

Appendix A – How the Review was Conducted

A.1 Background to the OECD Review

Over the past few decades tertiary education systems have experienced significant transformations. Globalisation and the development of knowledge-based economies have put new demands and pressures upon tertiary education institutions (TEIs). Tertiary education is increasingly expected to satisfy the needs of the economy and society, meet requirements for accountability and build closer links with a variety of stakeholders. During the past 20-30 years, the tertiary education landscape has changed a great deal, with increasingly diverse student populations and the emergence of new types of institutions and modes of study. Growing constraints on public funding, together with the expansion of tertiary education and the emergence of new demands, have encouraged the development of new patterns of financing and management.

Against this background, the OECD Education Committee launched the *Thematic Review of Tertiary Education* in October 2003, in response to the OECD Education Chief Executives' proposal of tertiary education as one of the five mid-term priorities for OECD work on education at their February 2003 meeting in Dublin. A meeting of National Representatives in April 2004 defined the guidelines for participation in the Review and the analytical work started in January 2005, when adequate Secretariat resources became available.

Tertiary education was also the focus of the meeting of OECD Education Ministers held in Athens in June 2006 with the theme *Higher Education – Quality, Equity and Efficiency*. Ministers noted that “Higher Education plays a vital role in driving economic growth and social cohesion” (Giannakou, 2006).

A.2 Purposes of the OECD Review

The OECD Review was designed to respond to the strong interest in tertiary education policy issues evident at national and international levels. The principal objective of the Review was to assist countries to understand how the organisation, management and delivery of tertiary education can help them achieve their economic and social objectives. The focus of the Review was upon tertiary education policies and systems, rather than upon the detailed management and operation of institutions, although clearly the effectiveness of the latter is influenced by the former. The Review's purposes, analytical framework and methodology are detailed in OECD (2004a). The main objectives were to:

- Synthesise research-based evidence on the impact of tertiary education policies and disseminate this knowledge among participating countries;

- Identify innovative and successful policy initiatives and practices;
- Facilitate exchanges of lessons and experiences among countries; and
- Identify policy options for policy makers to consider.

The scope of the Review included the funding and policy steering of tertiary systems; the regional role and labour market connections of tertiary education; the role of tertiary education in research and innovation; the academic career; equity in tertiary education; quality assurance and enhancement; and internationalisation.

The Review was intended to extend and add value to the existing body of international work on tertiary education. The importance of tertiary education is reflected in a wide variety of other OECD activities including an earlier review of tertiary education *Redefining Tertiary Education* (OECD, 1998), work by the Department of Economics on the policy determinants of investment in tertiary education (Oliveira Martins *et al.*, 2007), work on disability in higher education (OECD, 2003), work in the areas of science and technology (OECD, 2006; 2007a; 2008a), work by the Programme on Institutional Management of Higher Education (IMHE) on the contribution of higher education institutions to regional development (OECD, 2007b), work by the Centre for Educational Research and Innovation (CERI) on the *Future of Higher Education* (OECD, 2008b), e-learning in tertiary education (OECD, 2005), and internationalisation (OECD, 2004b; 2004c; 2007c) which included the publication of the OECD/UNESCO Guidelines for Quality Provision in Cross-border Higher Education (OECD and UNESCO, 2005). In addition, the OECD continues to strengthen the international comparative data base on tertiary education, including with the annual publication *Education at a Glance: OECD Indicators*.

The growing attention being paid to tertiary education policy is also evident in the work of other international organisations. The OECD Review has therefore been conducted in close co-operation with a wide range of international organisations to reduce duplication and develop synergies, in particular: the European Association for Quality Assurance in Higher Education, the European Commission, the European Investment Bank, the European Students' Union, the European University Association, Eurydice, the International Association of Universities, the International Network of Quality Assurance Agencies in Higher Education, UNESCO, UNESCO-CEPES (European Centre for Higher Education), UNESCO's International Institute for Educational Planning and the World Bank. Social partners have also been involved through the contribution of TUAC (Trade Union Advisory Committee to the OECD) and BIAC (Business and Industry Advisory Committee to the OECD).

A.3 Methodology and country participation

Cross-country collaboration

The Review was based on participating countries working collaboratively with each other and with the Secretariat. It involved examining country-specific issues and policy responses in tertiary education policy, and placing these experiences within a broader framework to generate insights and findings relevant to OECD countries as a whole. The collaborative approach provided countries with an opportunity to learn more about themselves by examining their experiences against those of other countries. It was also

intended to add to the broader knowledge base by accumulating international evidence on the impact of policy reforms, and the circumstances under which they work best.

Two complementary strands

The Review involved two complementary approaches: an *Analytical Review strand*; and a *Country Review strand*. The Analytical Review strand used several means – country background reports, literature reviews, data analyses and commissioned papers – to analyse the factors that shape tertiary education and possible policy responses. All 24 participating countries were involved in this strand. In addition, fourteen countries chose to host a Country Review, which involved external review teams undertaking an intensive case study visit whose conclusions were then reflected in a Country Review report (the Country Note).

Participating countries

The countries taking part in the Review were:

- *Analytical Review strand* (24 countries): Australia, Belgium (Flemish Community), Chile, China, Croatia, the Czech Republic, Estonia, Finland, France, Greece, Iceland, Japan, Korea, Mexico, the Netherlands, New Zealand, Norway, Poland, Portugal, the Russian Federation, Spain, Sweden, Switzerland and the United Kingdom.
- *Country Review strand* (14 countries): China, Croatia, the Czech Republic, Estonia, Finland, Iceland, Japan, Korea, Mexico, the Netherlands, New Zealand, Norway, Poland and Spain.

National co-ordinator

Each participating country appointed a National Co-ordinator. The Co-ordinator was responsible for: communications with the OECD Secretariat about the Review; communications within the country about the Review; ensuring that the Country Background Report was completed on schedule; liaising with the OECD Secretariat about the organisation of the review team visit for those countries which participated in the country review strand; attending international meetings and workshops associated with the Review; co-ordinating country feedback on draft materials; and assisting with dissemination activities. National Co-ordinators are listed in Table A.1.

National Steering Committee

Most participating countries appointed a National Steering Committee representing key stakeholder groups. Its role included supporting the work of the National Co-ordinator, overseeing the preparation of the Country Background Report, and assisting in the Review more generally. Where a country decided not to establish a National Steering Committee, it established processes for ensuring that the Country Background Report adequately reflected the views and perspectives of the different stakeholder groups concerned with tertiary education policy.

Table A.1. National co-ordinators in the participating countries

Country	National Co-ordinator
Australia	Ms. Karen Sandercock, Department of Education, Science and Training (until January 2005) Mr. Jeremy Hodes, Department of Education, Science and Training (until August 2006) Ms. Shane Samuelson, Department of Education, Science and Training (until December 2007) Ms. Katherine Vickers, Department of Education, Employment and Workplace Relations
Belgium (Flemish Community)	Mr. Noël Vercruyse, Ministry of Education of the Flemish Community
Chile	Ms. Pilar Armanet, Ministry of Education (until May 2006) Mr. Julio Castro, Ministry of Education
China	Mr. Li Zhang, National Centre for Education Development Research Mr. Fan Wenyao, National Centre for Education Development Research
Croatia	Mr. Željko Dujčić, University of Split
Czech Republic	Ms. Helena Sebková, Centre for Higher Education Studies
Estonia	Ms. Heli Aru, Ministry of Education and Research
Finland	Mr. Osmo Lampinen, Ministry of Education
France	Mr. Elie Cohen, Ministry of Education Ms. Nadine Prost, Ministry of Education
Greece	Mr. Manolis Koutouzis, Greek Education Research Centre Ms. Sofia Georgiadou, Greek Education Research Centre
Iceland	Mr. Stefán Stefánsson, Ministry of Education, Science and Culture (until August 2006) Mr. Arnór Guðmundsson, Ministry of Education, Science and Culture (until August 2007) Mr. Stefán Baldursson, Ministry of Education, Science and Culture
Japan	Mr. Masahide Kuriyama, Ministry of Education, Culture, Sports, Science and Technology (until January 2006) Mr. Yoshinori Murata, Ministry of Education, Culture, Sports, Science and Technology (until March 2006) Mr. Takayoshi Seiki, Ministry of Education, Culture, Sports, Science and Technology (until June 2006) Mr. Shinjiro Komatsu, Ministry of Education, Culture, Sports, Science and Technology (until July 2007) Mr. Makoto Fujiwara, Ministry of Education, Culture, Sports, Science and Technology
Korea	Mr. Jong-Gap Lee, Ministry of Education and Human Resources Development Mr. Byung-Shik Rhee, Ministry of Education and Human Resources Development Mr. Jhong Kyu Leeh, Ministry of Education and Human Resources Development Mr. Wha Jin Kim, Ministry of Education and Human Resources Development
Mexico	Ms. Felicia Knaul, Ministry of Public Education (until November 2006) Mr. Eugenio Cetina, Ministry of Public Education
Netherlands	Ms. Marlies Leegwater, Ministry of Education, Culture and Science
New Zealand	Mr. Roger Smyth, Ministry of Education (National co-ordinator) Mr. Jason McClelland, Ministry of Education (Project manager) (until May 2007)
Norway	Ms. Gro Beate Vige, Ministry of Education and Research
Poland	Mr. Robert Pawlak, Ministry of National Education and Sports (until June 2006) Ms. Maria Klimkiewicz, Ministry of Science and Higher Education
Portugal	Ms. Teresa Patrício, Ministry of Science, Technology and Higher Education
The Russian Federation	Ms. Marina Larionova, Higher School of Economics Ms. Tatiana Meshkova, Higher School of Economics
Spain	Ms. Leonor Carracedo, Ministry of Education and Science (National co-ordinator) Mr. José-Ginés Mora Ruiz (Academic co-ordinator)
Sweden	Ms. Helena Mähler Lejon, Swedish National Agency of Higher Education Mr. Per Gunnar Rosengren, Swedish National Agency of Higher Education
Switzerland	Mr. Andri Gieré, Federal Office for Professional Education and Technology (until October 2007) Mr. Blaise Roulet, Federal Office for Professional Education and Technology
United Kingdom	Ms. Rachel Green, Department for Innovation, Universities and Skills Ms. Mary Gurteen, Department for Innovation, Universities and Skills

Country background report

Participating countries prepared a Country Background Report (CBR). These were prepared in response to a common set of issues and questions, and used a common framework to facilitate comparative analysis and to maximise the opportunities for countries to learn from each other. The background reports were a major source of material for this report. The guidelines for preparing the Country Background Reports are detailed in OECD (2004a).

The CBRs were intended to be about 100 pages in length and to be structured around the following main chapters:

- i. The national context of tertiary education*
- ii. Overall description of the tertiary education system*
- iii. The tertiary education system and the labour market*
- iv. The regional role of tertiary education*
- v. The role of tertiary education in research and innovation*
- vi. Achieving equity in and through tertiary education*
- vii. Resourcing the tertiary education system*
- viii. Planning, governing and regulating the system*
- ix. Assuring and improving the quality of tertiary education*
- x. Internationalisation and globalisation of tertiary education*
- xi. Conclusion*

The work on the CBRs took place mainly between the end of 2004 and the end of 2006. Countries differed somewhat in the time they joined the Review and time needed to complete and publish their CBR. Countries also differed in the extent to which they were able to include current data and policy developments in their reports. Therefore the CBRs do not all refer to the same period, although most encompass developments up to about 2006. In early 2008 some countries prepared updates on their CBR for publication on the Review Web site.

The CBR is intended for four main audiences: the OECD Secretariat and other countries participating in the Review as an aid to sharing experiences and providing material for this report; the team of external reviewers who visited the countries which took part in the Country Review strand; those interested in tertiary education policy issues within the country concerned; and those interested in tertiary education policy issues at the international level and in other countries. The CBRs are available from the Review Web site: www.oecd.org/edu/tertiary/review

Synthesis tables

In addition to the Country Background Reports, all countries supplied qualitative detailed information on features of their tertiary education systems through a questionnaire prepared by the OECD Secretariat. The data covered mechanisms to allocate public funds to TEIs, employment and career structure of academics, governing boards in TEIs, student entrance procedures, quality assurance mechanisms, student support schemes including measures targeted at under-represented groups, provisions for internationalisation and commercialisation of public research. The information supplied by countries was published in a set of tables in this report.

Country review visits

Another major source of material for this report was the set of Country Notes prepared by the external review teams that visited countries taking part in the Country Review Strand. By providing an external perspective on tertiary education policy issues in the countries concerned, the Country Notes were also intended to contribute to national discussions, as well as inform other countries about policy innovations underway. The Country Notes were also published as a publication series: *OECD Reviews of Tertiary Education*, in order to enhance the visibility of these country-specific outputs as part of the Review.

For each country visited, a team of up to six reviewers (including at least one OECD Secretariat member) analysed the Country Background Report and associated materials and subsequently undertook an intensive case study visit of about 10 days in length. The reviewers were selected in consultation with the country authorities to ensure that they had experience relevant to the main policy issues in the country concerned. The study visit aimed to provide the review team with a variety of perspectives on tertiary education policy and included meetings with a wide range of national, regional and local authorities; representatives of Ministries such as education, finance, labour, industry, research, science and technology; TEIs; student organisations; representatives of academic staff; employers; the business and industry community; agencies responsible for funding and quality assurance; and researchers with an interest in tertiary education policy. The objective was to accumulate sufficient information and understanding on which to base the analysis and policy recommendations.

The fourteen review visits involved 52 external reviewers from 22 countries and with a range of research and policy backgrounds. Overall, the external review teams visited about 150 TEIs and met with about 4 000 individuals to base their findings. Details on the country review visits are given in Table A.2.

Analytical strand visits

Countries participating in the Analytical strand of the Review only were offered the possibility of receiving a short visit by a member of the OECD Secretariat in order to deepen the Secretariat's understanding of key policy issues and awareness of innovative policies and/or practices at the national level. These 1-2 day visits sought to better reflect the experience of the concerned countries in this report, and involved meetings between one Secretariat member and key individuals and stakeholder groups. Four Analytical strand visits were organised: Belgium (Flemish Community, 13 November, 2006), the Russian Federation (12-13 April, 2007), Sweden (4-5 September, 2006) and the United Kingdom (8-9 November, 2006).

Table A.2. Thematic Country Reviews and Team Members

Country	Review team
Norway 7-16 March 2005	Mr. Richard Sweet, OECD Secretariat (co-ordinator) Mr. Tony Clark, formerly with Department of Education and Employment, United Kingdom (rapporteur) Mr. Karl Heinz Grüber, formerly with University of Vienna, Austria Mr. Pedro Lourtie, Technical University of Lisbon, Portugal Mr. Paulo Santiago, OECD Secretariat Ms. Åsa Sohlman, formerly with Ministry of Industry, Employment and Communications, Sweden
Iceland 26 September – 3 October 2005	Mr. Paulo Santiago, OECD Secretariat (co-ordinator) Mr. Guy Neave, University of Twente (the Netherlands) and IAU, United Kingdom (rapporteur) Ms. Susana Borrás, Roskilde University (Denmark), Spain Mr. Jørgen Gulddahl Rasmussen, Aalborg University, Denmark Mr. Roger Smyth, Ministry of Education, New Zealand Mr. Thomas Weko, OECD Secretariat
Korea 17-26 October 2005	Mr. Richard Sweet, Consultant to the OECD (co-ordinator) Mr. Norton Grubb, University of California – Berkeley, United States (rapporteur) Mr. Michael Gallagher, The Australian National University, Australia Mr. Ossi Tuomi, Finnish Higher Education Evaluation Council, Finland
Finland 12-20 December 2005	Mr. Thomas Weko, OECD Secretariat (co-ordinator) Mr. John L. Davies, Anglia Ruskin University, United Kingdom (rapporteur) Ms. Lillemor Kim, Swedish Institute for Studies in Education and Research, Sweden Mr. Erik Thulstrup, Roskilde University, Denmark
New Zealand 6-14 February 2006	Mr. Paulo Santiago, OECD Secretariat (co-ordinator) Mr. Leo Goedegebuure, University of New England (Australia), the Netherlands (rapporteur) Ms. Laara Fitznor, University of Manitoba, Canada Mr. Bjørn Stensaker, NIFU-STEP, Norway Ms. Marianne van der Steen, Delft University of Technology, the Netherlands
Mexico 13-23 March 2006	Mr. Paulo Santiago, OECD Secretariat (co-ordinator) Mr. José Joaquín Brunner, Universidad Adolfo Ibáñez, Chile (rapporteur) Ms. Carmen García Guadilla, Universidad Central de Venezuela, Venezuela Mr. Johann Gerlach, Freie Universität Berlin, Germany Ms. Léa Velho, Universidade Estadual de Campinas, Brazil
The Czech Republic 20-28 March 2006	Mr. Thomas Weko, OECD Secretariat (co-ordinator) Mr. Jon File, University of Twente (the Netherlands), United Kingdom (rapporteur) Mr. Arthur M. Hauptman, independent public policy consultant, United States Ms. Sabine Herlitschka, Austrian Research Promotion Agency, Austria Ms. Bente Kristensen, Copenhagen Business School, Denmark
The Netherlands 24 April - 2 May 2006	Mr. Thomas Weko, OECD Secretariat (co-ordinator) Mr. Simon Marginson, Monash University, Australia (rapporteur) Ms. Nicola Channon, Quality Assurance Agency for Higher Education, United Kingdom Ms. Terttu Luukkonen, Research Institute of the Finnish Economy, Finland Mr. Jon Oberg, formerly with the United States Department of Education, United States
Poland 7-16 May 2006	Mr. Paulo Santiago, OECD Secretariat (co-ordinator) Mr. Oliver Fulton, University of Lancaster, United Kingdom (rapporteur) Mr. Charles Edquist, Lund University, Sweden Ms. Elaine El-Khawas, George Washington University, United States Ms. Elsa Hackl, University of Vienna, Austria
Japan 14-24 May 2006	Mr. Thomas Weko, OECD Secretariat (co-ordinator) Mr. Howard Newby, University of West England, United Kingdom (rapporteur) Mr. David Breneman, University of Virginia, United States Mr. Thomas Johanneson, STFI-Packforsk AB, Sweden Mr. Peter Maassen, University of Oslo, Norway

Table A.2. Thematic Country Reviews and Team Members (continued)

Country	Review team
Croatia 9-16 June 2006	Mr. Abrar Hasan, OECD Secretariat (co-ordinator) Mr. Chris Duke, RMIT University, Australia (rapporteur) Mr. Paul Cappon, Canadian Council on Learning, Canada Mr. Werner Meissner, Goethe Universität, Germany Ms. Hilary Metcalf, National Institute of Economic and Social Research, United Kingdom Mr. Don Thornhill, National Competitiveness Council of Ireland, Ireland
Estonia 24 September – 3 October 2006	Mr. Paulo Santiago, OECD Secretariat (co-ordinator) Mr. Jeroen Huisman, University of Bath (United Kingdom), the Netherlands (rapporteur) Mr. Per Högselius, Lund University, Sweden Ms. Maria-José Lemaitre, The National Commission for Programme Accreditation, Chile Mr. William Thorn, Department of Education, Science and Training, Australia
China 5-16 March 2007	Mr. Abrar Hasan, OECD Secretariat (co-ordinator) Mr. Michael Gallagher, The Australian National University, Australia (rapporteur) Ms. Mary Canning, formerly with the World Bank, Ireland Mr. Howard Newby, University of West England, United Kingdom Ms. Lichia Saner-Yiu, Centre for Socio-Eco-Nomic Development, Switzerland Mr. Ian Whitman, OECD Secretariat
Spain 20-29 May 2007	Mr. Paulo Santiago, OECD Secretariat (co-ordinator and rapporteur) Mr. José Joaquín Brunner, Universidad Diego Portales, Chile Mr. Guy Haug, formerly with the European Commission, France Mr. Salvador Malo, Mexican Institute for Competitiveness, Mexico Ms. Paola di Pietrogiacomo, Institute for Prospective Technological Studies (IPTS) of the European Commission Joint Research Center (Spain), Italy

Note: The Country Notes prepared by the review teams are available from: www.oecd.org/edu/tertiary/review

Commissioned and background papers

The Review was also enriched through commissioned and background papers taking up particular issues in depth:

- *The Roles of Tertiary Colleges and Institutions: Trade-offs in Restructuring Postsecondary Education*, by W. Norton Grubb, University of California, Berkeley, 2003;
- *Quality Assurance in Tertiary Education: Current Practices in OECD Countries and a Literature Review on Potential Effects*, by Viktoria Kis, 2005; and
- *Tertiary Education Systems and Labour Markets*, by Stephen Machin and Sandra McNally, Centre for the Economics of Education, London School of Economics, 2007.

Workshops

In order to facilitate sharing of lessons and experiences among participating countries, workshops were periodically organised throughout the Review. In addition to the country representatives, international experts and key stakeholders were invited to contribute to the debate. Details on the workshops are provided in Table A.3.

Table A.3. Workshops of Participating Countries

Date and location	Hosts	Main Issues treated
Bern, Switzerland 6-7 June 2005	Swiss Federal Office for Professional Education and Technology (OPET)	<ul style="list-style-type: none"> – Discuss the organisation and timing of the various elements in the Review; – Exchange information among participating countries about launching and organising the work; – Learn of other relevant work by other international agencies and other OECD units; – Exchange ideas about emerging issues in tertiary education; and – Discuss issues particular to the Swiss tertiary education system.
Paris, France 26-27 January 2006	OECD	<ul style="list-style-type: none"> – Update national and international progress on the Review; – Update related work by the OECD and other international organisations; and – Organise moderated discussion sessions on leading topics encompassed by the Review, including human resources, funding, governance, and quality assurance.
Prague, the Czech Republic 30 November – 1 st December 2006	Ministry of Education, Youth and Sports of the Czech Republic	<ul style="list-style-type: none"> – Update national and international progress on the Review; – Update related work by the OECD and other international organisations; – Initiate the preparation of the Final Synthesis Report: discussion of an “Extended Outline”, the main issues and findings, and the process for completing the report; and – Discuss the project’s commissioned paper on Labour Markets and Tertiary Education, by Stephen Machin and Sandra McNally from the London School of Economics.
Paris, France 27-28 September 2007	OECD	<p>The main purpose of the Workshop was to discuss the first draft of Final Synthesis Report from the Review. The Workshop also included:</p> <ul style="list-style-type: none"> – An update on national and international progress on the Review; – An update on related work by the OECD and other international organisations; and – A discussion of potential dissemination activities and possible future work on tertiary education policy.

Dissemination

The Review had a strong emphasis on dissemination from the outset. Participating countries were encouraged to consult widely with the tertiary education community in the preparation of Country Background Reports. A number of countries published their reports. When conducting the country review visits the review teams sought the views of large numbers of organisations and individuals.

To facilitate dissemination and encourage feedback, all project documents were placed on the Review’s Web site www.oecd.org/edu/tertiary/review. Throughout the Review, the OECD Secretariat made a large number of presentations about the project to a wide range of meetings and to groups of visitors to the OECD.

The Ministry of Science, Technology and Higher Education of Portugal hosted an international conference in Lisbon on 3 and 4 April 2008 with the sponsorship of the Portuguese Foundation for Science and Technology to conclude the Review and launch this report. The conference was locally organized by the *Instituto Superior de Ciências do Trabalho e da Empresa* (ISCTE), a public university based in Lisbon. The conference, entitled *Tertiary Education for the Knowledge Society*, examined how tertiary education policy can help countries achieve their economic and social goals. Details are available on the Conference's Web site: <http://oecd-conference-teks.iscte.pt>. Over fifteen countries also organised national events to discuss both the international results from the Review and the conclusions of specific country reviews.

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