

Measuring fundamental values: indicators, tools and initiatives. A Mapping Report.

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1. Context and Aims

The *New building blocks of the Bologna Process: Fundamental Values* project aims to support the implementation of the Bologna Process commitments and, more precisely **the BFUG Fundamental Values Working Group's endeavor to promote a set of indicators for the monitoring and assessment of the fundamental values of higher education**. The fundamental values in the European Higher Education Area (EHEA) referred to in this report are those listed in the Rome Communiqué (2020): institutional autonomy, academic freedom and integrity, participation of students and staff in higher education governance, and public responsibility for and of higher education.

The current report undertakes a mapping of existing indicators that are available at present anywhere in the world for measuring and monitoring fundamental values. It aims to provide a clear and comprehensive analytical picture of the state of the art in this area.

The specific objectives of the report are to:

- Identify existing indicators for fundamental values (cf. Rome Communiqué) in the world. This includes indicators that are not necessarily yet used for international comparisons and those that are used outside the EHEA as well.
- Briefly characterize each indicator by clarifying what they are used for, what they measure and how the data is collected. The report looks specifically at whether or not existing indicators, tools and measuring initiatives use the definitions of the EHEA values.
- Provide initial assessment regarding the extent to which these indicators can be used in the framework of the EHEA project on monitoring fundamental values of higher education.

2. Summary of findings

The summary of findings is succinctly presented in Appendix 1, which represent *de facto*, the map that this report puts forward. Section 3, below, presents each of these tools and attempts individually. The synthetic map is discussed in detail in the conclusions. What we look at is:

- attempts to measure the fundamental values (indicators, tools, models)
- type of tool/measurement in each case
- direct or indirect assessment/measurement
- do tools measure the respective value as defined in the EHEA 2020 Rome Communiqué or in the drafts currently being considered by the WG on Fundamental values?
- Initial assessment regarding the usefulness of the respective tool in the EHEA efforts to monitor fundamental values (yes/no, how if yes).

In summary, using the methodology detailed in Section 3, below, we have identified:

- 10 indicators, tools or relevant measurement exercises for academic freedom
- 3 for academic integrity
- 11 for institutional autonomy
- 8 for the participation of students and staff in governance
- 4 for the public responsibility for higher education
- 4 for the public responsibility of higher education.

It should be noted even before interpretation, conclusions and recommendations that:

- Some indicators/tools apply to more than one value.
- Indicators and tools are very different in nature.
- Current (draft) definitions of fundamental values have served as an important reference point for assessing the existing instruments and tools for measuring and monitoring. In one case (integrity), there is no EHEA definition available, not even a draft. Moreover, it is not certain that the definitions will be approved as currently drafted, which may require to update the current mapping at a later time, when these definitions are approved by the ministers. This should not be difficult, given the existence of the data base we have put together. As such, there will be no need to collect new data at that time.

3. Data Sources and Methodology

To achieve these objectives, the report makes use of a mixed-methods research design. The research methods used were desk research, a systematic literature review, and an expert survey. In this way, the research team aimed to integrate complementary sources of information and achieve a comprehensive mapping of existing measures and monitoring mechanisms for fundamental values in higher education. The research methods used are briefly described below.

Desk research. The mapping activity started from identifying the main exercises in measuring and monitoring fundamental values in higher education (e.g., the Academic Freedom Index published by the Global Public Policy Institute and the Autonomy Scorecard published by the European University Association). Starting from these resources we used referential backtracking (i.e., checking the reference list of the publication) and researcher checking (i.e., checking the publication record of the authors) to identify additional useful resources in the mapping exercise. In addition, higher education databases were consulted to identify indicators that might be relevant in assessing the state of play when it comes to fundamental values in the EHEA. Examples of the databases we used include the European Tertiary Education Register database (ETER¹), the U-Multirank Indicator Book², the Varieties of

¹ <https://eter-project.com>

² <https://www.umultirank.org/export/sites/default/press-media/documents/Indicator-Book-2022.pdf>

Democracy Dataset (V-Dem³). Finally, higher education news websites (e.g. University World News, Times Higher Education) were briefly scanned to identify practice-based examples of measuring and monitoring fundamental values in higher education.

Systematic literature review. To ensure a comprehensive overview of published research, three databases were searched for academic and gray literature: (1) ERIC, the world's largest educational database and the most used index for carrying out educational research; (2) Scopus, which indexes peer-reviewed journals in top-level subject fields; (3) OpenGrey, a large repository of European open access gray literature. A keyword list⁴ reflecting the objectives of the study was developed in order to conduct controlled keyword searches in the above-mentioned databases and retrieve results in a systematic manner. After filtering for publication in English, the controlled keyword search yielded 1732 results.

Figure 1 shows the PRISMA⁵ diagram of the systematic literature review. The results of the controlled keyword searches (n=1732) were uploaded to Covidence, a collaborative SLR management system. Covidence automatically removed any duplicates (n=103) that appeared in the pool of results due to the overlap between the ERIC and Scopus databases. Next, the title and abstract screening (n=1629) and the full text review (N=87) were carried out. A record was kept only if it met both of the following criteria:

(1) topic: the record deals with fundamental values in higher education (i.e., academic freedom and integrity, institutional autonomy, participation of students and staff in governance, public responsibility for and of higher education)

(2) empirical: provides a proxy for measuring, monitoring or assessing fundamental values in higher education

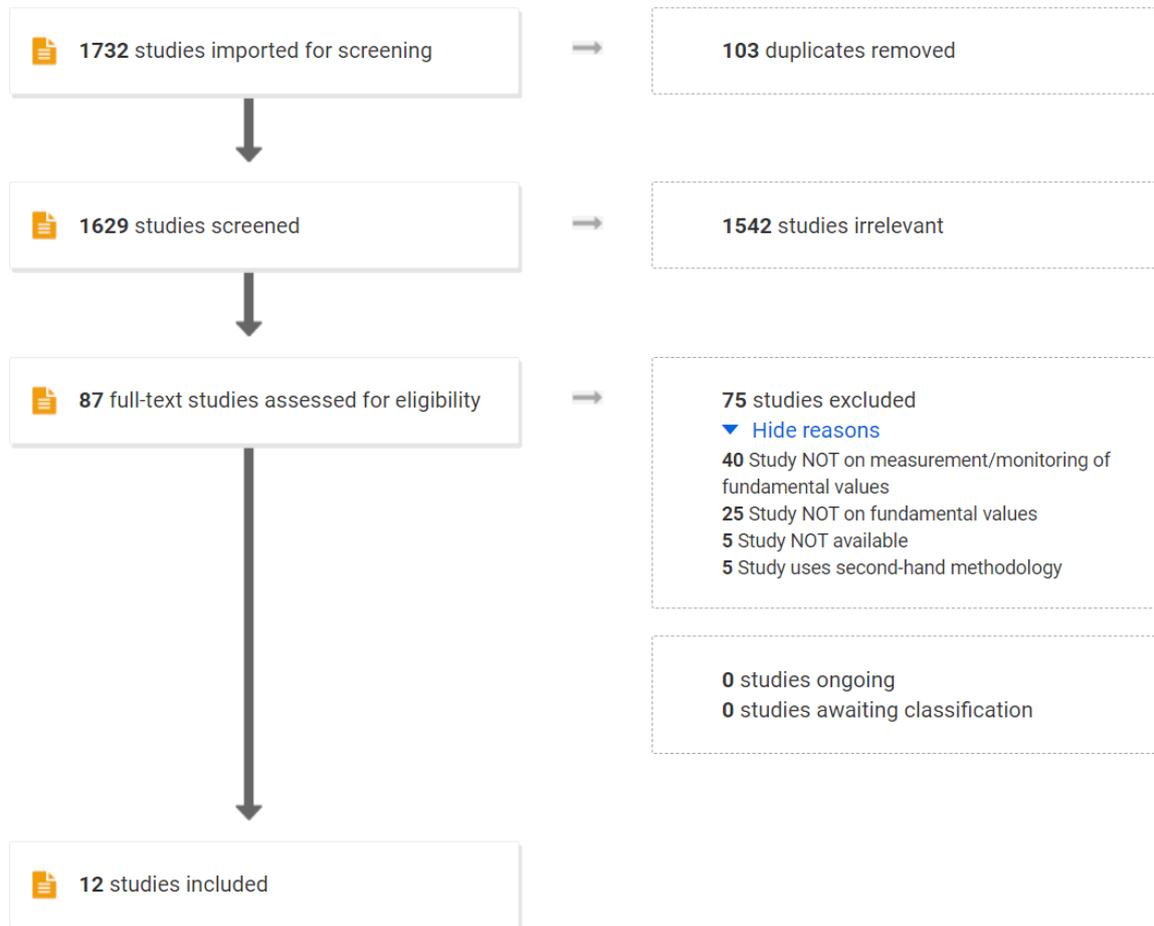
³ <https://www.v-dem.net>

⁴ The Boolean search string used was (indicator OR framework OR monitor OR measure) AND ("academic freedom" OR "academic integrity" OR "institutional autonomy" OR "participation in governance" OR "governance participation" OR "public responsibility" OR "fundamental values"). In research based on SLR methodology there is a balance that must be struck between sensitivity (finding as many relevant articles as possible) and specificity (ensuring that the articles found are indeed relevant) (Siddaway et al., 2019). The keyword selection reflects this concern and, in line with methodological guidelines, errs on the side of sensitivity casting a wide net to catch all possibly relevant literature. When searching for literature using keywords, being less specific means that you are able to capture more literature. For example, by excluding words that refer to higher education (e.g., "tertiary education", "higher education institution", "university", "campus", "college", "academia") or a specific group (e.g., "staff", "student", "professor", "administrator", "academic") from the keyword list we ensure that we capture all articles referring to fundamental values irrespective of whether they refer to higher education or a specific group. When it comes to keyword searches, more specificity does not increase the pool of articles identified. The final keyword selection was done in consultation with other higher education experts from the study content team.

⁵ Preferred Reporting Items for Systematic Reviews and Meta-Analyses (PRISMA). More information can be found at: <https://www.prisma-statement.org//>

Following the reviews based on the above criteria, 12 studies were included in the mapping report.

Figure 1: PRISMA diagram of systematic literature review



Source: Covidence

Expert consultation. Findings from the expert consultation aimed to ensure that the study brings added value beyond the existing literature and the team’s expertise. For this purpose, we used an online survey instrument (available [here](#)) and asked 50 experts in the field of higher education to suggest any efforts to measure or monitor fundamental values that they are aware of. The experts consulted included scholars from Europe, the US, Africa and Latin America. The response rate of the online survey was 24%, with 12 experts answering the questionnaire.

4. Assessing Fundamental Values in Higher Education: instruments, tools and initiatives. Inventory and description

The different sources of data provided both overlapping established and novel findings in relation to possible avenues for assessing fundamental values in higher education. To ensure consistency in reporting, the findings from these three different research methods are presented in an integrated manner in this section based on the fundamental values they aim to measure. Also, to ensure easy use of the inventory of assessments of fundamental values in higher education we present the findings focusing on 3 areas: indicator source, indicator description and indicator operationalization.

4.1. Academic Freedom

4.1.1 Academic Freedom Index (Varieties of Democracy (V-Dem) Dataset)

Source: <https://www.v-dem.net>, more on index: <https://www.gppi.net/2021/03/11/free-universities>

Description: The V-Dem is a dataset that aims to capture and measure the complexity of democracy by “aggregating expert judgments in a way that produces valid and reliable estimates of difficult-to-observe concepts” (V-Dem Project, 2022). V-Dem works with more than 3500 country experts.

The Academic Freedom Index is developed by the Global Public Policy Institute (GPPI) and it is designed to provide an aggregated measure that captures the de facto realization of academic freedom around the world, including the degree to which higher-education institutions are autonomous⁶. The index makes use of V-Dem database indicators.

Operationalization: “The Academic Freedom Index is composed of five expert-coded indicators that capture key elements in the de facto realization of academic freedom: **(1) freedom to research and teach; (2) freedom of academic exchange and dissemination;** (3) institutional autonomy; (4) campus integrity; and **(5) freedom of academic and cultural expression.**

A given issue is assessed by multiple, independent experts for each country in each year based on a pre-defined scale. Some 2,000 experts – typically academics in the respective country – have so far contributed such assessments. The ratings of individual coders are aggregated into country-year scores for each indicator, and in a second step for the index, using a Bayesian measurement model.

In the dataset, the index is complemented by some additional, factual indicators, assessing states’ de jure commitments to academic freedom at (6) constitutional and (7) international levels, as well as (8) whether universities have ever existed in a given country.”

⁶ As a result, the indicators it is based on are relevant for measuring both academic freedom and institutional autonomy.

4.1.2. Changing Academic Profession (CAP)

Source: Teichler, U., Arimoto, A., & Cummings, W. K. (2013). *The changing academic profession. Dordrecht etc: Springer.*

Description: The project Changing Academic Profession (CAP) is a research that examines the academic profession across more than 20 countries. It encompasses knowledge and data about systems of higher education, functions, productivity and attitudes of academicians in a comparative perspective.

Operationalisation: CAP survey is used to address multiple research questions. Examples below show how specific variables from this survey can be selected and grouped to assess academic freedom.

Selected survey questions by Altbach⁷

- how strongly do you think academic freedom is protected in your country;
- are there any political or ideological restrictions on what a scholar may publish;

Selected survey questions by Tichler, Arimoto, Cummings⁸

- which actor has the primary influence on a given list of decisions, and one possible answer was “government or external stakeholder,” alongside various intra-academic options
- Restrictions on the publication of results from my publicly (/privately) funded research have increased since my first appointment
- External sponsors or clients have no influence over my research activities
- At my institution there is [...] a topdown management style.

4.1.3. Freedom in the World (Freedom House)

Source: <https://freedomhouse.org/report/freedom-world>

Description: “Freedom in the World is produced each year by a team of in-house and external analysts and expert advisers from the academic, think tank, and human rights communities. The 2022 edition involved 128 analysts, and nearly 50 advisers. The analysts, who prepare the draft reports and scores, use a broad range of sources, including news articles, academic analyses, reports from nongovernmental organizations, individual professional contacts, and on-the-ground research. The analysts score countries and territories based on the conditions and events within their borders during the coverage period. The analysts’ proposed scores are discussed and defended at a series of review meetings, organized by region and attended by Freedom House staff and a panel of expert advisers.

⁷ Philip Altbach, *Comparative higher education: Knowledge, the university, and development*, Westport: Ablex Publishing, 1998, p. 85.

⁸ Ulrich Teichler, Akira Arimoto, and William. K. Cummings, *The changing academic profession. Major findings of a comparative survey*, Dordrecht: Springer, 2013, pp. 213–229

The end product represents the consensus of the analysts, outside advisers, and Freedom House staff, who are responsible for any final decisions.”⁹

Operationalization: One of the indicators of the report reflects academic freedom “Is there academic freedom, and is the educational system free from extensive political indoctrination?”. The indicator reflects different fundamental academic values. The questions that addresses academic freedom is formulated the following way:

- Are teachers and professors at both public and private institutions free to pursue academic activities of a political and quasi-political nature without fear of physical violence or intimidation by state or nonstate actors?
- Does the government pressure, strongly influence, or control the content of school curriculums for political purposes?

4.1.4. Criterion referenced approach by Karran, Beiter, & Appiagyei-Atua (2017)

Source:

Karran, T., Beiter, K., & Appiagyei-Atua, K. (2017). Measuring academic freedom in Europe: a criterion referenced approach. *Policy Reviews in Higher Education*.

Karran, T. (2007) Academic Freedom in Europe: A Preliminary Comparative Analysis. *Higher Education Policy* 20 (3): 289–313.

Description: The paper’s purpose is a comparative assessment of the protection for, and health of, academic freedom in the universities of the then 23 European Union nations. The paper addresses the constitutional and legislative frameworks in relation to academic freedom in the EU, assessing them against the different elements of UNESCO’s Recommendation Concerning the Status of Higher-Education Teaching Personnel (1997), in relation to freedom for teaching and research, institutional autonomy, shared governance and tenure.

Operationalisation: The authors imply that academic freedom assessment requires creation of a multidimensional picture involving variables that could be associated with other fundamental values that academic freedom (see the list below).

1. **Protection for teaching and research**
2. Legal provision for institutional autonomy
3. Internal operation of autonomy
4. State regulation of autonomy
5. Private sector constraints on autonomy
6. Legal provision for self-governance
7. Operational self-governance
8. Staff powers of appointment and dismissal
9. Protection for academic tenure and promotion
10. Constitutional protection for academic freedom (compliance)

⁹ <https://freedomhouse.org/reports/freedom-world/freedom-world-research-methodology>

11. Constitutional protection for academic freedom (ratification)

Yet the list of indicators contains a separate measurement for academic freedom.

Table 1. Protection for teaching and research: compliance levels and scores.

0%	non-compliance: there is no reference to academic freedom at all in the constitution or in h.e. legislation
5%	between non- and partial compliance: a general statement is made on academic freedom but there is an absence of elaboration plus limitations or deficiencies (e.g. freedom for research is mentioned but not for teaching), or, where provisions exist addressing academic freedom, they reveal major substantial deficits when assessed against generally agreed criteria on academic freedom
10%	partial compliance: a general statement is made on academic freedom, but without the necessary elaboration or concretisation of this statement elsewhere in the h.e. legislation or, where provisions exist addressing academic freedom, they reveal some serious deficits when assessed against generally agreed criteria on academic freedom.
15%	between partial and full compliance: provisions exist showing that academic freedom serves as a guiding principle for activity in higher education, but there are a few minor deficits when provisions are assessed in the light of generally agreed criteria on academic freedom.
20%	full compliance: provisions on academic freedom are in full compliance with generally agreed criteria, showing that academic freedom serves as a guiding principle within universities, such that it forms 'general principles' in the h.e. legislation, or is referred to in various contexts throughout the legislation.

4.1.5. Measurement of the Right to Academic Freedom (legal perspective)

Source: Beiter, K. D., Karran, T., & Appiagyei-Atua, K. (2016). Academic freedom and its protection in the law of European States: Measuring an international human right. *European Journal of Comparative Law and Governance*, 3(3), 254-345.

Operationalisation: The authors imply that academic freedom assessment requires creation of a multidimensional picture involving variables that could be associated with other fundamental values that academic freedom.

Standard Scorecard to Measure the Right to Academic Freedom

Country	A. The Ratification of International Agreements and Constitutional Protection (20%)	B. The Express Protection of Academic Freedom in HE Legislation (20%)	C. The Protection of Institutional Autonomy in HE Legislation (20%)	D. The Protection of Self-Governance in HE Legislation (20%)	E. The Protection of Job Security (including Tenure) in Relevant Legislation (20%)
Spain 66,5%	<p><u>1. The Ratification of International Agreements (10)</u> 10</p> <p>1.1. Global Level (6)</p> <p>1.1.1. <i>International Covenant on Civil and Political Rights</i> (Art. 19, Right to Freedom of Expression) [0-1,5] 1,5</p> <p>1.1.2. <i>Optional Protocol to the International Covenant on Civil and Political Rights</i> (International Petition Procedure) [0-1,5] 1,5</p> <p>1.1.3. <i>International Covenant on Economic, Social and Cultural Rights</i> (Art. 13, Right to Education) [0-1,5] 1,5</p>	<p>[0-2,5-5-7,5-10 (x2)] 7,5</p> <p>- 0 - No Reference to Academic Freedom at All (Non-Compliance)</p> <p>- 2,5 - Provision(s) Seriously Falling Short of Defined Standards (Between Partial and Non-Compliance)</p> <p>- 5 - Mere Reference to Academic Freedom/Provisions Revealing Various Deficits (Partial Compliance)</p>	<p><u>1. Provision on Institutional Autonomy [0-2-4]</u> 4</p> <p><u>2. Autonomy in Detail (8)</u> 2,5</p> <p>2.1. Organisational (2)</p> <p>2.1.1. Autonomy to Determine Rector [0-0,5-1] 0</p> <p>2.1.2. Autonomy to Determine Internal Structures [0-0,5-1] 0</p> <p>2.2. Financial (2)</p> <p>2.2.1. State Grant as Block Grant [0-0,5-1] 1</p> <p>2.2.2. Express Competence to Perform Commissioned Research [0-0,5-1] 1</p>	<p><u>1. Provision on Academic Self-Governance [0-1-2]</u> 0</p> <p><u>2. Academic Self-Governance at Institutional Level (12)</u> 8,5</p> <p>2.1. Senate (or its Equivalent) - Composition [0-1,5-3] 3</p> <p>2.2. Rector (3)</p> <p>2.2.1. Academic Position/Qualification of Rector [0-0,5-1] 1</p> <p>2.2.2. Determining the Rector [0-0,5-1] 0,5</p> <p>2.2.3. Dismissing the Rector [0-0,5-1] 1</p>	<p><u>1. Duration of Contract of Service (8)</u> 8</p> <p>1.1. Regulatory Framework [0-2-4] 4</p> <p>1.2. Situation in Practice [0-2-4] 4</p> <p><u>2. Termination of Contract of Service on Operational Grounds (6)</u> 3</p> <p>2.1. Provision on Termination on Operational Grounds in HE Legislation [0-1,5-3] 1,5</p>

4.1.6. Karran & Mallinson (2018, 2020) assessment of quality of academic freedom protection (in UK universities)

Source:

Karran, T., & Mallinson, L. (2019). Academic freedom and world-class universities: A virtuous circle?. *Higher Education Policy*, 32(3), 397-417.

Karran, T., Beiter, K. D., & Mallinson, L. (2022). Academic freedom in contemporary Britain: A cause for concern?. *Higher Education Quarterly*, 76(3), 563-579.

Description: comparative assessment of the *de jure* protection for, and the *de facto* levels of, academic freedom enjoyed by academic staff in the UK, when compared to their EU counterparts

Operationalisation: The following variables were used to reflect the quality of academic freedom:

- Open question about respondent's understanding of academic freedom
- Awareness about international conventions on academic freedom
- Self-assessment of the level of protection for academic freedom within respondents' institution (using probes suggested in the survey)
- Awareness about institution-level regulation protecting academic freedom
- Awareness about administrative procedures in case of academic freedom violation
- Reflection on changes in the protection for academic freedom (using probes suggested in the survey)
- Personal experience of academic freedom threats (using probes suggested in the survey)
- Factors affecting academic freedom threats (gender, race, religion, political views, ethnicity, sexual identity)
- Personal experience of self-censorship
- Respondent's academic freedom fundamental values (using probes suggested in the survey)
- Normative content of academic freedom (using probes suggested in the survey)

4.1.7. Online survey conducted by the Allensbach German polling institute among German scholars

Source: Institut für Demoskopie Allensbach, "Forschungsfreiheit an deutschen Universitäten. Ergebnisse einer Onlineumfrage unter Professoren und wissenschaftlichen Mitarbeitern," 2020¹⁰

Description: "In addition to questions about respondents' general perceptions of academic freedom in their respective universities and in Germany generally, they also asked respondents to assess academic freedom in a list of other countries, as well as asking about their experiences in research cooperation with those countries, about specific factors hindering their research, and about their

¹⁰ The data is not publicly accessible, but a comprehensive report in German, including all the data tables, can be obtained from the institute upon inquiry, and a summary is available in a presentation by Thomas Petersen, "Forschungsfreiheit an deutschen Universitäten. Ergebnisse einer Umfrage unter Hochschullehrern," presentation at Akademie der Konrad-Adenauer-Stiftung, Berlin, February 12, 2020, <https://www.hochschulverband.de/fileadmin/redaktion/download/pdf/presse/Allensbach-Praesentation.pdf>.

experiences working with companies as research funders, in addition to several questions relating to the topic of “political correctness” on campus.”¹¹

4.1.8. SAR Academic Self-Censorship Survey

Source: <https://www.scholarsatrisk.org/resources/academic-self-censorship-survey/>

Description: SAR is partnering with Al-Fanar Media on a new survey to determine the extent of academic self-censorship in the Arab region.

4.1.9. SAR Academic Freedom Monitoring Project

Source: Scholars at Risk (SAR), “Methodology of the Academic Freedom Monitoring Project,”¹²

Description: the Monitoring Project aims to identify, assess and track incidents involving one or more of six defined types of conduct which may constitute violations of academic freedom and/or the human rights of members of higher education communities.

Operationalisation:

- Killings/violence/disappearances
- Wrongful imprisonment/detention
- Wrongful prosecution
- Restrictions on travel or movement
- Retaliatory discharge/loss of position/expulsion from study
- Other significant events

4.1.10 Magna Charta Universitatum application form

Source: <http://www.magna-charta.org/magna-charta-universitatum>

Description: “The Magna Charta Universitatum is a document that was originally signed by 388 rectors and heads of universities from Europe and beyond. It contains principles of academic freedom and institutional autonomy as a guideline for good governance and self-understanding of universities in the future.”

Operationalisation: questions are taken from the application form

- Briefly describe how teaching and research are linked in practice, i.e. how is the inseparability of teaching and research ensured
- How is it ensured that academic staff are able to exercise academic freedom? What procedures and structures are in place for reviewing or regulating these issues?

¹¹ Spannagel, J. (2020). The Perks and Hazards of Data Sources on Academic Freedom: An Inventory. *Researching Academic Freedom. Guidelines and Sample Case Studies.*

¹² Scholars at Risk (SAR), “Methodology of the Academic Freedom Monitoring Project,” 2020, <https://www.scholarsatrisk.org/methodology-of-the-academic-freedom-monitoring-project/>.

- What kind of policies and structures, standards and guidelines exist in your institution in order to ensure adequate respect of academic freedom?
Have there been any occasions when the principles of academic freedom and/or of institutional autonomy were not fully respected in your institution? Are you aware of any emerging difficulties? If so, please describe and reflect on the learning from the experience and any changes which have been made as a consequence.

4.2. Academic Integrity

4.2.1. Magna Charta Universitatum

Source: <http://www.magna-charta.org/magna-charta-universitatum>

Description: “The Magna Charta Universitatum is a document that was originally signed by 388 rectors and heads of universities from Europe and beyond. It contains principles of academic freedom and institutional autonomy as a guideline for good governance and self-understanding of universities in the future.”

Operationalisaton: The following question taken from the application form addresses the dimension of academic integrity: What policies and structures, standards and guidelines exist in your institution to ensure academic integrity?

4.2.2. “Core Commitments: Educating Students for Personal and Social Responsibility” initiative

Source: Antonaros, M., Barnhardt, C., Holsapple, M., Moronski, K., & Vergoth, V. (2008). Should Colleges Focus More on Personal and Social Responsibility? Initial Findings from Campus Surveys Conducted for the Association of American Colleges and Universities as Part of Its Initiative, Core Commitments: Educating Students for Personal and Social Responsibility. *Association of American Colleges and Universities (NJ1)*.

Description: “On behalf of the Association of American Colleges and Universities (AAC&U), researchers at the University of Michigan’s Center for the Study of Higher and Postsecondary Education surveyed 23,000 undergraduate students and 9,000 campus professionals (faculty, academic administrators, and student affairs staff) at 23 institutions participating in the Templeton Foundation-supported initiative, Core Commitments: Educating Students for Personal and Social Responsibility. Data from the initial administration of the Personal and Social Responsibility Institutional Inventory (PSRII) in fall 2007 assessed the campus environment along five dimensions of personal and social responsibility”.

Operationalisation: The following responsibility dimensions were used in the project:

1. *Striving for excellence:* developing a strong work ethic and consciously doing one’s very best in all aspects of college;
2. *Cultivating personal and academic integrity:* recognizing and acting on a sense of honor, ranging from honesty in relationships to principled engagement with a formal academic honors code;

3. *Contributing to a larger community*: recognizing and acting on one's responsibility to the educational community and the wider society, locally, nationally, and globally;

4. *Taking seriously the perspectives of others*: recognizing and acting on the obligation to inform one's own judgment; engaging diverse and competing perspectives as a resource for learning, citizenship, and work;

5. *Developing competence in ethical and moral reasoning*: developing ethical and moral reasoning in ways that incorporate the other four responsibilities; using such reasoning in learning and in life.

The respondents were asked which of those dimensions should be a major focus for the institutions, and which of them are already in place.

4.2.3. Five Core Elements of Exemplary Academic Integrity Policy

Source: Bretag, T., Mahmud, S., Wallace, M., Walker, R., Green, M., East, J., James C., McGowan U., & Partridge L. (2011b). Core elements of exemplary academic integrity policy in Australian higher education. *International Journal for Educational Integrity*, 7(2), 3–12.

Operationalisation:

Access: The policy is easy to locate, easy to read, well written, clear and concise. The policy uses comprehensible language, logical headings, provides links to relevant resources and the entire policy is downloadable as in an easy to print and read document.

Approach: Academic integrity is viewed as an educative process and appears in the introductory material to provide a context for the policy. There is a clear statement of purpose and values with a genuine and coherent institutional commitment to academic integrity through all aspects of the policy.

Responsibility: The policy has a clear outline of responsibilities for all relevant stakeholders, including university management, academic and professional staff, and students.

Support: Systems are in place to enable implementation of the academic integrity policy including procedures, resources, modules, training, seminars, and professional development activities to facilitate staff and student awareness and understanding of policy.

Detail: Processes are detailed with a clear list of objective outcomes, and the contextual factors relevant to academic integrity breach decisions are outlined. The policy provides a detailed description of a range of academic integrity breaches and explains those breaches using easy to understand classifications or levels of severity. Extensive but not excessive detail is provided in relation to reporting, recording, confidentiality and the appeals process.

4.3. Institutional Autonomy

4.3.1. Autonomy Scorecard (EUA)

Source: <https://eua.eu/component/publications/publications/79-report/401-university-autonomy-in-europe-ii-the-scorecard.html>

Description: “The Autonomy Scorecard project provides a detailed and accurate picture of the status of institutional autonomy in 26 different European countries. The project focuses on the legislative frameworks in which higher education institutions operate”.^[1]

Operationalization: “The scoring system used by the tool is based on deductions. Each restriction on university autonomy was assigned a deduction value based on how restrictive a particular rule or regulation was seen to be. A score of 100% indicates full institutional autonomy; a score of 0% means that an issue is entirely regulated by an external authority or legally prescribed.”

“The scoring system of the Autonomy Scorecard is based on deduction values. Each restriction on institutional autonomy was assigned a deduction value indicating how restrictive a particular regulation was perceived to be.”¹³

Organisational autonomy	Financial autonomy	Staffing autonomy	Academic autonomy
<ul style="list-style-type: none"> • Selection procedure for the executive head • Selection criteria for the executive head • Dismissal of the executive head • Term of office of the executive head • Inclusion and selection of external members in governing bodies • Capacity to decide on academic structures • Capacity to create legal entities 	<ul style="list-style-type: none"> • Length and type of public funding • Ability to keep surplus • Ability to borrow money • Ability to own buildings • Ability to charge tuition fees for national/EU students (BA, MA, PhD) • Ability to charge tuition fees for non-EU students (BA, MA, PhD) 	<ul style="list-style-type: none"> • Capacity to decide on recruitment procedures (senior academic/senior administrative staff) • Capacity to decide on salaries (senior academic/senior administrative staff) • Capacity to decide on dismissals (senior academic/senior administrative staff) • Capacity to decide on promotions (senior academic/senior administrative staff) 	<ul style="list-style-type: none"> • Capacity to decide on overall student numbers • Capacity to select students (BA, MA) • Capacity to introduce programmes (BA, MA, PhD) • Capacity to terminate programmes • Capacity to choose the language of instruction (BA, MA) • Capacity to select quality assurance mechanisms and providers • Capacity to design content of degree programmes

4.3.2. Academic Freedom Index (Varieties of Democracy (V-Dem) Dataset)

Source: <https://www.v-dem.net>, more on index: <https://www.gppi.net/2021/03/11/free-universities>

¹³ Estermann, T., Nokkala, T., & Steinel, M. (2011). University autonomy in Europe II. *The scorecard. brussels: European university association*. <https://eua.eu/resources/publications/401:university-autonomy-in-europe-ii-the-scorecard.html>

Description: The V-Dem is a dataset that aims to capture and measure the complexity of democracy by “aggregating expert judgments in a way that produces valid and reliable estimates of difficult-to-observe concepts” (V-Dem Project, 2022). V-Dem works with more than 3500 country experts.

The Academic Freedom Index is developed by the Global Public Policy Institute (GPPI) and it is designed to provide an aggregated measure that captures the de facto realization of academic freedom around the world, including the degree to which higher-education institutions are autonomous¹⁴. The index makes use of V-Dem database indicators.

Operationalization: “The Academic Freedom Index is composed of five expert-coded indicators that capture key elements in the de facto realization of academic freedom: (1) freedom to research and teach; (2) freedom of academic exchange and dissemination; **(3) institutional autonomy; (4) campus integrity;** and (5) freedom of academic and cultural expression.

A given issue is assessed by multiple, independent experts for each country in each year based on a pre-defined scale. Some 2,000 experts – typically academics in the respective country – have so far contributed such assessments. The ratings of individual coders are aggregated into country-year scores for each indicator, and in a second step for the index, using a Bayesian measurement model.

In the dataset, the index is complemented by some additional, factual indicators, assessing states’ de jure commitments to academic freedom at (6) constitutional and (7) international levels, as well as (8) whether universities have ever existed in a given country.”

4.3.3. Freedom in the World (Freedom House)

Description: “Freedom in the World is produced each year by a team of in-house and external analysts and expert advisers from the academic, think tank, and human rights communities. The 2022 edition involved 128 analysts, and nearly 50 advisers. The analysts, who prepare the draft reports and scores, use a broad range of sources, including news articles, academic analyses, reports from nongovernmental organizations, individual professional contacts, and on-the-ground research. The analysts score countries and territories based on the conditions and events within their borders during the coverage period. The analysts’ proposed scores are discussed and defended at a series of review meetings, organized by region and attended by Freedom House staff and a panel of expert advisers. The end product represents the consensus of the analysts, outside advisers, and Freedom House staff, who are responsible for any final decisions.”¹⁵

Operationalization: The following questions from Freedom House questionnaire are focused on assessment of university autonomy:

- Does the government pressure, strongly influence, or control the content of school curriculums for political purposes?
- Is the allocation of funding for public educational institutions free from political manipulation?
- Does the government, including through school administration or other officials, pressure students and/or teachers to support certain political figures or agendas, including by requiring them to attend political rallies or vote for certain candidates? Conversely, does the

¹⁴ As a result, the indicators it is based on are relevant for measuring both academic freedom and institutional autonomy.

¹⁵ <https://freedomhouse.org/reports/freedom-world/freedom-world-research-methodology>

government, including through school administration or other officials, discourage or forbid students and/or teachers from supporting certain candidates and parties?

4.3.4. Criterion referenced approach by Karran, Beiter, & Appiagyei-Atua (2017)

Source: Karran, T., Beiter, K., & Appiagyei-Atua, K. (2017). Measuring academic freedom in Europe: a criterion referenced approach. *Policy Reviews in Higher Education*.

Karran, T. (2007). Academic freedom in Europe: A preliminary comparative analysis. *Higher Education Policy*, 20(3), 289-313.

Description: The paper's purpose is a comparative assessment of the protection for, and health of, academic freedom in the universities of the then 23 European Union nations. The paper addresses the constitutional and legislative frameworks in relation to academic freedom in the EU, assessing them against the different elements of UNESCO's Recommendation Concerning the Status of Higher-Education Teaching Personnel (1997), in relation to freedom for teaching and research, institutional autonomy, shared governance and tenure.

Operationalisation: The following indicators used by the authors to assess university autonomy:

1. Legal provision for institutional autonomy

Table 2. Legal provision for institutional autonomy: compliance levels and scores.

0%	non: either no provision exists, or that which exists is seriously deficient.
2%	partial: provision on institutional autonomy exists, in the HEA, but is problematic (e.g. too general in nature, or does not comprehensively address all elements)
4%	full: comprehensive provision on institutional autonomy exists in the legislation

2. Internal operation of autonomy

Table 3. Internal operation of autonomy: compliance levels and scores.

(a) Rector's appointment	0%	non: the state chooses and affirms or appoints the Rector
	0.5%	partial: the university chooses the Rector and the state formally appoints or confirms such appointments
	1%	full: the university appoints the Rector without any state involvement
(b) Internal structures	0%	non: university structures, and the creation/abolition of faculties and departments are prescribed by law, or university determines faculty and departmental structures, but the state legally creates/abolishes them and can order a university to create a faculty or department
	0.5%	partial: the university determines faculty or departmental structures but the state creates/abolishes them (or confirms such changes) or the university determines internal structures and creates/abolishes faculties or departments, but the state can order a university to create a faculty, or department
	1%	full: the university determines internal structures (i.e. creates/abolishes faculties, and/or departments) without state intervention
(c) State funding	0%	non: the university receives a hypothecated block grant and is unable to determine revenue allocations between budget headings
	0.5%	partial: the university receives a block grant but with certain restrictions or conditions
	1%	full: the university receives an un-hypothecated block grant without restrictions and can determine its own revenue allocations
(d) Commissioned research	0%	non: power to undertake commissioned research not mentioned in legislation
	0.5%	partial: power to undertake commissioned research mentioned in h.e. laws, but the provision lacks clarity
	1%	full: power to undertake commissioned research expressly detailed in h.e. laws
(e) Staff appointments	0%	non: The law specifies in substantial detail the categories of academic posts and the criteria for their fulfilment, and may impose substantial restrictions on the recruitment/promotion of staff (e.g. moratorium on appointments for economic reasons) with a further possible requirement that professorial appointments are made or confirmed by the state
	1%	partial: The law specifies in some detail the categories of academic posts and the criteria for their fulfilment, and may impose certain restrictions on staff recruitments/promotions (e.g. specifying staff numbers per faculty) and/or require that professorial appointments are performed or confirmed by the state
	2%	full: The law specifies minimal detail on the categories of academic posts and the criteria for their fulfilment; universities have complete discretion to recruit/promote staff, without state involvement; professorial appointments are neither made nor confirmed by the state
(f) Student recruitment	0%	non: the state plays a dominant role in determining entry criteria and selecting students
	0.5%	partial: = responsibilities for entry criteria and the selection process are shared by the university and the state (which may, e.g. impose minimum entry standards)
	1%	full: the university determines the selection criteria and undertakes the process of choosing students for entry to degree programmes
(g) Degree accreditation	0%	non: degree programmes require state accreditation
	0.5%	partial: degree programmes need not to be state accredited, but some measures of state control exist
	1%	full: degree programmes need not to be state accredited

3. State regulation of autonomy

Table 4. State regulation of autonomy: compliance levels and scores.

0%	non: the state has a high level of involvement in regulating universities' activities. University governing bodies usually require state approval to enact some regulations and make decisions, and the state may have some decisive majority control over university governing bodies and their composition
2%	partial: university governing bodies may require state approval to enact some regulations and make decisions (or subsequent state confirmation), and the state may have some control over university governing bodies and their composition
4%	full: university governing bodies are free from state control and enact regulations and make decisions without prior state approval. The state has minimal involvement in regulating universities' activities, but merely checks compliance with legal requirements

4. Private sector constraints on autonomy

Table 5. Private sector constraints on autonomy: compliance levels and scores.

0%	non: universities possess no legislative protection against the influence of private interests, and have no requirement to divulge the source and extent of private funding, and risk undue influence via private interests representation on the university's governing bodies
2%	partial: universities possess some legislative protection against the influence of private interests, and may be required to divulge the source and extent of private funding, and may risk undue influence via private interests' representation on the university's governing bodies
4%	full: legislation states categorically that the independence of university teaching and research activities cannot be compromised by private funding; requires absolute transparency concerning the source and size of private funding; and imposes restrictions on private sector representation on university governing bodies

4.3.5. Magna Charta Universitatum

Source: <http://www.magna-charta.org/magna-charta-universitatum>

Description: "The Magna Charta Universitatum is a document that was originally signed by 388 rectors and heads of universities from Europe and beyond. It contains principles of academic freedom and institutional autonomy as a guideline for good governance and self-understanding of universities in the future."

Operationalisaton: The following questions are taken from the application form and are expected to be fulfilled by the applying institutions:

- Does your university have institutional autonomy vis-à-vis national and/or founding authorities? (legal, academic (staff appointments, student admissions, curriculum, quality assurance), organisational, financial, human resources, etc)? What is the basis of the autonomy? What kind of accountability measures exist? Are there any limits on that autonomy? If so, please describe them.
- Have there been any occasions when the principles of academic freedom and/or of institutional autonomy were not fully respected in your institution? Are you aware of any emerging difficulties? If so, please describe and reflect on the learning from the experience and any changes which have been made as a consequence.

4.3.6. Systems Approach for Better Education Results in tertiary education (SABER)-TE

Source: Marmolejo, F. (2016). What Matters Most for Tertiary Education. World Bank Group. URL: <https://openknowledge.worldbank.org/handle/10986/26516>

Description: “This initiative helps countries systematically examine their education-relevant policies using benchmarking methodologies. SABER-TE collects, synthesizes, and disseminates comprehensive information on tertiary education to enable policy makers, WBG staff, and development partners to learn how countries address similar policy challenges and to track differences among countries in terms of needs, policies, and practices.”

Operationalisation:

Policy level 3.2: Institutional autonomy

- Public TEIs are able to negotiate at least some performance targets with stakeholders, such as the government or tertiary education agencies (TEAs).
- The governance framework for public TEIs supports their academic autonomy.
- The governance framework for public TEIs supports their staffing autonomy.
- The regulatory framework for public TEIs supports their governance autonomy
- The governance framework grants public TEIs significant freedom to diversify their sources of funding.
- Private TEIs are able to negotiate at least some performance targets with stakeholders, such as the government or TEAs.
- The governance framework for private TEIs supports their academic autonomy.
- The governance framework for private TEIs supports their staffing autonomy.
- The regulatory framework for private TEIs supports their governance autonomy
- Private TEIs enjoy significant freedom to diversify their sources of funding.

4.3.7. Operationalisation of university autonomy by Agasisti and Shibanova

Source: Agasisti T., & E. Shibanova (2022) Actual Autonomy, Efficiency and Performance of Universities: Insights from the Russian Case, *International Journal of Public Administration*, 45:2, 121-134, DOI: 10.1080/01900692.2021.1903496

Operationalisation: Agasisti and Shibanova explore the context of Russian universities, i.e. ones with limited university autonomy, and propose the following criteria to distinguish autonomous universities:

(a) The presence of a supervisory board responsible for the approval of financial plans. The board can be composed of both internal staff (e.g., professors) and external persons (e.g., ministers). This board approves financial plans, public procurement and commercial deals, opening bank accounts and investments.

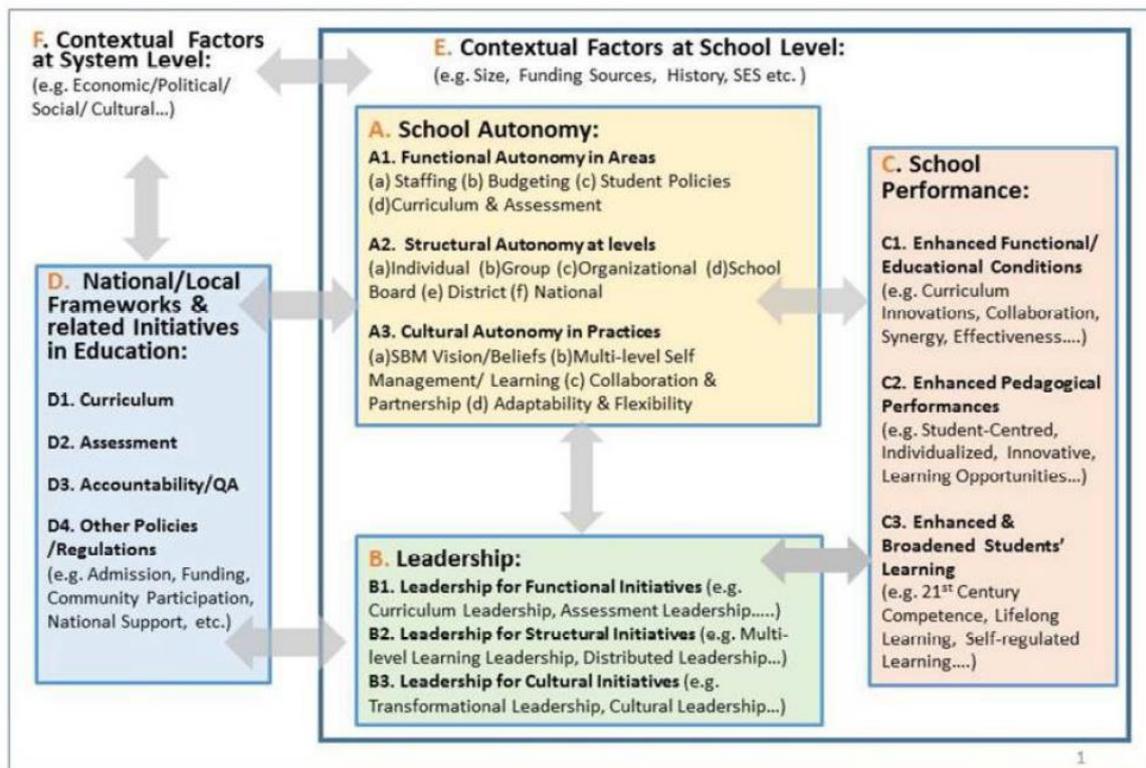
(b) Autonomous universities can use privately raised money according to their needs and do not need to approve the redistribution of their financial assets through governmental authorities.

4.3.8 School Autonomy, Leadership and Learning: A Reconceptualisation by CHeng, Ko, and Lee

Source: Cheng, Y. C., Ko, J., & Lee, T. T. H. (2016). School autonomy, leadership and learning: a reconceptualisation. *International Journal of Educational Management*.

Description: To redress the limitations of a traditional approach to autonomy, a new framework for research is developed. School autonomy is reconceptualised as a combination of functional autonomy, structural autonomy and cultural autonomy. Leadership is also reconceptualised by categorising three types of leadership activity: leadership for functional initiatives, leadership for structural initiatives and leadership for cultural initiatives. This categorisation may help to strengthen conceptions of the relevance of leadership to autonomy and performance in future research.

Operationalisation:



4.3.9 Indicators of university autonomy according to stakeholders' interests

Source: Choi, S. (2019). Identifying indicators of university autonomy according to stakeholders' interests. *Tertiary education and management*, 25(1), 17-29.

Description: This research aims to reconcile two different perspectives and come up with a more comprehensive conceptualization of university autonomy by adopting a stakeholder approach in identifying indicators of university autonomy

Operationalisation: The paper identifies six groups of stakeholders: (1) academic staff, (2) administrators, (3) students, (4) governments, (5) industries and (6) society at large. The first three groups are internal stakeholders who are part of universities. The other three groups are external stakeholders who are principals of the first three groups and universities as organizations. Three tables below summarise how university autonomy can be measured for three groups of internal stakeholders in relation to other groups.

Table 1 Indicators of university autonomy for academic staff

Relevant stakeholders	Purposes	Indicators
Administrators	Protection of academic freedom from outside influence, Representation in university governance for participation in academic decision makings	Right to speak on institutional issues, Institutional process for dealing with disputes over academic staff members' speech or writing, Representation in university governance such as academic senate and university council, Employment security measures such as provision of tenure
Students	Due diligence to educational tasks and training, Respect for teachers and subject topics, Desired educational outcomes, Education and training for career and character development	Independence in grading students' performance, Standardization of grading practices within academic disciplines, Autonomy in curriculum design
Governments	Provision of adequate resources for educational and research activities, Legal protection of academic freedom, Socially desirable educational and research outcomes	Legal provision for the protection of academic speech and publication on government policy, Due process for conflicts over academic speech and publication on government policy Right to organise professional associations
Industries	Respect for research ethics,	Legal and institutional provision for research ethics,
Society at large	Generation of reliable knowledge for improved public deliberation	Exemption from legal liabilities for academic speech and publication

Table 2 Indicators of university autonomy for administrators

Relevant stakeholders	Purposes	Indicators
Academic staff	Behaviour appropriate to professional status, Compliance with terms of employment contract	Autonomy in making promotion and incentive decisions, Authority for rewards and punishment
Students	Compliance with university policy and rules, Education and training for career and character development, Freedom to speak in class	Authority for punishment for violation of university policy and rules, Autonomy in the introduction, management and closure of programs, Authority to intervene on issues of freedom of speech in class
Governments	Adequate resources for research and educational activities, Legal protection for university autonomy, Efficiency and effectiveness in the use of public resources	Right to form associations of universities, Authority to organise and arrange departmental components, Autonomy in financial decision makings
Industries	Support for research and occupational training, Research and workforce needed by industries	Legal protection of organizational intellectual property rights on research and educational materials, Right to represent universities in making agreements for collaboration in research and training
Society at large	Political support for university finance and autonomy, Transfer of knowledge	Right to represent universities for public relations, Authority to create community service programmes

Table 3 Indicators of university autonomy for students

Relevant Stakeholders	Purposes	Indicators
Academic staff	Skills and knowledge required by industries and society at large, Good educational experience,	Freedom to demand change in curriculum and training methods, Freedom to speak in class
Administrators	Good educational facilities, Qualified academic staff members, Education programs relevant to career and character development	Right to participation in university governance
Governments	Adequate resources for educational activities	Political right to organize student union and demand adequate support,
Industries Society at large	Support for occupational training Political support for university finance and educational quality	Political right to demand support Right to speak publicly

4.3.10 Procedural university autonomy

Source: Voogt, A. C., & Volkwein, J. F. (1997). A Longitudinal Study of Institutional Autonomy in Thirty Community Colleges. AIR 1997 Annual Forum Paper.

Operationalisation:

Fiscal Autonomy: queried the colleges' authority to:

- Retain interest on all college funds;
- Name their own treasurer;
- Cut checks for financial aid, vendors, refunds, salaries;
- Process all their own contracts;
- Have their own bank account free from sponsor intrusion;
- Make their own investment decisions;
- Do their own purchasing;
- Transfer funds among budget categories without sponsor approval;
- Maintain their own accounting and payroll systems;
- Arrange their own leases without sponsor intrusion.

Personnel Autonomy: queried the colleges' authority related to the faculty and professional staff to:

- Promote faculty without sponsor approval;
- Offer employees fringe benefits different from the sponsor;
- Add faculty lines after budget approval;
- Add administrative lines after budget approval;
- Have the sponsor lack authority to freeze positions;
- Process grievances with faculty without sponsor involvement;
- Bargain directly with faculty.

Personnel Autonomy: queried the colleges' authority related to civil service to:

- Add non-professional lines after budget approval;
- Have the sponsor lack authority to freeze positions;
- Offer employees fringe benefits different from the sponsor;
- Upgrade secretarial positions without sponsor approval;
- Process grievances with civil service staff without sponsor involvement;
- Increase civil service salaries without sponsor approval.
- Bargain directly with civil service;

Operational Autonomy: queried the colleges' authority to

- Use other than the sponsor attorney.

4.3.11. Campus autonomy

Source: Volkwein, J. F. (1986). Campus autonomy and its relationship to measures of university quality. *The journal of higher education*, 57(5), 510-528.

Description: This study develops measures of academic and financial flexibility and examines their relationship to measures of academic quality and institutional success.

Operationalisation:

Academic Flexibility (Carnegie Survey Items):

1. Define campus mission
2. Add new undergraduate programs
3. Add new graduate programs
4. Review/discontinue existing undergrad. programs
5. Review/discontinue existing grad. programs
6. Add/discontinue department

Financial Flexibility (Volkwein Survey Items):

1. Lump sum vs. line item budgeting
2. Campus can shift funds among categories
3. Campus retains & controls tuition revenues
4. Campus retains & controls other revenues
5. External position ceilings for faculty
6. External position ceilings for other employees
7. Freedom from pre-audit of expenditures
8. Year-end balances carried over vs. returned
9. University issues own checks for payroll

4.4. Participation of Students and Staff in Governance

4.4.1. Boer et al (2000) ex-post evaluation of university governance (Dutch experience)

Source: De Boer, H., Denters, B., & Goedegebuure, L. (2000). An Evaluation of the Pre-1998 System of Democratic University Government. *Democracy and the Academy*, 123.

Target population: students and staff

Description: appraisal of the adequacy of the Dutch system for university governance. Conducted via a mail survey among a representative samples of 156 university council members (45% of the population; 79% response rate) and 269 faculty council members (approx. 15% of the population; 62% response rate)

Key indicators:

- Participation – participatory opportunities in collective decision-making processes (involvement of students, academic and non-academic staff)
- Representation - orientations and actions of position holders in representative assembly
- Decision-making - those chosen to representative assemblies must possess the power to make consequential decisions

4.4.2. Changing Academic Profession (CAP)

Target population: staff and students

Source: Aarrevaara, T. (2010). Academic freedom in a changing academic world. *European Review*, 18(S1), S55-S69.

Description: The project Changing Academic Profession (CAP) is a research that examines the academic profession across more than 20 countries. It encompasses knowledge and data about systems of higher education, functions, productivity and attitudes of academicians in a comparative perspective.

Operationalisation: Aarrevaara selected the following variables from CAP survey to assess the degree of involvement of various university actors to the decision-making process within their institution:

1. "Perceived single most influential actor in selecting key administrative actors at higher education institutions (percentage of respondents): government or external stakeholders, institutional managers, faculty committees/boards, individual faculty members, students" (p.63)
2. "Key administrators viewed as having the primary influence on select areas of decision making (percentage of respondents): Selecting key administrators, choosing new academic staff, making academic staff promotion and tenure decisions, determining budget priorities, approving new academic programs, evaluating teaching, setting internal research priorities, evaluating research" - Measured as "The share of respondents who chose the alternative 'institutional managers' in response to the following question: 'At your institution, which actor has the primary influence on each of the following decisions?' Respondents were asked to choose only one actor for each statement"(p.64)
3. "Perceived primary influence of actors at institutions in evaluating research (percentage respondents): government or external stakeholders, institutional managers, faculty committees/boards, individual faculty members, students" (p.65)
4. "Perceived communication and decision and decision-making styles(percentage of respondents stating 'strongly agree' or 'agree'): Good communication between management and academics, A top-down management style, Collegiality in decision-making process, There is a supportive attitude of administrative staff towards teaching activities, The administration supports academic freedom" (p.66)

4.4.3. Model of Student Participation (I) in University Governance by Shiva Lal Acharya

Source: Acharya, S. L. (2015). Student participation in university governance: A comparative study between Tribhuvan University and Kathmandu University, Nepal (Master's thesis).

Target population: students

Description: the study identifies types, intensity levels and outcomes of the student participation in the governance of universities

Operationalisation:

Indicators of student participation in university governance:

1) *What types of participation do the students have in the governance of a university?*

Types of student participation:

- Student participation in academic self-governance
- Student self-governance structures
- Student participation in Quality Assurance (Q A) process: active (via student expert pool) and passive (via provision of feedback)

2) *What is the level of student participation in the governance of a university?*

Intensity of student participation:

- access to information (via student representatives)
- consultation (via requests of feedback and opinions)
- dialogue (formal or informal interaction for mutual benefits)
- partnership (involvement in decision-making)

3) *What are the outcomes of student participation in the governance of TU and KU? Benefits and challenges*

4.4.4. Model of Student Participation (II) in University Governance by Cardoso and dos Santos

Source: Cardoso, S., & dos Santos, S. M. (2011). Students in higher education governance: the Portuguese case. *Tertiary Education and Management*, 17(3), 233-246.

Description: The authors bring the case of Portuguese system of student involvement in higher education decision-making as exemplary as it has high degree of specificity and clear system of criteria for assessment.

Operationalisation: The central functions of the student body (Law 105/1988)::

- 1) election of the Rector and approval of changes to the university statutes (University Assembly);
- 2) approval of the university's general orientation policy, development plans, budgetary projects and degree programmes, and contribution to the definition of measures concerning the operation of faculties/departments (the Senate);
- 3) participation in the university's administrative, property and financial management (the Administrative Council);
- 4) general coordination of the teaching and learning processes and pedagogical resources (the Pedagogical Councils).

Student unions have the right and the mission (Law 33/1987) to:

- 1) participate in the life of their institutions through involvement in the definition of educational policies and the monitoring of the activities of institutional governance and management bodies;
- 2) be involved in the definition and planning of the higher education (HE) system;
- 3) express their views on the process of elaboration of legislation regarding HE planning (access, university management, student social support, degrees and curricula, etc.);
- 4) be consulted on the major deliberations (financial plan, pedagogical methods and orientation, knowledge assessment) of the institutions' management bodies

4.4.5. Magna Charta Universitatum

Source: <http://www.magna-charta.org/magna-charta-universitatum>

Description: "The Magna Charta Universitatum is a document that was originally signed by 388 rectors and heads of universities from Europe and beyond. It contains principles of academic freedom and institutional autonomy as a guideline for good governance and self-understanding of universities in the future."

Operationalisaton: The following questions were taken from the application form as the indicators of self-governance:

- Governing structures
 - a. Ultimate governing body (Council/Board of Trustees/Regents etc., which makes strategic and status related decisions)
 - i. Name
 - ii. Number of members
 - iii. Proportion of members who are internal (employed by the university) and external
 - iv. Proportion of members who are academics
 - v. Proportion of members who are students

b. Highest academic body (Senate/Academic Board etc., which makes decisions concerning curricula, staff promotions etc.)

i. Name

ii. Number of members

iii. Proportion of members who are internal (employed by the university) and external

iv. Proportion of members who are students

- Please describe how students are involved in institutional governance and decision making.
- Please describe how academic staff are involved in institutional governance and decision making.

Indicators proposed by Manja Klemencic in the course of expert consultation

- composition of and % of student/staff members in academic governing bodies/external boards;
- students' voting rights or consultative rights in governing bodies?, if voting rights, on all issues or some issues;
- are student board members appointed by the representative student association (Y/N) ;
- does a democratic representative student association exist at higher education institutions (Y/N)

4.4.6. Freedom in the World (Freedom House)

Target audience: students and staff

Description: "Freedom in the World is produced each year by a team of in-house and external analysts and expert advisers from the academic, think tank, and human rights communities. The 2022 edition involved 128 analysts, and nearly 50 advisers. The analysts, who prepare the draft reports and scores, use a broad range of sources, including news articles, academic analyses, reports from nongovernmental organizations, individual professional contacts, and on-the-ground research. The analysts score countries and territories based on the conditions and events within their borders during the coverage period. The analysts' proposed scores are discussed and defended at a series of review meetings, organized by region and attended by Freedom House staff and a panel of expert advisers. The end product represents the consensus of the analysts, outside advisers, and Freedom House staff, who are responsible for any final decisions."¹⁶

Operationalization: One of the indicators reflects academic freedom "Is there academic freedom, and is the educational system free from extensive political indoctrination?"

¹⁶ <https://freedomhouse.org/reports/freedom-world/freedom-world-research-methodology>

Elaborated questions involve:

- Are student associations that address issues of a political nature allowed to function freely?
- Does the government, including through school administration or other officials, pressure students and/or teachers to support certain political figures or agendas, including by requiring them to attend political rallies or vote for certain candidates? Conversely, does the government, including through school administration or other officials, discourage or forbid students and/or teachers from supporting certain candidates and parties?

4.4.7. Criterion referenced approach by Karran, Beiter, & Appiagyei-Atua (2017)

Source: Karran, T., Beiter, K., & Appiagyei-Atua, K. (2017). Measuring academic freedom in Europe: a criterion referenced approach. *Policy Reviews in Higher Education*.

Karran, T. (2007). Academic freedom in Europe: A preliminary comparative analysis. *Higher Education Policy*, 20(3), 289-313.

Description: The paper's purpose is a comparative assessment of the protection for, and health of, academic freedom in the universities of the then 23 European Union nations. The paper addresses the constitutional and legislative frameworks in relation to academic freedom in the EU, assessing them against the different elements of UNESCO's Recommendation Concerning the Status of Higher-Education Teaching Personnel (1997), in relation to freedom for teaching and research, institutional autonomy, shared governance and tenure.

Operationalisation: The following indicators were proposed by the authors:

- Legal provision for self-governance

Table 6. Legal provision for self-governance: compliance levels and scores.

0%	non: No express provision exists on the right of self-governance or, if one is extant, it is seriously deficient
1%	partial: An express provision on the right of self-governance exists, but this is problematic or deficient in some respects (e.g. mentioning only some aspects of the right of self-governance)
2%	full: an express and satisfactory provision on the right of university self-governance exists in the legislation

- Operational self-governance

Table 7. Operational self-governance: compliance levels and scores.

(a) Existence of collegial bodies	0%	non: legislation does not provide for collegial bodies
	0.5%	partial: the legislation provides for collegial bodies but does not specify their duties
	1.0%	full: the legislation provides for collegial bodies and specifies their duties
(b) Composition of collegial bodies	0%	non: academic staff have minority representation (>50%) on Collegial Academic Bodies, and/or the provisions on composition reveal major 'democratic' deficiencies (e.g. certain categories of academic staff are excluded)
	1%	partial: academic staff have majority representation (50–59%) on Collegial Academic Bodies, and there are no or only limited 'democratic' deficiencies (e.g. too many professors)
	2%	full: academic staff are guaranteed overwhelming representation (<60%) on Collegial Academic Bodies, and there are no 'democratic' deficiencies
(c) Composition of Senate	0%	non: a minority (less than 50%) of Senate members are representatives of academic staff, and/or the provisions on the composition of the Senate reveal major 'democratic' deficiencies (e.g. academic staff are only represented by professors that are appointed by the state)
	1.5%	partial: a majority (50–59%) of Senate members are representatives of the academic staff, and there are no or only limited 'democratic' deficiencies (e.g. there is a high number of professors compared with other academic grades)
	3%	full: an overwhelming majority (60% or more) of university Senate members are representatives of all levels of the academic staff, and there are no 'democratic' deficiencies.
(d) Strategic decision-making	0%	non: academic staff have no representation on the strategic decision taking body/bodies i.e. the Senate and/or board/council.
	1.5%	between non and partial: academic staff have very limited representation (<30%) on the strategic decision taking body/bodies i.e. the Senate and/or board/council
	3%	partial compliance: academic staff have minority representation (30–39%) on the strategic decision taking body/bodies i.e. the Senate and/or board/council
	4.5%	between partial and full: academic staff have minority representation (40–49%) on the strategic decision taking body/bodies, i.e. the Senate and/or board/council
	6%	full: academic staff have at least 50% representation on the strategic decision taking body/bodies, e.g. the Senate and/or board/council

- Staff powers of appointment and dismissal

Table 8. Staff powers of appointment and dismissal: compliance levels and scores.

(a) Dean's/Head of Department's credentials	0%	non: The dean/head of department can be an external appointment and need not have a PhD or Professorial rank
	0.5%	partial: the dean/head of department can either be an external appointment, (but must have a PhD or hold Professorial rank) or an internal appointment (but need not have a PhD or Professorial rank)
	1%	full: The dean/head of department is an internal appointment and must have a PhD or Professorial rank
(b) Appointing the Dean/Head of Department	0%	non: Academic staff have no right to participate in the selection of the dean/head of department
	0.5%	partial: Academic staff have a right (with other bodies) to participate in the selection process of dean/head of department
	1%	full: Academic staff exercise control over the appointment of dean/head of department posts
(c) Dismissing the Dean/Head of Department	0%	non: academic staff have no right to participate in the dismissal of the dean/head of department
	0.5%	partial: academic staff have a right (with other bodies) to participate in the dismissal process of a dean/head of department
	1%	full: academic staff can dismiss the dean/head of department via a vote of no-confidence (or similar procedure), the state is not required to approve, undertake or confirm such dismissals
(d) Rector's Credentials	0%	non: The rector can be an external appointment and need not have a PhD or Professorial rank
	0.5%	partial: Either the rector can be an external appointment, but must have a PhD or hold Professorial rank or the rector is an internal appointment and need not have a PhD or Professorial rank
	1%	full: the rector is an internal appointment and must have a PhD or Professorial rank
(e) Appointing the Rector	0%	non: academic staff have no right to participate in the selection of the Rector
	0.5%	partial: academic staff have a right (with other bodies) to participate in the selection process
	1%	full: academic staff exercise control over Rectoral appointments
(f) Dismissing the Rector	0%	non: academic staff have no right to participate in the dismissal of the Rector
	0.5%	partial: academic staff have a right (with other bodies) to participate in the dismissal process
	1%	full: academic staff can dismiss the rector via a vote of no-confidence (or similar procedure)

4.4.8. Karran & Mallinson (2018, 2020) assessment of quality of academic freedom protection

Source: Karran, T., & Mallinson, L. (2019). Academic freedom and world-class universities: A virtuous circle?. *Higher Education Policy*, 32(3), 397-417.

Karran, T., Beiter, K. D., & Mallinson, L. (2022). Academic freedom in contemporary Britain: A cause for concern?. *Higher Education Quarterly*, 76(3), 563-579.

Description: comparative assessment of the *de jure* protection for, and the *de facto* levels of, academic freedom enjoyed by academic staff in the UK, when compared to their EU counterparts

Operationalisation: Survey participants were invited to assess to what extent they agree with the following statements:

- "Self-governance has declined in my institution in recent years"
- "Employment protection for academic staff in my institution has declined in recent years"

4.5. Responsibility for higher education

4.5.1. Toolkit for collecting and analyzing data on attacks on education by the Global Coalition to Protect Education from Attack

Source: <https://protectingeducation.org/>

Description: The Toolkit provides guidance to governments, civil society organizations, the United Nations, and humanitarian and development agencies on collecting and analyzing data to better understand and address the scope and impact of attacks on education.¹⁷ GCPEA's data are sourced from relevant reports, conflict datasets, media searches, and direct reporting by organizations working in affected countries.¹⁸ The violation categories GCPEA considers in the higher education section are: attacks on facilities, killings, abductions, threats, use of excessive force, and other acts that create a climate of fear or repression. Their definition requires that such attacks are perpetrated by armed forces, law enforcement, other state security forces, or non-state armed groups.¹⁹

Domain 1: Attacks on schools.

Domain 2: Attacks on students, teachers, and other education personnel

Domain 3: Military use of schools and universities

Domain 4: Child recruitment at, or on the way to or from, school

Domain 5: Sexual violence at, or on the way to or from, school or university

Domain 6: Attacks on higher education institutions

¹⁷ <https://protectingeducation.org/wp-content/uploads/GCPEA-Toolkit-1pager.pdf>

¹⁸ Spannagel, J. (2020). The Perks and Hazards of Data Sources on Academic Freedom: An Inventory. *Researching Academic Freedom. Guidelines and Sample Case Studies*.

¹⁹ GCPEA, "Education under Attack 2020," p. 88.

Domain 7: Attacks on higher education students, academics, and other personnel

Domain 8: Overall attacks on education²⁰

4.5.2. University Impact Ranking provided by Times Higher Education

Source: Times Higher Education (THE), “THE impact rankings 2020 by SDG: Peace, justice and strong institutions (SDG 16) methodology,” 2020, <https://www.timeshighereducation.com/impact-rankings-2020-sdg-peacejustice-and-strong-institutions-sdg-16-methodology>

Description: In its assessment of SDG 16: Peace, Justice and Strong Institutions, THE includes the existence of “*policies guaranteeing academic freedom*” among a broad range of indicators. The data on this and other questions related to university governance measures are exclusively collected through self-assessments by universities and on a voluntary and potentially selective basis.

4.5.3. Criterion referenced approach by Karran, Beiter, & Appiagyei-Atua (2017)

Source: Karran, T., Beiter, K., & Appiagyei-Atua, K. (2017). Measuring academic freedom in Europe: a criterion referenced approach. *Policy Reviews in Higher Education*.

Karran, T. (2007). Academic freedom in Europe: A preliminary comparative analysis. *Higher Education Policy*, 20(3), 289-313.

Description: The paper’s purpose is a comparative assessment of the protection for, and health of, academic freedom in the universities of the then 23 European Union nations. The paper addresses the constitutional and legislative frameworks in relation to academic freedom in the EU, assessing them against the different elements of UNESCO’s Recommendation Concerning the Status of Higher-Education Teaching Personnel (1997), in relation to freedom for teaching and research, institutional autonomy, shared governance and tenure.

Operationalisation: The following variables were used:

- Constitutional protection for academic freedom (compliance)

Table 10. Constitutional protection for academic freedom: compliance levels and scores.

(a) Provision on freedom of speech	0%	non: there is no provision in the Constitution
	1%	partial: provision is either indirect or incomplete
	2%	full: there is full, explicit provision in the Constitution
(b) Provision on academic freedom	0%	non: there is no provision in the Constitution
	1%	partial: provision is either indirect or incomplete
	2%	full: there is full, explicit provision in the Constitution
(c) Reference to institutional autonomy	0%	non: there is no reference in the Constitution
	0.5%	partial: reference is made but is either implicit, or incomplete.
	1%	full: there is full, direct, explicit reference in the Constitution
(d) Reference to self-governance	0%	non: there is no reference in the Constitution
	0.5%	partial: reference is made but is either implicit, or incomplete.
	1%	full: there is full, direct, explicit reference in the Constitution
(e) Robustness of provisions	0%	non: the general constitutional context (notably limitation clauses) does not buttresses the above rights
	2.0%	partial: the general constitutional context (notably limitation clauses) fairly buttresses the above rights
	4.0%	full: the general constitutional context (notably limitation clauses) fully buttresses the above rights

²⁰ <https://protectingeducation.org/wp-content/uploads/Section-4-Indicators.pdf>

- Constitutional protection for academic freedom (ratification)

Table 11. Constitutional protection for academic freedom: ratification levels and scores.

(a) ICCPR (free speech provision)	0%	non-ratification: failure to ratify, or ratification but with expressions of problematic reservations to provisions
	1.5%	ratification: ratification of Covenant without expression of reservations to provisions
(b) OP-ICCPR (complaints procedure before UN)	0%	non-ratification: failure to ratify, or ratification but with expressions of problematic reservations to provisions
	1.5%	ratification: ratification of Covenant without expression of reservations to provisions
(c) ICESCR (right to education provision)	0%	non-ratification: failure to ratify, or ratification but with expressions of problematic reservations to provisions
	1.5%	ratification: ratification of Covenant without expression of reservations to provisions
(d) OP-ICESCR (complaints procedure before UN)	0%	non-ratification: failure to ratify, or ratification but with expressions of problematic reservations to provisions
	1.5%	ratification: ratification of Covenant without expression of reservations to provisions
(e) ECHR (free speech provision)	0%	non-ratification: failure to ratify, or ratification but with expressions of problematic reservations to provisions
	4%	ratification: ratification of Covenant without expression of reservations to provisions

4.5.4. Systems Approach for Better Education Results in tertiary education (SABER)-TE

Source: Marmolejo, F. (2016). What Matters Most for Tertiary Education. World Bank Group. URL: <https://openknowledge.worldbank.org/handle/10986/26516>

Description: “This initiative helps countries systematically examine their education-relevant policies using benchmarking methodologies. SABER-TE collects, synthesizes, and disseminates comprehensive information on tertiary education to enable policy makers, WBG staff, and development partners to learn how countries address similar policy challenges and to track differences among countries in terms of needs, policies, and practices.”

Operationalisation:

Policy Dimension 1: Vision for Tertiary Education

Policy level 1.1: Clear vision

- The country/state has a fully developed vision/plan for tertiary education that serves as a guide for steering the system.
- The creation of the tertiary education vision/ strategic plan is relevant and representative, and includes input from key stakeholders and considers key societal factors.

Policy Dimension 2: Regulatory Framework for Tertiary Education

Policy lever 2.1: Steering the system

- The country has an explicitly stated tertiary education law for steering the system towards optimal performance.

- The regulatory framework includes provisions to adequately regulate the market entry and operation of public tertiary education providers.
- The regulatory framework includes provisions to adequately regulate the market entry and operation of private tertiary education providers.
- The regulatory framework includes provisions that adequately regulate the market entry and operation of non-university institutions.
- The regulatory framework includes provisions to adequately regulate the distance and online education.
- The regulatory framework includes provisions to adequately regulate the independent agencies and buffer bodies.

4.6. Responsibility of higher education

4.6.1 Systems Approach for Better Education Results in tertiary education (SABER)-TE

Source: Marmolejo, F. (2016). What Matters Most for Tertiary Education. World Bank Group. URL: <https://openknowledge.worldbank.org/handle/10986/26516>

Description: “This initiative helps countries systematically examine their education-relevant policies using benchmarking methodologies. SABER-TE collects, synthesizes, and disseminates comprehensive information on tertiary education to enable policy makers, WBG staff, and development partners to learn how countries address similar policy challenges and to track differences among countries in terms of needs, policies, and practices.”

Operationalisation: The relevance of Tertiary Education for economic and social development was assessed using the following criteria:

Policy level 6.1: Economic development

- There is a system-wide policy mandate or directive to strengthen the role of tertiary education in enhancing economic development.

Policy level 6.2: Fostering R&D and innovation

- There is a system-wide or sector-specific policy mandate or decree to strengthen RDI activity in tertiary education.
- There are financial incentives to foster RDI activity across different tertiary sub-systems.
- There are system-wide programs and/or incentives to foster institutional autonomy and leadership with regards to RDI activity.

- There are programs and/or incentives to enhance the capacity of local and regional actors to contribute to RDI activities in tertiary institutions.

Policy level 6.3: Fostering social and cultural development, and Environmental protection and sustainability

- There is a system-wide policy mandate or decree to strengthen the role of tertiary education in fostering social and cultural development.
- There is a system-wide policy mandate or decree to strengthen the role of tertiary education in fostering environmental protection and sustainability.

4.6.2. “Core Commitments: Educating Students for Personal and Social Responsibility” initiative

Source: Antonaros, M., Barnhardt, C., Holsapple, M., Moronski, K., & Vergoth, V. (2008). Should Colleges Focus More on Personal and Social Responsibility? Initial Findings from Campus Surveys Conducted for the Association of American Colleges and Universities as Part of Its Initiative, Core Commitments: Educating Students for Personal and Social Responsibility. *Association of American Colleges and Universities (NJ1)*.

Description: “On behalf of the Association of American Colleges and Universities (AAC&U), researchers at the University of Michigan’s Center for the Study of Higher and Postsecondary Education surveyed 23,000 undergraduate students and 9,000 campus professionals (faculty, academic administrators, and student affairs staff) at 23 institutions participating in the Templeton Foundation-supported initiative, Core Commitments: Educating Students for Personal and Social Responsibility. Data from the initial administration of the Personal and Social Responsibility Institutional Inventory (PSRII) in fall 2007 assessed the campus environment along five dimensions of personal and social responsibility”.

Operationalisation: The following responsibility dimensions were used in the project:

1. *Striving for excellence:* developing a strong work ethic and consciously doing one’s very best in all aspects of college;
2. *Cultivating personal and academic integrity:* recognizing and acting on a sense of honor, ranging from honesty in relationships to principled engagement with a formal academic honors code;
3. *Contributing to a larger community:* recognizing and acting on one’s responsibility to the educational community and the wider society, locally, nationally, and globally;
4. *Taking seriously the perspectives of others:* recognizing and acting on the obligation to inform one’s own judgment; engaging diverse and competing perspectives as a resource for learning, citizenship, and work;
5. *Developing competence in ethical and moral reasoning:* developing ethical and moral reasoning in ways that incorporate the other four responsibilities; using such reasoning in learning and in life.

The respondents were asked which of those dimensions should be a major focus for the institutions, and which of them are already in place.

4.6.3. Measuring social accountability of universities

Source: Barber, C., Van Der Vleuten, C., Leppink, J., & Chahine, S. (2020). Social accountability frameworks and their implications for medical education and program evaluation: a narrative review. *Academic Medicine, 95*(12), 1945-1954.

Description: The authors conducted a thematic analysis of exiting literature to identify social accountability frameworks applicable to medical education. They identified six themes that emerged across frameworks. Even though the initial search was targeting medical education institutions, the variables have a potential to be transferred to other higher education spheres.

Operationalisation: 6 themes (with subthemes) emerged across frameworks, including shared values (core social values of relevance, quality, effectiveness, and equity; professionalism; academic freedom and clinical autonomy) and 5 indicators:

- context (mission statements, community partnerships, active contributions to health care policy);
- inputs (diversity/equity in recruitment/selection, community population health profiles);
- processes (curricular activities, community-based training opportunities/learning exposures);
- products (resource planning, quality assurance, program evaluation and accreditation);
- impacts (overall improvement in community health outcomes, reduction/prevention of health risks, morbidity/mortality of community diseases).

4.6.4. An evaluation model of societal and economic engagement of universities

Source: Ritsilä, J., Nieminen, M., Sotarauta, M., & Lahtonen, J. (2008). Societal and economic engagement of universities in Finland: An evaluation model. *Higher Education Management and Policy, 20*(2), 165-176.

Description: The paper presents a framework for assessing the societal and economic engagement of universities and a possible set of outcome measurements which take due account of the major factors governing strategic planning and resource allocation. The model presented in the paper for evaluating the societal and economic engagement of universities seeks to take into account the different circumstances in which individual universities operate and their strategic choices, with due consideration for comparability and national objectives. The goal underpinning the model is to strengthen the autonomy of the universities.

Operationalisation: At the core of the assessment model are five “assessment baskets”:

1. engagement in innovation activities,
2. engagement in the labour market,
3. engagement in socio-ecological development,
4. engagement in the regional environment,
5. engagement in social debate.

5. Conclusions

Based on the description presented in Section 4, above, and the analysis made possible by the map in Appendix 1, we propose the following conclusions and recommendations:

5.1. We have been able to identify existing indicators, tools or attempts at measuring fundamental values in higher education for all fundamental values listed in the Rome Communiqué. However, these indicators, tools and measurement attempts, or initiatives are different in terms of nature, scope and usefulness in the context of the EHEA efforts to monitor the fundamental values of higher education.

5.2. With one exception (university autonomy) existing indicators appear to mention only partially, at best, the fundamental values as defined in the EHEA.

5.3. The Autonomy Scorecard is the only existing tool that appears to fit fully the EHEA definition of one particular value (institutional autonomy). It might be the case that this particular value is in fact defined based on the tool itself, which is itself in reality more than just a tool as the Autonomy Scorecard has put forward a European model of university autonomy.

5.4 Some of the other existing tools and indicators for university autonomy may help to refine and improve the Autonomy Scorecard.

5.5. Although academic freedom and integrity are listed as one value in the Communiqué, at least at the level of the formulation, it is clear that they are not the same and cannot be measured as one value.

5.6. Although a lot of work has been done on academic freedom and, together with autonomy, it benefits from the largest number of indicators, it appears that there is no single existing indicator or tool that can adequately help to measure, or monitor academic freedom as defined in the Rome Communiqué. More work is needed in this regard, but this work does not need to start from scratch and several existing tools and attempts, the Afi being the most prominent, should be considered as part of this work.

5.7. Indicators for measuring the other values, other than university autonomy and academic freedom, are most underdeveloped. Here too, however, we have been able to identify existing tools and initiatives that could be used to build on. The map provides detailed assessments about the possible contributions of each.

5.8. When developing a full list of monitoring tools and indicators, based on the EHEA definitions of fundamental values, attention should be paid not only to monitoring values individually, but also in their interaction, even co-dependence. Some of the existing tools listed in the map provide promising heuristics for addressing this challenge.