



# FUNDAMENTAL VALUES WORKING GROUP 2020-2024 REPORT



Draft 0.1 of the Fundamental Values WG

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## 1. SUMMARY

The Bologna Follow-up Group (BFUG) Working Group on Fundamental Values developed the statements for the remaining fundamental values: public responsibility of higher education, public responsibility for higher education, institutional autonomy, student and staff participation in higher education governance and academic integrity. These statements are the main results of the WG on fundamental values for the period 2021-2024 and aims at providing a common understanding and reference for all fundamental values by the EHEA members in order to develop a fully functional monitoring system to measure the extent to which members are upholding these values. This report outlines process that the WG on Fundamental Values implemented in order to accomplish the ambitious goal of the monitoring system. Also, the report shows that the WG on Fundamental Values sees a clear need to continue with a working group or advisory group on Fundamental Values in the period 2024-2027 in order to continue the work of developing the monitoring system.<sup>1</sup>

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<sup>1</sup> This report will include in its final version a proposal of the Terms of Reference with main objectives for the future BFUG work regarding fundamental values

## 2. INTRODUCTION & MANDATE OF THE GROUP

The Working Group on Fundamental Values is co-chaired by Mihai Cezar Haj (Romania), Tone Flood Strøm (Norway), Rose Anne Cuschieri (Malta) and David Akrami Flores (Germany). Previously, as representative of Germany, Marit Metternich (until October 2022) and Frank Petrikowski (until October 2021) also chaired the Working Group. 19 other members and stakeholders are part of the Working Group on Fundamental Values and: Austria, Council of Europe, Croatia, EI – ETUCE, ENQA, ESU, EUA, European Commission, Finland, France, Holy See, Iceland, Italy, The Netherlands, Poland, Sweden, Switzerland, Turkey and United Kingdom (Scotland)

The mandate of the WG on Fundamental Values set in the Terms of Reference, defined by the BFUG, was to develop a comprehensive framework to further the monitoring and implementation of the fundamental values of the EHEA in the higher education systems of its members as stated in the Rome Ministerial Communique. The Working Group was tasked to fulfill this objective by proposing system should foster self-reflection, constructive dialogue and peer-learning, while also making it possible to assess the degree to which the fundamental values are honoured and implemented in the EHEA . Furthermore, the WG was tasked to develop indicators on de jure and de facto implementation of academic freedom and integrity based on the definition of academic freedom adopted by the ministers in the Rome Communiqué; On the basis of consultation with academic experts and relevant stakeholder organisations, was tasked to consider how the additional fundamental values defined in the Paris and Rome Communiqués - institutional autonomy, participation of students and staff in higher education governance, and public responsibility for and of higher education - can be defined, understood and implemented in the EHEA. For this reason, the WG on Fundamental values dedicated important resources and time to provide ministers with statements that should provide a common understanding within EHEA and beyond.

Another task set out by the BFUG for the Working Group on Fundamental Values was to continue to develop and trial a comprehensive, effective and evidence-based monitoring framework for future reporting on the implementation of the fundamental values in the EHEA through the Bologna Process Implementation Report, a system that takes into account both the de jure and the de facto aspects of the fundamental values of the EHEA. In this sense, the working group has worked closely with the Monitoring WG in order to provide inputs on the data collection process for the 2024 Bologna Process Implementation Report.

The final task from the terms of reference is to develop options for the de facto monitoring of fundamental values, including different options for types of data to be explored and methods for collecting and combining data as well as recommend indicators of fundamental values and the evidence required to fill them including the source for such evidence as part of the comprehensive framework to further the monitoring and implementation of the fundamental values of the EHEA.

## 3. ACTIVITIES OF THE WORKING GROUP

### 3.1 EVENTS ORGANISED<sup>2</sup>

The group had a total of ten meetings between June 2021 and April 2024:

1. First Meeting: June 18, 2021, Malta - Online
2. 2nd Meeting, 29 October 2021, Malta – Online
3. 3rd Meeting, 11-12 July 2022, Malta
4. 4th Meeting, 20 October 2022, Romania, Online
5. 5<sup>th</sup> Meeting, 6-7 December 2022, Bucharest, Romania
6. 6<sup>th</sup> Meeting, 16-17 March 2023, Berlin, Germany
7. 7<sup>th</sup> Meeting, 3-4 July 2023, Romania, Online
8. 8<sup>th</sup> Meeting, 6 -8 November 2023, Bucharest, Romania
9. 9<sup>th</sup> Meeting, January 2024, Brussels, ESU (TBA)
10. 10<sup>th</sup> Meeting, March 2024, Norway (TBA)

In order to support the debates within the working group, the group also welcomed a number of guests and experts during the meetings, which helped with the drafting of the deliverables and provided key presentations on the issues related to Fundamental Values in higher education.

*The first meeting* was dedicated to clarifying the objectives of the WG as stated by the ToR, establishing clear working methods for the working group while acknowledging the work done before by the BFUG, specifically the task force on Fundamental Values as well as other good practice examples (such as the AFI Index). The WG members agreed to hold expert hearings in order to take advantage of the work done by experts and researchers in fulfilling the WGs objectives.

*The second meeting* highlighted the need to establish initial definitions of all fundamental values, recognizing that they are interdependent and that a holistic approach should be taken. The importance of drawing upon existing documents and literature as a foundation for these definitions was emphasized, with a clear plan to involve field experts and researchers in the process. The role of the WG in reporting on fundamental values and constructing a monitoring framework based on these definitions was highlighted, underscoring the need for careful organization and expert input. It was proposed that the WG should seek support from organizations such as DAAD to aid in organizing processes, including expert hearings and stakeholder discussions.

*The third meeting* discussed critical aspects related to the development of statements on fundamental values within the European Higher Education Area (EHEA) and the corresponding indicators for the 2024 Bologna Process Implementation Report (BPIR). The primary focus was to identify relevant indicators to assess the implementation of these fundamental values. The meeting aimed to align the BPIR with the overall draft dimensions of the statements on fundamental values. The working group addressed the need to gather data for a limited number of indicators while ensuring their operational and political significance. Rather than attempting to collect extensive new data, the group emphasized the importance of utilizing existing indicators and data sources. This approach aimed to streamline the assessment process and make it more feasible within the given timeframe. The discussion also highlighted the distinction between the de jure and de facto aspects of fundamental values. While members acknowledged that BFUG could

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<sup>2</sup> Section to be finalized with the details about the last events.

provide information on the de jure component, collecting data for the de facto component presented challenges.

*The fourth meeting* centered around the discussion and development of indicators related to fundamental values, with debates regarding the de jure and de facto indicators for each value. A significant portion of the meeting was dedicated to Academic Freedom and Institutional Autonomy where the discussions focused on both the legal protections and practical dimensions of these values. There were considerations on the balance between internal and external members of governing bodies, the role of public authorities, and the importance of preserving academic freedom while ensuring legal provisions. Another important part of the meeting was dedicated to the examination of academic integrity where the participants debated about the development of ethical cultures, transparency, and methods to address violations of academic integrity. The need to monitor staff participation in training programs and the importance of understanding national guidelines were also discussed. The meeting also addressed public responsibility of and for higher education where the discussions touched upon aspects such as funding frameworks, financial support by public authorities, and the stability of funding. The aim was to determine how public responsibility can contribute to stimulating and advancing higher education systems.

*The fifth meeting* revolved around crucial discussions and debates concerning the fundamental values statements and indicators, including the phrasing, content, and relevance of these statements, with an emphasis on ensuring clarity and inclusiveness. The goal was to draft statements that reflect the shared values and principles within the EHEA while addressing the complex challenges and nuances of modern academia.

*The sixth meeting* centered around critical discussions and developments regarding the establishment of a monitoring framework for fundamental values within the European Higher Education Area (EHEA). One significant aspect discussed was the NewFAV Project mapping on the existing indicators and tools related to fundamental values through literature reviews and expert consultations as well as the project task force consultations aimed at testing the feasibility of using existing indicators. It was acknowledged that only the Academic Freedom Index indicator was found effective, and new indicators would need to be developed over time. Another critical topic of discussion revolved around tailoring the indicators to the commitments made to ministers, enabling cross-country comparisons, and considering the interplay of fundamental values. The importance of de facto data gathering and crowdsourcing data was also highlighted. It was suggested that the most practical approach would be to use existing sources for monitoring purposes, with careful assessment of their feasibility and legitimacy, especially for de facto indicators that require more qualitative measures. Color-coded scorecards were proposed as a way to present the data effectively to ministers. The delicate balance between values and indicators was acknowledged, with the understanding that indicators for one value cannot be established in isolation.

*The seventh meeting* continued the discussion on what a proposal for a monitoring framework for fundamental values in higher education within the EHEA would look like. This framework aimed to assess the integration and usability of previously identified indicators for monitoring these values. It encompassed both de jure and de facto monitoring aspects, proposing a traffic light system to assess academic freedom protection and promotion in different countries. Additionally, the meeting emphasized the importance of aligning the proposed monitoring framework with the Tirana Communiqué, explicitly referencing the need for its continuation in the next mandate. It was agreed that the report from the

meeting should include the monitoring framework, dimensions, indicators, and approaches, which will be presented and validated by the BFUG.

*The eighth meeting* was dedicated towards finalizing the academic integrity statement based on the feedback received from the BFUG as well as finalizing the introductory section. The WG adopted the annex to be proposed as an annex to the Ministerial Communique. During the meeting, based on the proposal from the Drafting Committee, the proposal for the Tirana Communique text was adopted. An important part of the meeting was dedicated to the presentation of the monitoring framework and the debates regarding the future monitoring system.

In addition to the regular WG meetings, the group members were also involved in five events organized by DAAD or within the NEWFAV project:

- 28<sup>th</sup> of October 2021 – DAAD Conference - Fundamental Academic Values in the European Higher Education Area. Strengthening Cooperation through Fundamental Academic Values?
- 7-8 February 2022 - Expert hearing – online
- 5<sup>th</sup> of December 2022, Romania Peer Learning Activity – institutional autonomy
- 15<sup>th</sup> of March 2023, Germany Peer Learning Activity – academic freedom and integrity
- 6<sup>th</sup> of November 2023, Romania Peer Learning Activity- student and staff participation in HE governance

### 3.2 DRAFTING THE FUNDAMENTAL VALUES STATEMENTS

The process of drafting the fundamental values statements has taken into account the work done by the Task force on Fundamental Values from the previous work period. In this sense an expert hearing was organized with the support of DAAD in order to start the discussions with practitioners and experts and pave the way for the development of the statements.

This has been followed by regular meetings/events prior to the meetings of the Working Group on Fundamental Values

All statements have gone through a rigorous process of drafting with the support of experts in the field, under the coordination of the Co-chairing team, and was distributed to the working group members for written feedback, each new revised version has been further debated within the working group where the feedback has been further integrated in the statements. At the end of this process, the agreed statements have been sent to the BFUG for feedback and approval.

### 3.3 TECHNICAL MONITORING FRAMEWORK

**Annex 5.5 represents the Technical Monitoring Framework of Indicators and Piloting Methodology for the fundamental value of higher education in the EHEA<sup>3</sup>.**

- The proposal for Technical Monitoring Framework of Indicators and Piloting Methodology was presented to the WG on the Fundamental Values of Higher education AT its meeting on 7-8 November 2023. Extensive feedback received during this two-day meeting is incorporated in enclosed document with the proposal for **Technical Monitoring Framework of Indicators for the Fundamental Academic Values of Higher Education in the EHEA**
- The proposed monitoring mechanism is being finalized with additional consultations with stakeholders and it will be piloted in four countries between January 2024 and April 2024. After the pilot is completed, the proposal for a monitoring mechanism will be revised and finalized, with a view to present this final version to the WG and the BFUG. The detailed project calendar is unchanged, as initially approved (Slide 3 in the enclosed PPT document)
- In the previous phase (Phase II) a monitoring framework (not a technical framework) was developed and presented in an extended report submitted to the WG. A synopsis of the monitoring framework and main indicators (finalized earlier with feedback from the WG) is presented below in Figures 1a and 1b.
- The present report presents in detail how the technical monitoring framework has been developed, with illustrations for individual values.
- In this phase of the report (New FAV Phase III), three specific tasks were fulfilled, as per the project's terms of reference:
  - Task 1: Develop individual monitoring frameworks & extract dimensions of values from the EHEA definitions.
  - Task 2: Propose indicators for each value considering the monitoring framework elements. Develop tools for data collection considering these monitoring elements. Tools are adapted for each value but are similar and intended to maintain consistency. Monitoring tools identified previously in the project are proposed to be used as much as possible in all cases.
  - Task 3: Consult stakeholders, researchers, other Bologna experts (ongoing, to be finalized by 30 November 2023).
- The report also shows how data collection is proposed to be constructed (including categories of sources of data) and respective tools used. It is indicated in the file how reporting is proposed to look like after data collection and processing (*e.g.*, data visualization). The pilot monitoring framework for each value is based strictly on the EHEA statements/draft statements regarding each value.

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<sup>3</sup> Draft version as updated in accordance with the debates during the November 2023 FV WG meeting in Bucharest. The report is not final.

Figure 1a: Monitoring framework and indicators for rights/freedoms values

TYPE OF MONITORING/Indicators		VALUES		
		Rights/Freedoms		
<i>De jure</i>		Academic freedom	Institutional autonomy	Participation of students and staff in university governance
Protection ( <i>adequate, intermediary, inadequate</i> )	Outlook ( <i>negative, unchanged, positive</i> )			
Promotion ( <i>absent, limited, significant</i> ) <sup>4</sup>				
<i>De facto</i>				
Infringements				
Threats				
Positive developments				

Figure 1b: Monitoring framework and indicators for obligations/duties values

TYPE OF MONITORING/Indicators		VALUES		
		Obligations/Duties		
<i>De jure</i>		Academic integrity	Public responsibility for higher education	Public responsibility of higher education
Protection ( <i>adequate, intermediary, inadequate</i> )	Outlook ( <i>negative, unchanged, positive</i> )			
Promotion ( <i>absent, limited, significant</i> ) <sup>5</sup>				
<i>De facto</i>				
Degree of fulfilment				
Threats				
Positive developments				

<sup>4,2</sup> Promotion of fundamental values will also include elements of *de facto* monitoring.

## 4. CONCLUSIONS

### 4.1 RECOMMENDATIONS FOR THE TIRANA COMMUNIQUE

The EHEA builds on our shared fundamental values - **academic freedom, academic integrity, institutional autonomy, student and staff participation in higher education governance and public responsibility for and of higher education** which are a basis and precondition for thriving higher education communities and for achieving higher education's role in society.

Developments since our previous conference, including the unprovoked Russian attack on Ukraine, have underlined the importance of the values upon which we base the EHEA. The fundamental values of higher education are now more threatened than they were a decade ago.

We reaffirm our understanding of **academic freedom** as defined in the Romme Communiqué. We understand **academic integrity** as a set of behaviours and attitudes in the academic community internalizing and furthering compliance with ethical and professional principles and standards in learning, teaching, research, governance, outreach and any other tasks related to the missions of higher education. We further understand **institutional autonomy** as the will and ability of higher education institutions to fulfil their missions without undue interference and to set and implement their own priorities and policies as concerns organisation, finance, staffing and academic affairs. The **participation of students and staff in higher education governance** encompasses their right to organise autonomously, in accordance with the principle of partnership and collegiality, without pressure or undue interference; elect and be elected in open, free and fair elections; have their views represented and taken into account; initiate and participate in all debates in all governing bodies; and through their representative organisations, be duly consulted on issues concerning the governance and further development of the relevant higher education institutions and system. **Public responsibility for higher education** denotes a set of duties that public authorities must fulfil as part of their overall responsibility for the education sector and society as a whole. It is mainly exercised at the level of the national higher education *system*. **Public responsibility of higher education** denotes the obligations of the higher education community to the broader society of which the higher education community is a part. Our understanding of these values is further outlined in **ANNEX 1**.

We underscore that while each value is essential, all six values need to be implemented as a coherent whole. The way any single value is put into practice impacts the way in which other values are realised.

The goal of making the fundamental academic values a cornerstone of the EHEA requires

- reliable monitoring of the implementation of the fundamental values of higher education within all our education systems,
- peer learning enabling us to learn from each other's experience and
- action to address instances in which fundamental values are threatened.

We therefore ask the BFUG to continue its work to protect and further our fundamental values along all these three lines of action. We further endorse the proposed technical monitoring framework outlined in the appendix to the report by the Fundamental Values Working Group, ask the BFUG to pilot the implementation of this framework and report back to us at our 2027 conference.

## 4.2 RECOMMENDATIONS FOR THE NEXT WORK PERIOD

*The work of the Fundamental Values WG should continue during the next period and work programme. as a stand alone working group or advisory group. As the monitoring framework does provide valuable insights on how fundamental values should be monitored, more work needs to be done in order to develop, adapt and implement indicators to cover all dimensions included in the fundamental values statements.*

*The framework for monitoring fundamental values should be continuously developed to take into account new development and new data sources. This work should be carried out by this working group in close cooperation with the Monitoring Working Group. This cooperation should be extended towards other relevant working groups including any structure responsible for overseeing the implementation of the monitoring framework for fundamental values.*

*This working group should continue discussions and cooperation with other structures part of similar initiatives in order to provide the know how and to advocate the use (where possible) of the statements adopted within the EHEA and subsequent indicators, in order to avoid parallel reporting and/or different understandings under different frameworks.*

*This working group should support the work towards the enhancement of the fundamental values of the EHEA with the aim to foster self-reflection, constructive dialogue and peer-learning across national authorities, higher education institutions and organizations. The concept for peer-learning for fundamental values and promotion of activities needs to take into account the challenges towards the common understanding of these values and should be piloted by the FV WG by 2027 before moving the work towards the thematic WG within the 2027-2030 mandate.*

## 5. ANNEXES

### 5.1. ACRONYMS<sup>6</sup>

- BFUG Bologna Follow-up Group
- EHEA European Higher Education Area
- ESGs European Standards and Guidelines on Quality Assurance
- ESU European Student Union
- UN

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<sup>6</sup> To be added based on the acronyms used in the final version of the report

## Working Group on Fundamental Values

<p><b>Name of the Working Group</b></p> <p><i>Working Group on Fundamental Values</i></p>
<p><b>Contact persons/Co-chairs</b></p> <ul style="list-style-type: none"> <li>• Frank Petrikowski / Marit Metternich (since October 2021) / David Akrami Flores (since October 2022)</li> <li>• Rose Anne Cuschieri</li> <li>• Mihai Cezar Hâj</li> <li>• Tone Flood Strøm</li> </ul>
<p><b>Composition</b></p> <p>Austria; Council of Europe; Croatia; EI – ETUCE; ENQA; ESU - European Students' Union; EUA - European University Association; European Commission; European Commission/ Eurydice; Finland; France; Germany; Holy See; Iceland; Italy; Kazakhstan; Malta; The Netherlands; North Macedonia; Norway; Poland; Romania; Russia; Sweden; Switzerland; Turkey; United Kingdom (Scotland); United Kingdom.</p> <p>A representative of the working group on Monitoring should be a member of the working group, preferably one of the co-chairs of WG1, to establish a link between the work done in the two groups.</p>
<p><b>Purpose and/or outcome</b></p> <ul style="list-style-type: none"> <li>➤ To develop a comprehensive framework to further the monitoring and implementation of the fundamental values of the EHEA in the higher education systems of its members. The system should foster self-reflection, constructive dialogue and peer-learning, while also making it possible to assess the degree to which these fundamental values are honoured and implemented in the EHEA.</li> </ul>
<p><b>Reference to the Rome Communiqué</b></p> <p><i>“We reaffirm our commitment to promoting and protecting <b>our shared fundamental values in the entire EHEA through intensified political dialogue and cooperation</b> as the necessary basis for quality learning, teaching and research as well as for democratic societies. We commit to upholding institutional autonomy, academic freedom and integrity, participation of students and staff in higher education governance, and public responsibility for and of higher education.</i></p> <p><i>We ask the BFUG to develop a <b>framework</b> for the enhancement of the fundamental values of the EHEA that will foster self-reflection, constructive dialogue and peer-learning across national authorities, higher education institutions and organisations, while also making it possible to assess</i></p>

*the degree to which these are honoured and implemented in our systems. We adopt the **definition of academic freedom** as freedom of academic staff and students to engage in research, teaching, learning and communication in and with society without interference nor fear of reprisal”*

### **Specific tasks**

- To develop indicators on *de jure* and *de facto* implementation of academic freedom and integrity based on the definition of academic freedom adopted by the ministers in the Rome Communiqué;
- On the basis of consultation with academic experts and relevant stakeholder organisations, to consider how the additional fundamental values defined in the Paris and Rome Communiqués - institutional autonomy, participation of students and staff in higher education governance, and public responsibility for and of higher education - can be defined, understood and implemented in the EHEA;
- To continue to develop and trial a comprehensive, effective and evidence-based monitoring framework for future reporting on the implementation of the fundamental values in the EHEA through the Bologna Process Implementation Report, a system that takes into account both the *de jure* and the *de facto* aspects of the fundamental values of the EHEA;
- To liaise with the working group on Monitoring to ensure that the collection of data related to *de jure* monitoring of the fundamental values takes place, and that this data is reported in time for the 2024 Bologna Process Implementation Report;
- To develop options for the *de facto* monitoring of fundamental values, including different options for types of data to be explored and methods for collecting and combining data;
- To recommend indicators of fundamental values, as well as the evidence required to fill them, and the source for such evidence;
- In cooperation with the BFUG, take the initiative to a policy dialogue and peer learning activities in the areas concerned, with all relevant higher education policy makers, institutions and stakeholders.

### **Reporting**

Regular progress report will be given to the BFUG. A final report with recommendations will be presented to the BFUG and to the ministerial meeting in 2024.

Minutes of working group meetings will be made available by the Bologna Secretariat.

### **Meeting schedule**

Dates will be decided upon by the working group at a later stage.

### **Liaison with other WGs' activities**

- WG on Monitoring

## 5.3 ANNEX TO THE TIRANA MINISTERIAL COMMUNIQUE (FUNDAMENTAL VALUES STATEMENTS)

### INTRODUCTION

The Paris Communiqué specifies the fundamental values of the European Higher Education Area. The Rome Communiqué reconfirms these and also details the shared understanding of one of these: academic freedom.

This document, developed in consultation with a range of experts and stakeholder organisations, complements the Rome Communiqué. Together the documents make explicit the shared understanding of these six values, which are equally important: academic freedom, academic integrity, institutional autonomy, student and staff participation in higher education governance, public responsibility for higher education, and public responsibility of higher education. These values need to be reflected in laws, regulations, and frameworks, and also to be put into practice. Public authorities are responsible for creating conditions conducive to making these values a reality.

The fundamental values of the EHEA constitute a coherent whole and are interconnected. Even if the values often align, they are sometimes in conflict. The way any single value is put into practice can impact the way other values are realised. As a consequence, the EHEA Implementation Report should seek to assess not only the state of each value but also how the fundamental values of the EHEA are put into practice as a whole. The indicators should therefore make it possible to assess the extent to which members of the EHEA respect and practice the values on which the EHEA builds. A country or education system cannot be considered to observe the fundamental values of higher education unless they respect all the values. They need to provide an environment which encourages making the values a reality, which gives equal importance to all values and which ensures that they are upheld in equal measure.

Higher education institutions and organisations, students, and staff as well as public authorities are encouraged to engage in self-reflection, constructive dialogue and peer-learning in the implementation of these values across the European Higher Education Area.

### STATEMENT ON PUBLIC RESPONSIBILITY OF AND FOR HIGHER EDUCATION

#### Public responsibility *for* higher education

Public responsibility *for* higher education denotes a set of duties that public authorities must fulfill as part of their overall responsibility for the education sector and society as a whole. Public responsibility *for* higher education is mainly exercised at the level of the national higher education *system*. It includes political, public policy, regulatory and legal obligations, including with regard to funding, and is in its details defined by each EHEA member in accordance with the principles that have been agreed jointly through the EHEA and other relevant contexts. It is exercised with due regard to the other fundamental values of the EHEA and involves the responsibility to help safeguard all the fundamental values of higher education. It includes the core responsibility for the proper functioning of the higher education system, for the benefit of the broader society and individual development, as well as to the members of the higher education community.

While in most EHEA member states the public responsibility for higher education is mainly exercised at national level, this responsibility (or parts thereof) may also be exercised at regional and local level.

Increasingly, there is also a justified perception of public responsibility for higher education being exercised at supra-national level, also in accordance with commonly agreed principles.

Public authorities, at their respective levels, have the primary responsibility for putting in place supportive regulatory frameworks that enable higher education institutions to effectively pursue their educational, research and outreach missions. Public responsibility may be exercised through legislation and other regulations but also through other means such as policies or funding.

Public authorities should exercise this responsibility in consultation with the higher education community and other stakeholders. They should specifically ensure that legal and regulatory frameworks foster and enable institutional autonomy, academic freedom, and self-governance by the higher education community.

Public authorities should consult and seek input from the higher education sector, internal university constituencies, and relevant external stakeholders regarding the configuration and substance of these frameworks. They should, however, assume *exclusive responsibility* to ensure that the frameworks within which higher education is conducted are put in place and function adequately, including the legal framework, the qualifications framework of the higher education system, frameworks for quality assurance, the recognition of foreign qualifications, information on higher education provision, the funding frameworks, and the frameworks for the social dimension of higher education.

Public authorities should assume *leading responsibility* for ensuring that all qualified candidates enjoy effective equal opportunities to undertake and complete higher education, irrespective of their background. They should assume a *substantial responsibility* for financing and ensuring provision of higher education. All higher education within an education system should be provided and funded within the framework established by the competent public authorities, regardless of whether the provision and funding are public or private<sup>7</sup>.

Public authorities should further all major purposes of higher education: preparation for the labour market, preparation for life as active citizens of democratic societies, personal development, and the development and maintenance of a broad and advanced knowledge base<sup>8</sup>.

### **Public responsibility of higher education**

While public authorities have final responsibility for the relevant regulatory and policy frameworks at all levels, higher education institutions should engage in the design and implementation of these frameworks. More directly, however, public responsibility of higher education denotes the obligations of the higher education community to the broader society of which the higher education community is a part. The higher education community encompasses all staff and students as well as institutional leaders, and the members of higher education organizations (e.g. university, student, and staff associations).

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<sup>7</sup> Cf Recommendation CM/Rec(2007)6 of the Committee of Ministers to member states on the public responsibility for higher education and research, para. 7. Recommendations by the Council of Europe's Committee of Ministers have been accepted by all EHEA member States except the three that are parties to the European Cultural Convention without being Council of Europe members. While Russia is no longer a member of the Council of Europe, it was at the time the Recommendation was adopted.

<sup>8</sup> Cf Recommendation CM/Rec(2007)6 of the Committee of Ministers to member states on the public responsibility for higher education and research, para. 5.

Through its own actions, internal regulation and policies, the higher education community should ensure that the fundamental values of higher education are respected, furthered, and implemented. It should pursue truth and the production, transmission, dissemination, curation, and use of knowledge as a public good by upholding and developing the standards of teaching, learning, and research within and across academic disciplines.

The higher education community should continuously inform broader society of its work and results. It should engage in the identification, analysis, and understanding of the problems that confront broader society and individual constituencies. The higher education community should also participate in designing solutions to these problems and provide expertise to meet these challenges, in accordance with its own standards and values.

The higher education community should seek to foster and disseminate, and should itself be guided by a culture of democracy, solidarity, and ethics. It should provide information publicly about societal risks related to action or inaction, when such risks can be determined on the basis of research and scholarship. The higher education community should design and pursue its policies and activities in ways that are consistent with fairness, non-discrimination, and transparency. It should offer access to higher education to qualified candidates without regard to their economic, social, ethnic, or other background and provide support in order to enable those admitted to complete their studies with success.

Major challenges of modern societies, including those relating to the UN Sustainable Development Goals and sustainable development more broadly, the survival of our planet, issues of war and peace, democracy, and living together cannot be met without a strong contribution by the higher education community through research, learning and teaching, societal outreach and innovation and technology transfer. In the words of the Magna Charta Universitatum (2020), universities acknowledge that they have a responsibility to engage with and respond to the aspirations and challenges of the world and to the communities they serve, to benefit humanity and contribute to sustainability. The higher education community should therefore contribute to the development of society on the basis of scholarship and research as well as teaching and learning.

The higher education community should engage in and with the public sphere, including in public debate, to ensure that our societies be developed and governed on the basis of factual knowledge as well as critical and constructive thinking. It should work with the society of which it is part, including with its local community, to help improve opportunities for all members of society, in accordance with the democratic and social missions of higher education.

The higher education community should equip its graduates with general, specialized and ethical knowledge, understanding, support them in developing the ability to act and to decide what action to take and what action to refrain from taking.

## **STATEMENT ON INSTITUTIONAL AUTONOMY**

Higher education institutions play a central role in democratic societies. Institutional autonomy is a precondition for academic freedom and a prerequisite for higher education institutions to fulfil both their democratic mission and to provide high quality learning, teaching and research for the benefit of society.

Institutional autonomy must be furthered by public authorities as well as the academic community itself. While broader society has legitimate expectations of higher education and the role it can and should play in addressing pressing societal concerns, higher education can fulfill this role only if it enjoys the autonomy to identify longer term developments and challenge established doctrines.

Public authorities should ensure the conditions required to make institutional autonomy a reality. It is incumbent on them to enable higher education institutions to fulfill their missions without undue interference. Governance frameworks and arrangements should safeguard institutional autonomy and the self-governance of academic institutions. Public authorities should ensure quality learning, teaching, research and dissemination.

The different dimensions of autonomy – organisational, financial, staffing and academic autonomy – co-exist with and need to be balanced against the public responsibility for higher education and the public responsibility of higher education towards society.

Higher education institutions need to be able and willing to define their leadership and governance models. This organisational autonomy also entails the autonomy to set an institution's priorities and strategic direction. It should ensure participatory rights for the different members of the academic community. Bodies representing the interests of staff and students should be able to function freely, contribute to institutional policies, further the interests of their constituents and help protect them against discrimination, harassment or intimidation. Public as well as institutional regulations and policy must ensure campus integrity and prevent the use of force and reprisals against academic staff and students, which would constitute a violation of the fundamental values of the European Higher Education Area.

Higher education institutions must be funded adequately to deliver on their missions and should decide freely on their internal financial affairs and allocate their funding according to their needs and priorities. They should be able to exercise their financial autonomy independently from external actors – in compliance with general rules for transparency and financial accountability. Regardless of their role in funding an institution, public authorities as well as private funders and donors should provide such funding within a framework that ensures that institutions are able to establish and implement institutional priorities and policies. In such a setting, neither additional funds granted on a competitive basis and/or earmarked for pre-defined purposes nor legal regulation of tuition fees shall be considered an infringement of an institution's financial autonomy. Within a framework of public responsibility, adequate and sustainable public funding remains the main precondition to guarantee institutional autonomy.

Higher education institutions should be able to hire, promote and retain staff for academic, technical and administrative positions. In exercising their staffing autonomy, higher education institutions should ensure fairness, transparency and non-discrimination. The policies and practice of higher education institutions as well as public authorities should respect and uphold the legal rights and academic freedom of their staff.

Higher education institutions must enjoy academic autonomy in order to ensure that the individual members of the academic community can exercise their academic freedom. As part of their academic autonomy, higher education institutions must be able to decide e.g. on admissions, curriculum design and the introduction and termination of programmes. Academic autonomy also includes the capacity to decide on areas, scope, aims and methods of research in accordance with the law, academic standards and good research practice, as well as the values of academic integrity.

Arrangements for ensuring and assessing public responsibility and accountability should be consistent with institutional autonomy. This applies especially to funding provided by public authorities, but also to fundamental values as well as human rights in general. Irrespective of enjoying a high degree of autonomy, higher education institutions are accountable for their decisions. At the same time, accountability and responsibility should not serve as a pretext for undue or excessive interventions by public authorities or other actors.

## **STATEMENT ON STUDENT AND STAFF PARTICIPATION IN HIGHER EDUCATION GOVERNANCE**

The implementation of a partnership model of higher education governance is necessary to make all stakeholders in higher education accountable and responsible. Student and staff participation strengthens higher education governance. It enhances the sense of ownership and community and of common responsibility for the development of high quality, socially responsible higher education.

Student and staff participation in higher education governance encompasses their right to:

- organise autonomously without pressure or undue interference from public authorities, governing bodies or other stakeholders;
- elect and to be elected to the relevant governing bodies in open, free and fair elections and without any discrimination;
- have their views represented and taken into account;
- have the right to initiate debates and table proposals in all governing bodies and participate in the discussion of and decision on them,
- be heard and have a vote on the internal organisation and administration of higher education institutions and all issues of higher education governance, and
- through their representative organisations, be duly consulted on issues concerning the governance and further development of the relevant higher education system.

Regardless of the various governance models throughout the EHEA, student and staff participation in higher education governance should be applied to all systems and institutions within the EHEA, whether public or private, for profit or not-for-profit, and at all levels of governance – transnational, European, national, regional, institutional, and sub-institutional. Student and staff participation in higher education governance may take different forms, depending on national and institutional structures and practices.

At all levels and regardless of specific governance arrangements, higher education leaders have a responsibility to create an environment conducive to purposeful and mutually beneficial relations between stakeholders. The dialogue between all relevant stakeholders should be rooted in clear and transparent regulations, provisions and procedures and be based on mutual trust, recognition and cooperation.

The freedom of students and staff to express their views on their institution's policies and priorities as well as the policies of public authorities for the higher education system and the institutions that constitute it, without fear of reprisal, and that both higher education institutions and systems have a responsibility to listen to the critical voices and take them into account is an inseparable element of academic freedom.

Measures to further meaningful engagement of students and staff in higher education governance should take into account the diverse socio-economic conditions of different student and staff members and in

particular focus on early career academics and students coming from disadvantaged backgrounds. Student and staff participation in higher education governance is strongly connected to their material conditions, and higher education can thrive only once public authorities as well as higher education institutions provide them with stable learning and working conditions. This comprises academic staff at all stages of their career in all the varieties of the current contractual modalities within higher education systems – full time, part time, fixed term and “on demand” staff.

At the system and transnational levels, democratic higher education governance requires public authorities to commit to its principles and practice, adopt the required provisions in the pertinent laws, and otherwise respect autonomy and participation. Staff and student representatives and their organisations need to be consulted on and to be in a position to influence decisions.

While at the level of higher education systems, several kinds of decision may ultimately fall within the competence of elected public representatives in parliament or by public authorities whose mandate emanates from elected public representatives, these should consult with the democratically elected and representative student and staff organisations. In contexts where policies are developed outside of frameworks with legislative or other governance responsibilities, such as the EHEA, duly elected student and staff representatives should be part of all policy discussions, following the good practice example of the Bologna Follow-Up Group.

In all contexts, duly elected student and staff representatives should be consulted on all issues put before the governing bodies. These may include but are not limited to the freedom to learn, the organisation and content of education, curriculum design and quality assurance, equitable access to higher education, strategic objectives and governance designs, financial matters, academic staff recruitment and retention, secure employment conditions, freedom from threats, retaliation, dismissal, or other sanctions in relation to the content of their research, teaching or stated professional views.

Successful higher education governance requires the participation of a variety of stakeholders including institutional leaders, students and academic and administrative staff as well as cooperation with external stakeholders. Such participation and cooperation are essential to fulfilling the main missions of higher education and to ensuring the long-term success of our shared goals and commitments in the EHEA. It should be taken into account when recognising higher education institutions as a part of any given national education system and be included in the quality assurance criteria.

A partnership principle of collegiality requires participation continuously at the various stages of decision-making and decision-taking processes, including setting agendas, drafting decisions, voting and veto, implementation and monitoring. The elections of student and staff representatives at all levels of higher education governance should be organised freely and autonomously, be representative and adhere to democratic principles to be legitimate. Institutions as well as student and staff organisations should seek to stimulate participation in student and staff elections as well as encourage participation of students and staff and engage in the life of the institution with a view to enhancing its democratic legitimacy and representativity.

Student and staff organisations should respect democratic principles and processes in their own elections and governance and join forces with institutions and systems in encouraging participation of students and staff. Higher education institutions and systems should provide support, including financial and other resources, for sustainable representation of students and staff and ensuring the independence of

representatives and their organisations. Student and staff representatives remain accountable to their constituencies.

## **EHEA STATEMENT ON ACADEMIC INTEGRITY**

Academic integrity designates the duty of the academic community to internalise and comply with ethical and professional principles and standards in learning, teaching, research, governance, outreach and any other tasks related to the missions of higher education. The duties and rights associated with the fulfilment and protection of academic integrity apply to all members of the academic community, who should develop a shared understanding of the concept and be guided by it.. Academic integrity is an ethical and professional imperative that needs to be considered by the individual member of the academic community, but which also requires policies, regulations and processes at institutional and system level, which needs to be monitored, and which also needs to be reconsidered over time.

By ensuring compliance with ethical standards in higher education, academic integrity ensures trust in higher education and research, within the institution, the wider academic community, and also in society. This is essential for the legitimacy and reputation of higher education and to enable the academic community to inform the public debate on the results, standards and methods of academic research with authenticity and intellectual rigour. Academic integrity is essential to building trust within and between higher education systems and institutions, which is the basis for quality and crucial for all forms of international cooperation and mobility.

Academic integrity includes but is not limited to honesty, transparency, fairness, the search for truth, trust, responsibility, respect, courage, collegiality and solidarity. These qualities underpin an ethical and professional approach in all areas of activities of the academic community, conducted inside or outside the higher education institution, and requires supporting measures, especially for early stage researchers. Academic integrity should be ensured within and across higher education, thus maintaining of a culture of integrity, ethics and transparency from the earliest stages of education and research training.

Public authorities, funding organisations, higher education and research institutions and the academic community share the responsibility for providing framework conditions that foster academic integrity. This involves establishing transparent regulations, standards and guidelines to be implemented at institutional level and providing for appropriate mechanisms, including the possibility to establish independent bodies to monitor and enhance compliance. The frameworks, the measures and the associated sanctions should be proportionate to the intended aim and any violations committed.

To ensure appropriate and fit for purpose processes at institutional and programme level, the reference to the academic integrity policies in learning and teaching, research, in administrative procedures and in institutional governance should be included in quality assurance procedures and be reviewed by the appropriate internal and external bodies in line with European and national frameworks, including the European Standards and Guidelines on Quality Assurance (ESGs).

Special attention needs to be paid to ensuring academic integrity in the context of emerging digital technologies, such as the use of artificial intelligence and generative models in education, as well as in the handling of data. Public authorities together with the academic community should adopt recommendations on good educational practice, therein creating and periodically reviewing frameworks

and guidelines to ensure they keep pace with developments and, when necessary, setting standards and limits for its use.

Public authorities should establish adequate frameworks, with due respect to academic freedom, and also cooperate at international level, such as within the framework of the Council of Europe, in order to counter and as far as possible eliminate diploma mills, contract cheating practices and other forms of organized misconduct and corruption including in the administrative processes and institutional governance of the academic institutions.

Institutions, funding organisations or other suitable academic bodies should develop a variety of ways to foster a culture of academic integrity in co-creation with students and academic and administrative staff. This may include the formulation of clear expectations regarding academic integrity that apply to all members of the academic community, including the development of Codes of Ethics. The main aim would be to ensure a clear understanding of standards for academic integrity and the consequences for violations, including the identification of procedures and bodies responsible. Such mechanisms, including ones for support and guidance, should be actively promoted within higher education institutions as well as externally and also be used as a source for regular training workshops and seminars for staff and students.

The leadership has the primary responsibility to establish and ensure structures and processes to uphold academic integrity. Academic staff have a special responsibility in adhering to and promoting academic integrity, setting an example for colleagues and students. Teachers are responsible for creating a safe learning environment for students that encourages critical thinking and recognises mistakes and error as an integral part of quality learning, teaching and research. Administrative staff and institutional leaders have the responsibility to ensure fairness and transparency in their work. Students, while still in education, have the same obligation to promote and respect academic integrity as all other members of the academic community. For academic integrity to be successfully fostered, it is important not only to pursue and redress academic misconduct, but also to create an environment that prevents it and that nourishes integrity. Public authorities should ensure that all organisational, cultural, legislative, financial and other measures promote a healthy working environment and error culture, while avoiding regulatory loopholes that allow impunity for academic misconduct.

Adequate and sustainable funding for higher education and research and creating administrative frameworks that promote collaboration over competition and quality over quantity in academic outputs are necessary framework conditions for academic integrity, as well as proper training, adequate guidance and support for the academic community to develop its understanding of academic integrity and the skills and competences required to apply it.

## 5.4 LIST OF GROUP MEETINGS AND PARTICIPANTS<sup>9</sup>

### **First Meeting: June 18, 2021, Malta**

1. Austria Liviu Matei
2. Council of Europe Sjur Bergan
3. Croatia Leonardo Marušić
4. EI - ETUCE Rob Copeland
5. ENQA Anna Gover
6. ESU - European Students' Union Matteo Vespa
7. EUA - European University Association Monika Steinel
8. European Commission Kinga Szuly
9. Eurydice David Crosier
10. Finland Maija Innola
11. France Carle Bonafous-Murat
12. Germany (Co-chair) Frank Petrikowski
13. Holy See Melanie Rosenbaum
14. Iceland Una Strand Viðarsdóttir
15. Italy Luca Lantero
16. Malta (Co-chair) Rose Anne Cuschieri
17. Norway (Co-chair) Tone Flood Strøm
18. Poland Ewa Agnieszka Lekka-Kowalik
19. Romania (Co-chair) Mihai Cezar Hâj
20. Sweden Robin Moberg
21. Switzerland Aurélie Robert-Tissot
22. Turkey Aslı GÜNAY
23. United Kingdom (Scotland) Michael Watney
24. EACEA Susanna Zellini
25. BFUG Secretariat (Head) Enida Bezhani
26. BFUG Secretariat Irma Sheqi
27. BFUG Secretariat Kristina Metallari

### **2<sup>nd</sup> Meeting, 29 October 2021, Malta - Online**

1. Austria Liviu Matei
2. Council of Europe Sjur Bergan
3. Croatia Leonardo Marušić
4. EI - ETUCE Rob Copeland
5. ENQA Anna Gover
6. ESU - European Students' Union Matteo Vespa
7. EUA - European University Association Anna Lena Claeys Kulik
8. European Commission Kinga Szuly
9. European Commission/ Eurydice David Crosier
10. Finland Maija Innola
11. France Mathieu Musquin
12. Germany (Co-chair) Marit Metternich
13. Holy See Melanie Rosenbaum
14. Iceland Una Strand Viðarsdóttir
15. Malta Rose Anne Cuschieri

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<sup>9</sup> Participants from the last meetings will be added at a later stage.

16. Norway (Co-chair) Tone Flood Strøm
17. Poland Ewa Agnieszka Lekka-Kowalik
18. Romania (Co-chair) Mihai Cezar Hâj
19. Turkey Aslı GÜNAY
20. United Kingdom (Scotland) Michael Watney
21. EACEA Susanna Zellini
22. DAAD (Guest) Hans Leifgen
23. BFUG Secretariat Kristina Metallari
24. BFUG Secretariat Aida Myrto
25. BFUG Secretariat Alesia Gegushi

**3<sup>rd</sup> Meeting, 11-12 July 2022, Malta**

1. Austria Liviu Matei
2. Austria Milica Popović
3. Council of Europe Sjur Bergan
4. Croatia Leonardo Marušić
5. Croatia Dijana Mandić
6. EI-ETUCE Rob Copeland
7. ENQA Elena Cirlan
8. ENQA Øystein Lund
9. European Commission Kinga Szuly
10. European Commission Svein Hullstein
11. European Commission/Eurydice David Crosier
12. European Students Union (ESU) Matteo Vespa
13. European University Association (EUA) Monika Steinel
14. France Mathieu Musquin
15. France Carle Bonafous - Murat
16. Germany (Co-Chair) Marit Metternich
17. Holy See Melanie Rosenbaum
18. Malta (Co-Chair) Rose Anne Cuschieri
19. The Netherlands Sophie Duijser
20. Norway (Co-Chair) Tone Flood Strøm
21. Poland Piotr Kulicki
22. Romania (Co-Chair) Mihai Cezar Hâj
23. Sweden Robin Moberg
24. Switzerland Aurélia Robert-Tissot
25. Scholars at Risk Network (Guest) Robert Quinn
26. BFUG Secretariat (Head) Oltion Rrumbullaku

**4<sup>th</sup> Meeting, 20 October 2022, Romania, Online**

1. Austria Milica Popović
2. Council of Europe Sjur Bergan
3. Croatia Leonardo Marušić
4. EI-ETUCE Rob Copeland
5. European Commission/Eurydice David Crosier
6. European Students Union (ESU) Matteo Vespa
7. European University Association (EUA) Monika Steinel
8. ENQA Anna Gover

9. Finland Maija Innola
10. France Carle Bonafous - Murat
11. France Mathieu Musquin
12. Germany (Co-Chair) David Akrami Flores
13. Holy See Melanie Rosenbaum
14. Iceland Una Strand Viðarsdóttir
15. Norway (Co-Chair) Tone Flood Strøm
16. Poland Agnieszka Lekka Kowalik
17. Romania (Co-Chair) Mihai Cezar Hâj
18. Sweden Robin Moberg
19. Switzerland Aurélia Robert-Tissot
20. Turkey Asii Günay
21. Scholars at Risk Network (Guest) Robert Quinn
22. DAAD (Guest) Hans Leifgen
23. Rector at King's College London (Guest) Liviu Matei
24. BFUG Secretariat Aida Myrto
25. BFUG Secretariat Jora Vaso
26. BFUG Secretariat Patrik Bardhi

**5<sup>th</sup> Meeting, 6-7 December 2022, Bucharest, Romania**

1. Austria Milica Popović
2. Council of Europe Sjur Bergan
3. Croatia Leonardo Marušić
4. EI-ETUCE Rob Copeland
5. European Commission/Eurydice David Crosier
6. European Commission\* Kinga Szuly
7. European Commission Sven Hullstein
8. European Students Union (ESU) Matteo Vespa
9. European University Association (EUA) Monika Steinel
10. Finland Maija Innola
11. France Sara Thornton
12. Germany (Co-Chair) David Akrami Flores
13. Holy See\* Melanie Rosenbaum
14. Iceland Una Strand Viðarsdóttir
15. Malta (Co-Chair) Rose Anne Cuschieri
16. Norway (Co-Chair)\* Tone Flood Strøm
17. Poland Agnieszka Lekka Kowalik
18. Romania (Co-Chair) Mihai Cezar Hâj
19. Romania Cristina Fit
20. Sweden Robin Moberg
21. Switzerland Aurélia Robert-Tissot
22. King's College London (Guest) Liviu Matei
23. The Netherlands Sophie Duijser
24. BFUG Secretariat Jora Vaso
25. BFUG Secretariat Patrik Bardhi

**6<sup>th</sup> Meeting, 16-17 March 2023, Berlin, Germany**

1. Austria Milica Popović

2. Council of Europe Sjur Bergan
3. Croatia Leonardo Marušić
4. DAAD (Guest) Bettina Rosen
5. DAAD (Guest) Hans Leifgen
6. EI - ETUCE Rob Copeland
7. ENQA Anna Gover
8. ESU Matteo Vespa
9. EUA Monika Steinell
10. European Commission Svein Hullstein
11. Eurydice\* David Crosier
12. Finland Maija Innola
13. Germany (Co-Chair) David Akrami Flores
14. Germany - Federal Ministry of Education and Research, Germany (Guest) - Maria Hochstadter
15. Holy See Melanie Rosenbaum
16. Iceland Una Strand Vidarsdóttir
17. Norway (Co-Chair) Tone Flood Strøm
18. Poland Ewa Agnieszka Lekka-Kowalik
19. Romania (Co-Chair) Mihai Cezar Hâj
20. Romania (Guest) Cristina Fit
21. Sweden Robin Moberg
22. Switzerland Aurélie Robert-Tissot
23. Turkey\* Aslı Günay
24. King's College London (Guest) Liviu Matei
25. NewFAV Project (Guest) Elizaveta Potapova
26. NewFAV Project (Guest) Daniela Craciun
27. BFUG Secretariat (Deputy Head)\* Edlira Subashi
28. BFUG Secretariat Jora Vaso
29. BFUG Secretariat Aida Myrto

**7<sup>th</sup> Meeting, 3-4 July 2023, Romania, Online**

1. Austria Milica Popović
2. Council of Europe Sjur Bergan
3. Croatia Leonardo Marušić
4. European Commission Svein Hullstein
5. EI – ETUCE Rob Copeland
6. ENQA Anna Gover
7. ESU Matteo Vespa
8. EUA Monika Steinell
9. European Commission Svein Hullstein
10. Eurydice David Crosier
11. Finland Maija Innola
12. Germany (Co-Chair) David Akrami Flores
13. Iceland Una Strand Viðarsdóttir
14. Malta Rose Anne Cuschieri
15. Poland Ewa Agnieszka Lekka-Kowalik
16. Romania (Co-Chair) Mihai Cezar Hâj
17. Romania Cristina Fit
18. Sweden Robin Moberg

19. Switzerland Aurélie Robert-Tissot
20. Turkey Asli Günay
21. King's College London (Guest) Liviu Matei
22. NewFAV Project (Guest) Elizaveta Potapova
23. NewFAV Project (Guest) Daniela Craciun
24. BFUG Secretariat (Head) Edlira Subashi
25. BFUG Secretariat Jora Vaso
26. BFUG Secretariat Aida Myrto

**8<sup>th</sup> Meeting, 6 -8 November 2023, Bucharest, Romania**

1. Austria Milica Popovic
2. BFUG Secretariat Blerina Caslli
3. BFUG Secretariat Jora Vaso
4. Council of Europe Sjur Bergan
5. European Commission- DG EAC Svein Hullstein
6. European Students Union (ESU) Iris Kimizoglu
7. European University Association (EUA) Monika Steinel
8. Finland Maija Innola
9. Germany (Co-Chair) David Akrami Flores
10. Iceland Una Strand Viðarsdóttir
11. Poland Agnieszka Lekka-Kowalik
12. Romania (Co-Chair)Cezar Haj
13. Sweden Robin Moberg
14. Romania (Guest) Cristina Fit
15. NewFAV Project (Guest) Daniela Craciun
16. NewFAV Project (Guest) Elizaveta Potapova
17. King's College London (Guest) Liviu Matei
18. Norway (Co-Chair) (online) Tone Flood Strøm
19. the Netherlands (online) Sophie Duijser
20. Switzerland (online) Aurelia Robert-Tissot
21. Holy See (online) Melanie Rosenbaum
22. Croatia (online) Leonardo Marušić
23. Turkey (online) Asli Günay
24. BFUG Secretariat (online) Adi Kahani

5.5 TECHNICAL POLICY FRAMEWORK OF INDICATORS FOR FUNDAMENTAL VALUES- draft

**Design of the Technical  
Monitoring Framework of  
Indicators for the  
Fundamental Academic  
Values of Higher Education  
in the EHEA**

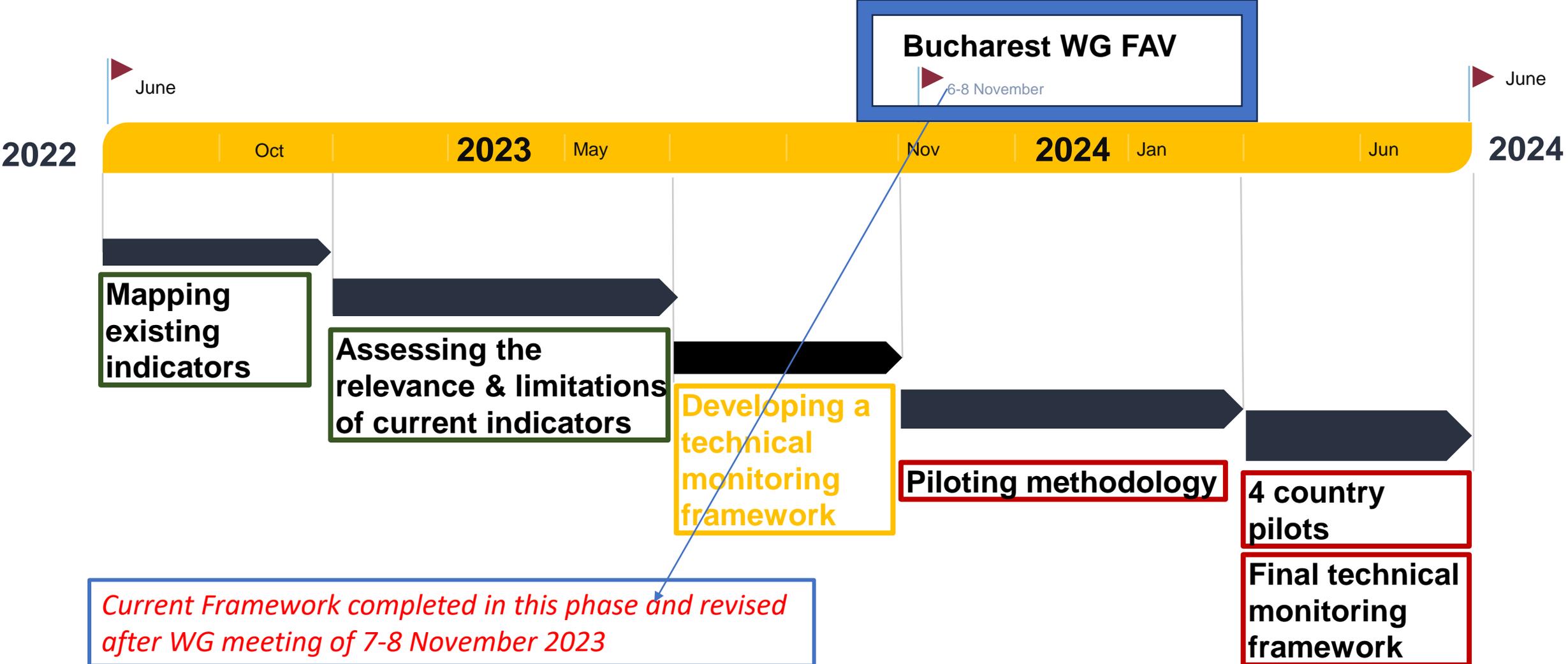
**Draft 0.1 - 9 November 2023**



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# 1. NewFAV Project Timeline



## 2. ToR –November 2023 Deliverables

Develop & propose **technical monitoring framework of indicators** to measure and assess FAV:

**TASK 1**: Develop monitoring framework & discuss it with BP WG FAV (done, 4 July)

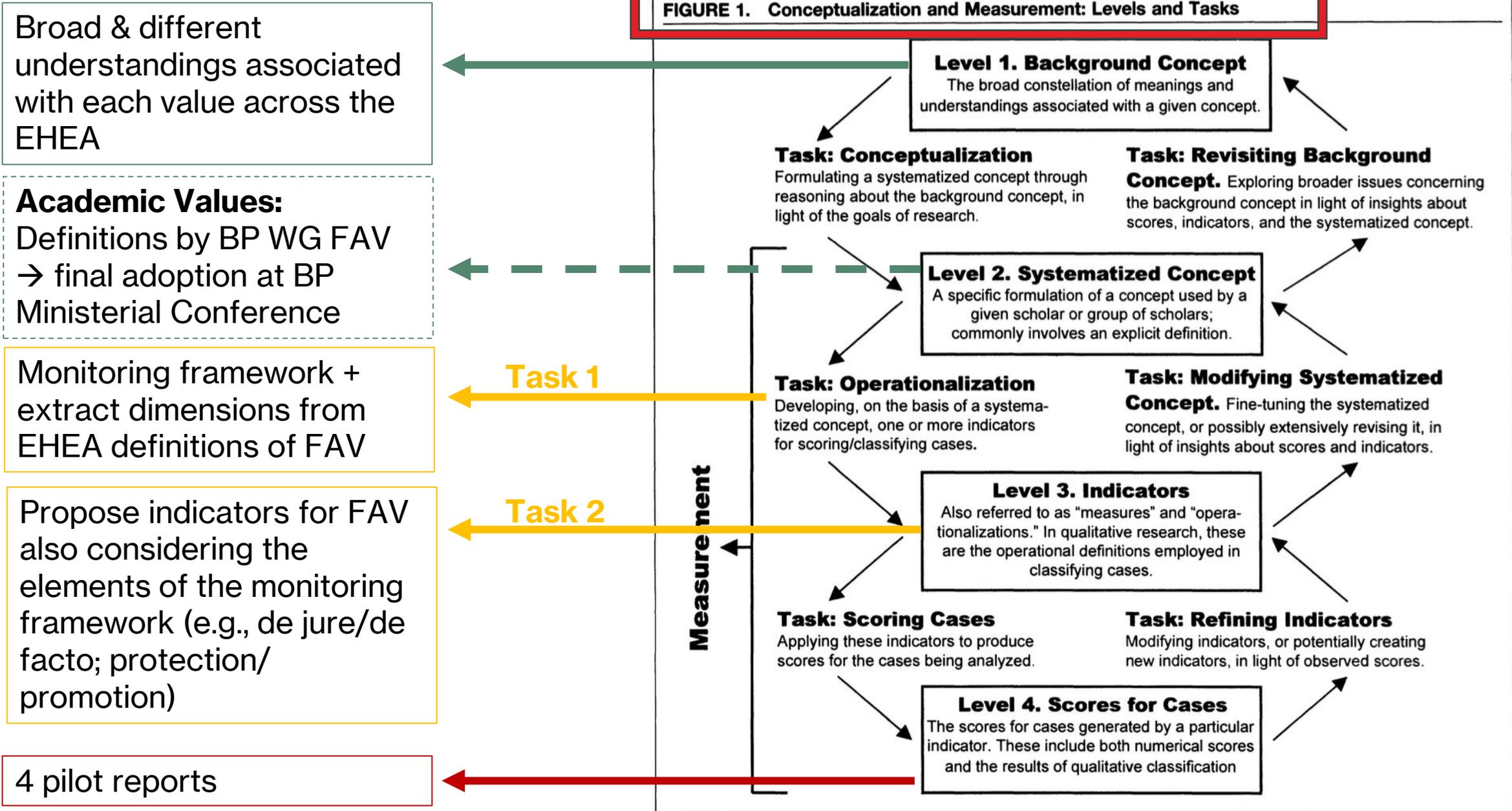
✓ **TASK 2**: Propose indicators for the elements of the monitoring framework (existing & new indicators)

✓ **TASK 3**: Consult stakeholders/researchers/other Bologna experts; consult advisory board; discuss it with BP WG FAV

✓ (November 2023 – partly already completed in October 2023)

# **3. Framework Design: principles and approaches**

**FIGURE 1. Conceptualization and Measurement: Levels and Tasks**



# TASK 1

Develop monitoring framework & extract dimensions of value from EHEA definitions

# Monitoring framework for EHEA values

(as per Report Phase 2 of NewFAV, endorsed by the WG in July 2023)

VALUES	TYPE OF MONITORING	
<b>Rights/Freedoms</b>		
<ul style="list-style-type: none"> <li>-Academic Freedom</li> <li>-Institutional Autonomy</li> <li>-Participation of students &amp; staff in governance</li> </ul>	<i>De jure</i>	
	Protection	Outlook
	Promotion	
	<i>De facto</i>	
	Infringements	
	Threats	
Positive developments		

VALUES	TYPE OF MONITORING	
<b>Duties/Obligations</b>		
<ul style="list-style-type: none"> <li>- Academic integrity</li> <li>- Responsibility <i>for</i> HE</li> <li>- Responsibility <i>of</i> HE</li> </ul>	<i>De jure</i>	
	Protection	Outlook
	Promotion	
	<i>De facto</i>	
	Fulfilment	
	Threats	
Positive developments		

# Monitoring framework for EHEA values

## Core features of monitoring framework:

- (1) rights/freedoms vs. duties/obligations distinction → infringement/fulfilment
- (2) de jure/de facto distinction
- (3) current situation vs. future outlook

## Traffic light approach to monitoring:

- (1) follows tradition of Bologna Implementation Reports
- (2) helps present FAV as a core commitment like the others
- (3) combines qualitative and quantitative measurements
- (4) makes it easy to read/compare/interpret different elements of monitoring framework & cross – country/value comparisons

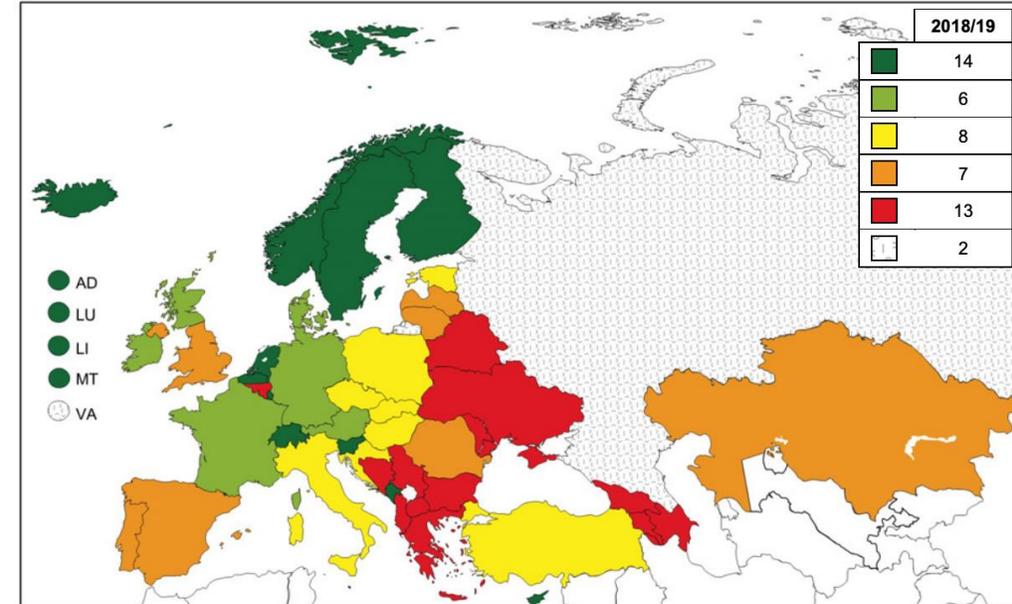
VALUES	TYPE OF MONITORING	
<b>Rights/Freedoms</b>		
-Academic Freedom -Institutional Autonomy -Participation of students & staff in governance	<i>De jure</i>	
	Protection	Outlook
	Promotion	
	<i>De facto</i>	
	Infringements	
	Threats	
Positive developments		

VALUES	TYPE OF MONITORING	
<b>Duties/Obligations</b>		
- Academic integrity - Responsibility for HE - Responsibility of HE	<i>De jure</i>	
	Protection	Outlook
	Promotion	
	<i>De facto</i>	
	Fulfilment	
	Threats	
Positive developments		

# Bologna Implementation Report

- a quick reminder

Figure 5.11: Scorecard indicator n°12:  
Portability of public grants and publicly-subsidised loans, 2018/19



Source: BFUG data collection.

## Scorecard categories

Dark Green	Full portability across the EHEA of all available domestic student support measures – grants and/or loans – for credit and degree mobility. Equivalent requirements for public grants and/or loans if students study in the home country or abroad.
Light Green	Portability of available domestic student support measures – grants and/or loans – for credit and degree mobility, but with some restrictions related to geography (country limitations), and/or types of programme, and/or field of study or time.
Yellow	Portability for credit mobility, without restrictions. No portability for degree mobility OR not all major support measures are portable for degree mobility.
Orange	Portability for credit mobility but with some restrictions related to geography (country limitations), and/or types of programme, and/or field of study or time. No portability for degree mobility OR not all major support measures are portable for degree mobility.
Red	No portability: public grants and/or loans are only provided if students study in the home country or in exceptional cases (no equivalent programme is available in the home country).
White	Not available

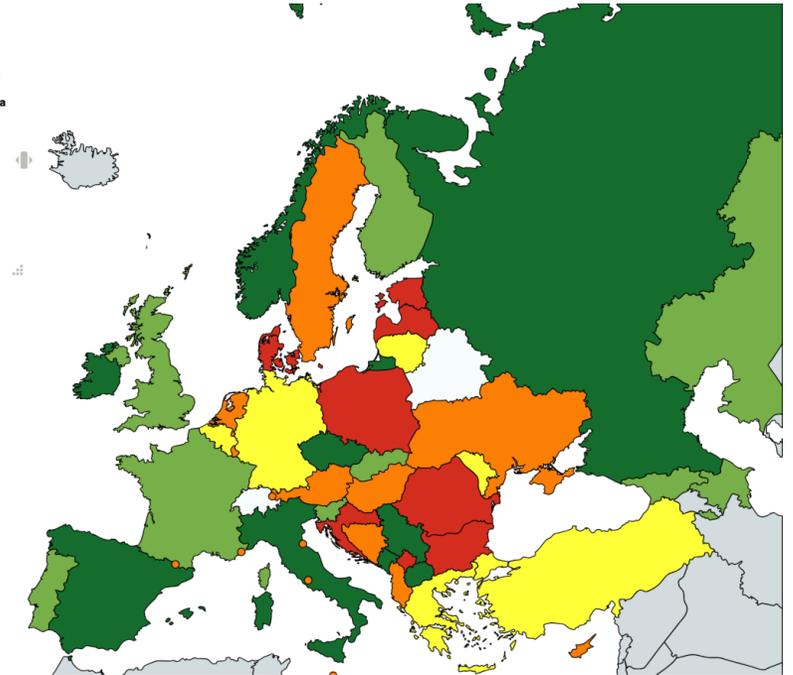
# Applying the monitoring framework: how the results will be visualized

Country X	VALUE y	
	<i>De jure</i>	
	Protection	Outlook
	Promotion	
	<i>De facto – Qualitative data</i>	
	Infringements/Fulfillment	
	Threats	
Positive developments		

Narrative

De jure level of protection of academic freedom in the EHEA.  
Alignment with Bologna  
Process commitments  
(for illustration purposes only)

- Full
- Adequate
- Intermediary
- Inadequate
- Absent
- No data



## Visualization ideas:

- (1) **Country XX** could be underneath and/or **value yy** could be to the right (depending on whether the focus is cross-country comparison or cross-value comparison)
- (2) **Map of EHEA countries for each value/dimension of value using traffic light system.**

***De jure* monitoring –**  
Traffic light system

***De facto* monitoring –**  
Inventory and analysis of reported infringements, extent of fulfillment of commitments, threats and positive developments (qualitative data; narrative presentation)

Protection	Explanation
Full	
Adequate	
Intermediary	
Inadequate	
Absent	

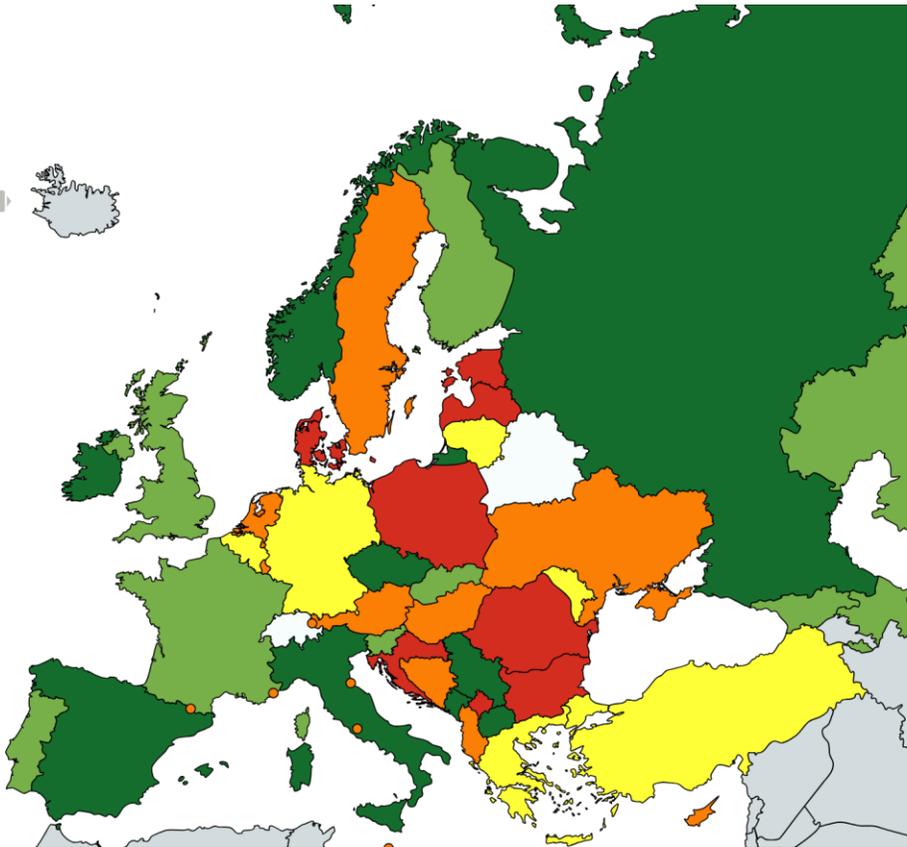
Promotion	Explanation
Very significant	
Significant	
Intermediary	
Absent	
Negative	

Outlook	Explanation
Positive	
Improving	
Unchanged	
Worrying	
Negative	

# Visualization – hypothetical map for Academic Freedom

De jure level of protection of academic freedom in the EHEA. Alignment with Bologna Process commitments (for illustration purposes only)

- Full
- Adequate
- Intermediary
- Inadequate
- Absent
- No data



	Scorecard categories explanation
Dark Green	The concept of 'academic freedom' is specifically mentioned in legislation as a right (or protected through judicial decisions) and the concept is defined/specified in legislation in line with Bologna Commitments.
Light Green	The concept of 'academic freedom' is specifically mentioned in legislation as a right (or protected through judicial decisions) and the concept is defined/specified in legislation (but not fully in line with Bologna Commitments).
Yellow	The concept of 'academic freedom' is specifically mentioned in legislation or protected through judicial decisions but: - the concept is not defined/specified <b>OR</b> - it is not legally protected as a right
Orange	The concept of 'academic freedom' is specifically mentioned in legislation or protected through judicial decisions but: - the concept is not defined/specified <b>AND</b> - It is not legally protected as a right
Red	The concept of 'academic freedom' is not specifically mentioned in any type of legislation or judicial decisions.

**Visualization:**

- Follows Bologna Process implementation reports (BPIR)
- Unlike in the BPIR, categories are named

## Extract dimensions of each FAV from the EHEA definition

- “commitment to promoting and protecting our shared fundamental values in the entire EHEA” (Rome Communique, 2020)
- “BFUG to develop a framework for the enhancement of the fundamental values across the EHEA that will foster self-reflection, constructive dialogue and peer-learning across national authorities, HEIs and organizations, while also making it possible to assess the degree to which these are honoured and implemented in our systems”

*(Rome Communiqué, p.5, 2020)*

**Start from EHEA  
Communiqués and Values  
Statements** (all but  
Academic Freedom in draft  
format at the moment)

# **TASK 2**

Propose indicators for fundamental academic values considering the monitoring framework elements

# Propose indicators for each FAV considering the monitoring framework elements

- **What to consider:**

1. Eurydice indicators from the survey (self-reporting aspect)
2. Existing indicators from NewFAV mapping report (cross-checking aspect)
3. New indicators based on different types of data sources: experts, platform, targeted sample

- **How:**

1. Consider which dimensions of the systematized concept are relevant for each element of monitoring framework
2. Look at existing indicators (incl. Eurydice survey) and see which of them best capture the dimension of the value we are seeking to measure → consider the experience of Eurydice with survey & propose new questions
3. Consider how to transform data sources in traffic light system indicators (what are the levels? What color/label corresponds to each level?)
4. Score cases → apply indicators to produce scores for the countries analyzed

## **4. Overview of pros & cons of existing methods and tools → lessons learnt & applied**

# Surveys

## PROS

- Representativeness + bottom up approach
- Structured and standardized
- Capture perceptions + de facto insights
- Can be used for large scale comparisons (e.g. across states)

## CONS

- Labor-intensive data collection and analysis
- Limited accessibility of the field → potentially low response rate
- Unreliable and incomplete data in case of design flaws
- Non-response bias
- Potential for social desirability bias
- Limited context

# Case studies

## PROS

- Deep contextual understanding
- Rich data collected by multiple methods
- Flexibility in assessment of unique contexts

## CONS

- Labor-intensive data collection for big comparative studies
- Limited fit for large-scale comparisons
- Limited generalizability
- The more nuanced the case study, the narrower its scope

# Expert assessment using pre-defined criteria

## PROS

- Standardized evaluation with smaller chance of incorrect interpretation
- Efficient use of experts' familiarity with the field
- Reliability of data

## CONS

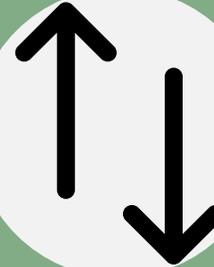
- Limited perspective
- Subjectivity
- Top-down assessment
- Accessibility of the field

# Lessons learnt for current design:

Necessity to combine different types of analysis



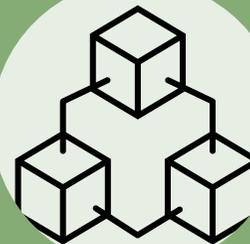
Combination of top-down and bottom-up data collection methods



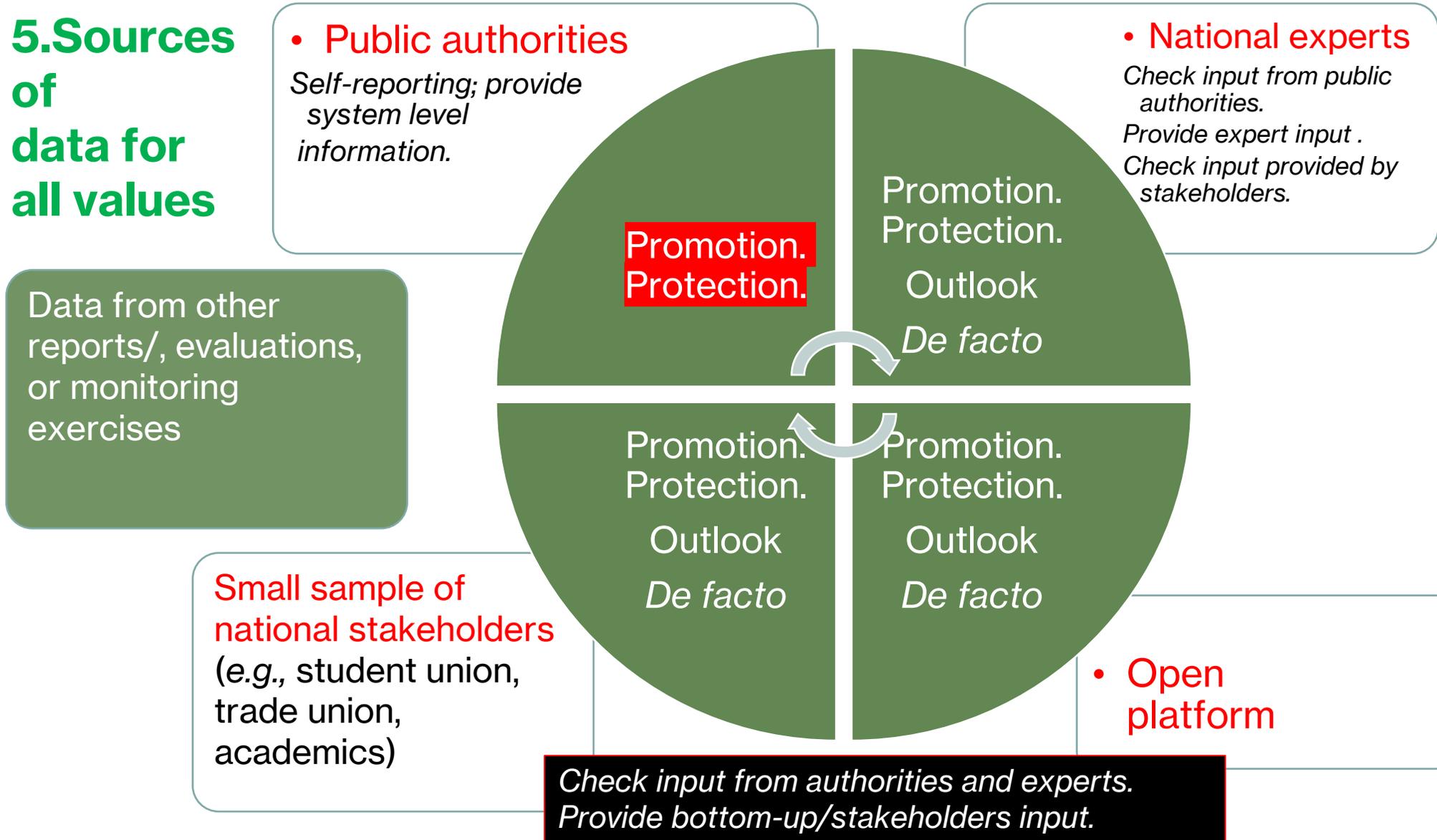
De jure and de facto assessment



Relying on existing data collection infrastructures



## 5.Sources of data for all values



# EHEA Fundamental Values Open Platform

Citizen Science element of the monitoring

Suggest that we adapt the data collected and used by SAR in its Academic Freedom Monitoring project.

<https://www.scholarsatrisk.org/academic-freedom-monitoring-project-index/>

**Findings and entries to be checked, validated, analyzed and integrated by country researchers who understand local language. Also applies to self-reporting by public authorities.**

Two parts:

1. Once data is collected about Protection Promotion and Outlook using the other three sources (*see previous slide*), it will be made available on the Platform for a period of one to two months so that anybody can comment on accuracy and provide additional data (will be cross checked by experts).

2. Data to be collected on the Platform on reported infringements, threats and positive developments using a form that has the following items (one-two months opening period):

- **COUNTRY NAME**
- **MONITORING PERIOD**
- **ACADEMIC VALUE** (academic freedom, institutional autonomy, participation...)
- **EVENT TYPE** (positive development, negative development/threats, infringements)
- **SOURCES** (links to news, websites, laws in any language that discuss the incident)
- **ACTOR REPORTING EVENT** (student, higher education staff, civil society, government employee, other)

# 6. (Value #1) ACADEMIC FREEDOM

Pilot operationalization of monitoring  
framework

# **TASK 1**

Develop monitoring framework & extract dimensions of AF from EHEA definitions

# Monitoring framework for rights/freedoms values

(as per Report Phase 2 of NewFAV, endorsed by the WG in July 2023)

VALUES	TYPE OF MONITORING /Indicators	
Rights/Freedoms		
<b>Academic Freedom</b>	<i>De jure</i>	
	Protection	Outlook
	Promotion	
	<i>De facto</i>	
	Infringements	
	Threats	
	Positive developments	

# Extract dimensions of academic freedom from EHEA definition

*“We adopt the **definition of academic freedom** as freedom of academic staff and students to engage in research, teaching, learning and communication in and with society without interference not fear of reprisal”*

(Rome Communiqué, 2020, p.5, emphasis in original)

- **WHAT:**

1. Freedom to research
2. Freedom to teach
3. Freedom to learn
4. Freedom to disseminate knowledge (intramural & extramural)

- **FOR WHO:** Academic Community (staff & students)

- **Facilitating conditions:** participation of students and staff in governance, responsibility *for* HE, institutional autonomy

- **Intrinsic obligations:** academic integrity, responsibility *of* HE

# **TASK 2**

Propose indicators for academic freedom  
considering the monitoring framework elements

# De jure monitoring: Protection

## Possible existing sources of data:

- (1) Beiter et al. (2016) – one-off data collection, outdated, but good base line for understanding developments/cross-checking self-reported data
- (2) EUA Autonomy Scorecard IV (2023) – looks at de jure protections of AF (useful for cross-checking, not all EHEA)
- (3) Eurydice (in progress) – up to date, recurrent, self-reporting from national authorities (needs cross-checking)



### 3.1.1. Is the concept of 'academic freedom' specifically mentioned in legislation?

	?	
Yes, in the Constitution or Constitution-level legal provisions		
Yes, in education or higher education legislation		
Yes, in other legislation		
No, but it has been protected through judicial decisions		
No		

If 'Yes in other legislation', please specify

If 'No, but it has been protected through judicial decisions', please specify

If the concept of academic freedom is mentioned in legislation, is it defined?

Yes		No	
-----	--	----	--

If yes, please add the definition in English

If the concept of academic freedom is mentioned in legislation, is it legally protected as a 'right' ?

Yes		No	
-----	--	----	--

Please add a link/reference to legislation

# De jure monitoring.

## 3.1.1. Is the concept of 'academic freedom' specifically mentioned in legislation?

Yes, in the Constitution or Constitution-level legal provisions	<input type="checkbox"/>
Yes, in education or higher education legislation	<input type="checkbox"/>
Yes, in other legislation	<input type="checkbox"/>
No, but it has been protected through judicial decisions	<input type="checkbox"/>
No	<input type="checkbox"/>

If 'Yes in other legislation', please specify

If 'No, but it has been protected through judicial decisions', please specify

If the concept of academic freedom is mentioned in legislation, is it defined?

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
-----	--------------------------	----	--------------------------

If yes, please add the definition in English

If the concept of academic freedom is mentioned in legislation, is it legally protected as a 'right'?

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
-----	--------------------------	----	--------------------------

Please add a link/reference to legislation

Eurydice

Extract if AF is protected in legislation

Extract if AF is protected as a right

Extract dimensions of AF

# Indicator: Protection

Protection	Explanation
<b>Full</b>	<p>The concept of 'academic freedom'</p> <ul style="list-style-type: none"> <li>- is specifically mentioned in legislation as a right (or protected through legislative or judicial decisions) <b>AND</b></li> <li>- the concept is defined/specified in legislation in line with EHEA Commitments/definition to include ALL dimensions of academic freedom: - teaching, learning, research, intramural/extramural communication for academic staff &amp; students).</li> </ul>
<b>Adequate</b>	<p>The concept of 'academic freedom'</p> <ul style="list-style-type: none"> <li>- is specifically mentioned in legislation (or protected through judicial decisions) <b>AND</b></li> <li>- the concept is defined/specified in legislation but only partly in line with the EHEA Commitments (3 out of 4 dimensions of academic freedom)</li> </ul>
<b>Intermediary</b>	<p>The concept of 'academic freedom' is specifically mentioned in legislation (or protected through judicial decisions) but only 2 out of 4 dimensions of academic freedom are mentioned</p>
<b>Inadequate</b>	<p>The concept of 'academic freedom' is specifically mentioned in legislation (or protected through judicial decisions) but max. 1 dimension of academic freedom is mentioned.</p>
<b>Absent</b>	<p>The concept of 'academic freedom' is not specifically mentioned in any type of legislation or judicial decisions.</p>

# De jure monitoring. Indicator: Promotion

## Possible existing sources of data:

- (1) Eurydice (in progress) – up to date, recurrent, self-reporting from national authorities (needs cross-checking)

**3.1.2. Have top-level authorities developed any guidelines for higher education institutions (HEIs), or any other mechanism to support the exercise of academic freedom ?**

Yes		No	
-----	--	----	--

If yes, please specify what public authorities have developed in this area

*glos* ?

Guidelines for <u>HEIs</u> to support the exercise of academic freedom	
Other mechanism to support the exercise of academic freedom	

If 'Guidelines for HEIs to support the exercise of academic freedom', please add a reference or weblink to the guidelines

If 'Other mechanism to support the exercise of academic freedom', please explain briefly and add a reference or weblink

**3.1.3. Are there any requirements for an external body to evaluate how the exercise of academic freedom is ensured in HEIs?**

Yes		No	
-----	--	----	--

*glos*

If yes, which external body is required to evaluate the exercise of academic freedom in HEIs?

*glos* ?

External <u>quality assurance agency</u>	
Other public agency or body	

If 'Other public agency or body', please specify and add a link to the website

Comments

# De jure monitoring.

3.1.2. Have top-level authorities developed any guidelines for higher education institutions (HEIs), or any other mechanism to support the exercise of academic freedom ?

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
-----	--------------------------	----	--------------------------

If yes, please specify what public authorities have developed in this area

Guidelines for HEIs to support the exercise of academic freedom	<input type="checkbox"/>
Other mechanism to support the exercise of academic freedom	<input type="checkbox"/>

If 'Guidelines for HEIs to support the exercise of academic freedom', please add a reference or weblink to the guidelines

If 'Other mechanism to support the exercise of academic freedom', please explain briefly and add a reference or weblink

3. Are there any requirements for an external body to evaluate how the exercise of academic freedom is ensured in HEIs?

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
-----	--------------------------	----	--------------------------

If yes, which external body is required to evaluate the exercise of academic freedom in HEIs?

External <a href="#">quality assurance agency</a>	<input type="checkbox"/>
Other public agency or body	<input type="checkbox"/>

If 'Other public agency or body', please specify and add a link to the website

Comments
<input type="text"/>

# Indicator: Promotion

Promotion	Explanation
<b>Very significant</b>	System-level authorities have developed: <ul style="list-style-type: none"> <li>- Guidelines to support the exercise of academic freedom <b>AND</b></li> <li>- Mechanisms (initiatives/policies/regulation/funding) <b>AND</b></li> <li>- Requirements for an external body to evaluate how the exercise of academic freedom is ensured in HEIs.</li> </ul>
<b>Significant</b>	System-level authorities have developed (2 out of 3): <ul style="list-style-type: none"> <li>- guidelines to support the exercise of academic freedom</li> <li>- Mechanisms (initiatives/policies/regulation/funding)</li> <li>- Requirements for an external body to evaluate how the exercise of academic freedom is ensured in HEIs.</li> </ul>
<b>Intermediary</b>	System-level authorities have developed guidelines <b>OR</b> mechanisms to support the exercise of academic freedom <b>OR</b> requirements for an external body to evaluate how the exercise of academic freedom is ensured in HEIs.
<b>Absent</b>	System-level authorities have not developed any guidelines/mechanisms (initiatives/policies/regulation/funding) to support the exercise of academic freedom <b>AND</b> there are no requirements for an external body to evaluate how the exercise of academic freedom is ensured in HEIs.
<b>Negative</b>	System-level authorities have developed guidelines/mechanisms that weaken exercise of academic freedom.  (in outlook we look at plans, here it is about what has already been done)

## De jure monitoring.

### Possible existing sources of data:

- Not available, but could consider adding a question to Eurydice on plans of national authorities (any **changes** intended by national governments which we then analyze)

### Possible sources of data to be collected/modalities of data collection:

- **Small sample of national stakeholders** (e.g., student union, trade union, academics)
- **National experts**
- **Open platform**
- Country researcher

## Indicator: Outlook - protection

Protection	Explanation
Very positive	There are plans (draft legislation, policy papers, reports, mentions in governing programmes, etc.) to <b>protect</b> academic freedom: <ul style="list-style-type: none"><li>- in upcoming legislation generally or as a right</li><li>- in upcoming judicial decisions</li><li>- by defining the concept in upcoming legislation</li></ul>
Positive	There are plans to increase <b>protection</b> of academic freedom.
Unchanged	There are NO plans to increase <b>protection</b> of academic freedom.
Negative	There are plans to diminish existing <b>protection</b> of academic freedom.
Very negative	There are plans to diminish existing <b>protection</b> of academic freedom.

## De jure monitoring.

### Possible existing sources of data:

- Not available, but could consider adding a question to Eurydice on plans of national authorities (any **changes** intended by national governments which we then analyze)

### Possible sources of data to be collected/modalities of data collection:

- **Small sample of national stakeholders** (e.g., student union, trade union, academics)
- **National experts**
- **Open platform**
- Country researcher

## Indicator: Outlook - promotion

Protection	Explanation
Very positive	There are plans to <b>promote</b> academic freedom by: <ul style="list-style-type: none"><li>- developing guidelines to support the exercise of academic freedom</li><li>- Developing mechanisms (initiatives/policies/regulations) to support the exercise of academic freedom</li><li>- requiring an external body to evaluate how the exercise of academic freedom is ensured in HEIs.</li></ul>
Positive	There are plans to increase <b>promotion</b> of academic freedom.
Unchanged	There are NO plans to increase <b>promotion</b> of academic freedom.
Negative	There are plans to diminish existing <b>promotion</b> of academic freedom.
Very negative	There are plans to diminish existing <b>promotion</b> of academic freedom.

# De facto monitoring

## Possible existing sources of data:

- Scholars at Risk academic freedom database (infringements)
- Academic Freedom Index – significant changes in overall scores/categories
- News/media reports
- Stakeholder data collection/reports (ESU, EUA, etc.)

## Possible sources of data to be collected/modalities of collection:

- **Small sample of national stakeholders** (e.g., student union, trade union, academics)
- **National experts**
- **Open platform**
- Country researcher

# Indicators: Infringements, Threats, Positive developments

De facto	Inventory
<b>positive developments</b> Intentional/unintentional actions that support academic freedom	Actions that support the official Bologna Process commitments made to protect and promote academic freedom.
<b>Threats</b> Intentional/unintentional actions undertaken that might limit academic freedom but have not done so.	Plans to break the Bologna Process commitments made to protect and promote academic freedom.
<b>Infringements</b> Violations (breaking the terms of the law/Bologna Commitment) of academic freedom)	Actions that break the Bologna Process commitments made to protect and promote academic freedom.

# **7. (Value # 2) INSTITUTIONAL AUTONOMY**

# TASK 1

Develop monitoring framework & extract dimensions of institutional autonomy from EHEA definitions

# Monitoring framework and indicators for rights/freedoms values

VALUES	TYPE OF MONITORING /Indicators	
Rights/Freedoms		
Institutional Autonomy	<i>De jure</i>	
	Protection	Outlook
	Promotion	
	<i>De facto</i>	
	Infringements	
	Threats	
	Positive developments	

# Dimensions of institutional autonomy extracted from EHEA definition

- **WHAT:**

1. Organizational autonomy
2. Financial autonomy
3. Staffing autonomy
4. Academic autonomy

- **FOR WHO:** Higher education institutions

- **Facilitating conditions:** “institutional autonomy must

be furthered by public authorities as well as the academic community itself”

- **Intrinsic obligations:** public responsibility of HE (accountability)



*“Higher education institutions need to be able and willing to define their leadership and governance models. This organisational autonomy also entails the autonomy to set an institution’s priorities and strategic direction. It should ensure participatory rights for the different members of the academic community. Bodies representing the interests of staff and students should be able to function freely, contribute to institutional policies, further the interests of their constituents and help protect them against discrimination, harassment or intimidation. Public as well as institutional regulations and policy must ensure campus integrity and prevent the use of force and reprisals against academic staff and students, which would constitute a violation of the fundamental values of the European Higher Education Area.*



## **DIMENSIONS**

HEIs are able & willing to define their leadership & governance models.

HEIs are able to set institutional priorities and strategic direction.

Participatory rights for the different members of the academic community

Bodies representing the interests of staff and students should be able to function freely, contribute to institutional policies, further the interests of their constituents and help protect them against discrimination, harassment or intimidation.

Campus integrity



*“Higher education institutions must be funded adequately to deliver on their missions and should decide freely on their internal financial affairs and allocate their funding according to their needs and priorities. They should be able to exercise their financial autonomy independently from external actors – in compliance with general rules for transparency and financial accountability. Regardless of their role in funding an institution, public authorities as well as private funders and donors should provide such funding within a framework that ensures that institutions are able to establish and implement institutional priorities and policies. In such a setting, neither additional funds granted on a competitive basis and/or earmarked for pre-defined purposes nor legal regulation of tuition fees shall be considered an infringement of an institution’s financial autonomy. Within a framework of public responsibility, adequate and sustainable public funding remains the main precondition to guarantee institutional autonomy.”*

## DIMENSIONS

Adequate funding for HEIs that ensures that institutions are able to deliver on their missions & establish and implement institutional priorities and policies

HEIs able to *decide* freely on their internal financial affairs and allocate their funding according to their needs and priorities



*“Higher education institutions should be able to hire, promote and retain staff for academic, technical and administrative positions. In exercising their staffing autonomy, higher education institutions should ensure fairness, transparency and non-discrimination. The policies and practice of higher education institutions as well as public authorities should respect and uphold the legal rights and academic freedom of their staff.”*



## **DIMENSIONS**

HEIs are able to hire, promote and retain staff for academic, technical and administrative positions



*“Higher education institutions must enjoy academic autonomy in order to ensure that the individual members of the academic community can exercise their academic freedom. As part of their academic autonomy, higher education institutions must be able to decide e.g. on admissions, curriculum design and the introduction and termination of programmes. Academic autonomy also includes the capacity to decide on areas, scope, aims and methods of research in accordance with the law, academic standards and good research practice, as well as the values of academic integrity.”*



## **DIMENSIONS**

HEIs are able to decide on admissions

HEIs are able to decide on curriculum design

HEIs are able to decide on introduction & termination of programs

HEIs are able to decide on on areas, scope, aims and methods of research



HEIs are able & willing to define their leadership & governance models.

HEIs are able to set institutional priorities and strategic direction.

Participatory rights for the different members of the academic community

Bodies representing the interests of staff and students should be able to function freely, contribute to institutional policies, further the interests of their constituents and help protect them against discrimination, harassment or intimidation.

Campus integrity

HEIs are able to decide on admissions

HEIs are able to decide on curriculum design

HEIs are able to decide on introduction & termination of programs

HEIs are able to decide on on areas, scope, aims and methods of research



Adequate funding for HEIs that ensures that institutions are able to deliver on their missions & establish and implement institutional priorities and policies

HEIs able to *decide* freely on their internal financial affairs and allocate their funding according to their needs and priorities

HEIs are able to hire, promote and retain staff for academic, technical and administrative positions

# **TASK 2**

Propose indicators for institutional autonomy  
considering the monitoring framework elements

# De jure monitoring. Indicator: Protection

## Possible existing sources of data:

- (1) Eurydice (in progress) – up to date, recurrent, self-reporting from national authorities (needs cross-checking)
- (2) EUA Institutional Autonomy Score Card IV (2023) – for cross-checking self-reported data (mostly EU countries)



### 3. Fundamental values

#### 3.2. Institutional autonomy

##### 3.2.1. Is the concept of 'institutional autonomy' specifically mentioned in legislation?

	<input type="checkbox"/>
Yes, in the Constitution or Constitution-level legal provisions	<input type="checkbox"/>
Yes, in education or higher education legislation	<input type="checkbox"/>
Yes, in other legislation	<input type="checkbox"/>
No, but it has been protected through judicial decisions	<input type="checkbox"/>
No	<input type="checkbox"/>

If 'Yes in other legislation', please specify

If 'No, but it has been protected through judicial decisions', please specify

If the concept of institutional autonomy is mentioned in legislation, is it defined?

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
-----	--------------------------	----	--------------------------

If yes, please add the definition in English

Please add a link/reference to legislation

# De jure monitoring.

# Indicator: Protection

## 3. Fundamental values

### 3.2. Institutional autonomy

#### 3.2.1. Is the concept of 'institutional autonomy' specifically mentioned in legislation?

Yes, in the Constitution or Constitution-level legal provisions	<input type="checkbox"/>
Yes, in education or higher education legislation	<input type="checkbox"/>
Yes, in other legislation	<input type="checkbox"/>
No, but it has been protected through judicial decisions	<input type="checkbox"/>
No	<input type="checkbox"/>

If 'Yes in other legislation', please specify

If 'No, but it has been protected through judicial decisions', please specify

If the concept of institutional autonomy is mentioned in legislation, is it defined?  
 Yes  No

If yes, please add the definition in English

Please add a link/reference to legislation

Eurydice

Extract what dimensions of institutional autonomy are protected.

Extract whether institutional autonomy is protected in legislation.

Protection	Explanation
<b>Full</b>	The concept of 'institutional autonomy' is specifically mentioned in legislation (or protected through judicial decisions) <b>AND</b> the concept is defined/specified in legislation in line with Bologna Commitments to include ALL dimensions of institutional autonomy: - Organizational autonomy - Financial autonomy - Staffing autonomy - Academic autonomy
<b>Adequate</b>	The concept of 'institutional autonomy' is specifically mentioned in legislation as a right (or protected through judicial decisions) <b>AND</b> the concept is defined/specified in legislation but is not fully in line with Bologna Commitments (3 out of 4 dimensions of institutional autonomy).
<b>Intermediary</b>	The concept of 'institutional autonomy' is specifically mentioned in legislation (or protected through judicial decisions) but only 2 out of 4 dimensions of institutional autonomy are mentioned.
<b>Inadequate</b>	The concept of 'institutional autonomy' is specifically mentioned in legislation (or protected through judicial decisions) but max. 1 dimension of institutional autonomy is mentioned.
<b>Absent</b>	The concept of 'institutional autonomy' is not specifically mentioned in any type of legislation or judicial decisions.

**ORGANIZATIONAL**

HEIs are able & willing to define their leadership & governance models.

HEIs are able to set institutional priorities and strategic direction.

Participatory rights for the different members of the academic community

Bodies representing the interests of staff and students should be able to function freely, contribute to institutional policies, further the interests of their constituents and help protect them against discrimination, harassment or intimidation.

Campus integrity

**FINANCIAL**

Adequate funding for HEIs that ensures that institutions are able to deliver on their missions & establish and implement institutional priorities and policies

HEIs able to *decide* freely on their internal financial affairs and allocate their funding according to their needs and priorities

**STAFFING**

HEIs are able to hire, promote and retain staff for academic, technical and administrative positions

**ACADEMIC**

HEIs are able to decide on admissions

HEIs are able to decide on curriculum design

HEIs are able to decide on introduction & termination of programs

HEIs are able to decide on on areas, scope, aims and methods of research

3.2.6. Who decides on the responsibilities of HEIs' governing bodies?

	Decision on governing body responsibilities
Responsibilities of HEIs' governing bodies regulated in legislation	?
HEI's governing body decides responsibilities for itself	
Other	
If 'Other', please specify	

3.2.2. Is there a requirement for higher education institutions' (HEIs)' governing bodies to include:

	Required by legislation	Not required by legislation, but usually included in HEIs' governing bodies	Not required by legislation, and usually not included in HEIs' governing bodies
Government / top-level authority representative			
Student representative(s)			
Staff representative(s)			
Employer representative			
Other			
If 'Other', please specify			

3.2.4. Does legislation specify that all members of governing bodies have full rights to contribute to all issues?

	Required by legislation	Not required, but usually happens	Not required, and usually does not happen
All members have full rights to contribute to all issues	?		
If 'Not required and usually does not happen', please explain which category(ies) of members may not be able to contribute on some matters			

3.2.5. Does legislation specify that all members of governing bodies have full rights to take decisions on all issues?

	Required by legislation	Not required, but usually happens	Not required, and usually does not happen
All members have full rights to take decisions on all issues	?		
If 'Not required and usually does not happen', please explain which members may not be able to take decisions on some matters			

3.2.7. Who is responsible for appointing and dismissing higher education institutional leaders (Rector or equivalent) ?

	Appointing HEI leaders	Dismissing HEI leaders
HEI's highest level governing body		
Government / public authority		
Internal HEI steering body (e.g. Senate)		
HEI's staff		
HEI's students		
Other		
If 'Other', please specify		

3.2.8. Who is responsible for appointing and dismissing higher education institutional faculty leaders (Dean or equivalent) ?

	Appointing HEI faculty leaders	Dismissing HEI faculty leaders
HEI's highest level governing body		
Government / public authority		
Internal HEI steering body (eg Senate)		
HEI's staff		
HEI's students		
Other		
If 'Other', please specify		

3.2.9. Which of these statements applies to programmes offered by HEIs?

Government/public authority may <b>require</b> HEIs to offer particular programmes	
Government/public authority may <b>forbid</b> HEIs to offer particular programmes	
Government/public authority may <b>advise</b> HEIs to offer particular programmes	
Government/public authority may <b>decide whether or not to fund</b> particular programmes	

# De jure monitoring. Indicator: Promotion

## Possible existing sources of data:

- (1) Eurydice (in progress) – up to date, recurrent, self-reporting from national authorities (needs cross-checking)

3.2.10 Are there any requirements for an external body to evaluate the exercise of institutional autonomy in

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
-----	--------------------------	----	--------------------------

If yes, which external body is required to evaluate the exercise of institutional autonomy in HEIs?

*glos*

	<input type="checkbox"/>
External quality assurance agency	<input type="checkbox"/>
Other public agency or body	<input type="checkbox"/>

If 'Other public agency or body', please specify and add a link to the website

<input type="text"/>
----------------------

Comments
<input type="text"/>

## Suggested additional question Eurydice:

Have system-level authorities developed governance frameworks or guidelines/mechanisms that support institutional autonomy?

# De jure monitoring.

3.2.10 Are there any requirements for an external body to evaluate the exercise of institutional autonomy in

Yes		No	
-----	--	----	--

If yes, which external body is required to evaluate the exercise of institutional autonomy in HEIs?

*glos*

External quality assurance agency	?
Other public agency or body	

If 'Other public agency or body', please specify and add a link to the website

--

Comments

## Suggested additional question Eurydice:

Have system-level authorities developed governance frameworks or guidelines/mechanisms that support institutional autonomy?

# Indicator: Promotion

Promotion	Explanation
<b>Very significant</b>	System-level authorities have developed: <ul style="list-style-type: none"> <li>- Guidelines to support the exercise of academic freedom <b>AND</b></li> <li>- Mechanisms (initiatives/policies/regulation/funding) <b>AND</b></li> <li>- Requirements for an external body to evaluate how the exercise of institutional autonomy is ensured in HEIs.</li> </ul>
<b>Significant</b>	System-level authorities have developed (2 out of 3): <ul style="list-style-type: none"> <li>- guidelines to support the exercise of academic freedom</li> <li>- Mechanisms (initiatives/policies/regulation/funding)</li> <li>- Requirements for an external body to evaluate how the exercise of institutional autonomy is ensured in HEIs.</li> </ul>
<b>Intermediary</b>	System-level authorities have developed guidelines <b>OR</b> mechanisms to support the exercise of academic freedom <b>OR</b> requirements for an external body to evaluate how the exercise of institutional autonomy is ensured in HEIs.
<b>Absent</b>	System-level authorities have not developed any guidelines/mechanisms (initiatives/policies/regulation/funding) to support the exercise of academic freedom <b>AND</b> there are no requirements for an external body to evaluate how the exercise of institutional autonomy is ensured in HEIs.
<b>Negative</b>	System-level authorities have developed guidelines/mechanisms that weaken exercise of institutional autonomy.  (in outlook we look at plans, here it is about what has already been done)

## De jure monitoring.

### Possible existing sources of data:

- Not available, but could consider adding a question to Eurydice on plans of national authorities (any **changes** intended by national governments which we then analyze)

### Possible sources of data to be collected:

- **Small sample of national stakeholders** (e.g., student union, trade union, academics)
- **National experts**
- **Open platform**
- Country researcher

## Indicator: Outlook - protection

Protection	Explanation
Very positive	There are plans to <b>protect</b> institutional autonomy: <ul style="list-style-type: none"><li>- in upcoming legislation generally</li><li>- in upcoming judicial decisions</li><li>- by defining the concept in upcoming legislation</li></ul>
Positive	There are plans to <b>increase protection</b> of institutional autonomy
Unchanged	There are NO plans to <b>increase protection</b> of institutional autonomy.
Negative	There are plans to <b>diminish existing protection</b> of institutional autonomy.
Very negative	There are plans to <b>diminish existing protection</b> of institutional autonomy

## De jure monitoring.

### Possible existing sources of data:

- Not available, but could consider adding a question to Eurydice on plans of national authorities (any **changes** intended by national governments which we then analyze)

### Possible sources of data to be collected:

- **Small sample of national stakeholders** (e.g., student union, trade union, academics)
- **National experts**
- **Open platform**
- Country researcher

## Indicator: Outlook - promotion

Protection	Explanation
Very positive	There are plans to <b>promote</b> institutional autonomy by: <ul style="list-style-type: none"><li>- developing guidelines to support the exercise of institutional autonomy</li><li>- developing mechanisms to support the exercise of institutional autonomy</li><li>- requiring an external body to evaluate how the exercise of institutional autonomy is ensured in HEIs.</li></ul>
Positive	There are plans to <b>increase promotion</b> of institutional autonomy
Unchanged	There are NO plans to <b>increase promotion</b> of institutional autonomy.
Negative	There are plans to <b>diminish existing promotion</b> of institutional autonomy.
Very negative	There are plans to <b>diminish existing promotion</b> of institutional autonomy

# De facto monitoring.

## Possible existing sources of data:

- **Academic Freedom Index** (indicator on institutional autonomy, indicator on campus integrity)
- News/Media reports
- Stakeholder data collection/reports (e.g. ESU/EUA)

## Possible sources of data to be collected:

- **Small sample of national stakeholders** (e.g., student union, trade union, academics)
- **National experts**
- **Open platform**
- Country researcher

# Indicators: Infringements, Threats, Positive developments

De facto	Inventory
<b>positive developments</b> Intentional/unintentional actions that support institutional autonomy	Actions that support the Bologna Process commitments made to protect and promote institutional autonomy
<b>Threats</b> Intentional/unintentional actions undertaken that might limit institutional autonomy but have not done so.	Actions that may have a negative impact the Bologna Process commitments made to protect and promote institutional autonomy
<b>Infringements</b> Violations (breaking the terms of the law/Bologna Commitment) on institutional autonomy	Actions that break the Bologna Process commitments made to protect and promote institutional autonomy

## 8. (Value #3) Academic integrity

Pilot operationalization of monitoring framework



# TASK 1

Develop monitoring framework  
& Extract dimensions of value  
from EHEA definitions

## Monitoring framework and indicators for duties/obligations values

VALUES	TYPE OF MONITORING/Indicators	
Duties/obligations		
<b>Academic integrity</b>	De jure indicators:	
	Protection ( <i>traffic light of 5 colours</i> )	Outlook ( <i>very negative, negative, unchanged, positive, very positive</i> )
	Promotion ( <i>traffic light of 5 colours</i> )	
	De facto indicators:	
	Fulfilment of obligations	Narrative
	Threats	
	Positive developments	

# Dimensions of academic integrity from EHEA definition: PUBLIC AUTHORITIES

“**Public authorities**, **higher education institutions** and the **academic community** share the responsibility for providing framework conditions that foster academic integrity. This involves **establishing transparent regulations, standards and guidelines** to be implemented at the level of higher education institutions and **providing for independent bodies to monitor the implementation**. The frameworks, the measures and the associated sanctions should be proportionate to the intended aim and any violations committed.” → **EXISTENCE OF AI REGULATIONS, STANDARDS AND GUIDELINES** + **EXISTENCE OF legal PROVISIONs FOR MONITORING BODIES (DE JURE PROTECTION)**

“To ensure appropriate and fit for purpose processes at institutional and programme level, the reference to the **academic integrity policies in learning and teaching, research, in administrative procedures and in institutional governance** should be included in **quality assurance procedures, and be reviewed by the appropriate internal and external bodies** in line with **European and national frameworks**, including **the European Standards and Guidelines on Quality Assurance (ESGs)**.” → **EXISTENCE OF QA PROCEDURES INCLUDING ACADEMIC INTEGRITY POLICIES (including any of the following components: review by internal and EXTERNAL BODIES, IN LINE WITH EQF, COMPLIANT TO ESG) (DE JURE PROTECTION)**

“Special attention needs to be paid to ensure **academic integrity in the context of emerging digital technologies**, such as the use of artificial intelligence in education, as well as in the handling of data. **Public authorities** together with the **academic community** should adopt recommendations on good educational practice, therein creating and periodically reviewing frameworks and guidelines to ensure they keep pace with developments and, when necessary, **setting standards and limits for its use**.” → **EXISTENCE OF REGULARLY UPDATED legal PROVISIONs ON INTEGRITY with regard to DIGITAL TECHNOLOGIES (DE JURE PROTECTION)**

“**Public authorities** should establish **adequate frameworks and also cooperate at international level**, such as within the framework of the Council of Europe, in order to counter and as far as possible eliminate diploma mills, contract cheating practices and other forms of organised misconduct and corruption including in the administrative processes and institutional governance of the academic institutions.” → **INTERNATIONAL COOPERATION activities WITHIN ESTABLISHED FRAMEWORKS (PROMOTION)**

“**Public authorities** should ensure that all **organisational, cultural, legislative, financial and other measures promote** a healthy working environment and error culture, while avoiding regulatory loopholes that allow impunity for academic misconduct. This includes **ensuring adequate and sustainable funding** for higher education and creating **administrative frameworks** that promote collaboration over competition and quality over quantity in academic outputs.” → **ADEQUATE FUNDING AND ADMINISTRATIVE FRAMEWORKS (PROMOTION)**

This slide shows how dimensions are extracted

# Dimensions of academic integrity from EHEA definition: HEIs + COMMUNITY

“**Institutions** should develop **Codes of Ethics** describing issues of integrity and transparency in easily understandable language. These Codes of Ethics should be **co-created with students, academic and administrative staff** and **should describe the ethical principles, types of individual and organised misconduct, be it in teaching, learning, research or administration, and the appropriate and differentiated measures to take, including sanctions**. The Codes of Ethics should also identify the university **bodies responsible for support and guidance in case of violations**. To ensure consistency between academic and legal measures, the **cases of misconduct** which lie outside of the remit of academic sanctions should be described. **Higher education institutions** should actively **promote awareness** of the Codes of Ethics and other relevant standards among target groups. To this end, **Higher education institutions** are **responsible for providing staff with relevant training**.” → requirement FOR HEIs TO DEVELOP CODES OF ETHICS (DE JURE PROTECTION)

“Individual members of the **academic community** have specific roles to play. **Academic staff** have a special responsibility in adhering to and promoting academic integrity, setting an example from which students can learn. **Teachers** are responsible for creating a safe learning environment for students where a healthy error and quality culture is developed that recognises that making and identifying shortcomings and errors is an integral part of quality learning, teaching and research. **Administrative staff and institutional leaders** should ensure fairness and transparency in their work. While it needs to be acknowledged that due to their nature **students** are members of the academic community still in training, they nonetheless have the same obligation to promote and respect academic integrity as other members of this community.”

“**Higher education institutions** should empower the academic community through **proper training, adequate guidance and support** for their academic community to develop their understanding of academic integrity and the skills and competences required to apply it.” → requirement FOR HEIs TO DO TRAINING AND GUIDANCE on academic integrity (DE JURE PROMOTION)

**This slide shows how dimensions are extracted**

# TASK 2

Propose indicators for academic integrity considering the monitoring framework elements

# De jure monitoring. Indicator: Protection

- a) Existence of regulations, standards and guidelines on academic integrity
- b) Existence of QA procedures including AI policies
  - for learning, teaching, research, admin procedures and institutional governance,
  - reviewed by internal and external bodies,
  - in line with EQF and NQFs,
  - compliant to ESGs
- c) Existence of regularly updated legal provision on integrity and digital technologies
- d) Existence of legal provisions for HEIs to develop codes of ethics

## LEVEL OF ANALYSIS

System level

## DEGREE OF GRANULARITY (country-level)

Assessment is based on the presence of FAV dimensions in the national legislation, determining the assigned traffic light colour. All dimensions are treated equally.



## VALIDITY

The initial survey is filled in by the government officials. After that 2 experts from each MS fill in the same survey and compare.

a) Existence of regulations, standards and guidelines on academic integrity

Question for the EHEA survey	Score
<p>Have the public authorities adopted any regulations, standards and guidelines for HEIs, or any other mechanism to support the exercise of academic integrity as defined in the respective EHEA statement?</p> <p>Yes/no</p> <p>If yes, please specify and add a reference or weblink ____</p>	<p>If yes gets 1 point</p>

**Comments:**

The initial Eurydice question focus on mentioning academic integrity, while current definition implies that apart from definition national legislations should have clear guidelines

Eurydice questionnaire

3.3.1. Is the concept of 'academic integrity' specifically mentioned in legislation?

	?	
Yes, in education or higher education legislation		
Yes, in other legislation		
No		

If 'Yes in other legislation', please specify

If the concept of academic integrity is mentioned in legislation, is it defined?

Yes		No	
-----	--	----	--

If yes, please add the definition in English

Please add a link/reference to legislation

3.3.2. Is academic fraud that occurs within higher education considered as a punishable crime in your country?

Yes		No	
-----	--	----	--

Comments

3.3.4. Have top-level authorities developed any guidelines for HEIs, or other mechanisms to support HEIs with issues such as plagiarism, contract cheating and fraud?

Yes		No	
-----	--	----	--

If yes, on which topics have top-level authorities issued guidelines/other mechanisms ?

	?	Guidelines for HEIs	Other mechanism
Plagiarism			
Contract cheating			
Academic fraud			

If 'Other mechanism', please explain briefly and add a reference or weblink

- b) Existence of QA procedures covering academic integrity
- for learning, teaching, research, admin procedures and institutional governance,
  - reviewed by internal and external bodies,
  - in line with EQF and NQFs,
  - compliant to ESGs

Question for the survey	Score
<p>Do current QA procedures cover academic integrity in learning, teaching, research, administrative procedures or institutional governance? Yes/no</p> <p>If yes, are these procedures :</p> <ul style="list-style-type: none"> <li>• undertaken by internal bodies    yes/no</li> <li>• undertaken by external bodies    yes/no</li> <li>• in line with EQF and NQFs        yes/no</li> <li>• compliant to ESGs                    yes/no</li> </ul>	<p>If yes gets 1 point</p> <p>The second part of the question is to validate the finding of a yes/no question, i.e. if the respondent “no” to all 4 of additional criteria, it would invalidate the answer.</p>

## Eurydice questionnaire

3.3.5. Are there any requirements for an external body to evaluate the exercise of academic integrity in HEIs?

Yes		No	
-----	--	----	--

If yes, which external body is required to evaluate the exercise of academic integrity in HEIs?

External quality assurance agency	?
Other public agency or body	

If 'Other public agency or body', please specify and add a link to the website

### Comments:

The initial Eurydice question only covers one part of this dimension, i.e. existence of external bodies. This information can be fully used, however as part of a bigger question

c) Existence of regularly updated legal provisions on integrity in the context of emerging digital technologies

Question for the survey	Score
<p>Have the public authorities adopted any guidelines for HEIs, or any other mechanism to ensure academic integrity in the context of emerging digital technologies? Yes/no</p> <p>If yes, please specify and add a reference or weblink ____</p> <p>Are these guidelines or other mechanisms regularly updated to ensure they keep pace with developments? Yes/no</p>	<p>If yes to the second question - gets 1 point</p> <p>If yes only to the first question - 0</p>

**Comments:**

- 1) No Eurydice questions on this matter at the moment

d) Existence of legal provisions for HEIs to develop codes of ethics

Question for the survey	Score
<p>Are there any legal requirements for HEIs to develop codes of ethics? Yes/no</p> <p>Comments _____</p>	<p>If yes gets 1 point</p>

**Comments:**

- 1) No Eurydice questions on this matter at the moment

# De jure monitoring. Indicator: Promotion

- a. Provision on **adequate** funding
- b. Provision on administrative frameworks
- c. Support for international cooperation within established frameworks
- d. Provisions for HEIs to do training and guidance for respecting academic integrity

## LEVEL OF ANALYSIS

System-level

## DEGREE OF GRANULARITY (country-level)

Assessment is based on the presence of FAV dimensions in the national/system legislation, determining the assigned traffic light color. All dimensions are treated equally.



## VALIDITY

The initial survey is filled in by the government officials. After that 2 experts from each MS fill in the same survey

System-level public authorities will be also asked to specify their definition for “adequate”

a. Provision on adequate funding

Question	Score
<p>Do the public authorities provide funding specifically for promoting academic integrity?</p> <ul style="list-style-type: none"> <li>• Yes, sufficient</li> <li>• Significant, but not sufficient</li> <li>• Some, but insufficient</li> <li>• Not at all</li> <li>• Cannot respond</li> </ul> <p>Please provide examples to support the answer chosen.</p>	<p>If “yes” or “yes but not fully sufficient” gets 1 point</p>

b. Provision on administrative frameworks

Question	Score
<p>Have the public authorities developed administrative frameworks that promote collaboration over competition and quality over quantity in academic outputs? Yes/no</p> <p>If yes, please explain briefly/provide examples and add a reference or weblink_____</p>	<p>If yes gets 1 point</p>

System-level public authorities swll be also asked to specify their definition for “adequate“

### c. International cooperation within established frameworks

Question	Score
Do the public authorities take part in international cooperation that promote academic integrity culture and/or prevent academic misconduct? Yes/no	If yes to the second question - gets 1 point
Do they promote these frameworks? Yes/no	If yes only to the first question - 0

### d. Provisions for HEIs to do training and guidance on integrity

Question	Score
Do public authorities require HEIs to offer training to staff and/or students on academic integrity and the skills and competences required to apply it? Yes/no	If yes gets 1 point

## Eurydice

3.3.3. Do top-level authorities require higher education institutions (HEIs) to offer training to staff and/or students on plagiarism, contract cheating and/or academic fraud?

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
-----	--------------------------	----	--------------------------

If yes, please specify on which topics top-level authorities require HEIs to offer training

	?	Training required for staff	Training required for students
<a href="#">glos</a> <a href="#">Plagiarism</a>		<input type="checkbox"/>	<input type="checkbox"/>
<a href="#">glos</a> <a href="#">Contract cheating</a>		<input type="checkbox"/>	<input type="checkbox"/>
<a href="#">glos</a> <a href="#">Academic fraud</a>		<input type="checkbox"/>	<input type="checkbox"/>

# De jure monitoring. Indicator: Outlook - protection

Protection	Explanation
Very positive	There are plans (draft legislation, official statements reports, governing programs, etc.), to <b>protect</b> academic integrity: <ul style="list-style-type: none"> <li>- in upcoming legislation</li> <li>- in upcoming judicial decisions</li> <li>- by defining the concept in upcoming legislation</li> </ul>
Positive	There are plans to increase <b>protection</b> of academic integrity
Unchanged	There are NO plans to increase <b>protection</b> of academic integrity
Negative	There are plans to diminish existing <b>protection</b> of academic integrity
Very negative	There are plans to diminish existing <b>protection</b> of academic integrity

## LEVEL OF ANALYSIS

Assessment of legislative perspectives by government officials and experts

## VALIDITY

The initial survey is filled in by the government officials. After that 2 experts from each MS fill in the same survey

## POSSIBLE SOURCES OF DATA

News/Media reports, Country researcher, Expert/HEI survey, Ombudsman, ESU/EUA data collection (e.g., add question to Bologna with student eyes, member surveys of EUA)

### Questions for survey

Are there any initiatives considered to increase protection of academic integrity? Yes/no

If yes, please explain briefly \_\_\_\_\_

# De jure monitoring. Indicator: Outlook - promotion

Protection	Explanation
Very positive	There are plans to <b>promote</b> academic integrity by: <ul style="list-style-type: none"> <li>- developing guidelines to support the exercise of academic integrity</li> <li>- developing mechanisms (initiatives/policies/regulations) to support the exercise of academic integrity</li> <li>- requiring an external body to evaluate how the exercise of academic integrity is ensured in HEIs.</li> </ul>
Positive	There are plans to increase <b>promotion</b> of academic integrity
Unchanged	There are NO plans to increase <b>promotion</b> of academic integrity
Negative	There are plans to diminish existing <b>promotion</b> of academic integrity
Very negative	There are plans to diminish existing <b>promotion</b> of academic integrity

## LEVEL OF ANALYSIS

Assessment of legislative perspectives by government officials and experts

## VALIDITY

The initial survey is filled in by the government officials. After that 2 experts from each MS fill in the same survey

## POSSIBLE SOURCES OF DATA

News/Media reports, Country researcher, Expert/HEI survey, Ombudsman, ESU/EUA data collection (e.g., add question to Bologna with student eyes, member surveys of EUA)

## Questions for survey

Are there any initiatives considered to increase promotion of academic integrity? Yes/no

If yes, please explain briefly \_\_\_\_\_

# De facto monitoring. Indicators: Fulfilment of obligations, Threats, Positive developments

## Possible sources of data:

- News/Media reports
- Country researcher
- Expert/HEI survey
- Ombudsperson

There is currently one question in Eurydice questionnaire that cannot be used directly but can help to identify sources of threats

3.3.6. Do top-level authorities collect information on academic misconduct in HEIs, and is it publicly available?

glos

Academic misconduct

Yes, information is collected and is publicly available (please specify below)

Yes, information is collected but is not publicly available

No, information is not collected

If 'Yes, information is collected and is publicly available', please provide a weblink to the information

Comments



De facto	Inventory (adapted from ENAI self-evaluation tool for institutions)
Fulfilment of obligations	<p>Is the commitment to academic integrity reflected on an institutional level? (e.g. having clear institutional strategy and internal bodies responsible for assessment of academic integrity)</p> <p>Are there any institutions setting a good example on integrity and ethical conduct? (showcasing good practices)</p> <p>Is a culture of academic integrity supported and promoted by the institutional leadership? (e.g. offering trainings, innovative teaching and learning, guidance materials, publicity about policies and sanctions)</p> <p>ARE there mechanisms of reporting and recording academic integrity breaches?</p> <p>Are there sanctions for academic integrity breaches? If yes, please elaborate/illustrate</p>
Threats	<p>Are there practices, standards, or regulations that pose a threat to academic integrity practice?</p> <p>Are there any critical regulations, standards, or guidelines on academic integrity missing that would pose a threat to protection and promotion of academic integrity? If so, please, briefly explain.</p>
Positive developments	<p>Were there any recent developments that positively impacted academic integrity practice in the country? Please, bring examples</p>

# 9. (Value # 4) Student and staff participation

Pilot operationalization of monitoring framework



# TASK 1

Develop monitoring framework  
& Extract dimensions of value  
from EHEA definitions

# Monitoring framework and indicators for rights/freedoms values

VALUES	TYPE OF MONITORING/indicators	
Duties/obligations		
<b>Participation of students and staff in university governance</b>	De jure:	
	Protection ( <i>traffic light of 5 colours</i> )	Outlook ( <i>very negative, negative, unchanged, positive, very positive</i> )
	Promotion ( <i>traffic light of 5 colours</i> )	
	De facto:	
	Infringements	Narrative
	Threats	
	Positive developments	

# Dimensions of student and staff participation from EHEA definition: duties and responsibilities

This slide shows how dimensions are extracted

- Regardless of the various governance models throughout the EHEA, student and staff participation in higher education governance **should be applied to all systems and institutions within the EHEA, whether public or private, for profit or not-for-profit, and at all levels of governance – transnational, European, national, regional, institutional, and sub-institutional** → **Regulation on participation for all forms and levels of governance**
- At all levels and regardless of specific governance arrangements, **higher education leaders have a responsibility to create an environment conducive to purposeful and mutually beneficial relations between stakeholders.** The dialogue between all relevant stakeholders should be rooted in **clear and transparent regulations, provisions and procedures** and be based on mutual trust, recognition and cooperation. → **clear and transparent regulations, provisions and procedures on student and staff participation [protection] + Creation of an environment conducive to purposeful and mutually beneficial relations between stakeholders [promotion]**
- The freedom of students and staff to express their views on their institution's policies and priorities as well as the policies of public authorities for the higher education system and the institutions that constitute it, without fear of reprisal, and that **both higher education institutions and systems have a responsibility to listen to the critical voices and take them into account** is an inseparable element of academic freedom. → **guarantee of inclusion of student and staff in decision-making**
- Student and staff participation in higher education governance is strongly connected to their **material conditions**, and higher education can thrive only once **public authorities as well as higher education institutions provide them with stable learning and working conditions** → **guarantee of stable material learning and working conditions**
- At the system and transnational levels, democratic higher education governance requires **public authorities to commit to its principles and practice, adopt the required provisions in the pertinent laws, and otherwise respect autonomy and participation** → **clear and transparent regulations, provisions and procedures on student and staff participation**

- While at the level of higher education systems, several kinds of decision may ultimately fall within the competence of elected public representatives in parliament or by public authorities whose mandate emanates from elected public representatives, these **should consult with the democratically elected and representative student and staff organisations**. In contexts where policies are developed outside of frameworks with legislative or other governance responsibilities, such as the EHEA, **duly elected student and staff representatives should be part of all policy discussions**, following the good practice example of the Bologna Follow-Up Group. → **guarantee of inclusion of student and staff in decision-making**
- In all contexts, duly elected student and staff **representatives should be consulted on all issues put before the governing bodies**. These may include but are not limited to the freedom to learn, the organisation and content of education, curriculum design and quality assurance, equitable access to higher education, strategic objectives and governance designs, financial matters, academic staff recruitment and retention, secure employment conditions, freedom from threats, retaliation, dismissal, or other sanctions in relation to the content of their research, teaching or stated professional views. → **guarantee of inclusion of student and staff in decision-making**
- **participation and cooperation are essential** to fulfilling the main missions of higher education and to ensuring the long-term success of our shared goals and commitments in the EHEA. It **should be taken into account when recognising higher education institutions** as a part of any given national education system and be included in the quality assurance criteria. → **inclusion of respect to participation as a criteria for recognition of HE**
- The elections of student and staff representatives at all levels of higher education governance should be organised freely and autonomously, be representative and adhere to democratic principles to be legitimate. **Institutions as well as student and staff organisations should seek to stimulate participation in student and staff elections as well as encourage participation of students and staff and engage in the life of the institution** with a view to enhancing its democratic legitimacy and representativity. → **Promotion of engagement in the life of the institution, including through participation in student and staff elections**
- Higher education institutions and **systems should provide support, including financial and other resources, for sustainable representation of students and staff and ensuring the independence of representatives and their organisations** → **financial and other resources support for inclusion of student and staff in decision-making**

**This slide shows how dimensions are extracted**

# TASK 2

Propose indicators for academic integrity considering the monitoring framework elements

# De jure monitoring. Indicator: Protection

1. Existence of clear and transparent regulations, provisions and procedures on student and staff participation for all forms and levels of HE governance
2. Respect for the participation of students and staff in governance is used as a criteria for recognition of HE
3. Guarantee of stable learning and working conditions for students and academic staff

## LEVEL OF ANALYSIS

System-level

## DEGREE OF GRANULARITY AND OPERATIONALISATION

Assessment is based on the presence of FAV dimensions in the national/system legislation, determining the assigned traffic light colour.

There are 2 dimensions. For the first one the country can receive 0-3 points, and for the second one 1 point

The traffic light colours are assigned accordingly:

## VALIDITY

The survey is filled in by the government officials. After that 2 experts from each MS fill in the same survey

All 3

2/3

1/3

0/3

### 3.4.1. When national higher education policy is developed, who is involved in the process?

	Required by legislation	Not required by legislation, but usually involved
Ministry in charge of HE		
Ministry(ies) other than the one in charge of HE		
Quality assurance and accreditation bodies		
Associations and networks of HE institutions, including national rectors' conference		
Student associations/unions		
Higher education <u>staff</u> associations/unions		
Labour market and employment representatives		
Civil society, non-government organisations		
Other		

If 'Other', please specify

glos

Eurydice questionnaire

### 3.4.2 Is there a requirement for higher education institutions' (HEIs') internal steering bodies to include:

	Required by legislation	Not required by legislation, but usually included in HEIs' <u>internal steering bodies</u>
Student representative		
Student union representative		
Staff representative		
Staff trade union representative		
Other		

If 'Other', please specify

glos

### 3.4.3 Who decides on the decision-making responsibilities of HEIs' internal steering bodies?

	Decision on internal steering body responsibilities
Responsibilities of HEIs' internal steering bodies regulated in legislation	
HEI's internal steering body decides responsibilities for itself	
Other	

If 'Other', please specify

If 'Responsibilities of HEIs' internal steering bodies regulated in legislation', do the legal requirements specify the following:

Issues where staff may not participate in decision-taking	
Issues where students may not participate in decision-taking	
Right of students and staff to participate in all decisions	

If legislation specifies issues where students and/or staff may not participate in decision-making, please outline briefly the issues concerned and attach a reference to the legislation

Comments

**Comment:** At the moment, Eurydice questions indirectly address existence of regulations in participation with the emphasis on checking if both students and staff are involved. Therefore, we suggest alternative questions.

Dimension 1: Existence of clear and transparent regulations, provisions and procedures on student and staff participation for all forms and levels of HE governance

*Have the public authorities developed legal regulations regarding student participation in HE governance? Yes/no*

*Have the public authorities developed legal regulations regarding staff participation in HE governance? Yes/no*

If Regulations/standards/Guidelines, please add a reference or weblink\_\_\_\_\_

If yes, please specify what which rights of students and staff are ensured by these regulations:

	Students	Staff
- self-organise		
- elect and to be elected to the relevant governing bodies		
- have their views represented and taken into account;		
- initiate debates and table proposals in all governing bodies and participate in the discussion of and decision on them;		
- be heard on the internal organisation and administration of HEIs and all issues for HE governance;		
- have a vote on the internal organisation and administration of HEIs and all issues for HE governance		
- be duly consulted on issues concerning the governance and further development of the relevant HE system		

**Score calculation**

If yes to the first question  
AND 7/7 yes for both  
students and staff – 3 points

If yes to the first question  
AND 4-6/7 yes for both  
students and staff – 2 points

If yes to the first question  
AND 1-3/7 yes for both  
students and staff – 1 point

0/7– 0 points

Dimension 2: Inclusion of respect to participation of students and staff as a criteria for recognition of HE

Question for survey	Score
<p><i>Is participation of students currently included in criteria for recognition of HE institutions?</i></p> <p><i>Is participation of staff currently included in criteria for recognition of HE institutions?</i></p> <p>Yes/no</p> <p>If 'Yes', please add a reference or weblink_____</p>	<p>If yes for both gets 1 point</p>

Guarantee of stable material learning and working conditions for students and academic staff

Question	Score
<p>Do public authorities ensure stable learning and working conditions for students and staff?</p> <ul style="list-style-type: none"> <li>• Yes, fully</li> <li>• Yes, significant but partial</li> <li>• Yes, but only marginally</li> <li>• Not at all</li> <li>• Cannot respond</li> </ul> <p>Can you mention examples_____</p>	<p>If "yes" or "yes but not fully sufficient" gets 1 point</p>

System-level public authorities will be also asked to specify their definition for "stable"

# De jure monitoring. Indicator: Promotion

1. Promotion of engagement in the life of the institution, including through participation in student and staff elections
2. Guarantee of the financial and other resources to support the inclusion of student and staff in decision-making
3. Creation of an environment conducive to purposeful and mutually beneficial relations between stakeholders

## LEVEL OF ANALYSIS

System level

## DEGREE OF GRANULARITY AND OPERATIONALISATION

Assessment is based on the presence of FAV dimensions in the national legislation, determining the assigned traffic light color. All dimensions are treated equally.

## VALIDITY

The survey is filled in by the government officials. After that 2 experts from each MS fill in the same survey

All 3

2/3

1/3

0/3

Promotion of engagement in the life of the institution,  
including through participation in student and staff elections

Question	Score
Have public authorities developed administrative frameworks that promote engagement in the life of the institution, including through participation in student and staff elections in accordance with the EHEA statement on student and staff participation?  Yes/no  Can you mention examples _____	If yes, gets 1 point

Suggestions:

- 1) Clarify what kind of administrative frameworks
- 2) Suggest specific forms of participation (see question 1 in protection)

Guarantee of financial and other resources to support for the inclusion of student and staff in decision-making

Question	Score
<p>Do public authorities provide funding specifically for support of inclusion of student and staff in decision-making?</p> <ul style="list-style-type: none"> <li>• Yes, fully</li> <li>• Yes, significant but partial</li> <li>• Yes, but only marginally</li> <li>• Not at all</li> <li>• Cannot respond</li> </ul> <p>Can you mention examples_____</p>	<p>If “yes” or “yes but not fully sufficient” gets 1 point</p>

Creation of an environment conducive to purposeful and mutually beneficial relations between stakeholders

Question	Score
<p>Do public authorities contribute to creation of an environment conducive to purposeful and mutually beneficial relations between stakeholders?</p> <ul style="list-style-type: none"> <li>• Yes, fully</li> <li>• Yes, significantly but partially</li> <li>• Yes, but only marginally</li> <li>• Not at all</li> <li>• Cannot respond</li> </ul> <p>Can you mention examples_____</p>	<p>If “yes” or “yes but not fully sufficient” gets 1 point</p>

# De jure monitoring.

## Indicator: Outlook - protection

### LEVEL OF ANALYSIS

Assessment of legislative perspectives by government officials and experts

### VALIDITY

The initial survey is filled in by the government officials. After that 2 experts from each MS fill in the same survey

### POSSIBLE SOURCES OF DATA

News/Media reports, Country researcher, Expert/HEI survey, Ombudsman, ESU/EUA data collection (e.g., add question to Bologna with student eyes, member surveys of EUA)

### Questions for survey

Are there any legislative initiatives considered to increase protection of student and staff participation? Yes/no

If yes, please explain briefly \_\_\_\_\_

Are there any legislative initiatives considered to increase promotion of student and staff participation? Yes/no

If yes, please explain briefly \_\_\_\_\_



Very positive

There are plans (draft legislation, official statements, reports, etc.) to **protect** participation of students:

- in upcoming legislation generally or as a right
- in upcoming judicial decisions
- by defining the concept in upcoming legislation

AND

There are plans (draft legislation, official statements, reports, etc.) to **protect** participation of staff:

- in upcoming legislation generally or as a right
- in upcoming judicial decisions
- by defining the concept in upcoming legislation

Positive

There are plans to increase **protection** of student and staff participation **OR protection of EITHER student OR staff participation**

Unchanged

There are NO plans to increase **protection** of student and staff participation

Negative

There are plans to diminish existing **protection** of student and staff participation

Very negative

There are plans to diminish existing **protection** of student and staff participation

# De jure monitoring.

## Indicator: Outlook - promotion

### LEVEL OF ANALYSIS

Assessment of legislative perspectives by government officials and experts

### VALIDITY

The initial survey is filled in by the government officials. After that 2 experts from each MS fill in the same survey

### POSSIBLE SOURCES OF DATA

News/Media reports, Country researcher, Expert/HEI survey, Ombudsman, ESU/EUA data collection (e.g., add question to Bologna with student eyes, member surveys of EUA)

### Questions for survey

Are there any legislative initiatives considered to increase promotion of student participation? Yes/no

If yes, please explain briefly \_\_\_\_\_

Are there any legislative initiatives considered to increase promotion of staff participation? Yes/no

If yes, please explain briefly \_\_\_\_\_



Very positive

There are plans to **promote** participation of students by:

- developing guidelines to support the exercise of student participation
- developing mechanisms (initiatives/policies/regulations) to support the exercise of student participation
- requiring an external body to evaluate how the exercise of student participation is ensured in HEIs.

AND

There are plans to **promote** participation of staff by:

- developing guidelines to support the exercise of staff participation
- developing mechanisms (initiatives/policies/regulations) to support the exercise of staff participation
- requiring an external body to evaluate how the exercise of staff participation is ensured in HEIs.

Positive

There are plans to increase **promotion** of student and staff participation **promotion of EITHER students OR staff participation**

Unchanged

There are NO plans to increase **promotion** of student and staff participation

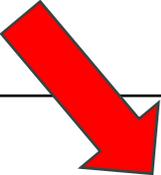
Negative

There are plans to diminish existing **promotion** of student and staff participation

Very negative

There are plans to diminish existing **promotion** of student and staff participation

# De facto monitoring. Indicators: Infringements, Threats, Positive developments



## Possible existing sources of data:

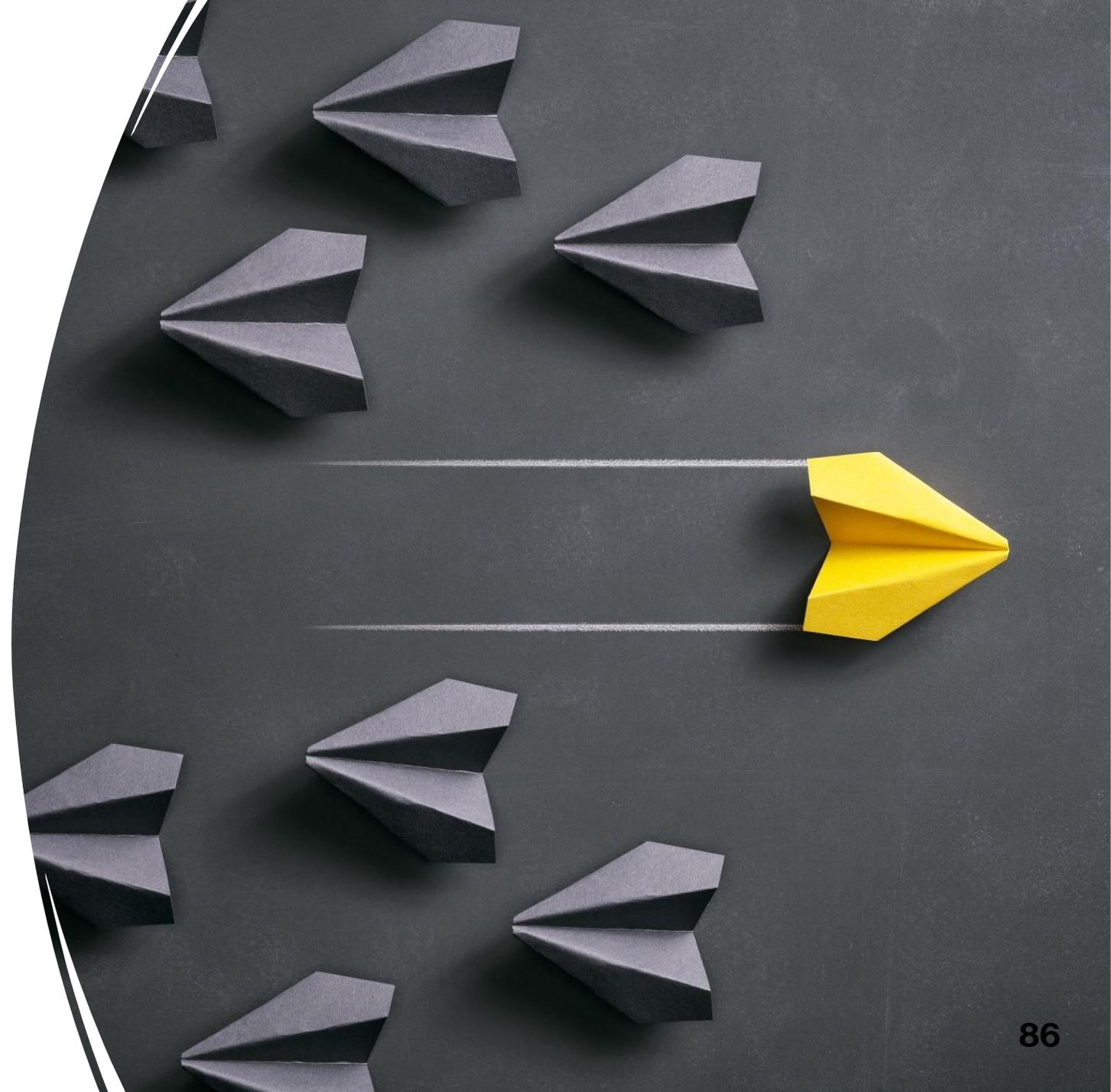
- Bologna with student eyes (for students)

## Possible sources of data to be collected/modalities of collection:

- Country researcher
- EHEA stakeholder reports on EHEA page (citizen science)

De facto	Inventory
<b>Positive developments</b> Intentional/unintentional actions that support participation of students and staff	Initiatives and actions that support the Bologna Process commitments made to protect and promote participation of students and staff
<b>Threats</b> Intentional/unintentional actions undertaken to limit participation of students and staff	Plans and initiatives that threaten to break the Bologna Process commitments made to protect and promote participation of students and staff
<b>Infringements</b> Violations (breaking the terms of the law/Bologna Commitment) of student and staff participation	Actions and initiatives that are breaking/have broken the Bologna Process commitments made to protect and promote student and staff participation

**10. (Value # 5)**  
**Public**  
**responsibility**  
***FOR* higher**  
**education**



# TASK 1

Develop monitoring framework  
& Extract dimensions of value  
from EHEA definitions

# Monitoring framework for duties/obligations values

VALUES	TYPE OF MONITORING/indicators	
Duties/obligations		
Public responsibility for higher education	De jure:	
	Protection ( <i>adequate, intermediary, inadequate</i> )	Outlook ( <i>negative, unchanged, positive</i> )
	Promotion ( <i>absent, limited, significant</i> )	
	De facto:	
	Fulfilment of obligations	Narrative
	Threats	
	Positive developments	

# Dimensions of Public Responsibility for Higher Education (from Statement)

- Public authorities, at their respective levels, have the primary responsibility for putting in place *supportive regulatory frameworks that enable higher education institutions to effectively pursue their educational, research and outreach missions*. Public responsibility may be exercised through legislation and other regulations (PROTECTION) but also through other means such as policies or funding (PROMOTION). . They should(...) assume *exclusive responsibility* to ensure that the frameworks within which higher education is conducted are put in place and function adequately, including the legal framework, *the qualifications framework of the higher education system, frameworks for quality assurance, the recognition of foreign qualifications, information on higher education provision, the funding frameworks, and the frameworks for the social dimension of higher education*. (PROTECTION AND PROMOTION) – CAN BE COMBINED WITH LAST BULET POINT ON THIS SLIDE
- Public authorities should exercise this responsibility in consultation with the higher education community and other stakeholders. Public authorities should consult and seek input from the higher education sector, internal university constituencies, and relevant external stakeholders regarding the configuration and substance of these frameworks
- They should specifically ensure that legal and regulatory frameworks foster and enable institutional autonomy, academic freedom, and self-governance by the higher education community.- NOT NEEDED; MONITORED UNDER OTHER VALUES??? HOW TO LINK?
- Public authorities should assume *leading responsibility* for ensuring that all qualified candidates enjoy effective equal opportunities to undertake and complete higher education, irrespective of their background. They should assume a *substantial responsibility* for financing and ensuring provision of higher education (PROTECTION). All higher education within an education system should be provided and funded within the framework established by the competent public authorities, regardless of whether the provision and funding are public or private.
- Public authorities *should further* all major purposes of higher education: preparation for the labor market, preparation for life as active citizens of democratic societies, personal development, and the development and maintenance of a broad and advanced knowledge base. (PROTECTION AND PROMOTION OR ONLY PROMOTION?)

**This slide shows how dimensions are extracted**

# Levels of monitoring the Public responsibility *for higher education*

“European, National, regional” is mentioned in the statement.

Monitoring will focus on the system level only for this value (will be different for value #6 – responsibility of higher education)

# TASK 2

Propose indicators for academic integrity considering the monitoring framework elements

# De jure monitoring. Indicator: Protection

## a) Legal frameworks to further all major purposes of higher education:

- preparation for the labor market
- preparation for life as active citizens of democratic societies
- personal development
- the development and maintenance of a broad and advanced knowledge base.

## b) Existence of supportive legal/regulatory provisions for sectors of higher education policy:

- qualifications framework of the higher education system
- frameworks for quality assurance (ESG)
- recognition of foreign qualifications (LRC)
- information on higher education provision
- funding frameworks
- the frameworks for the social dimension of higher education

c) Public authorities consult and seek input regarding the configuration and substance of these frameworks from: the higher education sector, internal university constituencies, and relevant external stakeholders.

### LEVEL OF ANALYSIS

System level

### DEGREE OF GRANULARITY (country-level)

*De jure* protection is assessed based on the presence of three dimensions, determining the assigned traffic light colour according to their quantity. The three dimensions have different numbers of subdimensions. They can be combined in one score for the country.

All 3

2/3

1/3

0/3

a) Legal frameworks to further all major purposes of higher education

### Suggested question for the questionnaire:

Have public authorities adopted legislation and regulations that support achieving all purposes of higher education?

The answer will count as a YES only if all four sub-dimensions are addressed in system-level legislation or regulations:

- preparation for the labor market
- preparation for life as active citizens of democratic societies
- personal development
- the development and maintenance of a broad and advanced knowledge base.

Eurydice questionnaire

No similar questions available

c) Public authorities consult and seek input regarding the configuration and substance of these frameworks

### Suggested question:

Have public authorities adopted legislation and regulations regarding the obligation to consult and seek input regarding the substance of these frameworks from:

- the higher education sector                      *yes/no*
- internal university constituencies              *yes/no*
- relevant external stakeholders                  *yes/no*

If yes, please specify and add a reference or weblink \_\_\_\_

The answer to this question will count as a YES only if all three sub-dimensions are addressed in system-level legislation or regulations/

### Comments:

- 1) No Eurydice questions on this matter at the moment

# De jure monitoring. Indicator: Promotion

## a) Policy and other initiatives to further all major purposes of higher education:

- preparation for the labor market
- preparation for life as active citizens of democratic societies
- personal development
- the development and maintenance of a broad and advanced knowledge base.

## b) Policy and other initiatives to promote effectiveness in all sectors of higher education policy:

- qualifications framework of the higher education system
- frameworks for quality assurance (ESG)
- recognition of foreign qualifications (LRC)
- information on higher education provision
- funding frameworks
- the frameworks for the social dimension of higher education

## LEVEL OF ANALYSIS

System level

## DEGREE OF GRANULARITY (country-level)

Promotion of the public responsibility for higher education is assessed based on the presence of policy and other initiatives (peer learning, etc.) on these two dimensions, determining the assigned traffic light colour according to their quantity (both of them present, only one, none).

2/2

1/2

0/2

a) Existence of policy and other initiatives to further all major purposes of higher education

**Suggested question:**

Have public authorities adopted policy and other initiatives to further all major purposes of higher education, that is for:

- preparation for the labor market
- preparation for life as active citizens of democratic societies
- personal development
- the development and maintenance of a broad and advanced knowledge base.

Yes/no

Provide examples for each.

b) Policy and other initiatives to promote effectiveness in all sectors of higher education policy

**Suggested question:**

Have public authorities adopted policy and other initiatives to promote effectiveness in all sectors of higher education policy, that is:

- qualifications framework of the higher education system
- frameworks for quality assurance
- recognition of foreign qualifications
- information on higher education provision
- funding frameworks
- the frameworks for the social dimension of higher education

Yes/no

Provide examples for each.

The answer to each of these questions will count as a YES only if all respective sub-dimensions are addressed in system-level legislation or regulations.

Comment: Purposes and policy areas are as listed in the respective value statement

# De jure monitoring. Indicator Outlook – Protection

Protection: responsibility for HE (colour coding)	Operationalisation/ assessment
Very positive	<p>There are plans to <b>adopt new legislation and regulations to create or improve:</b></p> <p>a. Legal frameworks to further all major purposes of higher education.                      b. Supportive legal/regulatory provisions for sectors of higher education policy  <b>and improve how:</b>                      c. Public authorities consult and seek input regarding the configuration and substance of these frameworks from the higher education sector, internal university constituencies and relevant external stakeholders</p>
Positive	<p>There are plans to <b>adopt new legislation and regulations with a view to improvement in only one or two of the dimensions</b> (a., b., c.)</p>
Unchanged	<p>There are plans to <b>adopt new legislation and regulations in any of the three areas</b> (a., b., c.).</p>
Negative	<p>There are plans to adopt new legislation and regulations to diminish protection of this value in at least one of the three areas (a., b., c.)</p>
Very negative	<p>There are plans to adopt new legislation and regulations to diminish protection in all three areas (a., b., c.)</p>

## Possible existing sources of data:

- Existing monitoring/reports regarding the qualifications frameworks, quality assurance, social dimension, funding.

## Possible sources of data to be collected:

News/Media reports, Country researcher, Expert/HEI survey, Ombudsman, ESU/EUA reports (including Funding Forum reports)

# De jure monitoring. Indicator Outlook/ Promotion

Protection: responsibility for HE (colour coding)	Operationalisation/assessment
<b>Very positive</b>	There are plans to adopt new policies and other initiatives to both: a) Further all major purposes of higher education, and b) promote effectiveness in all sectors of higher education policy.
<b>Positive</b>	There are plans to adopt new policies and other initiatives only for a. or b.
<b>Unchanged</b>	There are no plans to adopt new policies and other initiatives in any of the two areas
<b>Negative</b>	There are plans to reduce/stop existing policy and other initiatives in one of the two areas (a. or b.)
<b>Very negative</b>	There are plans to reduce/stop existing policy and other initiatives in both areas (a. and b.)

**Possible existing sources of data:**

Same as for protection

**Possible sources of data to be collected:**

Same as for Protection

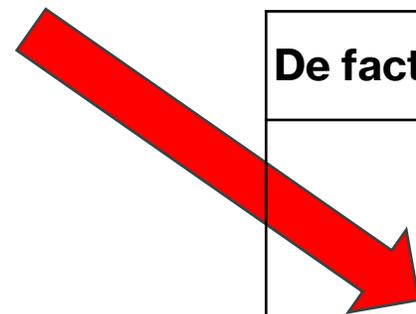
# De facto monitoring. Indicators: Fulfilment of obligations, Threats, Positive developments

## Possible existing sources of data:

Existing reports mentioned above

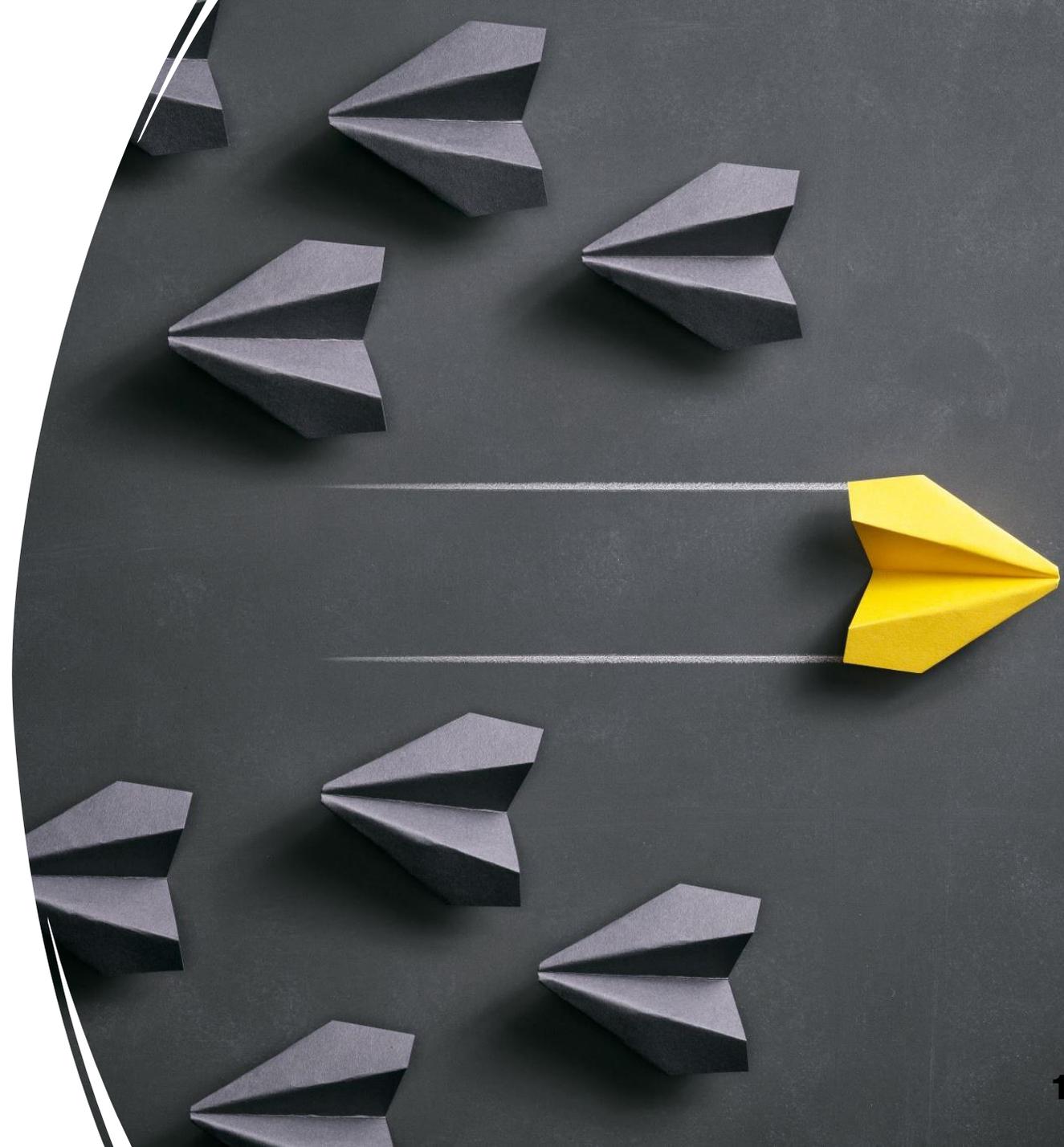
## Possible sources of data to be collected:

- News/Media reports
- Country researcher
- Expert/HEI survey



De facto	Inventory
<b>fulfilment of obligations</b>	<p><b>Questions:</b></p> <p>1. To what extent are the existing legal frameworks adopted to further all major purposes of higher education implemented in practice. Breakdown for:</p> <ul style="list-style-type: none"> <li>- preparation for the labor market</li> <li>- preparation for life as active citizens of democratic societies</li> <li>- personal development</li> <li>- the development and maintenance of a broad and advanced knowledge base.</li> </ul> <p>2. To what extent existing supportive legal/regulatory provisions for all sectors of higher education policy implemented? :Breakdown for:</p> <ul style="list-style-type: none"> <li>- qualifications framework of the higher education system</li> <li>- frameworks for quality assurance</li> <li>- recognition of foreign qualifications</li> <li>- information on higher education provision</li> <li>- funding frameworks</li> <li>- the frameworks for the social dimension of higher education</li> </ul> <p>3. Do public authorities genuinely consult and seek input in the configuration of these frameworks?</p>
<b>threats</b>	Are there identifiable threats for the protection and promotion of this value (as defined here)?
<b>Positive developments</b>	Are there identifiable positive developments regarding the protection and promotion of this value (as defined here?)

**11. (Value # 6)**  
**Public**  
**responsibility**  
***OF* higher**  
**education**



# TASK 1

Develop monitoring framework  
& Extract dimensions of value  
from EHEA definitions

# Monitoring framework for duties/obligations values

VALUES	TYPE OF MONITORING	
Duties/obligations		
<p style="text-align: center; color: red; font-weight: bold;">Public responsibility <i>of</i> higher education</p>	De jure:	
	Protection ( <i>adequate, intermediary, inadequate</i> )	Outlook ( <i>negative, unchanged, positive</i> )
	Promotion ( <i>absent, limited, significant</i> )	
	De facto:	
	Fulfilment of obligations ( <i>we need a list based on de jure part</i> )	
	Threats	Narrative
	Positive developments	

# Dimensions of Responsibility of HE --from the EHEA definition/statement

(...) public responsibility of higher education denotes the obligations of the higher education community to the broader society of which the higher education community is a part. The higher education community encompasses all staff and students as well as institutional leaders, and the members of higher education organizations (e.g. university, student, and staff associations).

- Through its own actions, internal regulation and policies, the higher education community should ensure that the fundamental values of higher education are respected, furthered, and implemented. It should pursue truth and the production, transmission, dissemination, curation, and use of knowledge as a public good by upholding and developing the standards of teaching, learning, and research within and across academic disciplines.
- The higher education community should continuously inform broader society of its work and results. It should engage in the identification, analysis, and understanding of the problems that confront broader society and individual constituencies. The higher education community should also participate in designing solutions to these problems and provide expertise to meet these challenges, in accordance with its own standards and values.
- The higher education community should seek to foster and disseminate, and should itself be guided by a culture of democracy, solidarity, and ethics. It should provide information publicly about societal risks related to action or inaction, when such risks can be determined on the basis of research and scholarship. The higher education community should design and pursue its policies and activities in ways that are consistent with fairness, non-discrimination, and transparency. It should offer access to higher education to qualified candidates without regard to their economic, social, ethnic, or other background and provide support in order to enable those admitted to complete their studies with success.
- Major challenges of modern societies, including those relating to the UN Sustainable Development Goals and sustainable development more broadly, the survival of our planet, issues of war and peace, democracy, and living together cannot be met without a strong contribution by the higher education community through research, learning and teaching, societal outreach and innovation and technology transfer. In the words of the Magna Charta Universitatum (2020), universities acknowledge that they have a responsibility to engage with and respond to the aspirations and challenges of the world and to the communities they serve, to benefit humanity and contribute to sustainability. The higher education community should therefore contribute to the development of society on the basis of scholarship and research as well as teaching and learning.
- The higher education community should engage in and with the public sphere, including in public debate, to ensure that our societies be developed and governed on the basis of factual knowledge as well as critical and constructive thinking. It should work with the society of which it is part, including with its local community, to help improve opportunities for all members of society, in accordance with the democratic and social missions of higher education.
- The higher education community should equip its graduates with general, specialized and ethical knowledge, understanding, support them in developing the ability to act and to decide what action to take and what action to refrain from taking.

**This slide shows how dimensions are extracted**

# TASK 2

Propose indicators for academic integrity considering the monitoring framework elements

# De jure monitoring. Indicator: Protection

Existence of national/system level legislation and regulations to require and support higher education communities to:

- pursue truth and the production, transmission, dissemination, curation, and use of knowledge as a public good
- uphold and develop the standards of teaching, learning, and research within and across academic disciplines.
- continuously inform broader society of its work and results
- engage in the identification, analysis, and understanding of the problems that confront broader society and individual constituencies; participate in designing solutions
- foster and disseminate, and be guided by a culture of democracy, solidarity, and ethics; design and pursue policies and activities in ways that are consistent with fairness, non-discrimination, and transparency.
- equip graduates with general, specialized and ethical knowledge, understanding, support them in developing the ability to act and to decide what action to take and what action to refrain from taking.
- offer access to higher education to qualified candidates without regard to their economic, social, ethnic, or other background and provide support in order to enable those admitted to complete their studies with success
- Contribute to addressing major challenges of modern societies, (*e.g.*, the survival of our planet, issues of war and peace, democracy, and living together) through research, learning and teaching, societal outreach and innovation and technology transfer.
- engage in and with the public sphere, including in public debate, to ensure that our societies be developed and governed on the basis of factual knowledge as well as critical and constructive thinking
- help improve opportunities for all members of society

## LEVEL OF ANALYSIS

System level

## DEGREE OF GRANULARITY (country-level)

The existence of national/system-level legislation and regulations is assessed as a single dimension with 10 subdimensions. Colour coding as follows:

All 10
7-9 out of 10
4-6 out of 10
1-3 out of 10
0/10

**Suggested question:**

Have system-level authorities adopted legislation and regulations that require and support higher education communities to:

- a. pursue truth and the production, transmission, dissemination, curation, and use of knowledge as a public good
- b. uphold and develop the standards of teaching, learning, and research within and across academic disciplines.
- c. systematically inform broader society of its work and results
- d. engage in the identification, analysis, and understanding of the problems that confront broader society and individual constituencies; participate in designing solutions
- e. foster and disseminate, and be guided by a culture of democracy, solidarity, and ethics; design and pursue policies and activities in ways that are consistent with fairness, non-discrimination, and transparency.
- f. equip graduates with general, specialized and ethical knowledge, understanding, support them in developing the ability to act and to decide what action to take and what action to refrain from taking.
- g. offer access to higher education to qualified candidates without regard to their economic, social, ethnic, or other background and provide support in order to enable those admitted to complete their studies with success
- h. Contribute to addressing major challenges of modern societies, (e.g., the survival of our planet, issues of war and peace, democracy, and living together) through research, learning and teaching, societal outreach and innovation and technology transfer.
- i. engage in and with the public sphere, including in public debate, to ensure that our societies be developed and governed on the basis of factual knowledge as well as critical and constructive thinking
- j. help improve opportunities for all members of society?

**Eurydice questionnaire**

Some of these questions are addressed in the Eurydice questionnaire (e.g., social dimension) and also under other values in our framework (e.g., academic freedom)

Yes/no for each sub-question

If yes, please specify and add a reference or weblink \_\_\_\_

# De jure monitoring. Indicator: Promotion

Policy and other initiatives that support the fulfillment of the the obligations of higher education communities as outlined in the definition (a. to j. under Protection)

## LEVEL OF ANALYSIS

Protection and promotion refers to public authorities. In the *de jure* assessment we will look at how higher education communities fulfil their obligations.

## DEGREE OF GRANULARITY (country-level)

Existence of national/system-level policy and other initiatives to support the fulfilment by higher education communities of the obligations listed in the definition of this value. Colour coding as follows:

All 10
7-9 out of 10
4-6 out of 10
1-3 out of 10
0/10

**Suggested question:**

**Have system-level authorities adopted policies and other initiatives to support higher education communities to:**

- a. pursue truth and the production, transmission, dissemination, curation, and use of knowledge as a public good
- b. uphold and develop the standards of teaching, learning, and research within and across academic disciplines.
- c. systematically inform broader society of its work and results
- d. engage in the identification, analysis, and understanding of the problems that confront broader society and individual constituencies; participate in designing solutions
- e. foster and disseminate, and be guided by a culture of democracy, solidarity, and ethics; design and pursue policies and activities in ways that are consistent with fairness, non-discrimination, and transparency.
- f. equip graduates with general, specialized and ethical knowledge, understanding, support them in developing the ability to act and to decide what action to take and what action to refrain from taking.
- g. offer access to higher education to qualified candidates without regard to their economic, social, ethnic, or other background and provide support in order to enable those admitted to complete their studies with success
- h. Contribute to addressing major challenges of modern societies, (e.g., the survival of our planet, issues of war and peace, democracy, and living together) through research, learning and teaching, societal outreach and innovation and technology transfer.
- i. engage in and with the public sphere, including in public debate, to ensure that our societies be developed and governed on the basis of factual knowledge as well as critical and constructive thinking
- j. help improve opportunities for all members of society?

**Eurydice questionnaire**

Similar to Protection: some of these questions are addressed under other values in our framework (e.g., academic freedom)

Yes/no for each sub-question

If yes, please specify and add a reference or weblink \_\_\_\_

# De jure monitoring. Indicator: Outlook – Protection of public responsibility for higher education

Protection Colour coding	Operationalisation/assessment
Very positive	<p>There are plans to adopt new legislation and regulations to increase requirements and support for higher education communities in at least three of areas (a. to j).</p> <p><b>AND</b></p> <p>There are no plans change or adopt new legislation and regulations that would decrease the requirements or capacity of higher education community to fulfil their obligations in any of these areas</p>
Positive	<p>There are plans to adopt new legislation and regulations to increase requirements and support for higher education communities in at least three of the areas above (a. to j.)</p> <p>There are no plans change or adopt new legislation and regulations that would decrease the requirements or capacity of higher education community to fulfil their obligations in any of these areas.</p>
Unchanged	<p>There are no plans to adopt legislation or regulations with regard to the obligations or capacities of the higher education communities in these areas.</p>
Negative	<p>There are plans to change or adopt new legislation and regulations that would decrease the requirements or capacity of higher education community to fulfil their obligations in at least one of these areas (a. to j)</p>
Very negative	<p>There are plans to change or adopt new legislation and regulations that would decrease the requirements or capacity of higher education community to fulfil their obligations in at least three of these areas (a. to j)</p>

## Possible existing sources of data:

- Other monitoring reports with regard to academic freedom, social dimension, etc.

## Possible sources of data to be collected:

News/Media reports, Country researcher, Expert/HEI survey, ESU/EUA, reports

# De jure monitoring. Indicator: Outlook –Promotion of public responsibility for higher education

Promotion Colour coding	Operationalisation/assessment
Very positive	Plans exist for <b>new policies and other initiatives</b> to support higher education communities in at least six areas (a. to j).  There are <b>no plans to stop the existing policies and initiatives in the other areas.</b>
Positive	Plans exist for <b>new policies and other initiatives</b> to support higher education communities in at least three areas (from among a. to j). <b>AND</b> There are <b>no plans to stop the existing policies and initiatives in the other areas.</b>
Unchanged	There are no plans for <b>new policies and other initiatives</b> to support higher education communities in at least three areas <b>AND</b> <b>Existing policies and initiatives will not be stopped.</b>
Negative	There are no plans for <b>new policies and other initiatives</b> to support higher education communities in at least three areas <b>AND</b> <b>Existing ones will be stopped</b> in at least three areas (from among a. to j.)
Very negative	There are no plans for <b>new policies and other initiatives</b> to support higher education communities in at least three areas <b>AND</b> <b>Existing ones will be stopped</b> in at least six areas.

## Possible existing sources of data:

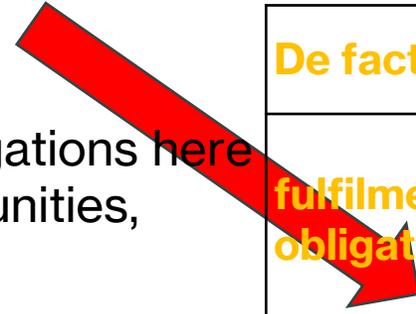
- Other monitoring reports with regard to academic freedom, social dimension, etc.

## Possible sources of data to be collected:

News/Media reports, Country researcher, Expert/HEI survey, ESU/EUA, reports

# De facto monitoring. Indicators: Fulfilment of obligations, Threats, Positive developments

The assessment of fulfillment of obligations here will focus on higher education communities, not national authorities



## Possible existing sources of data:

A few existing reports and studies

## Possible sources of data to be collected:

- News/Media reports
- Country researcher
- Expert/HEI survey

De facto	Questions
fulfilment of obligations	Do HE communities fulfill their obligations as listed in the definition?
threats	What are threats with regard to the de jure and de facto situation for this value?
Positive developments	What are positive developments with regard to the de jure and de facto situation for this value?