



AN INSTRUMENT TO ASSIST IN THE ANALYSIS OF SPECIFIC VALUES

1. The Guidelines outlined the indicative content of a series of possible values which universities may care to use. The purpose of this Annexe is to offer more detailed guidance on four of the values mentioned, not in any prescriptive way, but to provide more substance for consideration.
2. The following are considered to be possible elements of autonomy. This is not an exclusive list. Neither is it expected that all universities in different countries will enjoy all, or the same combination of these elements.
 - 2.1 The elements of autonomy might helpfully be reviewed in terms of the **academic domain**, (which might include the capacity to determine student numbers, admission criteria, which students should be admitted, the language(s) of instruction, which subjects and courses (single or multi-discipline) should be taught, modified or discontinued and at what level, the mode of study, assessment methods, which national and international partners to work with, internal and external quality assurance arrangements, the freedom to determine research priorities, themes, organisation, partners and funding an freedom to develop their own academic strategy); the **organisational domain**, (which might include the legal status of the university, the freedom to appoint the rector, senior post holders and other staff, determine the internal organisation, leadership, academic, committee and administrative structure of the university, institutional governance (structure, selection of members and processes), the ability to create legal entities, for profit or not, the freedom to work with other bodies in various legal arrangements and the freedom to review and reward the performance of staff); the **financial domain**, (which could include the freedom to determine the financial strategy, sources of funding and the allocation of that funding through capital and revenue budgeting, the responsibility of monitoring and auditing systems and financial outcomes and their effectiveness, the ability to retain and invest surpluses and endowments, borrow and set student and other fee levels); **physical assets domain**, (which could include owning or controlling the campus and the ability to develop, enlarge or dispose of it); and the **human resources domain**, (which could include the freedom to determine how many and which staff to employ (and dismiss), the criteria for their selection, terms and conditions of their employment, employment procedures (including discipline and grievance), how staff are incentivised and their performance is appraised).

2.2 In essence, this may be summed up and approached very briefly thus, as simple questions drawing as necessary on the above.

- In what ways is your university able to operate autonomously without restriction?
- In what ways is your university restricted or not able to operate autonomously?
- To what extent are the faculties/schools/departments/divisions/subject groups able to operate autonomously within the university?
- What might be done if you are not content with the extent to which your university or sub-divisions within it are able to operate autonomously?
- What is the evidence which makes you believe you are living by this value?
- Does your university exercise its capacities in these areas responsibly, ethically, and with regard to social values?
- is your governing body effective in ensuring the right balance between freedom and responsibilities?

3. **MCO Fundamental Value 2: Academic Freedom**

3.1 The basis of this value may vary in different circumstances but might include: pursuing knowledge for its own sake, striving for excellence, providing the base of a “free society”, including the right to dissent; the toleration of diverse opinion; freedom from political constraints; the imperative of intelligent questioning and challenge to received opinion, pursuing creative experimentation in all descriptions for the benefit of society, broadly defined, undertaking research as inspired by scholarship or even hunch, determining what should be taught and how and publishing conclusions of scholarly enquiry.

3.2 The following may be seen as elements of academic freedom, however this is not an exclusive list neither is it expected that all universities enjoy all of these elements. Most of these freedoms may apply to both staff and students.

- Capacity to determine personal research priorities and themes
- Capacity to determine what should be taught
- Freedom to determine pedagogical methods
- Right to experiment and creatively explore options within research, teaching or knowledge transfer
- Freedom to publish research results and opinions arising therefrom
- Freedom to initiate conferences and external workshops and to choose themes and to select speakers to this end
- Freedom to travel in connection with personal academic interests
- Right to apply for promotion via open and transparent processes
- Right not to be subject to personal persecution or smear campaigns for legitimate academic activity
- (For students) Freedom to choose which programme to study

- Rights to a share of proceeds arising from the exploitation of intellectual property
- Freedom to speak out publicly on contemporary issues.

All the academic freedoms indicated carry with them the obligation that these are exercised responsibly, and ethically. If not, their continuation could well be threatened or the freedoms could be limited by the authorities. This implies academic proclamations are based on verifiable data.

- 3.3 Whereas the Institutional Autonomy considerations are essentially a matter of the relations between external agencies and universities, Academic Freedom can be constrained by outside agencies on universities and their staff; and by universities imposing on their staff i.e. the issues may be external or internal to the university, and this clearly determines the scope of the analysis.
- 3.4 Evidence suggests a wide variation in the manifestations of potential restrictions on universities, faculties/departments or individuals, and this includes external determination of curriculum, censorship of publications, censorship/modification of research results, regulation of themes and speakers at university conferences, political correction, re-allocation of ownership of intellectual property, damaging campaigns/accusations and any other characteristics linked to the concept of academic freedom that are deemed important within your university.
- 3.5 Again, it is not suggested that any particular administration or university displays these characteristics, but this gives an indication of issues that have and may occur and which can be considered to be a restriction on academic freedom.
- 3.6 In essence, and again put simply, this may be alternatively approached via structured questions, drawing as necessary on the above.
- To what extent does the government or ministry recognise and protect academic freedom?
 - To what extent does your University enable academic freedom at all levels?
 - In what ways does your University limit academic freedom?
 - How are your successes and good practice celebrated?
 - What might be done to enable more academic freedom if you are not content with the current situation?
 - Is your academic freedom exercised responsibly and ethically and based on verifiable data?

4. **Equity**

- 4.1 This is partly connected to the concepts of the university as a facilitator and instigator of positive societal change; as a family; and as a fair and honest trader in all of its interactions with all its constituencies.

4.2 The following are elements falling within the scope of equity, which can be seen as manifestations of the concept e.g.

for students:

- student admission processes at the three levels (L, M and D), and students from different backgrounds, ethnicity, gender and age
- espousal of cultural diversity in the curriculum
- student assessment
- the student learning experience as a whole – not just the curriculum
- preparation for student employment e.g. internship opportunities
- formulation of graduate attributes

for staff:

- appointment process in respect of gender, ethnicity, age etc.
- remuneration and terms and conditions of employment
- promotion criteria and processes
- access to facilities and developmental opportunities
- eligibility for additional payments e.g. arising from third stream activity, exploitation of intellectual property etc.

organisationally:

- equity in resource distribution mechanisms
- fairness in the application of quality criteria and related processes

and any other characteristics linked to the concept of Equity that are deemed important within your university.

4.3 Possible questions on which to base the evaluation:

- to what extent does your university espouse and practice the concept of equity in all the various domains of its activity?
- Are there any of the above characteristics in which there are shortcomings?
- What is your evidence?
- How are your successes and good practice celebrated?
- How might any shortcomings be addressed?

5. Integrity

5.1 This is a more elusive concept to pin down. But would include e.g.:

- honesty in all academic endeavour and the avoidance of academic fraud by staff and students
- guidelines to avoid corruption in staff appointment and promotion processes

- guidelines to avoid corruption in student admissions and examinations
- procedures to detect plagiarism
- procedures to preclude staff using students' work unattributed
- accuracy and honesty in advertising, communications and public relations
- honesty in the use of statistics in decision making
- honesty in financial and other reporting
- a culture of mutual support and assistance
- acceptance of personal responsibility
- safeguards to protect against financial fraud and irregularity.

It is appreciated that these are likely to processes for the detection of shortcomings in integrity and also for the means of their rectification.

Any other characteristics linked to the concept of Integrity that are deemed important within your university.

5.2 Possible questions on which to base the evaluation:

- to what extent does your university espouse and practice the concept of integrity in all the various domains of its activity?
- What is your evidence?
- How are your successes and areas of good practice celebrated?
- Are there any shortcomings in the above areas?
- How might they be addressed?

6. **Other Values**

The above are intended as exemplars, not prescriptive statements, since different universities will likely have quite different emphases which are of particular concern. Institutions are thus expected to adopt all the above as appropriate, or indeed, decide not to espouse a particular value.

7. **A Possible Format for Analysis**

In considering a particular value, institutions may find it helpful to employ a sequence like the following, or a variant with which they are comfortable

- Select a value;
- Identify the elements, behaviours, actions, policies, processes etc. which contribute to it;
- Indicate your satisfaction or not with the current position, and, if not ...
- What are the difficulties/shortcomings and ...
- What is the origin/source of the difficulties/shortcomings;
- What actions should be taken to address the issues?

Example of a pro-forma which may be used for discussion

INSTITUTIONAL AUTONOMY

1. ACADEMIC DOMAIN	SATISFACTORY POSITION?	DIFFICULTIES	ORIGINS OF PROBLEM STATUTE/PRACTICE GOVT/POLIT/CLIENTS	CONSEQUENCES OF ANY NEGATIVE ASSESSMENT	ACTIONS TO ADDRESS ISSUES IDENTIFIED
1.1 Capacity to decide student numbers <ul style="list-style-type: none"> • State funded • Fee paying • Subsidised 					
1.2 Student admission <ul style="list-style-type: none"> • Freedom to determine admission criteria • Freedom to manage admissions • Freedom to determine student profile 					
1.3 Languages of instruction <ul style="list-style-type: none"> • Freedom to decide which 					
1.4 Freedom to introduce new programmes of study <ul style="list-style-type: none"> • Bachelors • Masters • Doctorate • CPD/Part-time 					
1.5 Freedom to determine <ul style="list-style-type: none"> • Curriculum Content • Delivery mode • Learning/Teaching methods • Assessment • Multi-disciplinary degrees • Joint degrees with partners 					