Technical Policy Framework of Indicators for Fundamental Values of Higher Education in the EHEA:

Framework of Indicators and Monitoring Tool

UEFISCDI

GUVERNUL ROMÂNIEI — MINISTERUL EDUCAȚIEI

NORWEGIAN MINISTRY OF EDUCATION AND RESEARCH

Authors:

Liviu Matei - School of Education, Communication and Society, King's College London

Daniela Craciun – CHEPS, University of Twente

Elizaveta Potapova, PPMi Vilnius

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01 Executive Summary

This report presents a complete proposal for a **framework of indicators** and a **practical tool for monitoring** the fundamental values of higher education in the European Higher Education Area (EHEA).

The proposed tool is ready to use.

Following a two-year development phase, this tool was piloted in four systems of the EHEA, and it was finalized taking into account the lessons from the pilot.

The proposed indicators are as follows:

De jure

    A. Protection of the fundamental values of higher education
    B. Promotion of the fundamental values of higher education
    C. Outlook in protection and promotion

De facto

    D. Positive developments
    E. Infringements of freedoms/rights OR fulfilment of obligations and duties (depending on the category of values)
    F. Threats

The monitoring framework and tool were developed through continuous and extensive consultations with all categories of higher education stakeholders from the EHEA, under the supervision of an EHEA-wide Working Group on the Fundamental Values of Higher Education appointed by and reporting to the Bologna Follow Up Group.

<u>02</u> Monitoring the Fundamental Values of Higher Education in the EHEA: Policy Context and Timeline

The fundamental values of higher education have formed the basis for the development of the European Higher Educating Area (EHEA) since its very beginning. They were, however, largely taken for granted and were not the subject of systematic consideration until 2015. By that time, the fundamental values had come under increasing pressure in several EHEA Member States, and their promotion and protection became an urgent matter (Craciun and Mihut, 2017; Matei, 2020; Bergan and Matei, 2024).

The response to this worrying historical situation has been remarkable: EHEA Members have jointly developed a new and potentially effective framework of reference for fundamental values, including a clearly defined list of values, shared conceptual reference points for each of them[1] (Matei and D'Aquila, 2024), and concrete ministerial-level commitments regarding their protection and promotion. Moreover, EHEA ministers have requested to develop a monitoring mechanism for the fundamental values of higher education, expected to play a key role as a transnational policy tool (Matei et al, 2024) in the implementation of these commitments and in their safeguarding by all actors involved.

These developments are unprecedented. They have the potential to significantly contribute to better adapted policy and legal environments in the EHEA Member Countries, thus supporting higher education institutions to better and more efficiently pursue and fulfil their fundamental mission, which is the production, transmission, and dissemination of knowledge as a public good through education, research, and civic engagement (Bergan and Matei, 2024).

To achieve these overall aims, several concrete steps have been taken in the EHEA. In this context, the main milestones in the policy timeline and development process are as follows:

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[1] For instance, academic freedom in the EHEA is defined 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" (EHEA 2020b). This represents a shared 'conceptual reference' in the EHEA. "Conceptual reference" it understood to be not only a definition or a link to an existing definition, but a sufficiently long conceptual elaboration available in a text format that serves as a common reference or go-to conceptual source (or "anchor") for actors inside and outside the university, and which they use in sync for the understanding, codification and practice of academic freedom (Matei 2024). A framework of reference for values such as academic freedom generally includes a conceptual reference but also guidelines for the practice and protection of academic freedom, elements of codification (such as norms, regulations, codes of conduct, etc.), and provisions about institutions and institutional mechanisms that should or could be utilized to implement the respective understanding and codification of this value (Matei and D'Aquila, 2024).

- **In 2018**, after having observed that the "fundamental values [were] challenged in recent years in some of our countries" (EHEA, 2018), the EHEA members[2] jointly identified and officially adopted for the first time a shared and unequivocal list of fundamental values of higher education comprising:
    - academic freedom
    - academic integrity
    - institutional autonomy
    - participation of students and staff in governance
    - responsibility *for* higher education
    - responsibility *of* higher education [*italics added*].

At the same time, in addition to adopting this definite list of fundamental values, members made a strong and explicit commitment "to promoting and protecting them in the entire EHEA through intensified political dialogue and cooperation" (EHEA, 2018:2).

- **In 2020**, the EHEA members reaffirmed their commitment to uphold, promote and protect the shared values adopted in the 2018 Paris Communiqué, seeing this as "the necessary basis for quality learning, teaching and research as well as for democratic societies" (EHEA, 2020a:5). Ministers recognized that achieving this ambitious vision requires taking concrete actions such as "**enacting policies** and **implementing measures** in our national frameworks, some of which will go beyond our higher education systems and will entail **alignment of wider national economic, financial and social strategies**" (EHEA, 2020a:4, *emphasis added*).

To ensure a common understanding of the fundamental values of higher education in the EHEA, ministers adopted a statement on academic freedom in an *Annex* to the Rome Communiqué (EHEA, 2020b) and agreed to develop and adopt statements with shared definitions for the other five fundamental values as well. These statements, the adoption of which was completed at the 2024 Tirana Ministerial Conference (EHEA, 2024a), represent the shared conceptual references for the fundamental values of the higher education in the EHEA (Matei and D'Aquila, 2024).

Moreover, also in 2020, the EHEA ministers tasked the Bologna Follow-up Group (BFUG) to "develop a framework 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 the degree to which these are honoured and implemented in our systems**" (EHEA, 2020a:5, *emphasis added*).

The ensuing work to develop a monitoring framework and a practical monitoring tool for the fundamental values of higher education in the EHEA is presented in this report. This work

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[2] Currently 49 European countries and the Commission of the European Union. However, Russia and Belarus are suspended following the 2022 invasion of Ukraine. *Vide* https://ehea.info/page-members, accessed on 20 August 2024

was conducted specifically and directly in order to address this request of the ministers. It included the following phases:

- **Beginning immediately after the 2020 Rome Ministerial Conference**, the BFUG oversaw the establishment of a Working Group on the Fundamental Values of Higher Education mandated with developing the remaining five shared conceptual references on the EHEA fundamental values, and a comprehensive framework for monitoring all six of them in preparation for the following ministerial conference, held in Tirana in May 2024 (EHEA,2024a).
- **Between 2021 and 2024**, as requested by the ministers, draft statements on all EHEA fundamental values were finalized ahead of the Tirana Ministerial Conference (EHEA, 2024b). At the same time, also as requested by the ministers, a monitoring framework was designed by a research team, under the supervision of the BFUG and the Working Group on the Fundamental Values of Higher Education, involving an extensive series of consultations with stakeholders from across the EHEA. In April-May 2024, the monitoring framework and a concrete monitoring tool were piloted in four EHEA systems. The framework and tool, as presented here, were finalized taken into account the lessons from this successful piloting phase.

The development of the framework of indicators and monitoring tool during this period was supported by the New Building Blocks of the Bologna Process: Fundamental Values (NewFAV), funded by the European through the Erasmus+ Programme.

03 A Monitoring Framework for the Fundamental Values of Higher Education in the EHEA: Purpose, Design Process, Main Features and Indicators

Three key concepts used in this report are to be understood as follows:

- **The monitoring mechanism** consists of a monitoring tool along with the organizational arrangements for its development and utilization - primarily but not exclusively the EHEA institutional and governance structures, in our case here.
- **The monitoring framework** is the conceptual structure that presents and clarifies the main components or parameters of the monitoring tool, such as indicators, what exactly they monitor and how, what type of data will be collected and how, etc.
- **The monitoring tool** is actual instrument that is used for data collection, processing, and reporting for the purpose of monitoring. That is at its core, in this case, a moderately complex questionnaire.

The Purpose of the EHEA Monitoring Framework.

The statements on the fundamental values of higher education adopted at the Rome and Tirana Ministerial Conferences provide a strong and clear shared understanding of what the fundamental values of higher education in the EHEA mean exactly. As such, along with the explicit EHEA commitments to protect and promote these values, they also represent the foundation for the design and implementation of the monitoring framework and the monitoring tool (Matei et al, 2024).

The design of the monitoring framework took a simple and flexible approach to addressing some of the traditional challenges with regard to monitoring values in higher education. In addition, this framework builds on the extensive monitoring experience in other areas of the Bologna Process and takes advantage of the fact that the EHEA fundamental values of higher education are clearly defined in a well-rounded, precise and comprehensive cluster, including clear references to the inter-relations between the values.

The main principles considered in the design of the monitoring framework were as follows:

- The design of the monitoring framework closely follows the Bologna Process tradition of monitoring the implementation of *commitments* made by its members. Accordingly, what is proposed to be monitored is not as much the values *per se* (values are notoriously elusive to capture), but the implementation of the

commitments made about them, for which there is already valuable long-standing technical expertise in other policy areas in the EHEA.

- The existence of a *cluster of fundamental values* is a unique feature of the monitoring framework and this is extremely helpful methodologically. In many other efforts to monitor values in higher education, difficulties arise because there is no consensus regarding their definition and also regarding the inter-relationships between them. For example, very often there is no agreement on whether academic freedom and university autonomy are distinct or not, whether one subsumes the other, or whether the right of students and staff to participate in higher education governance is part of academic freedom or not. Consequently, difficult and often sterile debates arise about how to measure these values: together as one, separately each, discard some and keep only others, etc. For the EHEA, this problem is now straightforwardly avoided given that all these values are part of a common cluster, they are clearly defined in themselves and in relation to each other, and they will be all subject to monitoring individually but also in relation to each other, leaving none of them out. In line with the Rome Communiqué and the 2024 Bologna Process Implementation Report (Eurydice 2024) on fundamental values, the EHEA fundamental values are to be only understood as a whole and not a set of separate elements as they are "deeply interconnected" (Eurydice 2024:94). The monitoring framework proposed here allows to assess the implementation of commitments to individual values but also untie the relationships between them.

Under the final supervision of the BFUG and with financial support from the Erasmus+ project New Building Blocks of the Bologna Process: Fundamental Values (NewFAV), a small team of researchers, comprising the three authors of this report, was tasked with developing a comprehensive proposal for a monitoring framework of indicators and a concrete monitoring tool. Between 2021 and 2024, under the direct coordination of the Working Group on Fundamental Values and with regular reporting to, and feedback from, the BFUG, the work to develop the monitoring framework involved systematic and broad consultations with all stakeholder categories in the EHEA as well as with independent experts and practitioners. The Working Group on Fundamental Values comprised representatives from EHEA members, consultative members, and partners[3]. A NewFAV advisory committee was also put in place comprising independent experienced practitioners and experts on the fundamental values and their assessment. Stakeholder

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[3] The following members, consultative members, and partners signed-up for the Working Group on Fundamental Values (in alphabetical order): Austria, Council of Europe, Croatia, EI-EUTCE, ENQA, European Students' Union, European University Association, European Commission (EACEA), 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. Not all have participated in equal measure. Russia was suspended from participation in the governance bodies and work programme of the EHEA, and hence also from the Fundamental Values WG, in April 2022, as a consequence of its war of aggression against Ukraine.

consultations included representatives from consultative members of the EHEA, universities and university research institutes, student and university associations, trade unions, and national and European specialized higher education agencies and organisations (such as for quality assurance).

The Design Process

The design process of the monitoring framework included the following stages:

(1) **Constructing a comprehensive inventory of existing monitoring tools for the fundamental values and assessing their applicability to the EHEA monitoring**

This phase involved extensive desk research, literature review, interviews and consultations with experts and stakeholders, with the primary goal of identifying existing monitoring tools and mechanisms or other relevant efforts anywhere in the world that could be helpful in the EHEA context for the purpose of monitoring fundamental values. An extended report was published at the end of this phase (Matei et al, 2023a). It presented and discussed in detail a comprehensive inventory of existing monitoring tools and mechanisms or other relevant efforts in this context. It concluded that some of these could be helpful in various ways but cannot be readily used in the EHEA for the purpose of monitoring the fundamental values of higher education. A major reason for this is that what is monitored (or measured even, sometimes) by these tools and mechanisms is different than the fundamental values as defined by the EHEA. For example, the Academic Freedom Index is an extremely valuable tool, used globally. However, it defines academic freedom in a significantly different manner than the EHEA. It therefore monitors something significantly different, and while it can provide helpful information, but it cannot be used as such for the purpose of monitoring the implementation of the EHEA commitments with regard to this fundamental value.

Based on this extensive inventory and analysis, the report (Matei et al, 2023a) concluded that these existing monitoring tools and mechanisms can and must be used to provide *initial and additional information*, and to cross-check the information that would be collected specifically within a dedicated EHEA monitoring mechanism, and using an adapted, tailor-made monitoring tool.

(2) **Designing a monitoring framework with a set of indicators that capture the EHEA commitments regarding the fundamental values of higher education**

In this phase a monitoring framework was developed (presented in a separate section of the present report), including a set of clear and adapted indicators. The indicators have been validated using consultations and a pilot/test phase in four EHEA systems. Extensive consultations were conducted with six dedicated task forces, one for each EHEA fundamental value (created specifically for this purpose as part of the NewFAV project), with the project advisory committee, the Working Group of Fundamental Values and groups of stakeholders. The Working Group, in turn, reported to the BFUG periodically on the progress of this work. The results of this phase, including the actual proposal for a

monitoring framework, were presented in a separate report submitted to the Working Group and the European Commission (Matei et al, 2023b).

(3) Designing the monitoring tool

In this phase, a step forward was made, developing a proposal about how monitoring is to be realized in practice, using a tool (discussed in a separate section below and described in full in *Annex 1* to this report). The tool is based on the monitoring framework developed in the previous phase.

Specifically, the tool was developed by operationalizing the fundamental values. That meant primarily extracting the main dimensions of each value in order to specify very precisely what exactly will be monitored. These dimensions were extracted from the statements on the fundamental values of higher education in the EHEA adopted at the Rome and Tirana ministerial conferences. How dimensions were extracted and questions generated for each is presumed in detail in *Annex 1*, for each value and indicator.

This proposal also includes provisions about what exact data need to be collected, data collection methodology, and how the data will be processed and findings presented and discussed (summarized in section 03 of this report and detailed in *Annex 1*).

The proposed monitoring tool follows the methodology of the Bologna Process monitoring reports, although with adaptations and new elements, as required by the particular nature of the commitments regarding the fundamental values of higher education in the EHEA.

(4) Piloting the monitoring framework and tool in four EHEA higher education systems

In this phase, between April and May 2024, the tool was piloted in four EHEA systems (Belgium - Flemish Community, Czech Republic, Finland and Türkiye), to assess its feasibility and finalize the design. These four higher education systems were selected in consultation with the Working Group on Fundamental Values and the BFUG. The systems selected included small, medium size, and large countries, EU and non-EU countries, and national and sub-national systems.

A full report was presented summarizing the results and the lessons of the pilot. This report was finalized after extensive discussions with the survey operators in the four systems, with the Working Group on the Fundamental Values and with stakeholder representatives.

The main conclusions were that the proposed monitoring framework is valid and indeed adapted for its purpose, but that the tool required changes (clarifications in some questions and technical instructions for answering, reduction of the number of questions, mainly). These changes have been operated and are reflected in the final tool presented in *Annex 1.*

Main Features of the Monitoring Framework of Indicators

Figure 1 (below) shows the core elements of the monitoring framework, including the proposed indicators, followed by their discussion.

As mentioned above, there have been other efforts to monitor, asses or measure some of these fundamental values in other contexts, although differently defined, for instance institutional autonomy (Bennetot Pruvot and Estermann, 2017; Bennetot Pruvot et al, 2023) or academic freedom (Beiter et al, 2016; Kinzelbach et al, 2023; Maassen et al, 2023; Craciun et al, 2024a). Any such endeavour comes with considerable methodological difficulties and epistemological intricacies (Spannangel, 2020; Kováts, and Ronay, 2023), and also with political challenges. A simple, EHEA-adapted approach developed in the context of this project to address these challenges was discussed briefly above.

Figure 1. Monitoring Framework for Fundamental Academic Values

VALUES		Type of monitoring and Indicators		
Rights/Freedoms				
- Academic freedom - Institutional autonomy - Participation of students and staff in university governance		*De jure*		
		Protection	Outlook	
		Promotion		
		De facto		
		Infringements		
		Threats		
		Positive developments		

VALUES		Type of monitoring and Indicators		
Duties/Obligations				
- Academic integrity - Public responsibility *for* higher education - Public responsibility *of* higher education		*De jure*		
		Protection	Outlook	
		Promotion		
		De facto		
		Fulfilment		
		Threats		
		Positive developments		

More precisely, the distinguishing features of the monitoring framework presented in Figure 1 are as follows:

(1)   Commitments

As explained above, the approach taken in the development of this monitoring framework follows the Bologna Process tradition of monitoring commitments. In particular, three

specific ministerial-level commitments with regard to the fundamental values have been identified in the EHEA documents, which are proposed to be translated into specific indicators, as explained below. The respective commitments concern primarily the *promotion* and *protection* of the fundamental values as well as the development and implementation of a mechanism to assess their implementation.

These commitments are most explicitly expressed in the Rome Communiqué, as follows:

"*The EHEA of our vision will fully respect the fundamental values of higher education and democracy and the rule of law. (…) We recognise that accomplishing this will require enacting policies and implementing measures in our national frameworks, some of which will go beyond our higher education systems and will entail alignment of wider national economic, financial and social strategies.*" (EHEA, 2020a:4)

"*We reaffirm our commitment to **promoting** and **protecting** our **shared fundamental values** in the entire EHEA through intensified political dialogue and cooperation as the necessary basis for quality learning, teaching and research as well as for democratic societies*" (EHEA, 2020a:5, *emphasis added*)

"*We ask the BFUG to develop a framework 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 the degree to which these are honoured and implemented in our systems*". (EHEA, 2020a:5)

(2) Set of values

A remarkable and unique feature of the new EHEA framework of reference for the fundamental values of higher education is that is comprises a well-rounded and coherent set of six values. As explained above, this is extremely helpful for the definition and monitoring of these values. Other similar efforts, while praiseworthy in their thrust, usually focus exclusively on only one value, whether that is academic freedom, university autonomy, freedom of scientific research, or others. The monitoring framework presented here takes into account this interrelated cluster of values, each of them taken individually but also considering their interrelations.

(3) Categories of fundamental values: freedoms and obligations

The six EHEA fundamental values of higher education are not identical with regard to their normative remit. Some of them demarcate rights or freedoms, while the others are primarily about obligations and duties. Both are important in higher education, and it must be acknowledged that EHEA fundamental values include obligations, not just rights and freedoms. This distinction/grouping is very important conceptually, ethically, and even more so methodologically for the purpose of monitoring. It matters whether one is monitoring the exercise of rights or freedoms (looking to see if there are any undue limitations or infringements on these rights/freedoms and if enabling conditions are in place to support

the exercise of those rights/freedoms[4]), or they are duties and obligations (looking at whether these duties are fulfilled in practice). Accordingly, the proposed monitoring frameworks contains partly different *de facto* indicators for values that are primarily rights or freedoms (infringements and threats), as opposed to those that are primarily duties and obligations (fulfilment of duties and obligations).

(4)   *De jure* and *de facto* monitoring

In line with the tradition of monitoring values, or fundamental values of higher education, this monitoring framework distinguishes between *de jure* and *de facto* indicators. *De jure* indicators are generated looking directly at the commitments made by the ministers: to *protect* the fundamental values (adopt and implement legislation in each system reflecting the fundamental values as jointly defined) and *promote* the fundamental values (through policies and other non-legislative means). In addition to these two *de jure* indicators (*protection* and *promotion*), a third de one is proposed: *outlook*, as explained immediately below.

The situation on the ground in the EHEA Member Countries will be monitored in a *de facto* section. Information in this section will be gathered for each value from existing reports (such as the Academic Freedom Index, Autonomy Scorecard, European Student Union surveys and reports, etc.) and new information will be collected specifically from stakeholders in each system in a rigorous but uncomplicated manner, regarding infringement and fulfilment of values, threats to both exercising freedoms and fulfilling duties, and also – importantly - positive developments. The purpose of this latter feature of the monitoring framework is to identify positive examples that can be used for peer learning and policy transfer between EHEA higher education systems.

(5)   *De jure* indicators: Protection, promotion and outlook

Protection as an indicator serves to monitor the commitment to adopt and implement supportive legislation in each EHEA system reflecting the jointly adopted statements for the respective values. It is proposed to monitor the extent to which such legislation exists for each value and also the extent to which existing legislation is in line with the joint conceptual references for each.

Promotion as an indicator serves to monitor the commitment to adopt and implement supportive guidelines and mechanisms (initiatives/policies/funding) in each EHEA system reflecting the jointly adopted statements for the respective values. It is also proposed to monitor the extent to which existing guidelines and mechanisms are in line with the joint conceptual references for each.

To monitor protection and promotion, the traditional Bologna Process "traffic light" system will be used, as detailed in *Annex 1* for each value. Using this well-established feature of

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[4] In other words, considering both negative freedoms (absence of disabling conditions) and positive freedoms (presence of enabling conditions) (Kronfeldner, 2021).

monitoring the implementation of Bologna commitments will also enable a comparative assessment of the protection and promotion of values across the EHEA.

It is important to acknowledge that the explicit list of EHEA fundamental values is relatively new, as it was adopted initially only in in 2018. Also, the conceptual references for these values are, at least to some extent, also new. For example, it was for the first time at the 2024 Tirana Ministerial Conference that a shared conceptual reference was adopted for the **public responsibility for and of higher education**. For these reasons, it cannot be reasonably expected that all systems have all the EHEA values already reflected in legislation and policy as jointly defined.

Hence, a third indicator for the framework is proposed: *outlook*. This indicator will reflect existing plans to modify legislation and adopt new policies that intend to further support, or undermine, the fundamental values as jointly defined. The degree to which these plans have been put in practice will be assessed in the next monitoring cycle, checking back on the outlook in this way. This indicator (outlook) is meant to monitor not only the situation at a given time in a given system, but also the direction of planned and documented developments with regard to protection and promotion of the fundamental values (positive, negative, unchanged, or mixed). In this way, monitoring outlook will help with initiating peer-learning activities and policy dialogue between EHEA members and across relevant higher education stakeholders when new positive initiatives are considered and initiated, or draw attention to planned developments that would diverge from the commitments to protect and promote these values

(6)   Quantitative and qualitative elements

The framework includes both quantitative and qualitative elements. The *de jure* part of the framework will use quantitative elements based on the Bologna traffic light system (detailed for each indicator and value in *Annex 1*), as well as qualitative narrative reporting documenting the findings and discussing them. The *de facto* part of the monitoring will include exclusively narrative sections discussing the findings regarding infringements of freedoms/rights, fulfilment of duties/obligations, and threats and positive developments regarding all fundamental values.

Figure 2, below, illustrates the traffic light coding for one value (academic freedom) as well as hypothetical presentation of findings (this map is not based on actual data, it is randomly generated, only for illustration)
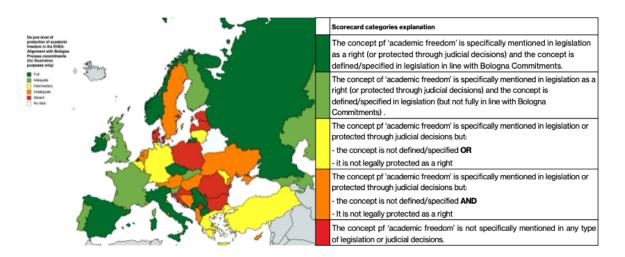
Figure 2: Colour-coding and hypothetical map for <u>protection of academic freedom</u> in the EHEA

Scorecard categories explanation
The concept pf '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.
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) .
The concept pf 'academic freedom' is specifically mentioned in legislation or protected through judicial decisions but: - the concept is not defined/specified **OR** - it is not legally protected as a right
The concept pf 'academic freedom' is specifically mentioned in legislation or protected through judicial decisions but: - the concept is not defined/specified **AND** - It is not legally protected as a right
The concept pf 'academic freedom' is not specifically mentioned in any type of legislation or judicial decisions.

In addition to findings and analyses for each indicator, the monitoring report will contain system profiles for all EHEA member states (combining values) as well as a thematic comparative overview where possible, across the EHEA.

The EHEA monitoring of the fundamental values is not a stern exercise in measuring. Rather, the monitoring framework and the monitoring tool are designed, as requested by the EHEA ministers, to help enhance the protection and promotion of fundamental values and "foster self-reflection, constructive dialogue and peer-learning across national authorities, higher education institutions and organisations, while also making it possible to assess the degree to which these are honoured and implemented in our systems" (EHEA, 2020a). It is in part for this reason that both quantitative and qualitative elements are proposed to be used.

03 Ready to Use: A Monitoring Tool for the Fundamental Values of Higher Education in the EHEA. General presentation

The monitoring tool is presented in full detail in *Annex 1*, as finalized after piloting it in four EHEA systems. The tool is ready for use and the present section details how it is envisaged to be used.

System operators

This tool, a questionnaire, will be used for data collection from each system. In addition, existing rother reports will be identified that provide useful data for the purpose of monitoring.

The questionnaire will be administered by a system operator, selected by the monitoring project team (*see below)* in coordination with BFUG. A professional online survey software will be used.

Systems operators are not experts, although they are expected to be knowledgeable in matters of higher education policy. Their role will not be to provide information or interpret it but ensure that information is collected rigorously from all categories of respondents and crosschecked. For most items in the questionnaire, not only 'yes' or 'no' answers are required but respondents are also asked to provide evidence for their answers (links to laws, regulations, policy papers, other reports, etc., as detailed in *Annex 1*). It will be the task of the operators to factually check that such evidence is provided and also to check the answers against this evidence.

To help minimize the time effort in the case of two categories of respondents (public authorities and higher education stakeholders), the operators will pre-fill the *de jure* section of the questionnaire for the respective systems, except outlook. These respondents will be required to confirm or correct and complete the answers. However, respondents will also be given the option to answer a blank questionnaire, with no pre-fill.

In order to ensure smooth and consistent data collection, and all operators will receive extensive training prior to the administration of the questionnaire. Training will be conducted online by the project team. Operators will receive a honorarium for their work.

Respondents and data collection

Data will be collected using this tool from several categories of respondents:

- **Public authorities from the respective system**. One or several respondents will be delegated by the ministry to check/fill out only the *de jure* section of the questionnaire, except for outlook. This will give a chance to public authorities to present their own perspective and report directly on how they have fulfilled the commitments assumed in order to protect and promote the fundamental values of higher education. Public authorities will not be required to answer the items regarding outlook or *de facto* situation.

- **Representatives of 4 categories of higher education stakeholders.** The operator, in coordination with the project team and the BFUG will identify four individual respondents from the system, representing each of the following categories of stakeholders: national/system-wide student union, staff union, academic staff, and university leadership (*e.g.,* rector). These respondents will check/fill out both *de jure* section of the questionnaire, including outlook, and *de facto* section.

- **Open platform respondents**. An online platform will be created and will remain open for two weeks at the end of the data collection phase. Any members of the academic communities from that system (students or staff) and any higher education professional working in the respective system (such as in professional associations, quality assurance agencies, etc.) will have the possibility to fill out the *de facto* section of the survey using this platform.

Project team; who will conduct the monitoring?

An important question is who will undertake and coordinate the monitoring (data collection, processing and reporting) and how this will be funded.

There are several possibilities that have been discussed at different times in the NewFAV project:

- **Eurydice**. Eurydice has the professional expertise and the experience to conduct this type of monitoring using the tool developed and presented in this report. However, the scope of monitoring (all EHEA systems, six values) might exceed the staff resources of Eurydice.

- **An independent research or consulting organisation.** For reasons of independence, transparency, and financial efficiency, the monitoring could be tendered, and an independent research or consulting organisation be selected to undertake it, using the tool as already developed. Eurydice could act as a coordinating agency, alone or in coordination with the BFUG or a small group delegated by the BFUG to act as a supervisory body.

- **A consortium of independent research or consulting organisations.** This would work in the same way, except that there will be not one, but a consortium of organisations selected and entrusted to undertake the monitoring, using the tool as developed.

In any version, a small project team will be constituted to manage the monitoring. This team's responsibilities will include the selection, training and coordination of the system operators.

Annex 1: The Monitoring Tool

Table of contents

1. Introduction

This Annex presents in full detail the tool developed for the purpose of monitoring the fundamental values of higher education in the EHEA, including:

- the exact questions for all categories of respondents and the response sheets
- technical instructions for how to answer the questions
- explanations regarding how questions are generated for each fundamental value, based on the respective EHEA statement and the monitoring framework (the indicators for monitoring the fundamental values of higher education)
- instructions for coding the answers.

The questionnaires for all categories of respondents start with an introductory text (Box 1, below).

The technical instructions for how to answer the questions are customized to each group of respondents and included in the respective questionnaire. The answers will be collected by the operator in each system using an online survey tool. A central project team will bring all responses/data together using this online survey tool, process the data and prepare the report.

Each group of respondents will receive the EHEA statements for each fundamental value as separate files, for their reference.

Instructions for the survey operators (one per system) will be distributed separately and operators will benefit from dedicated training (online) for their work. These instructions and training will be based on the detailed presentation of the monitoring mechanism and monitoring tool in the present report.

The present Annex also includes detailed coding instructions. These instructions will not be shown to respondents. They are presented in this Annex for the benefit of the BFUG and the organization that will undertake the monitoring.

The monitoring tool presented here is ready to use.

Box 1: Introductory message for respondents

Dear Participant,

We extend our warm thanks for your participation in this survey about the fundamental values of higher education in the European Higher Education Area (EHEA). Your insights are invaluable for monitoring these values and the implementation of the commitments about them assumed by the EHEA members.

Context

This survey is part of a monitoring exercise mandated by the ministers responsible for higher education from all EHEA countries. The ministers requested to develop a framework for enhancing the protection and promotion of fundamental values of higher education, including by systematic assessment and monitoring, which in turn will inform the exchange of information and mutual learning practices.

The EHEA members have officially agreed on a common list of six fundamental values.
- academic freedom
- academic integrity
- institutional autonomy
- student and staff participation in governance
- public responsibility for higher education
- public responsibility of higher education.

Between 2020 and 2024, the EHEA members also adopted official statements with shared definitions for each of these values. These common, EHEA-wide definitions of the fundamental values are distributed together with the present questionnaire, for your reference.

As stated in the Paris (2018), Rome (2020) and Tirana (2024) EHEA ministerial communiqués, the ministers made explicit voluntary commitments to protect (through legal means) and promote (through specific policies, funding and other non-legal mechanisms, means and initiatives) in their respective higher education systems these values as jointly defined.

The Bologna Follow Up Group (BFUG - the main governance body in the EHEA between the ministerial conferences) was tasked by the ministers with overseeing the development of a mechanism to assess the respect of these values and the implementation of the commitments about them. This task was fulfilled between 2022 and 2024 by an independent research team through extensive consultations with all categories of higher education stakeholders in Europe, under the supervision of a dedicated pan-European inter-ministerial Working Group on the Fundamental Values of Higher Education appointed by and reporting to the BFUG. The main monitoring tool is the present questionnaire.

Overall instructions

For public authorities

To streamline the process and minimize your time commitment, the questionnaire has been prefilled by a national operator selected by the project team in consultation with the BFUG. We kindly ask you to review all entries in the questionnaire on behalf of the public authorities in your system and correct and complete whenever necessary. Your input is essential for drawing an accurate picture with regard to the protection and promotion of the fundamental values of higher education in the EHEA. If you prefer to fill out a blank questionnaire without pre-filled answers, you have the option to do so.

Additionally, we will be reaching out to 4 representatives of stakeholders in your system (academic staff, student union, trade union, and university administrators) to fill out the same questionnaire separately.

For stakeholders

Thank you for agreeing to fill out the questionnaire on behalf of an important category of stakeholders in your system: _____ [specify which one]. There will be 3 representatives of other categories of stakeholders and a representative of the public authorities from your system who will fill out the same questionnaire, each of them separately.

To streamline the process and minimize your time commitment, the questionnaire has been prefilled by a national operator selected by the project team in consultation with the BFUG. We kindly ask you to review all entries in the questionnaire and correct and complete whenever necessary. Your input is essential for drawing an accurate picture with regard to the respect for the fundamental values of higher education in the EHEA. If you prefer to fill out a blank questionnaire without pre-filled answers, you have the option to do so.

For open-platform respondents

Thank you for volunteering to fill out this questionnaire about *de facto* situation with regard to protection and promotion of the fundamental values of higher education in your higher education system.

There will be 4 representatives of the main categories of higher education stakeholders and a representative of the public authorities from your system who, each of them separately, will fill out a broader questionnaire, including legal and regulatory aspects (*de jure*).

2. The Questionnaire: questions for each fundamental value and technical instructions for answering; coding instructions; and explanation of how questions were generated

2.1. Academic freedom

Protection

Questions in this block are for public authorities and higher education stakeholders respondents.

Protection -colour coding	Explanation
Full	1. The concept of 'academic freedom' is **specifically mentioned** in legislation or is protected through legislative or judicial decisions **AND** 2. The concept is specified in legislation in line with the respective EHEA statement, including **ALL dimensions** of academic freedom: - freedom to research - freedom to teach - freedom to learn - freedom to disseminate knowledge (intramurally and extramurally)
Adequate	The concept of 'academic freedom' is **specifically mentioned** in legislation or is protected through legislative or judicial decisions **AND** 2. The concept is defined/specified in legislation in line with the EHEA definition but includes only **3 out of the 4 dimensions** of academic freedom: - freedom to research - freedom to teach - freedom to learn - freedom to disseminate knowledge (intramurally and extramurally)
Intermediary	1. The concept of 'academic freedom' is **specifically mentioned** in legislation or is protected through legislative or judicial decisions **AND** 2. The concept is defined/specified in legislation in line with the EHEA definition but includes only **2 out of the 4 dimensions** of academic freedom: - freedom to research - freedom to teach - freedom to learn - freedom to disseminate knowledge (intramurally and extramurally)
Inadequate	1. The concept of 'academic freedom' is **specifically mentioned** in legislation or protected through legislative or judicial decisions) **AND**

	2. The concept is defined/specified in legislation in line with the EHEA definition but includes only 1 **out of the 4 dimensions** of academic freedom: - freedom to research - freedom to teach - freedom to learn - freedom to disseminate knowledge (intramurally and extramurally)
Absent	The concept of 'academic freedom' is **not specifically mentioned** in any type of legislation or judicial decisions, **OR** the definition in legislation does not align with any of the 4 dimensions specified in the EHEA definition.

Questions	Instructions for coding
Q1.1. Is academic freedom legally protected in your higher education system? Please tick all that apply. ❑ Yes, in constitution ❑ Yes, in law ❑ Yes, in judicial decisions ❑ No **Q1.2.** *[shown to those who selected 'Yes' for Q1.1]* **If yes**, please indicate the definitions and references/links to the sources for these definitions.	Q1.1-2. If the answer is 'Yes' to **any** of three options (constitution, law, judicial decisions) AND the source is provided, **the concept of academic freedom is considered explicitly mentioned**. If the answer is 'No', *de jure* protection of academic freedom is seen as '**absent**' (red colour). If the answer is 'Yes' to any of the three options, but **no source** is provided or identified by the operator, **the answer is considered incomplete**. It will be the responsibility of the operator to check and complete the answer after receiving answers from all categories of respondents. The operator will also assess if system-level legal provisions are in line with the EHEA definition, comparing the legal sources motioned in the answers and the EHEA statement with the definition.
Q1.3. *[shown to those who selected 'Yes' for Q1.1]* **If the concept of academic freedom mentioned is defined in different legal instruments in the respective system, are these definitions consistent?** ❍ Yes, they are fully or mostly consistent. ❍ No, there is a contradiction between constitution and laws. **Q1.4.** *[shown to those who selected 'No' for Q1.3]* **If there are contradictions or inconsistencies,** please explain.	Q1.3. If the answer is 'Yes', proceed to Q1.5. If the answer is 'No', an explanation is to be provided narratively in Q1.4. If the answer is 'No' and no explanation is provided in Q1.4, **the answer is considered incomplete**. It will be the responsibility of the operator to clarify and complete the information while taking note of the type of answer received from public authorities.

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Q1.5. What dimensions of academic freedom are legally protected in your system? ❑ Freedom to research ❑ Freedom to teach ❑ Freedom to learn ❑ Freedom of knowledge dissemination (Intramural) ❑ Freedom of knowledge dissemination (Extramural) ❑ None of the above ❑ Cannot answer **Q1.6.** *[To be answered only by those who selected 'Freedom to research', 'Freedom to teach', 'Freedom of knowledge dissemination (Intramural)' or 'Freedom of knowledge dissemination (Extramural)' for Q1.5]* **To what groups do these protections apply?** ❑ Tenured staff (permanent contract) ❑ Non-tenured staff (fixed term contract) ❑ Students ❑ Unspecified in the legislation	Q1.5. For '**full protection**', all 4 dimensions are covered. For '**adequate protection**'- 3 dimensions. For '**intermediary protection**'- 2 dimensions. For '**inadequate protection**' – 1 dimension. If the answer is 'None of the above', *de jure* protection of academic freedom is seen as '**absent**'. If the answer to Q1.5 is 'Cannot answer', the indicator is considered incomplete, **the category and colour-code are not assigned for this indicator** (it remains blank). Q1.6. is supplementary to Q1.5. If not all 3 groups (tenured, non-tenured staff and students) are selected OR 'Unspecified in the legislation' is selected, **'full protection' from Q5 should be demoted to 'adequate'**.

Protection outlook

This block of questions is only for the higher education stakeholders respondents.

Protection outlook: colour coding	Explanation
Positive	There are documented **plans to increase** protection of academic freedom: - in upcoming legislation (generically) - in upcoming judicial decisions - by defining the concept of academic freedom better in upcoming legislation
Unchanged	There are **no** documented **plans to increase OR decrease** protection of academic freedom.
Negative	There are documented **plans to diminish** existing protection of academic freedom: - in upcoming legislation - in upcoming judicial decisions

Questions	Instructions for coding
Q1.7. Are there plans currently to change the legal protection of academic freedom (e.g. in upcoming legislation or judicial decisions)? ❑ Yes, increase legal protection ❑ Yes, decrease legal protection ❑ No, neither increase nor decrease legal protection ❑ Cannot answer **Q1.8.** *[shown to those who selected 'Yes' for Q1.7]* **If yes, please explain what upcoming legislation/judicial decisions are planned.** As much as possible, provide sources (e.g. parliamentary debates, news, draft legislation, etc.) and a short list of all known examples.	**Q1.7-8.** If 'Yes, increase legal protection' is selected, protection outlook is '**positive**'. If 'Yes, decrease legal protection' is selected, protection outlook is '**negative**'. If 'No, neither increase nor decrease', protection outlook is '**unchanged**'. If the answer to Q1.7 is 'Cannot answer' or 'Yes', but **no sources or examples** are provided or identified by the operator in Q1.8, the indicator is considered incomplete, **the category and colour-code are not assigned to the indicator 'protection outlook'**. It will be the duty of the operator to check

	and finalize, if possible, while noting the initial responses of the stakeholders.

Promotion

Questions in this block are for public authorities and higher education stakeholders respondents.

Promotion – colour coding	Explanation
Very significant	System-level authorities have developed: 1. Guidelines to support the exercise of academic freedom **AND** 2. Mechanisms (initiatives/policies/funding) to support the exercise of academic freedom **AND** 3. Requirements for an external body (*i.e.,* from outside the HEIs) to evaluate how academic freedom is ensured in HEIs.
Significant	System-level authorities have developed **2 out of the 3 sets of initiatives listed immediately above.**
Intermediary	System-level authorities have developed 1 **out of the 3 sets of initiatives listed above.**
Absent	System-level authorities have **NOT** developed any guidelines or mechanisms (initiatives/policies/ funding) to support the exercise of academic freedom **AND** there are **NO** requirements for an external body to evaluate how the exercise of academic freedom is ensured in HEIs.
Negative	System-level authorities have developed (non-legal) guidelines/mechanisms that **weaken** the protection of academic freedom.

Questions	Instructions for coding
Q1.9. Are there non-legal system-level guidelines to support the exercise of academic freedom? ❍ Yes ❍ No ❍ Cannot answer **Q1.10** *[shown to those who selected 'Yes' for Q1.9]* **If yes**, please indicate the sources and list briefly all known examples.	Q1.9-10. If the answer is 'Yes' AND sources are provided, **system-level guidelines count towards the promotion score (yellow to dark green).** If the answer is 'Cannot answer' or 'Yes', but **no source** is provided or identified by the operator, **the dimension is considered incomplete,** and no colour is assigned (this box remains blank).
Q1.11. Are there non-legal system-level mechanisms and policies available to support the exercise of academic freedom? Please tick all that apply. ❑ Yes, specific initiatives ❑ Yes, policies ❑ Yes, dedicated funding ❑ No ❑ Cannot answer **Q1.12.** *[shown to those who selected 'Yes' for Q1.11]* **If yes, please list specific initiatives/policies/funding that are available.** As much as possible, provide sources (e.g. parliamentary or government documents, news reports, etc.)	Q1.11-12. If the answer is 'Yes' AND sources are provided, **system-level mechanisms count towards the promotion score.** If the answer is 'Cannot answer' or 'Yes', but **no source or explanation** is provided or identified by the operator, **the dimension is considered incomplete.**
Q1.13. Are there requirements for an external body to evaluate how academic freedom is ensured in HEIs? ❍ Yes ❍ No ❍ Cannot answer	Q1.13-14. If the answer is 'Yes' AND the source is provided, **requirements for external body count towards the promotion score.** If the answer is 'Cannot answer' or 'Yes', but **no source or explanation** is provided or identified by

Q1.14. *[shown to those who selected 'Yes' for Q1.13]* If yes, please indicate briefly the body and specify the requirements.	the operator, **the dimension is considered incomplete.**

Promotion outlook

This block of questions is for stakeholders respondents.

Protection outlook -colour coding	Explanation
Positive	There are documented **plans to promote** academic freedom by: 1. Developing new guidelines to support the exercise of academic freedom **OR** 2. Developing new mechanisms (initiatives/policies/regulations) to support the exercise of academic freedom **OR** 3. Requiring an external body to evaluate how the exercise of academic freedom is ensured in HEIs.
Unchanged	There are **no plans to increase OR decrease** promotion of academic freedom.
Negative	There are **plans to diminish** existing promotion of academic freedom.

Questions	Instructions for coding
Q1.15. Are there plans to change the system-level guidelines, mechanisms or procedures related to academic freedom? Please tick all that apply. ❑ Yes, to develop new guidelines to support promotion of academic freedom ❑ Yes, to develop new mechanisms (initiatives/ policies/ regulations) to support promotion of academic freedom ❑ Yes, to require an external body to evaluate how the exercise of academic freedom is ensured in HEIs ❑ Yes, to make changes that will result in diminishing promotion ❑ No changes planned ❑ Cannot answer **Q1.16.** *[shown to those who selected 'Yes' for Q1.15]* **If yes,** please specify briefly what changes are expected.	**Q1.15-16.** If 'Yes, develop new guidelines' OR 'Yes, develop new mechanisms' OR 'Yes, require an external body to evaluate' is selected, protection outlook is **'positive'.** If 'Yes, make changes diminishing promotion' is selected, protection outlook is **'negative'.** If 'No changes planned', protection outlook is **'unchanged'.** If the answer to Q1.15 is 'Cannot answer' or 'Yes', but **no sources or examples** are provided or identified by the operator in Q1.16, the indicator is considered incomplete, **the category and colour-code are not assigned to the indicator 'promotion outlook'.**

De facto

This block of questions is for stakeholders and open platform respondents.

Questions	Instructions for coding
Q1.17. Are there positive developments at the system level that support academic freedom in practice? ❍ Yes ❍ No ❍ Cannot answer **Q1.18.** *[shown to those who selected 'Yes' for Q1.17]* **If yes**, please provide a short inventory of positive developments. Give all known examples since 2020 *[or another date, depending on the time of the monitoring].*	*De facto* responses are not colour-coded. They will be summarized by the operator and presented as bullet point lists of key developments, infringements, and threats.
Q1.19. In your system, are there infringements that limit the exercise of academic freedom in practice? Infringements of academic freedom are defined as any actions that break or violate the legal provisions for the protection of academic freedom in your system or the provisions of the EHEA statement on academic freedom (provided with this questionnaire). Infringements of academic freedom can be, or result from, actions of state or non-state actors, political or non-political organizations, from outside or inside the university (such as students, staff, university administrators or their organizations). ❍ Yes ❍ No ❍ Cannot answer **Q1.20** *[shown to those who selected 'Yes' for Q1.19]* **If yes**, provide an inventory of infringements. Give all known examples since 2020. *[or another date, depending on the time of the monitoring].*	
Q1.21. In your system, are there threats that might limit the exercise of academic freedom in practice? Threats to academic freedom are any actions that may lead to but have not yet resulted in infringements of academic freedom. ❍ Yes ❍ No ❍ Cannot answer **Q1.22** *[shown to those who selected 'Yes' for Q1.21]* **If yes**, provide an inventory of threats. Give all known examples since 2020. *[or another date, depending on the time of the monitoring].*	

2.2　　　Institutional autonomy

Protection

Questions in this block are for public authorities and higher education stakeholders respondents.

Protection -colour coding	Explanation
Full	1. The concept of 'institutional autonomy' is **specifically mentioned** in legislation or is protected through legislative or judicial decisions **AND** 2. The concept is defined/specified in legislation in line with the respective EHEA statement to include **ALL 4 dimensions** of institutional autonomy: - Organizational autonomy - Financial autonomy - Staffing autonomy - Academic autonomy
Adequate	1. The concept of 'institutional autonomy' is **specifically mentioned** in legislation, or is protected through legislative or judicial decisions) **AND** 2. The concept is defined/specified in legislation in line with the respective EHEA statement to include **3 of 4 dimensions** of institutional autonomy.
Intermediary	1. The concept of 'institutional autonomy' is **specifically mentioned** in legislation, or is protected through legislative or judicial decisions **AND** 2. The concept is defined/specified in legislation in line with the respective EHEA statement to include **2 of 4 dimensions** of institutional autonomy.
Inadequate	1. The concept of 'institutional autonomy' is **specifically mentioned** in legislation as a right or protected through legislative or judicial decisions **AND** 2. The concept is defined/specified in legislation in line with the respective EHEA statement to include **1 of 4 dimensions** of institutional autonomy.
Absent	The concept of 'institutional autonomy' is **not specifically mentioned** in any type of legislation or judicial decisions **OR** the definition in legislation does not align with any of 4 dimensions defined in the respective EHEA statement.

Questions	Instructions for coding
Q2.1. Is institutional autonomy legally protected in your higher education system? Please tick all that apply. ❑　Yes, in constitution ❑　Yes, in law ❑　Yes, in judicial decisions ❑　No ❑　Cannot answer **Q2.2.** *[shown to those who selected 'Yes' for Q2.1]*	Q2.1-2. If the answer is 'Yes' to **any** of three options (constitution, law, judicial decisions) AND the source is provided, **the concept of institutional autonomy is considered explicitly mentioned.** If the answer is 'No', de jure protection of institutional autonomy is seen as '**absent**'. If the answer is 'Cannot answer' or 'Yes' to any of the three options, but **no source** is provided or

If yes, please indicate the definitions and references/links to the sources for these definitions.	identified by the operator, **the answer is considered incomplete, no colour is assigned** (remains blank).
Q2.3. What dimensions of institutional autonomy are legally protected? Please tick all that apply. ❑ Organizational autonomy ❑ Financial autonomy ❑ Staffing autonomy ❑ Academic autonomy ❑ Not specified ❑ Cannot answer **Q2.4. What types of higher education institutions are entitled to institutional autonomy by virtue of the existing legislation in your system?** Please, tick all that apply. ❑ Public institutions ❑ Private for-profit institutions ❑ Private not-for-profit institutions ❑ Not specified	Q2.3. For '**full protection**', all 4 dimensions are covered. For '**adequate protection**'- 3 dimensions are covered. For '**intermediary protection**'- 2 dimensions are covered. For '**inadequate protection**' – 1 dimension is covered. If the answer is 'None of the above', *de jure* protection of institutional autonomy is considered '**absent**'. If the answer to Q2.3 is 'Not specified', the indicator is considered incomplete, **no colour is assigned** (remains blank).

Protection outlook

This block of questions is for stakeholders respondents.

Protection outlook -colour coding	Explanation
Positive	There are **plans to increase** protection of institutional autonomy EITHER: - In upcoming legislation (generically) **OR** - in upcoming judicial decisions **OR** - by defining the concept in upcoming legislation
Unchanged	There are **no plans to increase OR decrease** protection of institutional autonomy.
Negative	There are **plans to diminish** the existing protection of institutional autonomy EITHER: - in upcoming legislation OR - in upcoming judicial decisions
Questions	**Instructions for coding**
Q2.5. Are there plans currently to change the legal protection of institutional autonomy (e.g. in upcoming legislation or judicial decisions)? ❑ Yes, increase legal protection ❑ Yes, decrease legal protection ❑ No, neither increase nor decrease legal protection ❑ Cannot answer **Q2.6.** *[shown to those who selected 'Yes' for Q2.5]* **If yes, please explain what upcoming legislation/judicial decisions are planned.** As much as possible, provide sources (e.g. parliamentary debates, news, draft legislation, etc.) and a short list of all known examples.	Q2.5-6 If 'Yes, increase legal protection' is selected, protection outlook is '**positive**'. If 'Yes, decrease legal protection' is selected, protection outlook is '**negative**'. If 'No, neither increase nor decrease', protection outlook is '**unchanged**'. If the answer to Q2.5 is 'Cannot answer' or 'Yes', but **no sources or examples** are provided or identified by the operator in Q2.6, the indicator is considered incomplete, **and no colour is assigned to the indicator 'protection outlook'** (remain blank).

Promotion

This block of questions is for public authorities and HE stakeholders respondents.

Promotion -colour coding	Explanation
Very significant	System-level authorities have developed: 1. Guidelines to support the exercise of institutional autonomy **AND** 2. Mechanisms (initiatives/policies/funding) to support the exercise of institutional autonomy **AND** 3. Requirements for an external body to evaluate how the exercise of institutional autonomy is ensured in HEIs.
Significant	System-level authorities have developed **2 out of the 3 sets of initiatives listed immediately above.**
Intermediary	System-level authorities have developed **1 out of the 3 sets of initiatives listed above.**
Absent	System-level authorities have **NOT** developed any guidelines or mechanisms (initiatives/policies/funding) to support the exercise of institutional autonomy **AND** there are **NO** requirements for an external body to evaluate how the exercise of institutional autonomy is ensured in HEIs.
Negative	System-level authorities have developed guidelines/mechanisms that **weaken** institutional autonomy.

Questions	Instructions for coding
Q2.7. Are there HE system-level guidelines to support the exercise of institutional autonomy? ❍ Yes ❍ No ❍ Cannot answer **Q2.8** .*[shown to those who selected 'Yes' for Q2.7]* **If yes**, please indicate the sources and shortlist all known examples.	Q2.7-8. If the answer is 'Yes' AND the source is provided, **system-level guidelines count towards the promotion score.** If the answer is 'Cannot answer' or 'Yes', but **no source** is provided or identified by the operator, **the dimension is considered incomplete (no colour assigned).**
Q2.9. Are there HE system-level mechanisms (not legal or regulatory) available to support the exercise of institutional autonomy? Please tick all that apply. ❑ Yes, specific initiatives ❑ Yes, policies ❑ Yes, funding ❑ No ❑ Cannot answer **Q2.10.** *[shown to those who selected 'Yes' for Q2.9]* **If yes, please explain what specific initiatives/policies/funding are available**. As much as possible, provide sources (e.g. parliamentary or governmental documents, news reports, etc.) and a list with all known examples.	Q2.9-10. If the answer is 'Yes' AND the source is provided, **system-level mechanisms count towards the promotion score.** If the answer is 'Cannot answer' or 'Yes', but **no source or explanation** is provided or identified by the operator, **the dimension is considered incomplete (no colour assigned).**
Q2.11. Are there requirements for an external body to evaluate how the exercise of institutional autonomy is ensured in HEIs? ❍ Yes ❍ No ❍ Cannot answer	Q2.11-12. If the answer is 'Yes' AND the source is provided, **requirements for external body count towards the promotion score.** If the answer is 'Cannot answer' or 'Yes', but **no source or explanation** is provided or identified by

Q2.12. *[shown to those who selected 'Yes' for Q2.11]* **If yes, please indicate the body and specify the requirements.**	the operator, **the dimension is considered incomplete (no colour assigned).**

Promotion outlook

This block of questions is for stakeholders respondents.

Protection outlook -colour coding	Explanation
Positive	There are **plans to promote** institutional autonomy by: 1. Developing new guidelines to support the exercise of institutional autonomy **OR** 2. Developing new mechanisms/initiatives/policies/regulations to support the exercise of institutional autonomy **OR** 3. Requiring an external body to evaluate how institutional autonomy is ensured in HEIs.
Unchanged	There are **no plans to increase OR decrease** promotion of institutional autonomy.
Negative	There are **plans to diminish** the existing promotion of institutional autonomy.

Questions	Instructions for coding
Q2.13. Are there plans to change the existing system-level guidelines, mechanisms or procedures regarding institutional autonomy? Please tick all that apply. ❑ Yes, develop new guidelines to better promote institutional autonomy ❑ Yes, develop new mechanisms (initiatives/ policies/ regulations) to better promote institutional autonomy ❑ Yes, require an external body to evaluate how institutional autonomy is ensured in HEIs ❑ Yes, make changes diminishing support for autonomy ❑ No changes planned ❑ Cannot answer **Q2.14.** *[shown to those who selected 'Yes' for Q2.13]* **If yes,** please explain what guidelines and mechanisms are planned to be introduced. As much as possible, provide sources (e.g. parliamentary debates, news, draft legislation, etc.). Give all known examples.	Q2.13-14 If 'Yes, develop new guidelines' OR 'Yes, develop new mechanisms' OR 'Yes, require an external body to evaluate' is selected, promotion outlook is **'positive'.** If 'Yes, make changes diminishing promotion' is selected, promotion outlook is **'negative'.** If 'No changes planned', promotion outlook is **'unchanged'.** If the answer to Q2.13 is 'Cannot answer' or 'Yes', but **no sources or examples** are provided or identified by the operator in Q2.14, the indicator is considered incomplete, **the category and colour-code are not assigned to the indicator 'promotion outlook'.**

De facto

This block of questions is filled in by HE stakeholders and open platform respondents.

Questions	Instructions for coding
Q2.15. Are there positive developments at the system level that support institutional autonomy in practice? ❍ Yes ❍ No ❍ Cannot answer **Q2.16.** *[shown to those who selected 'Yes' for Q2.15]* **If yes**, please provide a short inventory of positive developments. Give all known examples since 2020 *[or another date specified by the project team, depending on when the monitoring is undertaken]*.	*De facto* responses are not coded, they are summarized by the operator and

Q2.17. Are there infringements at the system level that limit the exercise of institutional autonomy in practice?
 Infringements of institutional autonomy are defined as any actions that break or violate the legal provisions for the protection of institutional autonomy in your system or the provisions of the EHEA statement on institutional autonomy. Infringements of institutional autonomy can be, or result from, actions of state or non-state actors, political or non-political organizations, from outside or inside the university (such as students, staff, university administrators or their organizations).
   ❍ Yes
   ❍ No
   ❍ Cannot answer
 Q2.18. *[shown to those who selected 'Yes' for Q2.17]* **If yes**, provide an inventory of infringements. Give all known examples since 2020 *[or another date, depending on the time of the monitoring].*
	presented as bullet point lists of key developments, infringements, and threats.

Q2.19. Are there threats at the system level that might limit the exercise of institutional autonomy in practice?
 Threats to institutional autonomy are any actions that may lead to but have not yet resulted in infringements of institutional autonomy.
   ❍ Yes
   ❍ No
   ❍ Cannot answer
 Q2.20. *[shown to those who selected 'Yes' for Q2.19].* **If yes**, provide an inventory of threats. Give all known examples since 2020 *[or another date, depending on the time of the monitoring].*	

2.3 Student and staff participation in governance of higher education

Protection

Questions in this block are for public authorities and higher education stakeholders respondents.

Protection -colour coding	Explanation
Full	1. The concepts of 'student participation' **AND** 'staff participation' are **explicitly mentioned** in legislation or they are protected through legislative or judicial decisions) **AND** 2. The concepts are defined/specified in legislation in line with the respective EHEA statement to include **ALL the rights** that guarantee inclusion of students **AND** staff in decision-making and decision-taking regarding HEIs : - self-organise autonomously without undue interference - elect and 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 discussion of and decision on them - be heard and have a vote on internal organisation and administration - be consulted on further development of the relevant HEI through their representative organisations (unions). **AND** 3) System-level guarantees are provided to ensure stable learning conditions for students **AND** stable working conditions for academic staff **AND** 4) Regulations regarding the recognition of HEIs include the requirement for HEIs to respect the right of students **AND** staff to participate in governance as a condition for recognition.

Adequate	1. The concepts of 'student participation' **AND** 'staff participation' are **explicitly mentioned** in legislation, or they are protected through legislative or judicial decisions **AND** 2. These concepts are defined/specified in legislation in line with the respective EHEA statement to include **4 or 5 of the 6 rights listed immediately above,** which guarantee inclusion of students **AND** staff in decision-making and decision-taking. 3) System-level guarantees are provided, ensuring stable learning conditions for students **OR** stable working conditions for academic staff 4) The regulations regarding recognition of HEIs include the requirement to respect the participation of students **OR** staff in governance as a condition for recognition.
Intermediary	1. The concepts of 'student participation' **AND** 'staff participation' are **explicitly mentioned** in legislation as a right, or they are protected through legislative or judicial decisions) **AND** 2. The concepts are defined/specified in legislation in line with the respective EHEA statement to include **2 or 3 of the 6 rights listed above,** which guarantee inclusion of students **AND** staff in decision-making and decision-taking regarding HEIs, 3) System-level guarantees are provided to ensure stable learning conditions for students **OR** stable working conditions for academic staff 4) The regulations regarding recognition of HEIs include the requirement to respect the participation of students **OR** staff in governance as a condition for recognition.
Inadequate	1. The concepts of 'student participation' **AND** 'staff participation' are **explicitly mentioned** in legislation as a right, or they are protected through legislative or judicial decisions) **AND** 2. The concepts are defined/specified in legislation in line with the respective EHEA statement to include **only 1 of 6 rights** listed above, which guarantee inclusion of students **AND** staff in decision-making and decision-taking regarding HEIs. 3) System-level guarantees are provided to ensure stable learning conditions for students **AND** stable working conditions for academic staff 4) The regulations regarding recognition of HEIs include the requirement to respect the participation of students OR staff in governance as a condition for recognition.
Absent	The concepts of 'student participation' and 'staff participation in HEI governance' are not specifically mentioned in any type of legislation or judicial decisions and there are no provisions to protect them **OR** the definition of student and staff participation in legislation does not align with the dimensions detailed in the respective EHEA statement.

Questions	Instructions for coding
Q3.1. Is the concept of student participation in higher education governance explicitly mentioned in legislation in your higher education system? Please tick all that apply. ❑ Yes, in constitution. ❑ Yes, in law. ❑ Yes, in judicial decisions. ❑ No ❑ Cannot answer **Q3.2.** *[shown to those who selected 'Yes' for Q3.1]* **If yes**, please indicate the definitions and references/links to the official sources for these definitions.	Q3.1 If the answer is 'Yes' to **any** of three options (constitution, law, judicial decisions) AND the source is provided in Q3.2, **the concept of 'student participation' is considered explicitly mentioned**. If the answer is 'No', *de jure* protection of student participation is seen as '**absent**'. If the answer is 'Cannot answer' or 'Yes' to any of the three options, but **no source** is

Q3.3. Is the concept of staff participation in higher education governance explicitly mentioned in legislation? (Please, tick all that apply)
- ❑ Yes, in constitution.
- ❑ Yes, in law.
- ❑ Yes, in judicial decisions
- ❑ No
- ❑ Cannot answer

Q3.4. *[shown to those who selected 'Yes' for Q3.3]*
If yes, please indicate the definitions and references/links to the sources for these definitions.

Q3.5. Do regulations or procedures for HEIs to ensure participation of students and staff in HEI governance apply to private institutions?
- ❍ Yes, everything is the same
- ❍ No, there are no regulations or procedures about student and staff participation for private institutions
- ❍ Yes, but there are separate regulations and procedures for private institutions
- ❍ Cannot answer

Q3.6. Is there a difference between the regulations or for HEIs to ensure participation of students and staff in HEI governance in for-profit and not-for-profit institutions?
- ❍ Yes
- ❍ No
- ❍ Cannot answer

Q3.7. *[shown to those who selected 'Yes' for Q3.6]*
If yes, please specify briefly and give reference/ link to the source.

Q3.8. In accordance with the statement for this value, EHEA members committed to adopt and enforce regulations and procedures regarding student and staff participation at all levels of governance. Please, mark in the following table all cases for which such regulations and procedures exist.

	Students	Staff	Cannot answer
Transnational/European governance			
National governance			
Regional (sub-national) governance			
Institutional governance			
Departmental governance			

Q3.9 Please mark in the table below the rights of students and staff that are legally protected in your higher education system

	Students	Staff	Cannot answer
Right to self-organise autonomously without undue interference			
Right to elect and be elected to the relevant governing bodies			

provided or identified by the operator, **the answer is considered incomplete**.

Q3.3. If the answer is 'Yes' to **any** of three options (constitution, law, judicial decisions) AND the source is provided in Q3.5, **the concept of staff participation is considered explicitly mentioned**.

If the answer is 'No', *de jure* protection of student participation is seen as 'absent'.

If the answer is 'Cannot answer' or 'Yes' to any of the three options, but **no source** is provided or identified by the operator, **the answer is considered incomplete**.

Q3.9-10. For '**full protection**', all 6 rights should be covered in legislation for students AND staff (apart from requirements to other dimensions).

For '**adequate protection**'- 4-5 rights should be covered in legislation for students AND staff (apart from requirements to other dimensions).

				For '**intermediary protection**'- 2-3 rights should be covered in legislation for students OR staff (apart from requirements to other dimensions).
Right to have their views represented and taken into account				
Right to initiate debates and table proposals in all governing bodies and participate in discussion of and decision on them				For '**inadequate protection**' -1 right should be covered in legislation for students OR staff (apart from requirements to other dimensions).
Right to be heard and have a vote on internal organisation and administration				If 'Cannot answer' is chosen or **no evidence** is provided or identified by the operator in Q3.10., **the answer is considered incomplete**.
Right to be consulted on further development of the relevant HEI through their representative organisations (unions).				

Q3.10. For any right marked as legally protected, please provide reference/link to the source.

Q3.11. If rights are guaranteed to staff, do they apply to the following types of staff? Please tick all that apply.
- ❑ Tenured staff (permanent contract)
- ❑ Non-tenured staff (fixed term contract)
- ❑ Full-time staff
- ❑ Part-time staff
- ❑ The rights are guaranteed without specification of staff types
- ❑ Different rights are guaranteed to different types of staff
- ❑ Cannot answer

Q3.12 Are stable learning conditions for students guaranteed in your higher education system?
- ❑ Yes, they are legally guaranteed
- ❑ Yes, there are non-legal guidelines/policies/funding for this
- ❑ No
- ❑ Cannot answer

Q3.13. *[shown to those who selected 'Yes' for Q3.12]*
If yes, please briefly introduce how 'stable' is defined and give reference/ link to the source.

Q3.14. Are stable working conditions for academic staff guaranteed in your higher education system?
- ❑ Yes, legally guaranteed
- ❑ Yes, there are guidelines/policies/initiatives/ funding for this
- ❑ No
- ❑ Cannot answer

Q3.15. *[shown to those who selected 'Yes' for Q3.14]*
If yes, please briefly introduce how 'stable' is defined and give reference/ link to the source.

Q3.12-15 **For assessment of protection**, the option 'Yes, they are legally guaranteed' is to be checked in Q3.12. and Q3.14. To qualify for compliance, both answers must be supported by evidence.

If 'Cannot answer' is chosen or **no evidence** is provided or identified by the operator for Q3.12, and Q3.14., **the answer is considered incomplete**.

Q3.16. Do national rules for the recognition of HEIs include recommendations regarding the participation of students and staff in governance?
- ❑ Yes, there are recommendations for participation of students and staff
- ❑ Yes, but only for staff
- ❑ Yes, but only for students
- ❑ No, there are no recommendations on participation of either students or staff in the national rules on recognition of HEIs
- ❑ Cannot answer

Q3.16-17. For '**full protection**', recommendations must be in place for students AND staff.

For '**adequate protection**'- recommendations must be in place for students OR staff.

Q3.17 *[shown to those who selected 'Yes' for Q3.16]* **If yes**, please provide reference/ link to the source.	For '**intermediary protection**' or '**inadequate protection**' – recommendations in the rules for recognition of HEIs are optional. If 'Cannot answer' is chosen or **no evidence** is provided or identified by the operator, **the answer is considered incomplete**.

Protection outlook

This block of questions is for the HE stakeholders respondents.

Protection outlook -colour coding	Explanation
Positive	There are documented **plans to increase** protection of student OR staff participation in HE governance in EITHER: - upcoming legislation generically **OR** - upcoming judicial decisions **OR** - by defining the concept in upcoming legislation
Unchanged	There are **no** documented **plans to increase OR decrease** protection of student OR staff participation in HE governance.
Negative	There are documented **plans to diminish** existing protection of student OR staff participation in HE governance: - in upcoming legislation - in upcoming judicial decisions

Questions	Instructions for coding
Q3.18. Are there plans currently to change the legal protection of student or staff participation in HEI governance (e.g. in upcoming legislation or judicial decisions)? ❑ Yes, increase legal protection for student participation in governance ❑ Yes, increase legal protection for staff participation in governance ❑ Yes, decrease legal protection for student participation in governance ❑ Yes, decrease legal protection for staff participation in governance ❑ No, neither increase nor decrease legal protection ❑ Cannot answer **Q3.19.** *[shown to those who selected 'Yes' for Q3.18]* **If yes, please explain what upcoming legislation/judicial decisions are planned.** As much as possible, provide sources (e.g. parliamentary debates, news, draft legislation, etc.) and a short list of all known examples.	**Q3.18-19.** If 'Yes, increase legal protection' for either students or staff is selected, protection outlook is '**positive**'. If 'Yes, decrease legal protection' is selected for either students or staff, protection outlook is '**negative**'. If 'No, neither increase nor decrease', protection outlook is '**unchanged**' If 'Yes, increase legal protection' is selected for some respondents and 'Yes, decrease legal protection' by another, the system operator will check and clarify. If both are true, this will be coded as both 'positive' and 'negative' (half-half of the respective system on the map) If the answer to Q3.18. is 'Cannot answer' or 'Yes', but **no sources or examples** are provided or identified by the operator n Q3.19, the indicator is considered incomplete, **and no colour is assigned**.

Promotion

Questions in this block are for public authorities and higher education stakeholders respondents.

Promotion -colour coding	Explanation
Very significant	System-level authorities have developed: 1. **Guidelines or mechanisms (initiatives/policies/funding**) to promote the **inclusion** of students AND staff **in decision-making and decision-taking** regarding HEIs and support **all 6** of their rights as defined in respective EHEA statement: - self-organise autonomously without undue interference - elect and 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 discussion of and decision on them - be heard and have a vote on internal organisation and administration - be consulted on further development of the relevant HEI through their representative organisations (unions). 2. **Guidelines and mechanisms (initiatives/policies/funding**) for promoting **stable learning conditions** for students **AND working conditions** for academic staff
Significant	System-level authorities have developed: 1. Guidelines or mechanisms (initiatives/policies/funding) to promote inclusion of students **AND** staff in decision-making and decision-taking regarding HEIs and support **3 to 5 out** of the 6 rights listed immediately above. 2. Guidelines and mechanisms (initiatives/policies/funding) for promoting stable learning conditions for students **AND** working conditions for academic staff
Intermediary	System-level authorities have developed: 1. Guidelines or mechanisms (initiatives/policies/funding) to promote inclusion of students **OR** staff in decision-making and decision-taking regarding HEIs and support **only 1 or 2 of** the 6 rights listed above. 2. Guidelines and mechanisms (initiatives/policies/funding) for promoting stable learning conditions for students **OR** working conditions for academic staff
Absent	System-level authorities have **NOT** developed any guidelines or mechanisms (initiatives/policies/funding) to support the exercise of student and staff participation in governance **AND** to promote stable learning conditions for students and working conditions for academic staff.
Negative	System-level authorities have developed guidelines/mechanisms that **weaken** the exercise of student and staff participation in HE governance.

Questions				Instructions for coding
Q3.20. Are there HE system-level guidelines or mechanisms (initiatives/policies/funding) to support the participation of students and staff in HEI governance? Please tick all that apply.				Q3.20-21 (dimension 2 under this indicator, see table immediately above)
	For students	For staff	Cannot answer	For 'very significant promotion', all 6 rights should be promoted for students AND staff.
Right to self-organise autonomously without undue interference				For 'significant promotion'- 3 to 5 rights should be promoted for students AND staff.
Right to elect and be elected to the relevant governing bodies				
Right to have their views represented and taken into account				For 'intermediary promotion'- 1 or 2 rights should be promoted for students OR staff.
Right to initiate debates and table proposals in all governing bodies and				

participate in discussion of and decision on them				Not a single right promoted for students AND staff qualifies as 'absent promotion'.
Right to be heard and have a vote on internal organisation and administration				If the answer is 'Cannot answer' or no evidence is provided or identified by the operator in Q3.21 to support the answers, dimension 1 is considered incomplete.
Right to be consulted on further development of the relevant HEI through their representative organisations (unions).				
Q3.21. *[shown to those who selected 'Yes' for Q3.20]* For any right marked as supported by guidelines, policies or funding, please provide reference/link to the source.				

Q3.22. Are there any guidelines or mechanisms (initiatives/policies/funding) promoting stable learning conditions for students in the given national context? ❍ Yes ❍ No ❍ Cannot answer Q3.23 *[shown to those who selected 'Yes' for Q3.22]* If yes, please explain what guidelines or mechanisms (initiatives/policies/funding) are in place. Q3.24. Are there any system-level guidelines, policies or initiatives promoting stable working conditions for the staff? ❍ Yes ❍ No ❍ Cannot answer Q3.25 *[shown to those who selected 'Yes' for Q3.24]* If yes, please explain what guidelines or mechanisms (initiatives/policies/funding) are in place.	Q3.22.-25. (dimension 2 under this indicator, see table above with colour coding instructions) For 'very significant promotion' and 'significant promotion', the respective numbers of measures promoting stable conditions for students (Q3.22.) AND staff (Q3.24.) should be in place. For 'intermediary promotion'- measures promoting stable conditions for students (Q3.22) OR staff (Q3.24) should be in place. The answer 'No' in Q3.22 and Q3.24 qualifies as 'absent promotion'. If the answer is 'Cannot answer' or no evidence are provided to support the answers from Q3.22 and Q3.22, the dimension 2 is considered incomplete.
	The score for this indicator results from combining the scores for dimensions 1 and 2, as explained in the colour-coding table above.

Promotion outlook

This block of questions is for the HE stakeholders respondents.

Protection outlook -colour coding	Explanation
Positive	There are documented **plans to promote** participation of students and staff in HE governance by: 1. Developing new guidelines to support the participation of students and staff **OR** 2. Developing new mechanisms (initiatives/policies/regulations) to support the participation o students and staff
Unchanged	There are **no documented plans to increase OR decrease** promotion of participation of students and s
Negative	There are documented **plans to diminish** existing promotion of participation of students and staff.

Questions	Instructions for coding
Q3.26. Are there plans to change system-level mechanisms promoting student and/or staff participation in HE governance? Please tick all that apply. 		For students	For staff	Cannot answer
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Yes, to develop guidelines/policies/ funding **supporting** participation			
Yes, to adopt policies that would **diminish** participation			
No changes planned			| **Q3.27** *[shown to those who selected 'Yes' for Q3.26]* **If yes,** please explain what guidelines and mechanisms are planned to be introduced. As much as possible, provide sources (e.g. parliamentary debates, news, draft legislation, etc.). Give all known examples.	**Q3.26-27** If 'Yes, to develop guidelines supporting participation' is selected for either students or staff is, promotion outlook is **'positive'**. If 'Yes, to adopt policies that would diminish participation' is selected, protection outlook is **'negative'**. If 'No changes planned', protection outlook is **'unchanged'** If 'Yes, to develop guidelines supporting participation' is selected by some respondents, and 'Yes, to adopt policies that would diminish participation' by others, the operator will check and finalize. If both are true, both colours will be included in the respective box (half-half). If the answer to Q3.26 is 'Cannot answer' or 'Yes', but **no sources or examples** are provided or identified by the operator in Q3.27, the indicator is considered incomplete, **the category and colour-code are not assigned to the and no colour is assigned.**

De facto

This block of questions is for the HE stakeholders and respondents on the open platform.

Questions	Instructions for coding
Q3.28. Are there positive developments in your higher education system that support participation of students and staff in HE governance in practice? ❍ Yes ❍ No ❍ Cannot answer **Q3.29** *[shown to those who selected 'Yes' for Q3.28]* **If yes,** please provide a short inventory of positive developments that you find relevant. Give all known examples since 2020 [*or another date specified by the project team depending on when the monitoring is undertaken*].	*De facto* responses are not coded, they are summarized by the operator and presented as bullet point lists of key developments, infringements, and threats.
Q3.30. Are there infringements in your higher education system with regard to participation of students and staff in HE governance in practice? Infringements of the right to participation of students and staff in HE governance are defined as any actions that break or violate the legal provisions for the protection of participation of students and staff in governance in your system or the provisions of the respective EHEA fundamental value statement. Infringements of participation of students and staff in HEI governance can be, or result from, actions of state or non-state actors, political or non-political organizations, from outside or inside the university (such as students, staff, university administrators or their organizations). ❍ Yes ❍ No ❍ Cannot answer **Q3.31.** *[shown to those who selected 'Yes' for Q3.28]* **If yes,** provide an inventory of infringements. Give all known examples since 2020 [*or another date specified by the project team depending on when the monitoring is undertaken*].	
Q3.32. Are there threats at the system level with regard to participation of students and staff in HE governance?	

Threats to participation of students and staff in HE governance are any actions that may lead to but have not yet resulted in infringements of the right to participation of students and staff in HE governance. ❍ Yes ❍ No ❍ Cannot answer **Q3.33** *[shown to those who selected 'Yes' for Q3.30]* **If yes**, provide an <u>inventory</u> of threats. Give all known examples since 2020 [*or another date specified by the project team depending on when the monitoring is undertake*n].	

2.4 Academic integrity

Protection

Questions in this block are for public authorities and higher education stakeholders respondents.

Protection -colour coding	Explanation
Full	The concept of academic integrity defined in line with the respective EHEA statement is **explicitly mentioned** in legislation **AND all of the following** are in place: 1) System-level regulations, standards and guidelines on academic integrity, including: - provisions for independent bodies mandated to monitor the implementation of the regulations, standards and guidelines regarding academic integrity - specific provisions regarding integrity in activities making use of digital technologies - participation in international cooperation frameworks dedicated to ensuring academic integrity/implementation of the provisions of such frameworks in the respective system 2) System-level requirements that academic integrity policies in learning and teaching, research, in administrative procedures and in institutional governance be included in the quality assurance procedures at programme and institutional level, and be reviewed by the appropriate internal and external bodies in line with European and national frameworks. 3) System-level provisions requiring HEIs to adopt Code of Ethics describing issues of integrity and clarifying how to address them in all cases. 4) System-level provisions requiring 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	The concept of academic integrity is explicitly mentioned in legislation or protected through judicial decisions but only 3 out of 4 specific provisions (above) formulated in line with the respective EHEA statement are in place.
Intermediary	The concept of academic integrity is explicitly mentioned in legislation or protected through judicial decisions but only 2 out of 4 specific provisions (above) formulated in line with the respective EHEA statement are in place.
Inadequate	The concept of academic integrity is explicitly mentioned in legislation or protected through judicial decisions but only 1 out of 4 specific provisions (above) formulated in line with the respective EHEA statement is in place.
Absent	The concept of academic integrity is NOT specifically mentioned in any type of legislation or judicial decisions, and there are NO legal provisions regarding academic integrity formulated in line with the EHEA statement on this fundamental value.

Questions	Instructions for coding
Q4.1. Is academic integrity legally protected in your higher education system? Please tick all that apply. ❑ Yes, in constitution ❑ Yes, in law ❑ Yes, in judicial decisions ❑ No ❑ Cannot answer **Q4.2.** *[shown to those who selected 'Yes' for Q4.1]* **If yes**, please indicate the definitions and references/links to the sources for these definitions.	Q4.1-2. If the answer is 'Yes' to **any** of three options (constitution, law, judicial decisions) AND the source is provided in Q4.2, **the concept of academic integrity is considered explicitly mentioned**. If the answer is 'No', de jure protection of academic integrity is seen as '**absent**'. If the answer is 'Cannot answer' or 'Yes' to any of the three options, but **no source** is provided or identified by the operator, **the answer is considered incomplete**.
4.3. What dimensions of academic integrity are covered by the existing legal regulations? Please, tick all that apply ❑ Existence of external bodies mandated to evaluate the implication of the standards and regulations regarding academic integrity ❑ Provisions regarding academic integrity when using digital technologies ❑ Requirements to participate in international cooperation frameworks for integrity ❑ Requirements for QA procedures (for learning, teaching, admin procedures, and institutional governance) to include academic integrity provisions, and for these provisions to be reviewed by the appropriate internal and external bodies in line with European and national frameworks. ❑ Requirements for HEIs to adopt Code of Ethics ❑ Provisions requiring that organisational, cultural, legislative, financial and other measures (including training) promote a healthy working environment and error culture, while avoiding regulatory loopholes that allow impunity for academic misconduct. ❑ None of the above Cannot answer **Q4.4.** *[shown together with Q4.3]* **For all dimensions covered by existing regulations**, please provide links/references to the sources.	Q4.3 For '**full protection**', all 4 dimensions are covered. For '**adequate protection**'- 3. For '**intermediary protection**'- 2. For '**inadequate protection**' – 1. If the answer is 'None of the above', de jure protection of academic integrity is seen as '**absent**'. If the answer to Q4.3 is 'Cannot answer' or Q4,4 provides no evidence, the indicator is considered incomplete, **the category and colour-code are not assigned to the indicator 'protection'.**

Protection outlook

This block of questions is filled in by the HE stakeholders respondents.

Protection outlook -colour coding	Explanation
Positive	There are documented **plans to increase** protection of academic integrity EITHER: - in upcoming legislation generally or as a right **OR** - in upcoming judicial decisions **OR** - by defining the concept in upcoming legislation
Unchanged	There are **no documented plans to increase OR decrease** protection of academic integrity.
Negative	There are documented **plans to diminish** the existing protection of academic integrity: - in upcoming legislation - in upcoming judicial decisions

Questions	Instructions for coding
Q4.5. Are there plans currently to change the legal protection of academic integrity (e.g. in upcoming legislation or judicial decisions)? ❑ Yes, increase legal protection ❑ Yes, decrease legal protection ❑ No, neither increase nor decrease legal protection ❑ Cannot answer **Q4.6.** *[shown to those who selected 'Yes' for Q4.5]* **If yes, please explain what upcoming legislation/judicial decisions are planned.** As much as possible, provide sources (e.g. parliamentary debates, news, draft legislation, etc.) and a short list of all known examples.	Q4.5-6 If 'Yes, increase legal protection' is selected, protection outlook is **'positive'.** If 'Yes, decrease legal protection' is selected, protection outlook is **'negative'.** If 'No, neither increase nor decrease', protection outlook is **'unchanged'** If the answer to Q4.12 is 'Cannot answer' or 'Yes', but **no sources or examples** are provided or are identified by the operator in Q4.13, the indicator is considered incomplete, **and no colour is assigned.**

Promotion

Questions in this block are for public authorities and higher education stakeholders respondents.

Promotion -colour coding	Explanation
Very significant	System-level authorities have developed: 1. Guidelines to support the exercise of academic integrity **AND** 2. Mechanisms (initiatives/policies/funding) to promote academic integrity **AND** 3. Specifically, QA procedures to evaluate how academic integrity is ensured in HEIs.
Significant	System-level authorities have developed **2 out of the 3 sets of initiatives** listed immediately above.
Intermediary	System-level authorities have developed only 1 **out of the 3 sets of initiatives** listed immediately above.
Absent	System-level authorities have **NOT** developed any guidelines or mechanisms (initiatives/policies/funding) to support the exercise of academic integrity **AND** there are **NO** QA procedures to evaluate how academic integrity is ensured in HEIs.
Negative	System-level authorities have developed guidelines/mechanisms that **weaken** academic integrity.

Questions	Instructions for coding
Q4.7. Are there system-level guidelines to support the exercise of academic integrity? ○ Yes ○ No ○ Cannot answer **Q4.8** *[shown to those who selected 'Yes' for Q4.8]* **If yes,** please indicate the sources and a short list of all known examples.	Q4.7-8. If the answer is 'Yes' AND the source is provided, **system-level guidelines count towards promotion score.** If the answer is 'Cannot answer' or 'Yes', but **no source** is provided, **the dimension is considered incomplete.**
Q4.9. Are there system-level mechanisms (not legal or regulatory) available to support the exercise of academic integrity? (tick all that apply) ❑ Yes, specific initiatives	Q4.9-10. If the answer is 'Yes' AND the source is provided, **system-level mechanisms count towards promotion score.**

❏ Yes, policies ❏ Yes, funding ❏ No ❏ Cannot answer **Q4.10** *[shown to those who selected 'Yes' for Q4.9]* **If yes, please explain what specific initiatives/policies/funding are available**. As much as possible, provide sources (e.g. parliamentary debates, news, draft legislation, etc.) and a list of all known examples.	If the answer is 'Cannot answer' or 'Yes', but **no source or explanation** is provided, **the dimension is considered incomplete.**
Q4.11. Are there QA procedures developed to evaluate how academic integrity is ensured in HEIs? ○ Yes ○ No ○ Cannot answer **Q4.12** *[shown to those who selected 'Yes' for Q4.18]* **If yes, please specify the body and the requirements**	Q4.11-12. If the answer is 'Yes' AND the source is provided, **requirements for external body count towards promotion score.** If the answer is 'Cannot answer' or 'Yes', but **no source or explanation** is provided, **the dimension is considered incomplete.**
	The combined scores for three dimensions give the final promotion score: 'Yes' to Q4.7, 4.9, 4.11 supported by evidence is coded as **'Very significant'** promotion. 'Yes' to 2 of 3 questions is coded as **'Significant'** promotion. 'Yes' to 1 of 3 questions is coded as **'Intermediary'** promotion. If any of the dimensions is incomplete, **no colour is assigned** (indicator remains blank).

Promotion outlook

This block of questions is filled in by the HE stakeholders.

Protection outlook – colour coding	Explanation
Positive	There are documented **plans to promote** academic integrity by: 1. Developing new guidelines to support the exercise of academic integrity **OR** 2. Developing new mechanisms (initiatives/policies/regulations) to support the exercise of academic integrity **OR** 3. Developing QA procedures to evaluate how the exercise of academic integrity is ensured in HEIs.
Unchanged	There are **no plans to increase OR decrease** promotion of academic integrity.
Negative	There are **plans to diminish** existing promotion of academic integrity.

Questions	Instructions for coding
Q4.13. Are there plans to change the system level guidelines, mechanisms or procedures related to academic integrity? ❏ Yes, to develop new guidelines to support promotion of academic integrity ❏ Yes, to develop new mechanisms (initiatives/ policies/regulations) to support promotion of academic integrity	Q4.12-13 If 'Yes, to develop new guidelines' OR 'Yes, to develop new mechanisms' OR 'Yes, develop QA procedures' is selected, promotion outlook is **'positive'.**

❑ Yes, to develop QA procedures to evaluate how academic integrity is ensured in HEIs ❑ Yes, to make changes diminishing promotion ❑ No changes planned ❑ Cannot answer **Q4.14.** *[shown to those who selected 'Yes' for Q4.13]* **If yes,** please explain what guidelines, mechanisms and procedures are planned to be introduced. As much as possible, provide sources (e.g. parliamentary debates, news, draft legislation, etc.). Give all known examples.	If 'Yes, to make changes diminishing promotion' is selected, promotion outlook is **'negative'**. If 'No changes planned', promotion outlook is **'unchanged'**. If the answer to Q4.12 is 'Cannot answer' or 'Yes', but **no sources or examples** are provided in Q4.13, the indicator is considered incomplete. If both 'Yes' and 'No' answers are provided and supported by evidence, the operator will check, and if both are true, both colours will be assigned (half-half in the respective box).

De facto

This block of questions is for the HE stakeholders and open platform respondents.

Questions	Instructions for coding

Q4.14. Are there positive developments at the system level with regard to the protection, promotion or practice of academic integrity?
  ❍ Yes
  ❍ No
  ❍ Cannot answer
 	
Q4.15 *[shown to those who selected 'Yes' for Q4.14]*
If yes, please provide a short inventory of positive developments that you find relevant. Give all known examples since 2020. *[or another period indicated by the project team depending on when monitoring takes place]*
	De facto responses are not coded, summarized by the operator and presented as bullet point lists of key developments, infringements, and threats.

Q4.16. Do public authorities from your system, the higher education communities and their members fulfil their obligations as detailed in the respective EHEA statement about academic integrity?
  ❍ Yes
  ❍ No
  ❍ Cannot answer
 	
Q4.16 *[shown to those who selected 'Yes' for Q4.25]*
If yes, please explain briefly.	

Q4.17. Are there threats at the system level that might limit the exercise of academic integrity in practice?
Threats to academic integrity are any actions that may lead to but have not yet resulted in limitations to the fulfilment of the obligations for any stakeholders detailed in the academic integrity EHEA statement.
  ❍ Yes
  ❍ No
  ❍ Cannot answer
 	
Q4.18 *[shown to those who selected 'Yes' for Q4.17]*
If yes, provide an inventory of threats. Give all known examples since 2020. *[or another period indicated by the project team depending on when monitoring takes place]*	

2.5 Public responsibility for higher education

Protection

Questions in this block are for public authorities and higher education stakeholders respondents.

Protection -colour coding	Explanation
Full	1. Explicit legal provisions or judicial decisions exist meant to further ALL of the following **4** major purposes of higher education: - preparation for the labour market - preparation for life as active citizens of democratic societies - personal development - the development and maintenance of a broad and advanced knowledge base. **AND** 2. Explicit legal provisions or judicial decisions exist meant to ensure that ALL of the following frameworks within which higher education is conducted are put in place and function adequately: - 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. **AND** 3. Explicit legal provisions or judicial decisions exist requiring public authorities to consult and seek input regarding the configuration and substance of frameworks from the following **3** types of stakeholders: - the higher education sector - internal university constituencies - **relevant external stakeholders.**
Adequate	2 out of the 3 sets of legal provisions/judicial decisions detailed immediately above exist.
Intermediary	1 out of the 3 sets of legal provisions/judicial decisions detailed above exist.
Inadequate	None of the 3 sets of legal provisions/jurisprudence detailed above exist.
Absent	The concept of responsibility for higher education or its dimensions outlined in the respective EHEA statement are not explicitly mentioned in any type of legislation or judicial decisions.

Questions				Instructions for coding
Q5.1. Have public authorities adopted legislation and regulations that support achieving the purposes of higher education as detailed in the EHEA definition of public responsibility for higher education? Please tick all that apply.				Q5.1 is considered answered positively only if ALL its 5 items are answered positively. Q5.3 is considered answered positively only if ALL its 6 items are answered positively. Q5.5 is considered answered positively only if ALL its 3 items are answered positively.
	Yes	No	Cannot answer	
preparation for the labour market				
preparation for life as active citizens of democratic societies				
personal development				
the development and maintenance of a broad and advanced knowledge base				

Q5.2. For all dimensions covered by existing regulations, please provide links/references to the sources

Q5.3. Have public authorities adopted legislation and regulations to ensure that the necessary frameworks within which higher education is conducted are put in place and function adequately, as detailed in the EHEA definition of public responsibility for higher education?
Please tick all that apply.

	Yes	No	Cannot answer
qualifications framework of the higher education system			
frameworks for quality assurance			
recognition of foreign qualifications			
information on higher education provision			
funding frameworks			
frameworks for the social dimension of higher education			

Q5.4. For all dimensions covered by existing regulations, please provide links/references to the sources

Q5.5. Have public authorities adopted legislation and regulations requiring to consult and seek input regarding the configuration and substance of the frameworks for higher education from the following types of stakeholders?
Please tick all that apply.

	Yes	No	Cannot answer
the higher education sector			
internal university constituencies			
relevant external stakeholders			

Q5.6. For all dimensions covered by existing regulations, please provide links/references to the sources.

For **Q5.1**, **Q5.3** and **Q5.5**, if the answer is Yes but **no sources** are provided or identified by the operator, the indicator is considered incomplete and will remain blank.

Protection outlook

This block of questions is for the HE stakeholders.

Protection outlook colour coding	Explanation
Positive	There are **documented** plans to **adopt new legislation and regulations to create or improve any of the following**: 1. Legal provisions to further all major purposes of higher education: - preparation for the labour market - preparation for life as active citizens of democratic societies - personal development - the development and maintenance of a broad and advanced knowledge base. OR 2. Legal provisions regarding the frameworks within which higher education is conducted: - 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. **OR improve how:**

 	3. 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
Unchanged	There are **no documented plans to increase OR decrease** protection of public responsibility for higher education.
Negative	There are **documented plans to diminish** existing protection of responsibility for higher education.

Questions	Instructions for coding
Q5.7. Are there plans to adopt new legislation or regulations regarding the major purposes of higher education (preparation for the labour market, preparation for life as active citizens of democratic societies, personal development, development and maintenance of a broad and advanced knowledge base)? Please tick all that apply. ❑ Yes, to support to better pursuing any of them. ❑ Yes, to make any of them more difficult to pursue. ❑ No changes planned ❑ Cannot answer **Q5.8.** *[shown to those who selected 'Yes' for Q5.7]* **If yes,** please provide sources (e.g. parliamentary debates, news, draft legislation, etc.). Give all known examples. **Q5.9. Are there plans to make changes in the legislation and regulations regarding the frameworks within which higher education is conducted as detailed in the EHEA definition of public responsibility for higher education (frameworks for quality assurance; recognition of foreign qualifications; information on higher education provision; funding frameworks; the frameworks for the social dimension of higher education)?** Please tick all that apply. ❑ Yes, there are plans to improve any of these frameworks. ❑ Yes, there are plans to weaken any of these frameworks. ❑ No plans for changes **Q5.10.** *[shown to those who selected 'Yes' for Q5.9]* **If yes,** please provide sources (e.g. parliamentary debates, news, draft legislation, etc.). Give all known examples. **Q.5.11.** Are there plans to make changes in the legislation or regulations regarding the obligation of public authorities to consult and seek input regarding the configuration and substance of these frameworks from the higher education sector, internal university constituencies and relevant external stakeholders? ❑ Yes, there are plans to strengthen or make clearer this obligation. ❑ Yes, there are plans to weaken this obligation.	**Q5.7-8** If 'Yes, to better pursue any of them' is selected, protection outlook is **'positive'**. If 'Yes, to make any of them more difficult to pursue' is selected, protection outlook is **'negative'**. If 'No changes planned', protection outlook is **'unchanged'** If the answer to is 'Cannot answer' or 'Yes', but **no sources or examples** are provided in Q5.8 or none can be identified by the operator, the indicator is considered incomplete, and no colour is assigned (remains blank). If "Yes" is selected to both first two options, the operator will check and finalize. If both alternatives are documented, both colours will be assigned (half-half in this box/for this indicator). **Q5.9-10** If 'Yes, there are plans to improve any of these frameworks' is selected, protection outlook for these questions is **'positive'**. If 'Yes, there are plans to weaken any of these frameworks' is selected, protection outlook is **'negative'**. If 'No changes planned', protection outlook is **'unchanged'** If the answer to is 'Cannot answer' or 'Yes', but **no sources or examples** are provided in Q5.10 or none can be identified by the operator, the indicator is considered incomplete, and no colour is assigned (remains blank). If "Yes" is selected to both first two options in Q5.9, the operator will check and finalize. If both alternatives are documented, both colours will be assigned (half-half in this box/for this indicator). **Q5.11-12**

❑ No plans for changes **Q5.12.** *[shown to those who selected 'Yes' for Q5.11]* **If yes,** please provide sources (e.g. parliamentary debates, news, draft legislation, etc.). Give all known examples.	If 'Yes, there are plans to strengthen or make clearer this obligation' is selected, protection outlook is **'positive'**.
	If 'Yes, there are plans to weaken this obligation' is selected, protection outlook is **'negative'**.
	If 'No changes planned', protection outlook for these questions is **'unchanged'**.
	If the answer to is 'Cannot answer' or 'Yes', but **no sources or examples** are provided in Q5.112 or none can be identified by the operator, the indicator is considered incomplete, and no colour is assigned (remains blank).
	If "Yes" is selected to both first two options in Q5.11, the operator will check and finalize. If both alternatives are documented, both colours will be assigned (half-half in this box/for this indicator).
	If outlook is positive in any of the questions Q 7, 9, and 11, the overall coding for this indicator is "positive".
	If outlook is negative in any of the questions Q 7, 9, and 11, the overall coding for this indicator is "negative".
	If both are present ("positive" and "negative" elements of outlook) for at least one of these questions, both colours will be assigned for this indicator (half-half in this box)

Promotion

Questions in this block are for public authorities and higher education stakeholders respondents.

Promotion – colour coding	Explanation
Very significant	1. Policies and other initiatives exist intended to further the major purposes of higher education: - preparation for the labour market - preparation for life as active citizens of democratic societies - personal development - the development and maintenance of a broad and advanced knowledge base. AND 2. Policies and other initiatives exist to ensure that the frameworks within which higher education is conducted function adequately: - 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. **AND**

	3. Policies and other initiatives exist to ensure that public authorities consult and seek input regarding the configuration and substance of frameworks from the following **3** types of stakeholders: - the higher education sector - internal university constituencies -relevant external stakeholders.
Significant	2 out of the 3 sets of policies and initiatives listed immediately above are present
Intermediary	1 out of the 3 sets of policies and initiatives listed above is present
Absent	System-level authorities have not developed any of the 3 sets of policies and initiatives listed here
Negative	System-level authorities have developed policies and initiatives that **weaken** responsibility for higher education.

Questions	Instructions for coding
Q 5.13. Have public authorities adopted policies and non-legal initiatives to support achieving the major purposes of higher education? Please tick all that apply. | Yes	No	Cannot answer | |---|---|---|---| | preparation for the labour market | | | | | preparation for life as active citizens of democratic societies | | | | | personal development | | | | | the development and maintenance of a broad and advanced knowledge base | | | | **Q5.14. For all dimensions covered by existing regulations**, please provide links/references to the sources **Q5.15. Have public authorities adopted policies and non-legal initiatives to ensure that the necessary frameworks within which higher education is conducted function adequately?** Please tick all that apply. | | Yes | No | Cannot answer | |---|---|---|---| | qualifications framework of the higher education system | | | | | frameworks for quality assurance | | | | | recognition of foreign qualifications | | | | | information on higher education provision | | | | | funding frameworks | | | | | frameworks for the social dimension of higher education | | | | **Q5.16. For all dimensions covered by existing regulations**, please provide links/references to the sources **Q5.17. Have public authorities adopted policies and non-legal initiatives** to ensure that public authorities consult and seek input regarding the configuration and substance of the frameworks for higher education from the following **3** types of stakeholders? Please tick all that apply. | | Yes | No | Cannot answer | |---|---|---|---| | the higher education sector | | | | | internal university constituencies | | | |	**Q5.13** is considered answered positively only if ALL its items are answered positively. **Q5.15** is considered answered positively only if ALL its items are answered positively. **Q5.17** is considered answered positively only if ALL its items are answered positively. The final score is assigned by combining the scores for each of these questions as per the coding explanations in the table immediately above. For **Q5.13**, Q**5.15** and **Q5.17**, if the answer is yes but **no sources** are provided or identified by the operator, the indicator is considered incomplete and will remain blank

relevant external stakeholders					
Q5.18. For all dimensions covered by existing regulations, please provide links/references to the sources					

Promotion outlook

This block of questions is for the HE stakeholders.

Protection outlook -colour coding	Explanation
Positive	There are documented **plans to adopt new policies** and other initiatives to: 1. Further the major purposes of higher education **OR** 2. Ensure that the frameworks within which higher education is conducted function adequately **OR** 3. Enhance consultation and seeking input regarding the configuration and substance of these frameworks from the higher education sector, internal university constituencies and relevant external stakeholders
Unchanged	There are **no plans to make any changes** with regard to the existing policies and other initiatives in 1 to 3 immediately above.
Negative	There are documented **plans to adopt new policies** and other initiatives to: 1. Prevent pursuing any of the major purposes of higher education **OR** 2. Weaken the frameworks within which higher education is conducted function adequately **OR** 3. Reduce the obligation of public authority to consult and seek input regarding the configuration and substance of these frameworks from the higher education sector, internal university constituencies and relevant external stakeholders.

Questions	Instructions for coding
Q5.19. Are there plans to make changes with regard to the policies and other (non-legal) initiatives concerning the major purposes of higher education (preparation for the labour market; preparation for life as active citizens of democratic societies; personal development; the development and maintenance of a broad and advanced knowledge base)? Please tick all that apply. ❑ Yes, to adopt new policies and initiatives to support better pursuing any of these purposes. ❑ Yes, to adopt new policies and initiatives that would make any of them more difficult to pursue. ❑ No changes planned ❑ Cannot answer **Q5.20** *[shown to those who selected 'Yes' for Q5.19]* **If yes,** please provide sources (e.g. parliamentary debates, news, draft legislation, etc.). Give all known examples. **Q5.21 Are there plans to make changes with regard to policies and non-legal initiatives regarding the frameworks within which higher education is conducted** (frameworks for quality assurance; recognition of foreign qualifications; information on higher education provision; funding frameworks; the frameworks for the social dimension of higher education.)**?** Please tick all that apply. ❑ Yes, to adopt new policies and non-legal initiatives to improve any of these frameworks.	**Q5.19-20** If 'Yes, adopt new policies and initiatives to support better pursuing any of them' is selected, this counts towards '**positive**' promotion outlook. If 'Yes, adopt new policies and initiatives meant to make any of them more difficult to pursue them' is selected, this counts towards '**negative**' promotion outlook. If 'No changes planned', promotion outlook is '**unchanged**' If the answer to is 'Cannot answer' or 'Yes', but **no sources or examples** are provided in Q5.20 or none can be identified by the operator, the indicator is considered incomplete, and no colour is assigned (remains blank). If 'Yes' is selected to both first two options in Q5.19, the operator will check and finalize. If both alternatives are documented, both colours will be assigned (half-half in this box/for this indicator). **Q5.21-22** If 'Yes, adopt new policies and non-legal initiatives to improve any of these frameworks' is selected, this counts towards '**positive**' promotion outlook.

❑ Yes, to adopt policy and non-legal initiatives to weaken any of these frameworks.
❑ No plans for changes

Q5.22 *[shown to those who selected 'Yes' for Q5.21]*
If yes, please provide sources (e.g. parliamentary debates, news, draft legislation, etc.). Give all known examples.

Q.5.23 Are there plans to make changes with regard to policies and non-legal initiatives regarding the obligation of public authorities to consult and seek input regarding the configuration and substance of these frameworks from the higher education sector, internal university constituencies and relevant external stakeholders? Please tick all that apply.
❑ Yes, adopt policies or other initiatives to strengthen or make clearer this obligation.
❑ Yes, adopt policies or other initiatives to weaken this obligation.
❑ No plans for changes

Q5.24 *[shown to those who selected 'Yes' for Q5.23]* **f yes,** please provide sources (e.g. parliamentary debates, news, draft legislation, etc.). Give all known examples.

If 'Yes, adopt policy and non-legal initiatives to weaken any of these frameworks' is selected, this counts towards '**negative**' promotion outlook.

If 'No changes planned', protection outlook is '**unchanged**'

If the answer to is 'Cannot answer' or 'Yes', but **no sources or examples** are provided in Q5.22 or none can be identified by the operator, the indicator is considered incomplete, and no colour is assigned (remains blank).

If "Yes" is selected to both first two options in Q5.21, the operator will check and finalize. If both alternatives are documented, both colours will be assigned (half-half in this box/for this indicator).

Q5.23-24 If 'Yes, there are plans to strengthen or make clearer this obligation' is selected, this counts towards '**positive**' protection outlook.

If 'Yes, there are plans to weaken this obligation' is selected, this counts towards '**negative**' protection outlook.

If 'No changes planned', protection outlook for these questions is '**unchanged**'.

If the answer to is 'Cannot answer' or 'Yes', but **no sources or examples** are provided in Q5.24 or none can be identified by the operator, the indicator is considered incomplete, and no colour is assigned (remains blank).

If "Yes" is selected to both first two options in Q5.23, the operator will check and finalize. If both alternatives are documented, both colours will be assigned (half-half in this box/for this indicator).

If outlook is positive in any of the questions Q5.19, 5.21, and 5.23, the overall coding for this indicator is 'positive'.

If outlook is negative in any of the questions Q5.7, 5.9, and 5.11, the overall coding for this indicator is 'negative'.

If both are present ('positive' and 'negative' elements of outlook) for at least one of these questions, both colours will be assigned for this indicator (half-half in this box)

De facto

This block of questions is for HE stakeholders and open platform respondents.

Questions	Instructions for coding
Do public authorities fulfil their obligations under the principle of public responsibility for higher education as detailed in the respective EHEA value? More precisely: **Q5.25 To what extent are the legal frameworks adopted to further all major purposes of higher education, where they exist, implemented in practice?** Please provide short narrative answers for: – preparation for the labour market – preparation for life as active citizens of democratic societies – personal development – the development and maintenance of a broad and advanced knowledge base. **Q5.26 To what extent are implemented in practice the existing legal and regulatory provisions adopted to ensure that the frameworks within which higher education is conducted are put in place and function adequately?** Please provide short narrative answers for: – qualifications framework of the higher education system – frameworks for quality assurance – recognition of foreign qualifications – information on higher education provision – funding frameworks – frameworks for the social dimension of higher education **Q5.27 Do public authorities consult and seek input in the configuration of the frameworks within which higher education is conducted?** Please provide short narrative answers for: – The higher education sector – Internal university constituencies – Relevant external stakeholders	*De facto* responses are not coded, they are summarized by the operator and presented as bullet point lists of key developments, fulfilments of obligations, and threats.
Q5.28 Are there positive developments in practice with regard to the exercise of public responsibility for higher education? ❍ Yes ❍ No ❍ Cannot answer **Q5.29** *[shown to those who selected 'Yes' for Q5.28]* **If yes**, please provide a short inventory of positive developments that you find relevant. Give all known examples since 2020. [*or another period depending on when monitoring is undertaken*]	
Q5.30. Are there threats at the system level that might limit the effective exercise of responsibility for higher education in practice? Threats to responsibility for higher education are any actions that may lead to but have not yet resulted in limitations to the effective exercise of the responsibility for higher education. ❍ Yes ❍ No ❍ Cannot answer **Q5.31** *[shown to those who selected 'Yes' for Q5.30]* **If yes**, provide an inventory of threats. Give all known examples since 2020. [*or another period depending on when monitoring is undertaken*]	

2.6 Public responsibility of higher education

Protection

Questions in this block are for public authorities and higher education stakeholders respondents.

Protection - colour coding	Explanation
Full	**System-level legislation and regulations exist that require and support higher education communities to undertake ALL of the following:** 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. j. help improve opportunities for all members of society
Adequate	6 to 9 out of the 10 sets of legal and regulatory provisions listed immediately above exist
Intermediary	3 to 5 out of the 10 sets of legal and regulatory provisions listed immediately above exist
Inadequate	1 or 2 out of the 10 sets of legal and regulatory provisions listed immediately above exist
Absent	The concept of 'responsibility of higher education' and its specific dimensions listed above are NOT explicitly mentioned in any type of legislation or judicial decisions

Questions				Instructions for coding
Q. 6.1 Have system-level authorities adopted legislation and regulations that require and support higher education communities to fulfil the following functions? Please, tick all that apply.				Q6.1-2 10 'Yes' answers to Q6.1 are coded as '**full**'. 6-9 'Yes' answers are coded as '**adequate**'. 3-5 'Yes' answers are coded as '**intermediary**'.
	Yes	No	Cannot answer	
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.				1-2 'Yes' answers are coded as 'inadequate'.
systematically inform broader society of its work and results				If only 'No" answers are selected, this will be coded as **absent**.
engage in the identification, analysis, and understanding of the problems that confront broader society and individual constituencies; participate in designing solutions				'Yes' answers only count if backed by evidence provided by respondents and checked by the operator. If no evidence is provided or identified by the operator, they will count as **'Cannot answer'**.
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				

Q. 6.2. For all dimensions covered by existing regulations, please provide links/references to the sources.

Protection outlook

This block of questions is for the HE stakeholders respondents.

Protection outlook -colour coding	Explanation
Positive	There are plans to **adopt new, better or more supportive legislation and regulations in any of the following areas listed under the responsibility of higher education in the respective EHEA statement:** 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.

(green)	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 are 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.
Unchanged	There are no plans to change the existing legislations regarding any of these areas.
Negative	There are plans to discontinue existing supportive legislation and regulations in any area listed under the responsibility of higher education in the respective EHEA statement OR to adopt less supportive legislation.

Questions	Instructions for coding
Q.6.3. Are there <u>plans to change</u> legislation and regulations <u>that require and support higher education communities to fulfil the following functions</u>? Please tick all that apply.	If 'Yes, to strengthen this obligation" answers are selected to Q.6.3., they will count towards a positive protection outlook. If any such answer is not backed by evidence provided by respondents and checked by the operator, they will count as 'Cannot answer'. If 'Yes, to decrease or erase this obligation' answers are selected, they will count towards a negative protection outlook. If any such answer is not backed by evidence provided by respondents and checked by the operator, they will count as 'Cannot answer'. If answers are a combination of positive and negative outlook elements, both colours will be used in this box (half-half)

	Yes, to strengthen this obligation	Yes, to decrease or erase this obligation	No	Cannot answer
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.				
systematically 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 are developed and governed on the basis of factual knowledge as well as critical and constructive thinking					
help improve opportunities for all members of society					
Q. 6.4. For all dimensions covered by existing regulations, please provide links/references to the sources. List all known examples.					

Promotion

Questions in this block are for public authorities and higher education stakeholders respondents.

Promotion – colour coding	Explanation
Very significant	System-level policy and other initiatives exist that support the fulfilment of all the obligations of higher education communities as outlined in the respective EHEA statement: 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 are 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.

Significant	System-level policy and other initiatives exist that support the fulfilment of any 6 to 9 out of the 10 obligations of higher education communities listed immediately above.
Intermediary	System-level policy and other initiatives exist that support the fulfilment of any 3 to 5 out of the 10 obligations of higher education communities listed immediately above.
Inadequate	System-level policy and other initiatives exist that support the fulfilment of any 1 or 2 out of the 10 obligations of higher education communities listed immediately above.
Negative	System-level policy and initiatives, non-legal guidelines and mechanisms exist that **weaken** the obligations defined under the public responsibility of higher education in the respective EHEA statement.

Questions				Instructions for coding
Q. 6.5. Have system-level authorities adopted policies and other initiatives that support the fulfilment of the obligations of higher education communities outlined in the EHEA definition of public responsibly of higher education? Please tick all that applies.				10 'Yes' answers to Q.6.5 are coded as '**full**'.
	Yes	No	Cannot answer	6-9 'Yes' answers are coded as '**adequate**'.
pursue truth and the production, transmission, dissemination, curation, and use of knowledge as a public good				3-5 'Yes' answers are coded as '**intermediary**'.
uphold and develop the standards of teaching, learning, and research within and across academic disciplines.				1-2 'Yes' answers are coded as '**inadequate'**.
systematically inform broader society of its work and results				If only 'No' answers are selected, this will be coded as '**absent**'.
engage in the identification, analysis, and understanding of the problems that confront broader society and individual constituencies; participate in designing solutions				'Yes' answers only count as 'Yes' if backed by evidence provided by respondents and checked by the operator. If no evidence is provided or identified by the operator, they will count as '**cannot answer**'.
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 are developed and governed on the basis of factual knowledge as well as critical and constructive thinking				
help improve opportunities for all members of society				

Q. 6.6. For all dimensions covered by existing policies and initiatives, please provide links/references to the sources	

Promotion outlook

This block of questions is filled in by the HE stakeholders.

Protection outlook -colour coding	Explanation
Positive	**Documented plans exist for new policies and other initiatives** to better support higher education communities in the fulfilment of their public responsibilities in any of the 10 areas (a. to j., above).
Unchanged	**There are no plans to change existing policies and initiatives** in any of the 10 areas in any direction (such as more supportive or less supportive new policies).
Negative	**There are documented plans to adopt new policies and initiatives** that will affect negatively the fulfilment of the public responsibility of higher education in any of the ten areas.

Questions					Instructions for coding
Q.6.7. Are there <u>plans to change</u> or adopt new policies and initiatives or amend existing policies and initiatives <u>regarding the public obligations of higher education communities as defined in the respective EHEA statement?</u> Please tick all that apply.					If 'Yes, to better support the fulfilment of this obligation' answers are selected to Q.6.7., they will count towards a positive promotion outlook. If any such answer is not backed by evidence provided by respondents and checked by the operator, they will count as '**Cannot answer**'.
	Yes, to better support the fulfilment of this obligation	Yes, affecting negatively the fulfilment of this obligation	No	Cannot answer	
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.					If 'Yes, affecting negatively the fulfilment of this obligation' answers are selected, they will count towards a negative promotion outlook. If any such answer is not backed by evidence provided by respondents and checked by the operator, they will count as '**Cannot answer**'.
systematically 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.					If answers are a combination of positive and negative outlook elements, both colours will be used in this box (half-half)
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					

Q. 6.8. For all dimensions covered by existing regulations, please provide links/references to the sources. List all known examples.

De facto

This block of questions is for HE stakeholders and open platform respondents.

Questions	Instructions for coding
Q. 6.9. Do higher education communities from your system and their members fulfil their obligations under the principle of public responsibility for higher education as detailed in the respective EHEA value? ❍ Yes ❍ No ❍ Cannot answer **Q.6.10. If Yes or No**, please explain briefly, keeping in mind the 10 areas detailed in the statement.	*De facto* responses are not coded, they are summarized by the operator and presented as bullet point lists of key developments, fulfilments of obligations, and threats.
Q.6.10 Are there any positive developments with regard to the fulfilment of the obligations of academic communities under the principle of the public responsibility of higher education as defined in the respective EHEA statement? ❍ Yes ❍ No ❍ Cannot answer **Q. 6.11. If yes**, please provide a short inventory of positive developments that you find relevant. Give all known examples since 2020. [*or another period depending on when monitoring is undertaken*]	
Q.6.12. Are there any identifiable threats at the system level that might limit the effective exercise of the public responsibility of higher education in practice? Threats to the responsibility of higher education are any actions that may lead to but have not yet resulted in limitations to the effective exercise of these obligations. ❍ Yes ❍ No ❍ Cannot answer **Q.6.13. If yes**, provide an inventory of threats. Give all known examples since 2020. [*or another period depending on when monitoring is undertaken*]	

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