

Aide-memoire for Regions participating in the OECD Project

Supporting the Contribution of Higher Education Institutions to Regional Development

February 2005

**THE OECD PROGRAMME ON INSTITUTIONAL MANAGEMENT
IN HIGHER EDUCATION (IMHE)**

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1 . INTRODUCTION

1-1 Background

1. In the globalizing knowledge economy institutions of higher education and research have a pivotal role to play. They are now portrayed as vital sources of knowledge, seedbeds of innovation and engines of growth, making major contributions to the economic, social and cultural development of their societies. This has meant new expectations to be fulfilled by the institutions. The difficult question is how to translate them into relevant policy measures and institutional reforms. One approach in this context followed in most OECD countries has been the attempts to strengthen the regional role and contribution of the higher education institutions (HEIs) based on close cooperation and partnership with various regional actors.

2. In 1999 OECD/IMHE published a report entitled “The Response of Higher Education Institutions to Regional Needs”. The report drew attention to the potentials of mobilising HEIs in support of regional development goals, made policy recommendations and gave practical advice as to how higher education leaders and managers could realise this. Since that time the need for greater regional engagement and mutual development of capabilities has become more widely acknowledged. Indeed whilst this regional mission has been characterised as a part of a “third task” or social obligation of HEIs, there is a growing recognition that it must be integrated with longer-standing teaching and research functions if higher education’s contribution to student learning, to knowledge exploitation by business and to civil society in the region is to be maximised.

3. There may also be real advantages for higher education institutional viability through stronger engagement with their regional communities. HEIs can benefit through *inter alia* enhanced access to local undergraduate students, improved local funding partnership opportunities for both research and teaching, greater local social capital support, and resource sharing opportunities (e.g. infrastructure, knowledge workers, etc). Indeed for some institutions such regional engagement strategies could be as important as their international and business partnership strategies.

4. This project is intended to take this agenda forward. Across OECD countries interest in the interaction between HEIs and regions is evolving through policy initiatives and joint projects involving both public authorities and other regional stakeholders. However, this experience has yet to be synthesised into a coherent body of policy and practice that can guide the investment decisions of partners in initiatives which seek to enhance the connection of HEIs to regional communities. Before such a synthesis can be achieved it is necessary that current practice is analysed and evaluated in a way that is sensitive to the varying national and regional contexts within which HEIs operate. *Such evaluation must seek to apply international experience in a learning and developmental process for HEIs and their regional stakeholders. **This learning process lies at the heart of the proposed new project.***

1-2 Objectives

5. The main objective of the project is *to strengthen the contributions of higher education institutions by devising steps to be taken to improve the interplay and mutual capacity building between HEIs and their regional stakeholders and partners at different territorial levels.*

6. More specifically, this project is intended to:

- raise awareness amongst HEIs and their regional stakeholders of the need to evaluate the efficiency and effectiveness of the partnerships between them
- provide a methodology and evaluation framework for HEIs and regional higher education groupings to monitor and compare the activities and achievements in their international context
- provide an opportunity for dialogue between HEIs and national and regional stakeholders about their contribution to the economic, social and cultural development of their region (including knowledge exploitation by business, skills enhancement of the population, work with disadvantaged communities, engagement with the arts)
- assist regional governments and their agencies, HEIs and other stakeholders to identify appropriate roles and partnerships within their regions
- provide policy advice at national level on issues that emerge from the analysis (e.g. the impact of special funding initiatives at a regional and institutional level)
- assist HEIs to articulate their mission, evaluate their contribution and thereby contribute to their viability
- lay the foundations of an international network for further discussion and exchange of ideas and issues around good practice and self-evaluation techniques in HEIs' regional engagement

1-3 Anticipated Participants

7. The focus of the project is on the interaction between HEIs and recognised regions in terms of national administration. It is therefore anticipated that the participants will be HEIs, the regions with which they have some history of joint working, and public authorities responsible for territorial and higher education development at the national and sub-national scale. Ideally the region would include more than one HEI in order to address questions of inter-institutional collaboration and division of labour. In any case, all HEIs in the region, in principle, should be involved in the project since the focus of the study is on the impact of higher education (Not a selected number of HEIs) on regional development. For practical purposes, however, it may be necessary to identify regions with a manageable number of HEIs.

1-4 Key Elements of the Overall Project

8. Key elements of the project are as follows:

- Comprehensive literature review: analysis of relevant research conducted in various policy domains

- Regional reviews against a set of agreed broad principles that include dialogue, stakeholder collaboration, learning, and leadership commitment. The major elements of the reviews will be:
 - Joint self evaluation by HEIs & regional stakeholders
 - A site visit by an international team of experts
 - A peer review report and joint response from the region and its institutions
- Analysis and synthesis by the project task group
- Production of a final report and dissemination at one or more knowledge sharing conferences

1-5 Expected Outcomes

9. There will be several interim and final outputs from the project:

- A set of joint regional self-evaluation reports (HEIs & regional stakeholders), prepared by all participating regions, which will support both the wider analytical work and focused site visits by peer review teams
- A set of peer review reports, prepared by the teams of experts, which will include specific recommendations for regions/HEIs reviewed
- An international synthesis report summarising the issues and recommendations for all participating regions/HEIs, drawing upon the regional self-evaluation reports, peer review reports, and the analytical work undertaken by the project task group and the secretariat.

10. The output will be supported by related dissemination activities of country-hosted seminars and an international conference. Regions/HEIs participating in the project may wish to release their self-evaluation reports and peer review reports.

2. METHODOLOGY

2-1 Some General Comments

11. A co-operative approach between regions across different countries provides participating regions with an opportunity to learn more about themselves by examining their experiences against those of other regions and countries. It also accumulates international evidence on the impact of specific initiatives and policies, and on the circumstances under which they work.

12. Nevertheless comparative work is not simple. The extent to which a given region can serve as a point of reference will vary from institution to institution, region to region according to history, geography and national policy context. Policy initiatives that work well in one region in a certain country cannot necessarily be transferred to different regions within countries or across national borders. The review will therefore need to be sensitive to the role played by regional context in influencing the implementation and impact of specific initiatives and policies.

2-2 Self-evaluation Report

2-2-1 *General information*

13. All regions participating in the activity will be required to prepare a self-evaluation report. This is intended to:

- Provide a description of the region reviewed;
- Describe the characteristics of the higher education system in the context of regional policy; and
- Provide an analysis of the key factors that are influencing regional commitment of HEIs in the region and an analysis of key policy concerns in a number of specific areas.

14. All self-evaluation reports are to be prepared within a common framework. This is in order to facilitate comparative analysis and to maximise the opportunities for regions to learn from each other. Nevertheless the Secretariat may ask for supplementary material that is specific to the particular region. In order to avoid duplication of effort, the review will also draw upon other work on higher education and territorial development being carried out within the OECD (for example Education and Training Policy Division's work on thematic review of tertiary education, the work of the Directorate for Public Governance and Territorial Development, and the Directorate for Science, Technology and Industry), or elsewhere.

15. Self-evaluation reports are intended for five main audiences:

- The Project Task Group, which will use them in preparing the final comparative report from the review;
- The reviewers who will visit the region. The self-evaluation report will help the review team to identify questions to ask, policies to examine, people to meet and institutions to visit;
- Those interested in the issues of the role of HEIs in regional development within the region (and the country as a whole) that is writing the report. The self-evaluation report can be an

important way to focus regional & national attention on key issues, and of drawing attention to policy initiatives;

- Other regions & countries participating in the review. Self-evaluation reports can be an aid to sharing experiences; and
- Those interested in the issues of the role of HEIs in regional development at an international level and in regions and countries not participating in the review. After clearance by participating regions, all self-evaluation reports will be placed on the relevant OECD website and their availability will be widely disseminated.

2-2-2 Phases in the development of regional self-evaluation report

16. There are likely to be four phases in the preparation of the regional self-evaluation report. However, **the procedure that follows is indicative only**. Some participating regions may wish to develop their own procedure tailored to their own special situation. The core principle taken into account in developing such procedure should be to employ a methodology ensuring as much various stakeholders' involvement as possible in the self-evaluation process.

(1) Design phase

17. In this phase, there needs to be broad agreement between the regions in the project on questionnaire design, the categories and sub-categories of engagement to be assessed, and the processes by which the role of HEIs in the region is to be assessed to ensure a consistent approach across regions and HEIs. It is proposed expected that this will should be achieved via the launch workshop to be held on 6-7 January 2005, and subsequent meetings involving representatives from participating regions and experts from the Project Task Group. The diversity in HEIs and regions where they are located together with higher education system across countries will need to be taken into account in this process.

(2) Self-evaluation phase

18. This phase aims to complete the regional response to the questionnaire and framework. The approach is ostensibly based on a self-assessment process that involves the following four stages:

- a) A working group should be formed by each region (and HEIs in it), co-ordinated by a regional co-ordinator and steered by a regional steering committee (See Section 2-2-4 & 3-1-2).
- b) An initial facilitated workshop will be held in each region to ensure HEIs and regional stakeholders are aware of the requirements of the project (including definitions, etc) that they need to work through to formulate their response to the questionnaire. Each region may wish to employ a facilitator to work through all the questions with the regional stakeholder groups in a workshop setting.
- c) The working group in each region (and HEIs in it) will follow up the first workshop, obtain additional supporting material to highlight issues (impediments, strategies, agreements, etc) that need to be further addressed by the institution and regional community, and formulate recommendations for consideration in a second regional workshop. The prime focus of this workshop is to examine the current partnership arrangements.

Table 1. The Main Output & Action Required in Each Phase of the Self-evaluation

Output	Action	
	OECD/ IMHE	Participating Region
<p>I. Design Phase</p> <p>Questionnaire design (Categories and sub-categories of engagement to be assessed) agreed on</p> <p>Processes by which the role of HEIs is to be assessed agreed on</p>	<p>Steering Group meeting to finalise participating regions</p> <p>(Establish the Task Group to work on practical issues such as developing questionnaire and methodology)</p> <p>Launch Workshop</p>	<p>Sign-up for the project</p> <p>Appoint a Regional Coordinator who would be the principal point of contact in the region for the project</p> <p>Establish a Regional Steering Committee comprised of key stakeholder groups in the region</p>
<p>II. Self-Evaluation Phase</p> <p>Completion of a draft regional self-evaluation report</p>	<p>(Finalise a site visit methodology and establish a pool of experts for a site visit)</p>	<p><i>[indicative purpose only]</i></p> <p>Set up a Working Group in each region (and HEIs) in it to work on information collection, discussion with regional stakeholders and report writing</p> <p>Regional Facilitated Workshop(s) to work through to formulate a regional response to the questionnaire</p> <p>Draft a regional self-evaluation report</p>
<p>III. Calibration of Results Phase</p> <p>Highlighting of issues & findings from all study regions to enable comparisons and to discuss a way forward</p>	<p>Project Task Group Meeting</p> <p>(<i>attended by</i> regional co-ordinators, representatives from sponsoring organisations, and outside experts)</p>	
<p>IV. Finalising Self-evaluation Report Phase</p> <p>Completion of the final self-evaluation report</p>	<p>(Organise review visits to the regions in close consultation with regional coordinators)</p> <p>* Circulate each regional self-evaluation report to the peer review team concerned and to the project task group</p>	<p>Finalise the self-evaluation report at least one month before the review visit (approved by the Regional Steering Committee)</p> <p>Prepare a short note on the specific issues & policies to be addressed during the review visit</p>

- d) A second regional workshop could identify the contribution of the HEIs to the region, highlight the issues, impediments and opportunities for greater collaboration locally, and seek consensus on the future role of the HEIs in the region from the perspective of a learning and knowledge agenda. In doing so, it would also consider relationships between different types of HEIs in the region (i.e. universities and non-university higher education institutions) in the context of the results, and would consider mechanisms for working together, strategies and processes for reviewing and monitoring.

19. The key outputs from this phase will be (i) the agreement by all parties on the findings from the discussion; (ii) the completion of a draft regional self-evaluation report; and (iii) the identification of issues that require collaborative follow up to enhance outcomes.

(3) Calibration of results phase

20. This phase will bring together all regional co-ordinators (and/or authors of the self-evaluation reports), representatives from the sponsoring organisations and outside experts to assess progress in regional self-evaluations and to highlight the issues and findings from regional self-evaluations to discuss a way forward for each region/ HEIs in it. A Project Task Group meeting will be called for to achieve this goals

(4) Finalising self-evaluation report

21. At this last phase each region will be expected: (a) to finalise the draft regional self-evaluation report in time for the site visit; and (b) to prepare a short note on the specific issues and policies which each region would like to discuss with a team of international experts during the review visit. Experience gained in other OECD thematic reviews suggests that each self-evaluation report is likely to take around 6-9 months to complete. In any case, the self-evaluation report should be finalised at least one month before the visit of the review team.

2-2-3 Content of regional self-evaluation report

22. The questions to be addressed in self-evaluation reports are grouped around a number of common problems and issues in the regional role of higher education that all regions are asked to address. This provides a common structure for each self-evaluation report. The questions are not prescriptive, and they should not take precedence over common sense. If some topics or issues are not relevant, this can be made clear. And if something that is important for dealing with the role of higher education in a region is not mentioned in the guidelines it should nevertheless be addressed in the self-evaluation report. Although it would be desirable for individual study regions to use the structure of questions that is set out in Section 4 of this paper, some regions may wish to combine, rephrase or expand certain questions in the light of regional circumstances. The key requirement is that the issues underlying the questions are addressed in each self-evaluation report.

23. The more complete the information that the participating regions provide, the better the final comparative report of the project will be. If a region has no information on a question that is specifically mentioned in the guidelines, it is more helpful to the Secretariat if the region indicates that there is no information available than to simply ignore the issue. As supporting material, please provide copies of relevant up-to-date research papers and data.

24. To maximise opportunities for regions to learn from each other, and in order to be useful to regional and country authorities and to the review team, the self-evaluation report will need to

be written in clear, simple language. It should be a coherent, self-contained analytical document rather than a descriptive list of responses to the individual topics or issues in the guidelines.

25. The guidelines in Section 4 of this paper suggest the number of pages that each Chapter of the report should contain. These are only indicative, and you should feel free to vary them if particular issues are of greater or lesser importance for your region. Some technical guidelines on matters such as formatting are also provided in Appendix.

26. At some points the guidelines ask regions to provide comparisons or information on trends over a period of time. Generally a period of ten years is referred to. However regions should be flexible in interpreting this. In some cases a more useful picture will be provided using a longer time period in order to capture significant reforms or changes in higher education and regional system such as the introduction of new types of institutions, the onset of significant growth, or changes in funding arrangements.

2-2-4 Processes to follow when preparing self-evaluation reports

27. Participating regions are responsible for the preparation of the self-evaluation report. Each region will need to appoint a *regional co-ordinator*. The responsibilities of the regional co-ordinator include managing the preparation of the self-evaluation report and will be described in more detail in section 3 of this paper.

28. The authority responsible for a region's participation in the review may decide to write the self-evaluation report itself, or it may decide to commission a research organization, a consultant or a group of consultants to write it on its behalf. Whichever decision is taken, the regional co-ordinator will be responsible for ensuring that the self-evaluation report is completed on time and that it follows these guidelines.

29. No single organisation, Ministry or group will have all of the information required to complete the self-evaluation report. Regional co-ordinators therefore need to ensure co-operation between all regional stakeholder groups in the region (i.e. HEIs, regional authorities, industry etc) as well as the key Ministries and agencies (i.e. the Ministry of education, Ministries such as finance, labour, industry, research, science and technology depending upon the country concerned). In this regard, It is required that the region assemble a Regional Steering Committee comprising key stakeholder groups concerned with higher education and territorial development. This committee can play an important role in ensuring that a variety of perspectives are reflected in the report. A key task of regional co-ordinators will be to consolidate these different perspectives in order to provide the OECD with a single, integrated response. However, it should be also noted that different views of stakeholders at a national and regional level should be clearly articulated in the report if there are any conflicts between the main stakeholders on certain aspects of the role played by HEIs in regional development. The conflicts between stakeholders would be a major barrier to regional collaboration. The methodology used to ensure the involvement of different bodies in the preparation of the report should be noted in the report itself.

2-3 Regional Review Visit

30. A team of four reviewers comprising two international experts, one national expert – but not from the region reviewed -, and one Team Co-ordinator – usually but not necessarily a member of the OECD Secretariat will analyse the regional self-evaluation report and associated

materials and subsequently undertake an intensive case study visit of around 7 days in length. The reviewers will be selected in consultation with the region to ensure that they have experience relevant to the main policy issues in the region reviewed. The visit by the main review team will be preceded by a short two day pre-review visit to the region by the Team Co-ordinator. It is suggested that this take place when the self-evaluation report is at a draft stage. The aim of the pre-visit is for the Team Co-ordinator responsible for liaison with that region to meet some key personnel in the region (i.e. regional co-ordinator, members of the Regional Steering Committee), to discuss the programme for the regional review visit, and to discuss progress in completing the self-evaluation report.

31. The review visit, to be organised by the region in conjunction with the Secretariat (and the Team Co-ordinator), should aim to provide the review team with a variety of perspectives on regional policy with a special focus on the role of HEIs. Where possible the visit should include meetings with senior policy makers in key ministries, regional & local governments, agencies, and higher education institutions, organisations representing higher education institutions, groups representing academic staff, employer and trade union organisations, and researchers with a particular expertise in territorial and higher education development. The aim cannot be to have a comprehensive view of all issues relating to the role of HEIs in regional development, but to accumulate sufficient information and understanding on which to base the analysis and policy recommendations.

32. After the visit the review team will prepare a short Peer Review Report (about 30 pages) that provides, from an international perspective, reflections on specific issues and policies concerning the role of higher education in the region concerned. The organisation of the regional visit and the preparation of the Peer Review Report after the visit would normally take a period of 3-6 months. More detailed information about the regional site visit will be provided in a separate document to be prepared by the Secretariat.

2-4 Workshops and Dissemination

33. Meetings of regional co-ordinators will be held at roughly six-monthly intervals during the review. Participating regions will be invited to host these meetings, and they will be an opportunity both to share progress in the review and for higher education policies on regional development in host regions & countries to be shared with all participating regions & countries.

34. In order to share lessons and experiences among participating regions, it is proposed that during the process of completing this review one or two country-hosted workshops or seminars could be organised. These could be held in association with (before or after) meetings of regional co-ordinators. At each workshop or seminar, a set of issues from the Regional Self-evaluation reports (for example, the contribution of HEIs to competitiveness of regional economy; the contribution of HEIs to widening participation, labour market and skills) could be selected for thorough cross-regional examination. Participants would be invited to present an analysis of the issues in their own region and the impact on policy initiatives. It would be desirable to have a small delegation of stakeholders representing each region. These workshops would also give an opportunity for participating regions to share perspectives and insights gained during the completion of the corresponding sections of the self-evaluation reports. In addition to the regional presentations, international experts and key stakeholders would be invited to contribute to the debate.

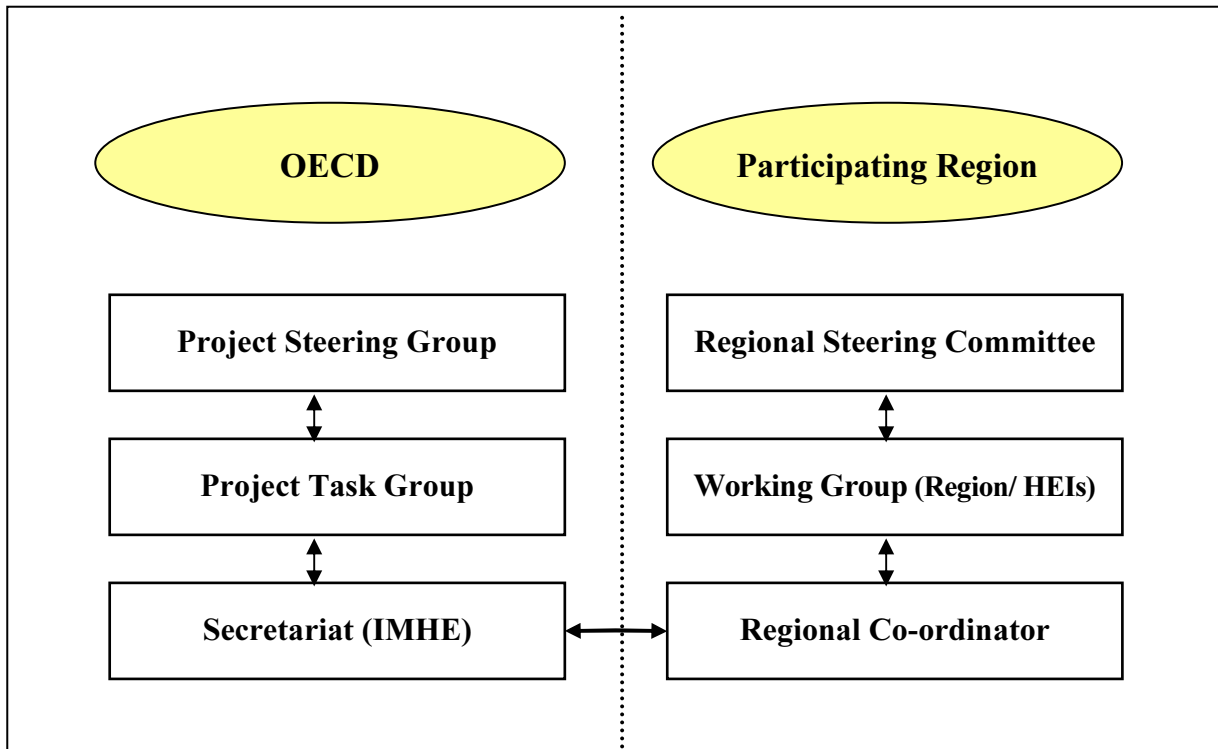
35. During the review a plan for dissemination events and activities for the final comparative report of the review will be developed by the Secretariat in association with participating regions.

2-5 Commissioned Paper

36. One important element of the project would be a summary of existing research related to the topic conducted in various related policy and academic domains. In this respect, a comprehensive literature review will be commissioned to seek to address how different policy agendas (e.g. higher education; regional development; science and technology; labour market) conceptualise the issue of regional engagement by higher education institutions and their role in regional development.

3. PROJECT MANAGEMENT

3-1 Project Management Structure



3-1-1 Project steering group and project task group (OECD)

37. **A project steering group** will be established comprising representatives of OECD, the IMHE Directing Group, HEFCE and any other sponsoring organisations. The Secretariat will be provided by IMHE. The terms of reference of the team are to:

- oversee, steer and ensure continuing commitment to the project;
- agree on the project specification, scope, budget & resources, and timetable;
- agree on the criteria for participation and the list of regions to be covered;
- agree on the common set of principles for the self-evaluation;
- approve dissemination/publication of the interim and final outcomes of the project; and
- monitor the work of the project task group.

38. **A project task group** will be responsible to the steering group for implementation of the project, and will include members from OECD Directorates for Education, and for Public Governance and Territorial Development, outside experts contracted to work on the project, HEFCE & any other sponsoring organisations and national or regional representatives as appropriate. Secretariat will be provided by IMHE. The roles of the project task group include to:

- advise the steering group on the criteria for participation and the list of regions to be included in the project;
- develop a common framework to guide a self-evaluation in individual regions;
- develop a methodology of a regional site visit and manage the schedule of reviews; and
- review self-evaluation reports/ peer review reports and draft an international synthesis paper.

3-1-2 Regional co-ordinator, regional steering committee, and working group (participating regions)

39. **A Regional Co-ordinator** will be appointed by each participating region and responsible to the Regional Steering Committee for implementation of the project. The co-ordinator is responsible for:

- Communications with the OECD Secretariat about the review;
- Communications within the region & country about the review;
- Ensuring that the self-evaluation report is completed on schedule;
- Liaising with the OECD Secretariat about the organisation of the review team visit;
- Attending international meetings and workshops associated with the review;
- Co-ordinating regional feedback on draft materials produced through the review; and
- Assisting with dissemination activities associated with the review.

40. Each region should establish a **Regional Steering Committee** comprising key stakeholder groups concerned with higher education and territorial development. It is expected that the committee include representation of (i) all HEIs in the region, (ii) regional authorities and business, and (iii) relevant ministries or agencies at a national level. In case there are private HEIs in the region, it is strongly recommend that each region invite them to be involved in the project as well. It would be very important to select an appropriate chair for the committee in a sense that this committee can be an ideal forum to build a consensus on conflicting issues between the main stakeholders in the region. Therefore, it is recommended that the chair of the committee be an independent regional personality such as a senior academic, political figure or anyone else who can contribute to the legitimacy of the decision. The main tasks of the Committee include to:

- oversee, steer and ensure continuing commitment of the region concerned to the project;
- provide financial & institutional support;
- monitor the work of the regional coordinator and working groups; and
- approve dissemination/publication of the interim and final outcomes of the project including approval of the regional self-evaluation report

41. **A working group**, co-ordinated by a regional co-ordinator and steered by the regional steering committee, should be also formed in each region (and HEIs in it) to deal with practical matters in conducting the self-evaluation (i.e. information collection, discussion with regional

stakeholders inside and outside HEIs, report writing etc) and to assist in the work of the regional co-ordinator in general.

3-2 Budget

42. The budget for the project will be established as follows:

- Each participant (national/region governments or their agencies; or HEIs) will cover the cost of its own study including:
 - 1) the cost of conducting a self-evaluation report;
 - 2) the cost for a regional review visit by an international peer review team (e.g. travel, accommodations);
 - *Estimated cost for the site visit is roughly € 35.000 based on: (1) 2 days preparatory visit by one person from the Secretariat; (2) 7 days site visit by four experts; and (3) contribution to administration and organisational costs*
- OECD/IMHE, HEFCE and any other sponsoring organisations will cover the costs of (1) the Project Task Group (e.g. drafting the final international synthesis report; attending project related meetings); (2) the publication and translation of the final international report
- OECD/ IMHE will also contribute through staff time and through secretarial and overhead support (e.g. development of project concepts, project organisation and co-ordination, organise a conference on the theme etc)
- The international seminar will be self-supporting, but underwritten by OECD/IMHE, HEFCE and any other sponsoring organisations

3-3 Activities and Timetable * The following timeline is proposed to guide the activities. A final schedule may vary depending on the situation.

Activities	2004			2005												2006		
	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12	
I. Design Phase																		
Project set up & identify potential participants																		
Steering Group meeting to finalise study regions																		
Designation of a regional co-ordinator																		
Comprehensive literature review commissioned																		
Regional Steering Committee established																		
Launch workshop																		
II. Self-evaluation Phase																		
Formation of Working Groups																		
Regional self-evaluation undertaken																		
Task Group meeting to assess progress																		
Self-evaluation report finalised & circulated																		
III. Regional Site Visit Phase																		
Agree on the timing, main issues addressed during a site visit and the composition of a review team																		
Site visit undertaken																		
Peer review reports drafted & regional response																		
Country hosted seminar to review interim results																		
IV. Synthesis & Analysis Phase																		
Task Group meeting to discuss a final report structure																		
Final synthesis report drafted																		
Draft report circulated for comments																		
V. Dissemination & Evaluation Phase																		
Knowledge sharing International Conference																		
Task Group meeting to evaluate project outcomes																		
Final synthesis report and regional reports published																		

4. ISSUES TO BE ADDRESSED IN SELF-EVALUATION REPORT

43. The following paragraphs suggest a structure for the self-evaluation report, and gives examples of the questions that it might cover. This is not a questionnaire and it is not intended that responses be given to every item. Its purpose is rather to act as an aide-memoire, illustrating the range of topics and information that might be covered.

4-1 CHAPTER I: OVERVIEW OF THE REGION (about 10 pages)

The Geographical Situation

- What is the position of the region in relation to the national territory in terms of accessibility to the national capital and other major centres of economic and cultural activity?
- Where does the region fit in terms of the national hierarchy of cities and regions? Has its position been improving or deteriorating in the past 20 years?
- What are the key features of the internal settlement structure in term of: (1) pattern of urban centres; (2) intra regional accessibility; and (3) urban / rural linkages?
- Where is higher education provided in relation to the settlement structure (campus locations and distance learning provision)?

The Demographic Situation

- What are the key demographic indicators for the region and how have they changed over the last 20 years? Please include the following:
 - age structure of the population
 - emigration and immigration
 - health and wellbeing
 - levels of deprivation
- What are the participation levels of the local population in higher education by social group and by gender and where do students attend for this purpose (within and beyond the region)?

The Economic and Social Base

- What is the economic and social base of the region compared to the national average? Please include the following:
 - industrial structure by sector
 - the importance of knowledge intensive sectors within the regional economy
 - the leading export sectors

- the occupational structure of employment (manual, technical, clerical, professional etc)
- ownership structure of enterprises (e.g. balance between SMEs and MNCs)
- level of public and private R & D
- indicators of entrepreneurial activity (e.g. rates of new business formation)
- What are the distinguishing social and cultural characteristics of the region?
- What is the economic impact of the higher education sector in terms of: (1) numbers employed; and (2) multiplier effect of HEIs and staff and student expenditure?
- What are the key labour market indicators? Please include the following:
 - unemployment
 - economic activity rates
 - levels of educational attainment of the population including the proportion proceeding to and with tertiary level of educational qualifications
 - origin and destination of graduates
- How has the region performed over the last 20 years in relation to the nation in terms of the following key indicators: (1) GDP per capita; (2) GVA per capita; (3) unemployment; and (4) share of employment in growing sectors?

Governance Structure

- What is the structure of central, regional and local government in the region? Specifically, who is responsible for the following:
 - resourcing public services (balance between local, regional and national taxation)
 - economic development
 - education (primary, secondary, tertiary, vocational)
 - health and welfare
 - cultural provision
- What powers are available to local and regional authorities in relation to economic and social development? Please include the following: (1) acquisition of land and property; (2) financial inducements to business; and (3) provision of vocational education.
- What influence, if any, do local and regional authorities have over the provision of tertiary level education and research and development?
- What influence, if any, do local and regional authorities have over national policy with regard to tertiary level teaching and research?
- What are the principal drivers in relation to national territorial development policy as these impact on the region and what place does higher education have in these policy developments?

4-2 CHAPTER II: CHARACTERISTICS OF THE HIGHER EDUCATION SYSTEM

(about 10 pages)

Overview of the National system of higher education

- What are the dominant characteristics of the national higher education system? Please include the following:
 - What is the overall size of the higher education system (number of students, participation rate)? How has the overall size of the system changed over the last ten years, and in which parts of the system has any growth been concentrated?
 - What data analysis has been performed at a national level to establish the demand and supply of different types of higher education 'product'?
 - Outline the basic governance of and regulatory framework for the higher education system (i.e. funding mechanism and institutional autonomy) including the major legislation that applies to it.
 - Describe briefly the major national agencies responsible for developing tertiary education policy, for financing the system, and for assuring its quality, and their mandates. Outline how national higher education policies are developed.
 - What characterises inter-institutional relationships –co-operation, competition, market-led?
- To what extent is there dialogue between government ministries concerned with territorial development, science & technology and those sponsoring higher education? What mechanisms exist to coordinate and attune the policies and measures taken by the different ministries?

Regional dimension "inside" the national higher education policy

- To what extent does national higher education policy have a regional dimension? In answering this, the following questions could be taken into consideration:
 - Have regional development (economic, social, cultural) considerations played a prominent role in decisions on where to locate and build up new institutions?
 - Have funding arrangements been altered to reward institutions for regional engagement or to make this engagement possible?
 - Is regional engagement imposed on institutions by government as a formal requirement?
 - What policy initiatives have been taken by various actors (e.g. central governments in different policy domains, regional authorities etc) to foster the regional role of HEIs and to stimulate regional collaboration between HEIs, industry, government and civil society?
- To what extent do these considerations have a differential impact upon different types of higher education institutions? (i.e. universities vs. non-university HEIs)
- Does an emphasis upon a regional role for HEIs involve any policy tensions? For example, is there a conflict between regional commitment and the strive for quality and international competitiveness in higher education? If so, how are these resolved?

Regional higher education system and governance

- Outline the basic profile and character of HEIs in the region: Universities, Non-university HEIs.
 - What are the historic links between the HEI and the region and how have these developed? How has the institution evolved over the last ten years in terms of: (1) staff and student numbers; (2) faculty mix; (3) place of the institution in the regional and national higher education systems; (4) Balance between teaching and research functions; and (5) territorial focus
- To what extent does the financing and management of HEIs occur at a regional level?
- Are there regional organisations that have strategic responsibility over funding and management of HEIs?

4-3 CHAPTER III: CONTRIBUTION OF RESEARCH TO REGIONAL INNOVATION (about 15 pages)

Responding to regional needs and demands

- Does HEI research policy have a regional dimension?
 - To what extent do HEIs draw upon the characteristics of the region to develop research activity?
 - What other regional partners are drawn into this process? How have such research links established?
 - Do the technology transfer offices have a regional as well as an international and national role?
- How is provision made to meet specific regional technology & innovation needs and demands, such as those from SMEs? Is such provision undertaken in collaboration with other regional innovation and technology actors such as public labs and research institutes? What is the relationship between these innovation and technology actors other than HEIs and business in the region?
- What mechanisms exist to reward and acknowledge regionally-based research (i.e. the application of the established knowledge for the local/ regional community as opposed to the generation of “basic” knowledge for the national/ international academic community) which has been traditionally outside of peer review processes such as academic journals?

Framework conditions for promoting research and innovation

- Does the national legal framework (e.g. Intellectual property law) support the role of HEIs in research and innovation (including research and innovation partnerships with industry)? What are the incentives and barriers in HEI-industry relationships both for HEIs and for industry?
- Describe the ways in which HEIs help to stimulate innovation and knowledge transfer between researchers and industry (both larger enterprises and small and medium-sized enterprises). Do national or regional policies exist to encourage HEIs to play such a role?
- Do policies or funding programmes exist to encourage co-operative research between HEIs and industry or the exchange of research staff between the two?

Interfaces facilitating knowledge exploitation and transfer

- What mechanisms have been developed to commercialise the research base of the HE sector and to promote technology transfer between the HEI and regional stakeholders? Please include the following:
 - research contracts, collaboration and consultancy
 - intellectual property (IP) transactions
 - promotion of spin-offs, incubators, science parks; and clusters
 - teaching/ training and labour mobility
- How have HEIs and other regional stakeholders been promoting these mechanisms described above?
 - What are the respective roles of the central government, regional authorities, HEIs, regional research institutes, and business in creating such mechanisms?
 - Are there any specific mechanisms that have been created within or between higher education institutions?
- Are there structures in place in the region that enable the HEIs to more widely disseminate its R&D and innovation initiatives beyond its contractual industry partners? (i.e., exhibitions, competitions, regular demonstrations, media, regional web page entry points, etc)

Conclusion

- Collaboration between regional stakeholders related to *contribution of research to regional innovation*: (1) between the universities in the region; (2) Collaboration with the Non-university HEIs; and (3) Collaboration with other regional stakeholders (i.e. business, local government, research labs & institutions etc)
- Strengths, weaknesses, opportunities and threats related to *contribution of research to regional innovation* in the region

4-4 CHAPTER IV: CONTRIBUTION OF TEACHING & LEARNING TO LABOUR MARKET AND SKILLS (about 15 pages)

Localising the learning process

- How do HEIs draw upon the specific characteristics of a region to aid learning and teaching?
 - Are there any courses which meet regional needs?
 - In what ways are learning programs tied to reflecting and finding creative solutions on regional issues over the medium to long term rather than not simply to meet the short term need for training students for existing known skill number gaps?
 - Are there learning programs within the HEIs that enhance the capacity of students to be enterprising with the skills to put in place entities and initiatives to take advantage of regional issues and opportunities.

- What is the role of the careers service in the process of localising learning?
- How are students integrated in the region, in terms of course placements, accommodation, volunteering activities?
- What mechanisms exist to monitor/accredit extra-curricular activities?
- To what extent is postgraduate activity - which can be an effective tool of technology transfer to the region and a way of embedding highly skilled graduates in the regional economy - geared towards meeting regional needs? (i.e. Ph.D industrial programme in Denmark; Teaching Company Scheme in the UK; external associate professorship from local industry etc)
- Do the HEIs in the region facilitate voluntary associations and coalitions of regional expertise and knowledge around key regional strategic priorities?

Student recruitment and regional employment

- What are HEIs' policies concerning regional recruitment? What mechanisms are in place to increase this? Are there any collaborative partnerships or quota arrangements among regional HEIs to manage regional recruitment?
- To what extent do HEIs recognise themselves as part of a regional education supply chain?
- What mechanism exists to create pathways between regional HEIs and regional firms, especially SMEs?
- To what extent is labour market information gathered to monitor the flow of graduates into the labour market? Does this process involve other regional stakeholders?
- Are there any specific initiatives or practice to support graduate enterprise (i.e. the Cambridge MIT initiative in the UK) in an effort to retain graduates in the region and recruit alumni to return to the region?

Promoting lifelong learning, continuing professional development and training

- How is continuing education and continuing professional development activity organised? (i.e. adult liberal education; tailored and specialist continuing professional development)
- Have external or independent enterprises (i.e. separate and independently-run business school) been established within HEIs to extend professional education provision to the region?
- Is such provision undertaken in collaboration with other regional stakeholders?
- Which regional partners are involved in meeting regional training needs?
- What mechanisms are in place to increase access to learners in the region who have been traditionally under-represented in higher education? (i.e. ethnic minority, returning adult learners, those with disabilities)

Changing forms of educational provision

- What mechanisms exist for promoting flexible education provision such as satellite campuses, accreditation networks, on-line courses and outreach centres?

- How do HEIs maintain institutional coherence in the light of this multi-territorial educational provision?
- Are regional HEIs drawing upon new forms of ICT-based course delivery to enhance educational opportunities to a wider group?
- What are the tensions between place-based and virtual forms of education provision?

Enhancing the regional learning system

- To what extent is there a coherent vision of an education system existing at the regional level? Do HEIs acknowledge the need to develop education on a regional basis?
- What data analysis has been performed to establish the demand and supply of different types of higher education 'product' within the region?
- Are procedures in place to support regional collaboration between HEIs in this respect?
 - Is there a credit transfer system between education institutions and what links exist between the university and non-university higher education sector?
- What measures exist to promote gender equity in participation in higher education in the region?

Conclusion

- Collaboration between regional stakeholders related to *contribution of teaching & learning to labour market and skills*: (1) between the universities in the region; (2) Collaboration with the Non-university HEIs; and (3) Collaboration with other regional stakeholders (i.e. business, local government, training providers)
- Strengths, weaknesses, opportunities and threats related to *contribution of teaching & learning to labour market and skills* in the region

4-5 CHAPTER V: CONTRIBUTION TO SOCIAL, CULTURAL AND ENVIRONMENTAL DEVELOPMENT (about 10 pages)

Social Development

- Do the HEIs provide community access facilities and expertise support for services such as health and medical, welfare advisory, cultural exchange, Indigenous support, religious?
- Do the HEIs engage in partnership with the community in the provision of social services?

Cultural Development

- Do the HEIs provide facilities, expertise and learning program support for cultural groups?
- Do the HEIs encourage sporting development?
- Do the HEIs support the arts through its infrastructure, programs and services?
- Have HEIs established mechanisms through which their stock of cultural facilities can be jointly managed and marketed to the regional community?

Environmental Sustainability

- Are the campus of HEIs a practical demonstration of best practice to address environmental issues of concern to the regional community?
- Are there joint initiatives between the university, the regional community and others to demonstrate environmental sustainability possibilities for the region?

Conclusion

- Collaboration between regional stakeholders related to social, cultural and environmental development: (1) between the universities in the region; (2) Collaboration with the Non-university HEIs; and (3) Collaboration with other regional stakeholders (i.e. business, local government, social partners etc)
- Strengths, weaknesses, opportunities and threats related to social, cultural and environmental development in the region

4-6 CHAPTER VI: CAPACITY BUILDING FOR REGIONAL COOPERATION (about 15 pages)

Mechanisms to promote HEI-regional involvement

- What formal and informal mechanisms exist to identify regional needs? Has the catalyst for regional engagement been internal or external to HEIs?
 - Are their formal processes such as signed agreements that bind those in the engagement relationship?
- Have government and/or regional authorities undertaken an audit of the knowledge resources of the region in terms of: (1) the expertise, skills and experience of people in the regional population; (2) the research places and spaces; and (3) the accessibility of research and learning infrastructure for new innovative knowledge generating and dissemination initiatives?
- Does the region's strategic plan include the role of the HEIs as a key element?
- What resources are made available to HEIs by government and other to support regional engagement? How are these distributed? What incentives and support are provided to support regional engagement of HEIs?
- What processes are in place to regularly review current engagement arrangements between the HEIs and the region so as to build an element of ongoing improvement into the relationship?
 - How do government and/or regional authorities evaluate the success of HEIs in regional engagement? Have government and/or regional authorities identified any good practice in respect of regional engagement of HEIs and if so how has this been disseminated?
- What formal and informal mechanisms exist to coordinate the activities of HEIs in regional engagement both within HE sector and with those of other participants?
- Do the HEIs make use of existing regional community infrastructure for its operation? Also, does the community access HEI infrastructure for its day to day needs? (i.e., testing laboratories, libraries, sporting and cultural facilities, transport, accommodation for students, etc)

Promoting regional dialogue & Joint marketing initiatives

- What mechanisms exist to promote communication and dialogue between HEIs and regional stakeholders?
- What groups are part of the dialogue of regional engagement? How are the regional interests of various sectors of interest such as HE, industry, the private, public and voluntary sectors represented?
- What is the extent and nature of HEI staff representation on public/private bodies in the region? What are the reasons for such representation and what is their role? Is such representation monitored?
- What role do external bodies play in decision making within HEIs?
- Are there joint HEI/ regional promotion and marketing initiatives or a 'buy local' purchasing program within the HEIs in the region?

Evaluating and mapping the impact of the regional HE system

- Have HEIs, collectively and/or individually, undertaken an audit of their (its) impacts on and links with the region? (i.e., Direct economic impact of the institution; Contributions to local economic development; Social and cultural impact)
- How are such impact statements used and distributed to the region and further afield to promote the HEIs and the region?
- Do mechanisms exist to raise awareness of the role of HEIs in the region? What is known about the contribution that higher education makes to the region?

[FOR EACH INSTITUTION IN THE REGION]

Institutional capacity building for regional involvement

- To what extent has academic leadership and central management been altered to engage with regional needs?
- Does the institution's strategic plan include its relationship with the regional community as a key strategy for enhancing viability?
- What are the main channel of communication between regional stakeholders and the institution (senior managers, committees, etc) and who is responsible for regional decisions in the institution?
- What internal mechanisms exist for co-ordinating regional activities within the institution especially in relation to funding issues and what new posts/ offices have been created with an explicitly regional local remit?
- Does the institution use adjunct appointments to add expertise to its capacity?
- In what ways is the institution responding to regional ICT infrastructure and is it adopting new technologies to restructure their own management structures?

Human & Financial resources management

- How is the regional dimension incorporated into the human resources policy of the institution?
 - What training is given to staff with regional responsibilities? How is staff rewarded for regional engagement?
- How are regional and national funding streams managed? What are the possibilities of financial decentralisation within the institution?
- How does the institution embed new devolved financial responsibilities into academic life?
- How are new resources for regional engagement and activity generated? Who pays for the regional role of the institution?
- What new regional funding streams are emerging which the institution can tap into? What mechanisms are being established to tap into these sources?

Creating a new organisation culture

- Are there any significant cultural obstacles to adopting greater regional engagement within the institution (i.e. the connotations which regionalism has with parochialism, newness, and unsophistication)? What efforts have been done to overcome these obstacles?
- Is regional engagement part of the institution's mission? Has regional engagement become part of the academic mainstream of the institution? If so, how far this has influenced mainstream teaching and research?

4-7 CHAPTER VII: CONCLUSIONS: MOVING BEYOND THE SELF-EVALUATION (about 5 pages)

- Lesson to be learned from the self-evaluation process. Please include the following issues:
 - Which practice and methodologies seem to be the most promising for strengthening regional capacity building, and what factors make for their success?
 - What synergy is there between the aims and objectives of institutions and regions? Are there conflicting interests?
 - What incentives are there at institutional, departmental and individual level for HEIs to become more engaged?
 - What are the main challenges facing the different sets of decision-makers?
- The potentialities and problems, opportunities and threat for increasing the contribution that HEIs make to the region
- The way forward: the discussion of the region's vision for future policy.

APPENDIX: PRACTICAL GUIDELINES FOR PREPARING SELF-EVALUATION REPORT

Language

1. The self-evaluation report should be provided to the OECD Secretariat in *English*.

Length

2. The text of Chapters 1-7 of the self-evaluation report should be no more than 80 single-spaced pages in length. Additional material can be attached as Annexes or included as tables, charts, diagrams and extracts from other documents.

Contents

3. In addition to Chapters 1-7, we suggest that your self-evaluation report should include: a table of contents; a list of tables and figures; a list of acronyms; a glossary of terms; an executive summary; a list of references; and a set of Annexes.

Format

4. To ensure that self-evaluation reports have a consistent appearance and are easy to use we would appreciate it if you could follow these format guidelines:

- Font Times New Roman 11;
- Single spacing;
- Page size A4;
- Pages numbered (bottom centre of each page);
- Part /Section/chapter heading level 1: in **CAPITAL LETTERS IN BOLD** (centred);
- Sub-chapters heading level 2: **Normal letters in bold** (left justified);
- Heading level 3: ***Normal letters in bold and italics*** (left justified);
- Heading level 4: *Normal letters in italics* (left justified);
- Heading level 5: Normal letters (left justified);
- Normal text, single spacing within paragraphs, with a space between paragraphs;
- Paragraphs should be numbered sequentially throughout the document (1, 2, 3, etc.); indent after the paragraph number;
- Lists should be indented; points in a list should be indicated with bullets or numbers;
- Tables and figures should be prepared in Excel or Word, if possible. Each table and figure should have a title and a source, as well as notes as appropriate. Please insert the tables and figures as “pictures” in the document, not floating over the text. The numbering of the tables

and figures should be in accordance with the number of the chapter. For example, the first figure in Chapter 3 will be Figure 3.1, the second Figure 3.2 etc;

- Photos, which are inserted in the text as gifs or bitmaps, should have a resolution 300 dpi in the size of print to ensure quality of images;
- References should appear as needed throughout the text in round brackets, specifying the author and the date, like (Smith, 2004);
- Please use the symbol “%” instead of “per cent” or “percent”.

5. The self-evaluation report should be provided in electronic format, preferably as a Word document, suitable for placement on the OECD website.

6. In completing the self-evaluation report please try wherever possible to refer to the source(s) of any data -- legislation, formal agreements, research articles, literature reviews, surveys, evaluations, publications, administrative data and so on. Where possible, please provide copies of key documents, particularly those available in English and French. Countries should also take the opportunity to include extracts from key documents within the self-evaluation reports, or as appendices.

General notes on sources

7. Where data are not available, this should be noted, as we would like to identify priorities for future data collection and research.

8. In addition to statistical data, databases and official documents, it would be helpful if the self-evaluation report also drew on information from research studies in the country, whether of qualitative or quantitative nature. Countries should build some participation by using the input of their own researchers in the writing process.