had received SOC-RATES support since 1997/98, while 10 site visits focussed on higher education institutions in Central and Eastern European countries which had been granted their first SOCRATES award in 1998/99.

The overall responsibility of the project rested with *Andris Barblan*, Secretary General of CRE, while the academic coordinator, like in the second study, was *Ulrich Teichler*, Director of the Centre for Research on Higher Education and Work of the University of Kassel in Germany. *Martina Schotte-Kmoch* (Kassel) was in charge of the desk research and *Sybille Reichert* (Konstanz) of the visits. They were supported in the analysis or the visits by *Manuel Assuncao, Lieve Bracke, Alison Browning, Claudio Borri, Carolyn Campbell, Christian Delporte, Hans de Wit, Gerhild Framhein, Marianne Hildebrand, Barbara Kehm, Zoe Mia-riti, Elizabeth Ogden, Aaro Ollikainen, Patricia Pol* and *Marijk van der Wende*.

The concept of the project and its provisional findings were submitted to critical appraisal within the project's Advisory Board made up by representatives of the Commission as well as by *Hilary Callan* (European Association for International Education – EAIE), *Edward Dhondt* (European Association of Higher Education – EURASHE), *Inge Knudsen* (Confederation of EU Rectors' Conferences), *Nadine Burquel* (Centre for the Strategic Management of Universities – ESMU) and *Bernd Wächter* (Academic Cooperation Association – ACA).

The following pages combine the key results of the desk research and the visits, for which separate reports give an account of the two aspects of the investigation. This overview represents a summary of the findings which, as far as the implementation SOCRATES in Western European countries is concerned, draws mainly on the enquiries made on site rather than on an analysis of the various interim reports sent by institutions to the Commission.

2   European Strategies in Central and Eastern European Countries

2.1   The Need for an Institutional Approach

Institutions of higher education in Central and Eastern Europe underline the need for a European policy and, as a result, for an enlarged role of the university centre in a way similar to Western European sister-institutions. At first glance, this finding might be a surprise as many CEE institutions of higher education tend to put less emphasis on strategic goals – certainly because of the greater decentralisation of responsibilities in these institutions than in the West. Obviously, however, the leaders of many CEE institutions of higher education consider SOCRATES as an opportunity to develop the university profile by achieving visible European success within a short time. Indeed, ambitious aims were formulated, international offices established or enlarged, and measures taken to stimulate SOCRATES-related activities. It is certainly justified to argue that SOCRATES, in several instances, underscored the need for a major role to be given to the institutional centre in European and international activities, even more so in Central and Eastern European nations than in Western European countries.

Another reason for institutional leaders and international officers at central level to develop quickly a substantial role in Central and Eastern European countries was the novelty of the programme. Whereas in Western Europe, the shift of emphasis of SOCRATES led the centre of higher education institutions to take over responsibilities previously held by departments – often in the hands of dedicated "enthusiasts" –, SOCRATES represented a new challenge for CEE institutions even if they not have to confront the organisational change required for ERASMUS. It should be remembered, however, that many institutions of higher education in Central and Eastern European countries were highly appreciative of the international contacts previously established through TEMPUS which, despite the different scope of the two programmes, facilitated their later involvement in SOCRATES.

2.2   The Emphasis on Academic Mobility

The goals to be met with the help of SOCRATES tend to very broad, European Policy Statements suggest, both in CEE countries and in the West. Institutions of higher education in Central and Eastern European countries, however, put a clear and stronger emphasis on the academic dimension of European cooperation and mobility than their Western European counterparts, less focussed on academic enhancement. In CEE institutions, it is often hoped that by joining SOCRATES, a programme for the whole of Europe, they would cooperate on equal terms with

partners in the West. This strong desire for recognition often led to an exaggerated belief in the value of normative forms. For example, the European Credit Transfer System (ECTS) is often understood in CEE countries not as a mechanism for facilitating study recognition procedures by using the student's workload as a common reference, but rather as a magic tool leading to some automatic acceptance on equal terms of similar courses, once shared formal mechanisms for recognition are in place. In CEE countries, the academic emphasis is also rooted in a somewhat different understanding of the university than in EU countries generally, where the need for a socially pro-active institution, aware of its service function and open to industrial linkages, is better accepted than in former communist countries.

Student mobility has remained the first priority in ERAMUS within SOCRA-TES, both in Western and Eastern European universities. According to European Policy Statements, however, CEE institutions of higher education tend, on average, to lay a stronger emphasis on student mobility as they see it as a gateway to European cooperation in general – SOCRATES representing an entry into the European academic family. Moreover, the emphasis on mobility reflects the difficulties encountered to join other strands of the programme – because of the universities' different status in CEE countries and also because of the economic plight of these universities and their members.

This does not necessarily mean that Central and Eastern European institutions of higher education can easily meet the challenge of student mobility within SOC-RATES. Indeed, except for a few cases, CEE institutions remain unfamiliar locations for Western European students who fear language barriers, lower academic quality, or poor infrastructure. In these conditions, quantitative reciprocity can hardly be achieved, and many CEE institutions face difficulties to find a sufficient number of study places in Western European countries for their own students. Strong efforts have been made in several places to improve the infrastructure or to provide courses in English, but often in vain.

The bureaucratic imperfections of SOCRATES aggravate obstacles to student mobility originating from Central and Eastern European countries. Notably delayed transfer of ERASMUS grants caused financial problems to students. So much so that, in a few cases, universities decided to take bank loans in order to help their students to go abroad in time.

2.3   Missed Opportunities for European Innovation in Teaching

The strong emphasis on SOCRATES-supported student mobility among the Central and Eastern European institutions of higher education does not mean that these institutions are less interested in curricular innovation developed in cooperation with their Western counterparts, or in the European dimension of learning as a substantive element of course programmes. SOCRATES, for several of them,

however, is not the most relevant tool to pursue this aim. Some CEE institutions consider SOCRATES to be a relatively narrow instrument of innovation for higher education, especially when compared with the range of activities supported by TEMPUS; as a result, SOCRATES activities do not really need a European strategy to achieve success. Thus, it is not surprising that CEE institutions of higher education (more often than Western European institutions) tend to look at SOCRATES as part of a wider set of European programmes. TEMPUS is one but they also take into account research programmes which, in a Humboldtian manner, should feed European educational work.

Other CEE institutions hope that they might embark on curricular cooperation with Western European institutions of higher education at a later time, i.e. after a certain consolidation of student mobility and after having had more opportunities of getting to know their potential partners in the West. Because of this step by step policy, SOCRATES support for initial visits is considered by a substantial number of CEE institutions as an important instrument for early scouting of cooperation possibilities.

Often, institutions of higher education in Central and Eastern European countries were not involved in SOCRATES-supported activities other than student and staff mobility, because they felt so squeezed financially that they could not launch any other activity requiring co-funding drawn from their own resources. In this context, some institutions expressed disappointment as regards the complementary support granted by their national authorities.

2.4　Institutional Mobilisation for Europe

Rectors and heads of international offices in CEE institutions often stated that the support for SOCRATES at departmental level proved lower than initially expected. Lack of time and resources, as well as low salaries requiring double jobs (which reduce availability for side-activities) and many other factors were pointed at to explain this situation.

Altogether, EPSs coming from Central and Eastern institutions of higher education provide little information on the ways the European Policy Statements had been discussed and prepared. It seems that many CEE institutions formulated their policy statements with no extensive and early deliberations within the institution. This, among others, is certainly due to the already mentioned fact that there was no decentralized practice in place for ERASMUS, as had been the case in the West. However, several institutional leaders from CEE countries certainly welcomed SOCRATES as an opportunity to strengthen the role of the institutional centre in international and European activities in general – as international exchange represents an area of clear added value where sub-units often lack sufficient contacts abroad to propose adequate and effective solutions.

To sum up, joining SOCRATES was initially considered by Central and Eastern European countries as a leap towards cooperation on equal terms with the rest of the continent. The often cautious and "realistic" implementation of the programme, as clearly indicated during the site visits, often changed SOCRATES involvement into a somewhat humiliating venture for many Central and Eastern European participants, who felt to be once more considered to be second class Europeans. Just opening the door of SOCRATES was obviously not the most convincing way to support cooperation on equal terms.

3   Implementing SOCRATES

3.1   Europe, a Focus for Institutional Self-Awareness

The needs for bilateral cooperation contracts and for European Policy Statements has led many institutions of higher education in Europe to take stock of their European and international activities. This resulted in increased transparency and a growing awareness of the universities' strengths and weaknesses as far as their European commitments were concerned. The value of transparency and self-reflection was not only highly appreciated when the introduction of SOCRATES made necessary such a review, but also later, when the programme was being implemented. This represents an undisputed contribution of SOCRATES to the improvement of information and self-reflection regarding the international and European role of higher education.

When they approached SOCRATES, most institutions established or consolidated consultation procedures to discuss European and international policies; the debate would sometimes lead to deciding to improve exchange infrastructure in order to offer better mobility services. To give an institutional profile to international cooperation, universities also began setting up European or international committees, often chaired by a pro-rector or a vice-president. These new fora of communication, coordination and decision–making served two functions: on the one hand, the consideration of strategic options, among them the formulation of the EPS; on the other, the coordination of exchange operations, among them the arrangements called for by the SOCRATES application. One or two years later, however, once the application fever had gone, the mobilisation of institutional interest proved short-lived in several institutions. In some universities, the debate on international strategies was even discontinued once the need for the formulation of a European policy was over. However, some communication on the operations of student mobility, teaching staff exchange and other SOCRATES-supported activities did continue – on a more or less consolidated basis.

3.2   Europe, a Reason for Strategic Development

This does not mean that the institutional leaders' strategic interest in European and international issues completely faded away. It took different forms in function of the stages of maturity reached by the institution when dealing with mobility and exchanges. Visits and interviews showed that some institutions had already developed a strong strategic approach in order to reach Europeanisation and internationalisation policy targets, often prior to the launch of SOCRATES; for them, the EU programme had little mobilisation effect, and they did not need to adapt much in order to take SOCRATES onboard. Other institutions experienced SOCRATES as a welcomed stimulus for strategic thinking in general, or for European and international policies in particular: most of those universities went back to normal once their application had been received in Brussels; some, however, continued to care for the pursuit of specific goals, such as a widespread involvement of the institution as a whole, the development of closer ties to select partner institutions or the stress on curricular changes as evoked by participation in SOCRATES. In other words, SOCRATES reinforced international operations where they already existed in a rather formalised way and had an *ad hoc* impact in most other cases – except when universities used the programme to develop strategic thinking for the whole institution. In some cases, mobilisation for Europe even turned to be a flash in the pan, all the more so when awards did not meet the high hopes placed in the programme.

It remains to be seen whether this widespread but heterogeneous debate on European policies only proved superficial interests in strategic thinking or whether a long term approach to European and international issues is there to stay. The request for a redraft of EPSs – in SOCRATES II – should allow for an assessment of the European maturity of institutions better grounded than the present remarks based on a limited number of site visits only.

Operations linked to SOCRATES became more visible with the institutional contract and were often felt as time-consuming, even more so than in the "old" ERASMUS. The need for coordination within the institutions and the shift of the work-load away from academics active in discipline-based networks towards international offices and various administrators within departments often led institutions to increase the number of non-academic staff responsible for international and European activities, even though financial constraints were felt to go against such options. As a result, institutional service given to student mobility and to other cooperation activities certainly improved, while the growing professionalism of European and international relations officers could help reinforce the universities' awareness of their European and international profile.

Considering, however, how little limited funds were matched in order to sustain the non-mobility strands of the programme, like curricular innovation, one might

wonder whether the growing professionalisation of European and international activities support helped cope with more complex administrative processes unnecessarily induced by SOCRATES, or whether it served a more rigorous and more effective administration of European and international activities. The site visits did not provide a clear answer in this respect.

3.3   Europe, a Tool of Institutional Mobilisation

The launch of SOCRATES fuelled institutional hopes for enlarged European activities to be developed within SOCRATES, although information was available early on the overall SOCRATES budget – the amount of which should have watered down ambitions from the outset. Applications, however, exploded in volume in the first year, thus reducing the relative size of awards, often to a tenth only of the request. This created substantial disappointment and frustration. Subsequently, institutional leaders and international relations officers had to cut on participation in innovative areas of the programme and to focus on the highly visible mobility of students in order to counteract widespread desires for withdrawal from SOCRATES activities altogether.

Actually, a realistic assessment of potential EU support did not force institutions of higher education to change strategy. Because most of them had an aggregative policy bringing together the various suggestions for action made in the departments, thus postponing the choice of priorities to after the announcement of the awards made by the Commission. True, the easiest was to cut innovative changes in study programmes and to concentrate on the obvious, namely the mobility of students, when hopes to be awarded SOCRATES support proved minimal.

Originally, institutions did not feel the need to rediscuss student mobility options. If at all, institutions, taking stock of existing ERASMUS student mobility, were simply inclined to spread student exchanges within SOCRATES more evenly across all fields of study. The interviews conducted on site suggest, however, that institutions gradually started to reconsider the role of student mobility activities when they had to initiate or renew bilateral contracts with partner institutions. Firstly, the obvious concern for exchange reciprocity grew. Secondly, some institutions decided to focus exchange activities on those partner institutions and departments which they considered comparable as far as academic standards or curricular profile were concerned. If such a trend were to continue, this might lead, on the whole, to more suitable academic partnerships, but it could also exclude yet unknown institutions of similar standards or universities not easily recognised as mainstream institutions, for instance Central and Eastern European institutions, new establishments and institutions with uncommon profiles.

This evolution results from the multiplication of bilateral agreements which were required by the institutional contract and supposed to replace the multilateral

agreements used to structure the "old" ERASMUS. Institutional leaders often regretted the opportunity to meet unknown partners and to imagine unexpected cooperative links which existed in open consortia. True multilateral approaches indeed make information, contacts, and potential innovation coming from all participants to the contract available to all. The last or the least to sign has similar rights to the first or the most weighty partner in the consortium, in a way similar to the most favoured nation clause in trade agreements. Multilateralism opens, bilateralism closes options. The bet made by the Commission with SOCRATES was to strike a compromise by having a multiple system of bilateral contracts. This led to administrative complexity and reduced mobilisation for Europe among the institutions' staff – in particular academic.

To counteract this demobilisation effect, some institutions have extended teaching staff mobility. Though not only for its own sake – deepening the Europeanisation of teaching –, but often also to service student exchange priorities better. When staff mobility serves curricular innovation and reinforces European opportunities for non-mobile students, the move is highly appreciated. But this has not happened in many places – as shown by the low take up rate of that part of the programme, a rate which can be explained by lengthened decision-making processes rendering staff moves authorised at the last minute highly improbable. Thus, it would be an exaggeration to claim that teaching staff exchange has developed a new role, and brought about the expected shift of focus from the "old" ERASMUS to ERASMUS within SOCRATES.

3.4   Europe, a Stimulus for Joint Innovation in Teaching

In principle, many actors in higher education, considering the need to meet the twin challenges of Europeanisation and internationalisation, deem curricular innovation important. However, SOCRATES' substantial support to strategic reflection had no snowball effects – as most of the triggered changes kept within the boundaries of the programme. Most institutions, indeed, did not define policies which would tie SOCRATES-supported curricular activities with other international activities; their horizon was further reduced, once SOCRATES support was awarded, when most institutions refused to embark on activities with no external funding. Making up for absent finances was not envisaged except by a few well-endowed institutions ready to provide substantial co-funding for SOCRATES-supported activities in curricular innovation. Thus, SOCRATES support was rarely perceived as potential seed money for changes in learning content.

In many institutions of higher education, the discontinuation of support for co-operation among academics has been deplored, remembering earlier Inter-University Cooperation Programmes. As a matter of fact, most institutions did not compensate for this change, and those contacts that would facilitate student ex-

change, curricular innovation and develop trust among partners – thus leading to recognition of study achievements upon the student's return – became things of the past, or, at best, were slowly eroding for lack of support. One might ask whether the potential for curricular innovation thus lost has been made up by the new and extended support given to curricular innovation in other aspects of SOCRATES like the thematic networks: the latter are usually considered to be too big to encourage real innovation in learning at the level of the departments.

4   Conclusions

To sum up, the shift incurred by ERASMUS since it was integrated into SOCRA-TES has had an influence on the institutions' increased awareness of their European and international activities. As a result, such interests became more embedded into institutional policies, for instance through the professionalisation of infra-structure and of those services geared towards mobility and student exchange. This could help European institutions of higher education to prepare for the often mentioned *age of globalisation* when, less steered or less protected by national policies, they will need to compete on the wider education "market". But the potential for an extension of student and staff mobility and of curricular innovation in a European context does not seem, after three years in the programme, to have reached the level of development expected by the advocates of SOCRATES. Student mobility has become more of a routine while ECTS seems to be spreading, thus giving at least some reliability to recognition procedures – but often on wrong assumptions of equality. Doubts remain about the role ERASMUS could play in curricular innovation within SOCRATES: indeed, increased support to targeted curricular innovation did not trigger off the development of new and high profile European approaches in teaching nor did it offset the losses in curricular cooperation brought about by discontinued support to department networks. SOCRATES did not have the snowball effect which would lead to a new stage of cooperation within higher education in Europe. While, here and there, the programme had many beneficial impacts, those did not add into an image of new quality for the Europeanisation of higher education – as proposed by SOCRATES.

This state of affairs is being observed not only when SOCRATES II is being launched, but also when many institutions of higher education are directing more and more of their attention to globalisation processes which could threaten their very survival. In reaction to this general evolution, some are being tempted by strategies which would convert them into fee-paying institutions; they would recruit students on a commercial basis rather than provide places to Europeans as part of their public service. Others stress the need for curricular changes for the sake of compatibility with world-wide patterns of degree structures, i.e., the bachelor's and master's degrees; this evokes the so-called Sorbonne and Bologna

process initiated by national governments in Europe. Faced by competing actions, can SOCRATES stimulate future innovation for learning – addressed to all students, at home or going abroad – in visible and attractive ways, i.e., fulfil its original aims, mobility being one of those only? Or could SOCRATES remain important in European higher education by serving less grandiose objectives, ensuring simply that student and staff mobility becomes normal routine in academic learning processes? Is this "realistic" approach possible, however, without a high profile, also in curricular change, the flagship element of ERASMUS within SOCRATES?

The answer, if one is to follow the impressions gathered from this third CRE study, will very much depend on the grounding of the programme in the academic community, i.e., in the academic community's sustained and reinforced interest in Europe, a regional setting which needs to be perceived as fundamental and primary for its long range development, scope and range of activities. On this basis, SOCRATES II could revive the pulse of change and the feeling of urgency that made the success of earlier programmes of the European Union. To express both *mobilisation* and *strategic reflection*, "European dimension" as a leitmotiv should become "European commitment".

5   A Few Suggestions for Action

1.   *Innovative European study awards*

Institutions should be encouraged to innovate and explore ideas, topics and projects with a European potential, i.e., able to sustain mid-term linkages with universities abroad. They would receive support for programme development – joint staff training, teaching staff induction seminars, focused student mobility, for instance – that could take the form of SOCRATES summer schools or one-term programmes with a European focus, and become part of a recognised learning path among European institutions of higher education. They should replace the TS, IP, CD actions of the present programme and give much greater flexibility to the European process of learning set up among institutions.

2.   *Pan-European cooperation flagship projects*

A few pilot projects showing the potential of East-West cooperation on equal terms should be given ample funding and publicity, for instance one semester European modules taught in English at CEE institutions for a mixed East/West body of students given extra incentives to join a programme conceived as one part of a European learning path and as the basis of a network of younger academics ready to commit themselves to the mid-range development of a common discipline – with the possibility of meeting again at a later stage, for instance in the framework of a TNP.

3. Europeanisation: guides to good practice

Impact studies and guidelines for the European mobilisation of the higher education community – based on the problems and difficulties met by SOCRATES – should be prepared as a series of short *dossiers for action*, easy to consult, and illustrated by examples of proven success in specific activities. They could be prepared with the help of academics, international relations officers and university leaders from institutions with proven achievement in key areas of European change – thus recreating some multilateral networks of common interests.

4. European circles for mutual learning

Platforms for *multilateral discussions* of Europeanisation processes in universities should bring together people in charge of SOCRATES in participating institutions, be they administrative or/and academic staff. Those groups could become *circles for mutual learning*, ready to compare notes on the needs and potential of European development strategies in universities. Such topics could be discussed in short but intensive seminars, or in structured study visits, participants meeting again a year or two later to exchange experience about their institutional support of the programme – thus reinforcing the international networking effect.

5. Simplified administrative procedures

Drawing positive consequences of the routinisation of student mobility within SOCRATES, the programme should rely less on highly differentiated selection procedures and more on monitoring and *post hoc* evaluation (even on a sample basis), thus simplifying grant allocation, a simplification expressed by the distribution to institutions of lump sums calculated on parameter-based formulae: this would represent a way to foster trust between the Commission and the institutions of higher education.

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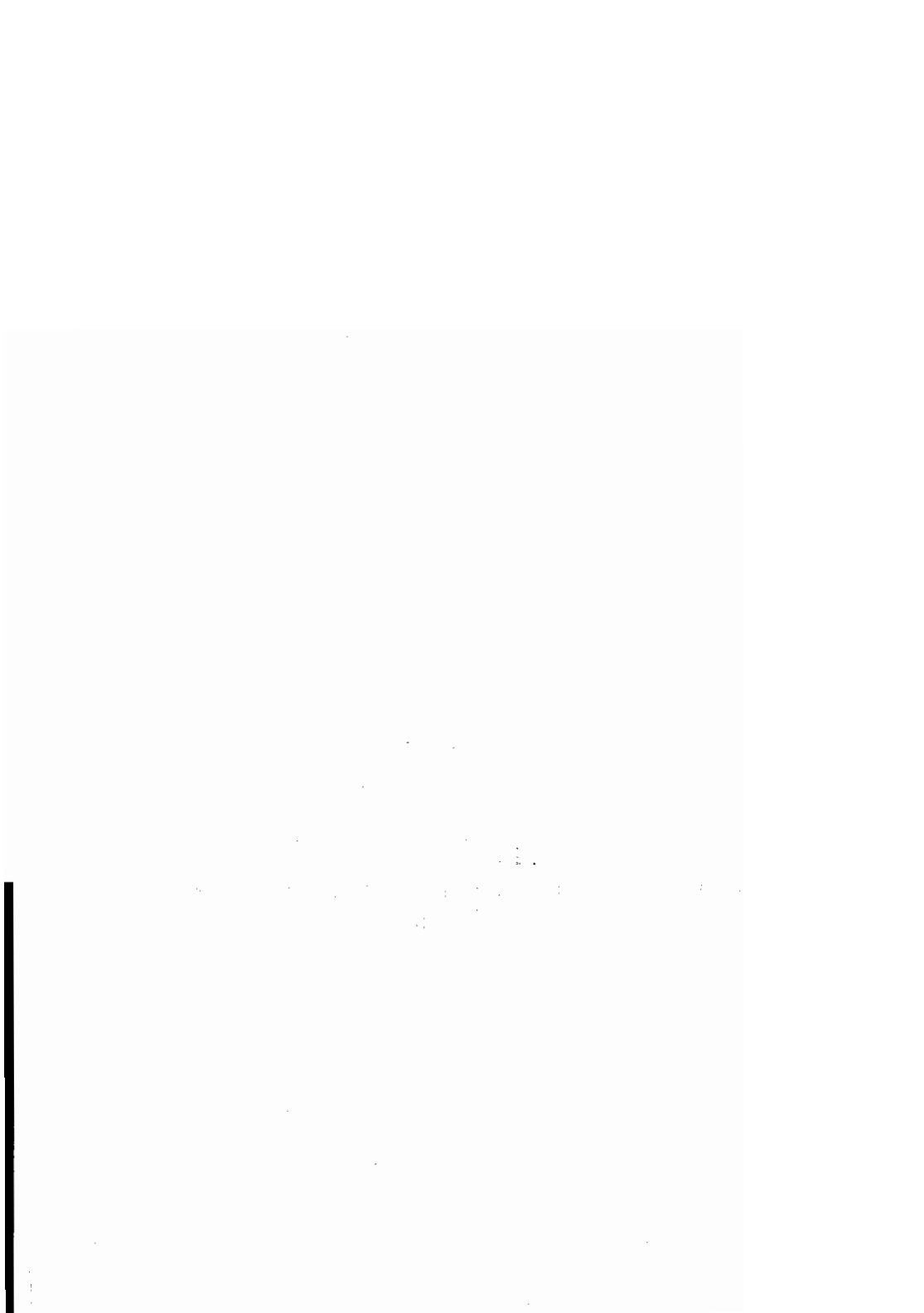
With the inauguration of the SOCRATES programme, institutions of higher education in the eligible European countries had been challenged to take a more targeted view of their European and international activities. They were required to formulate a European Policy Statement as part of their applications for SOCRATES support for student and staff mobility as well as curricular innovation with a European dimension.

A team established by the Association of European Universities (CRE) in cooperation with the Centre for Research on Higher Education and Work had analysed European policies formulated in winter 1996/97. Two years later, a second study was undertaken the results of which are presented here. The study addressed the policies and activities about one year later, i. e. after they had experienced the SOCRATES support under these new conditions and after they have had the opportunity of implementing the policy they had formulated. In addition, an analysis was made of the European Policy Statements formulated by higher education institutions from Central and Eastern European countries which could join SOCRATES since 1998/99. The study suggests that SOCRATES had increased the institutions' inclinations to take stock and reflect European and international activities. They got more closely embedded into the institutional policies. So steps towards improved professional infrastructure and service were made. But effects for student mobility as well as curricular innovation in the European contexts seem to be lower than the advocates of the SOCRATES approach have hoped for.