

IAU, founded in 1950, is the leading global association of higher education institutions and university associations. It has Member Institutions and Organisations in some 130 countries that come together for reflection and action on common concerns.

IAU partners with UNESCO and other international, regional and national bodies active in higher education. It is committed to **building a Worldwide Higher Education Community**.



## IN FOCUS

Academic  
Freedom and  
University Autonomy  
under Threat



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*The views expressed in the articles published in IAU Horizons are those of the authors and do not necessarily reflect the views of the International Association of Universities.*

Cover images:  
Left and center: IAU 2017 International Conference in Ghana;  
Right: LGEU, Malaysia

# MESSAGE FROM THE SECRETARY-GENERAL



Dear IAU members and members of the higher education community at large,

Let me start by wishing you a happy New Year 2018. Let this year be one of increased intercultural dialogue and understanding.

Given the global and local challenges higher education is facing today, I would like to recall the important role that IAU is playing to promote collaboration among its Members worldwide and to uphold the fundamental values and principles that we believe must underpin the pursuit, dissemination and application of knowledge. IAU further encourages innovation, mutual learning and cooperation among institutions as essential for the development of higher education and to reinforce the important social responsibility of higher education.

The core values IAU promotes include: cooperation and solidarity based on mutuality of interests and shared benefits; tolerance of divergent opinions, freedom from political interference; equitable access and success in higher education and open access to knowledge; scientific integrity and ethical behavior as cornerstones of conduct for all stakeholders in higher education; higher education and research in the public interest; quality in learning, research and outreach; social responsibility and last but not least, academic freedom and institutional autonomy. The *In focus* section of this issue is, on purpose, devoted to 'Academic Freedom and University Autonomy under threat' due to the current developments in too many regions.

We will, in 2018 and in the future, continue to uphold the values we stand for and we count on all of you for your support through active participation in our work, through active advocacy of these values and principles in your universities, organisations and networks. Membership is more than an opportunity to benefit from the IAU. Membership is also about providing strong support to the values and principles and to their implementation at institutional, national and international level. Make sure you are part of this process.

We hope you will enjoy reading this issue of *IAU Horizons* including information about the activities over the past months: the IAU 2017 International Conference; the Board meeting and new activities and opportunities under IAU four priority areas: new ISAS initiatives; new opportunities to get on board the higher education and research for sustainable development projects; a session of LGEU at McMaster University, Canada you should not miss; a call for participation in a series of exciting new projects focusing on the role of technology in higher education, to name but a few. Finally, I wish to inform you that the 5<sup>th</sup> Global Survey on Internationalization of higher education is about to launch after extensive collaboration with the expert community and key partners. Make sure you take part.

In the next pages, I am very pleased to give the floor to Eva Egron Polak who led the IAU for more than 15 years and with whom so many of you will have worked over time. She leaves a wealthy and dynamic association behind and continues her good work on internationalization in a variety of ways including for IAU where she accepted the invitation to take on the position of IAU Senior Fellow. I am honored to take over from her.

I look forward to our continued collaboration in the New Year and to welcoming you at the IAU 2018 International Conference in Kuala Lumpur, from 13-15 November. It will focus on *Higher education partnerships for societal impact*.

Hilligje van't Land

## IAU Horizons 22.2 – Highlights

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HIGHLIGHTS FROM THE IAU 2017 INTERNATIONAL CONFERENCE AND GMA VII ON *LEADERSHIP FOR A CHANGING PUBLIC-PRIVATE FUNDING HIGHER EDUCATION LANDSCAPE*



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AROUND THE WORLD WITH THE IAU ADMINISTRATIVE BOARD



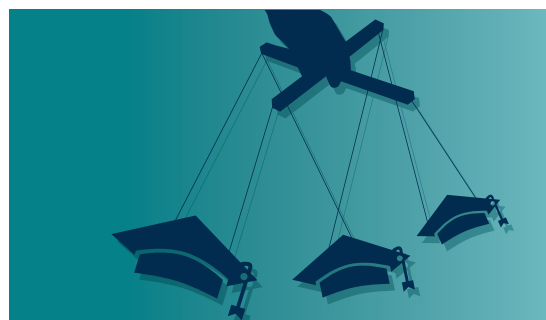
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IAU THEMATIC PRIORITY AREAS AND COLLABORATION



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IN FOCUS: UNIVERSITY AUTONOMY AND ACADEMIC FREEDOM UNDER THREAT



## IAU Portals

*The thematic portals developed by IAU aim at enhancing everyone's knowledge, expertise and experiences about the diverse ways universities around the world are internationalizing, networking, developing strategies on ESD and more. Contribute to IAU thematic portals, enrich these global spaces and showcase your work!*

### 🔗 WHED

The IAU World Higher Education Database is the unique reference tool providing information on higher education systems, credentials and higher education institutions around the world. The WHED is being constantly updated and currently covers over 18,000 institutions in some 182 countries. Make sure that the information about your institution is up-to-date and if you are an IAU Member, add your logo and pictures and benefit from advanced features! [www.whed.net](http://www.whed.net)

**Contact:** [centre@iau-aiu.net](mailto:centre@iau-aiu.net)

### 🔗 IAU Global portal on HESD

The IAU global portal on Higher Education and Research for Sustainable Development (HESD) now links each university action published to one or several Sustainable Development Goals (SDGs). Learn about how IAU Members around the world contribute to the 2030 Agenda for Sustainable Development and make your own institution's initiatives visible on the portal : [www.iau-hesd.net](http://www.iau-hesd.net)

**Contact:** [contact@iau-hesd.net](mailto:contact@iau-hesd.net)

### 🔗 IAU IDEA-PhD

Focusing specifically on innovative approaches to doctoral education in Africa, the portal offers a unique insight on the state of doctoral education at African higher education institutions. It lists programmes, initiatives, government policies and guidelines to improve doctoral supervision, networking opportunities and donor initiatives. The portal also provides unique bibliographical references from researchers in Africa and beyond. Share your work and network with a wide range of universities in Africa at [www.idea-phd.net](http://www.idea-phd.net).

**Contact:** [n.poulton@iau-aiu.net](mailto:n.poulton@iau-aiu.net)



## IAU CALLS

### 🔗 NEXT LGEU IN CANADA: SECURE A PLACE FOR 2018!

**IAU IS PLEASED TO INVITE CURRENT AND FUTURE UNIVERSITY LEADERS** to register

for the next session of the *Leading Globally Engaged Universities* programme, hosted by McMaster University, in Canada from 13 to 18 May 2018. Apply to join and exchange

perspectives on leadership challenges in a globalized world with peers from all over the globe - don't miss the opportunity! More information on page 13.

**Contact:** [j.becker@iau-aiu.net](mailto:j.becker@iau-aiu.net)



### 🔗 BENEFIT FROM EXPERT SERVICES TO ADVANCE INTERNATIONALIZATION AT YOUR INSTITUTION!

The *Internationalization Strategies Advisory Services* (ISAS 2.0) is an IAU service provided to universities, individuals, national governments or organizations, and at a preferential rate for IAU member institutions. It helps higher education institutions to develop or review their internationalization policies, strategies and programs. More information on page 10.

**Contact:** [g.marinoni@iau-aiu.net](mailto:g.marinoni@iau-aiu.net)



### 🔗 CONVINCED THAT HIGHER EDUCATION CONTRIBUTES TO THE DEVELOPMENT OF TOMORROW'S SOCIETIES?

IAU is a global organization with members in some 130 countries. The Association maintains the World Higher Education Database (WHED) with information about more than 18,000 higher education institutions worldwide. If you wish to support the association financially and propose a project that aligns with the strategic priorities of the Association, please contact: [iau@iau-aiu.net](mailto:iau@iau-aiu.net)

### 🔗 THE IAU WEBSITE ADOPTS A NEW LOOK!

The IAU revamped the Association's image online: its redesigned website, launched in November, showcases more efficiently IAU activities, publications, events and partnerships. Members are invited to share their news and advertise their events in the Global Calendar! [www.iau-aiu.net](http://www.iau-aiu.net)





# MESSAGE FROM THE PAST SECRETARY-GENERAL



**Eva Egron Polak**, *Former Secretary General and IAU Senior Fellow*  
e.egronpolak@gmail.com

**“Farewell but hoping  
we meet again**

For more than 35 years I have had the honour and the pleasure to work in the field of higher education, promoting international cooperation among academics and university leaders. I have had the chance to spend my professional life doing what I love and what I believe in. It has been a never-ending learning experience that has only reinforced my conviction that learning and searching answers to solve society's challenges - in short, the missions of all higher education institutions - are essential in all nations. This is well-understood around the globe and higher education is thriving everywhere, though taking on diverse forms. Without these institutions, it is hard to imagine how humanity could advance and find a sustainable developmental path for the future. And, without international cooperation, which brings huge dividends for all who actively take part, the search for this path would be more difficult.

As IAU's Secretary General for the past 15 years, I have certainly enjoyed many rewards. Most rewarding have been the opportunities to meet and work with incredible people. I met and learned from countless higher education leaders, many struggling in difficult conditions - in conflict areas, in developing nations, but also in Europe, North America and Asia, where different, but at times also challenging conditions, need to overcome. I have also had some challenges - academics are not always easy, but they are always intellectually stimulating and when sharing insights, personal experiences and life stories, they enrich my own vision of the world immensely. I am very grateful for that.

During my time at the IAU, some of the priority higher education issues on the IAU agenda have evolved and changed; others have been more stable. Through the work we undertook, I believe we have had an impact on how some of the trends were viewed and understood in higher education and by policy makers. Over the years, we have examined internationalization, advocated for equitable access and success, promoted education and research for sustainable development, focused on leadership development, addressed open educational resources and ICTs more generally. Always, IAU underlined values, collaboration and ethical conduct in all of its work.

In the past 15 years, I had the privilege to work with five IAU presidents: Hans van Ginkel, Goolam Mohamedbhai, Juan Ramon

de la Fuente, Dzulkifli Abdul Razak and Pam Fredman. The 5 successive Administrative Boards were like a mini UN each time, and members often became more akin to friends than Board members. Similarly, my colleagues, the IAU hard working staff, have always delivered their very best, even when I was demanding. Overtime, the Secretariat saw several long-standing and loyal staff members retire, and their successors brought new enthusiasm and insights to a renewed group. IAU owes much to each of these individuals and the vast, worldwide network of collaborators who share our values, appreciate and support the work of the association.

Of course, not everything has been rosy either. Lack of resources to achieve our goals, frustration with the lack of support for higher education in key agencies, convincing institutions to join the IAU and the never-ending competition for university leaders' attention in order to ensure that they remain active in IAU, have been among the constants of my time at IAU as well. Yet, I know, that IAU's advocacy for higher education in the interest of society and the public good, for HE that is accessible to the broadest range of learners and free from undue interference from the market or the State, remains important issues globally. No other association can play this unique advocacy role at the global level and offer its Members a global forum to join their efforts and learn from one another.

So, why step down? It was not an easy decision, nor one I took lightly. But I believe that renewal, change, fresh ideas and new approaches are all needed to remain relevant and current. This is also true of organizational leadership. I developed many new projects and initiatives at the IAU, some of which have had major impact on the sector and will continue. As priorities and challenges in higher education evolve, new services and new projects are needed and these can sometimes only come from new leaders.

I have worked with Hilligje van't Land, the new IAU Secretary General, for many years and have complete and utmost confidence in her knowledge, her work ethic and her capacity to lead IAU in the years to come. She, together with the President, the Board and the staff will develop those areas that will be most useful for Members, for the higher education sector and for society.

I end by expressing my deepest gratitude to everyone who has helped me over the years to make IAU stronger and more relevant. I always believed that mine was among the best jobs around, and I hope that Hilligje will feel the same way. I hope to remain involved in the higher education sector. I look forward to continuing supporting IAU in several projects as IAU Senior Fellow. ”

## Highlights from the

# IAU 2017

## INTERNATIONAL CONFERENCE & THE GLOBAL MEETING OF ASSOCIATIONS (GMA)

&gt;&gt; 17-20 OCTOBER 2017

ACCRA, GHANA

### IAU 2017 International Conference

In a world where nationalism is on the rise in many countries, the International Association of Universities (IAU) is proud of its mandate to foster international collaboration and exchange among higher education leaders around the world. This year the IAU organized the **IAU 2017**

#### International Conference

in collaboration with the University of Ghana in Accra from 18-20 October 2017 and had the great pleasure of welcoming 170 participants to the conference from 45 countries representing all regions of the world.

Beyond the contribution of the host, University of Ghana, the IAU was honored by the commitment shown for the Conference by H. E. Nana Addo Dankwa Afuko-Addo, President of Ghana, who was represented by the Honourable Dr. Matthew Opoku-Prempeh, Minister of Education

and Prof. Kwesi Yankah, Minister of State for Tertiary Education at the Opening Ceremony of the Conference. In the keynote delivered on behalf of the president, Prof. Yankah underlined the importance of the dialogue that the IAU as an international association is facilitating among universities around the world regardless of their size and differences. He stressed the importance of the theme of the conference: *'Leadership for a changing public private higher education funding landscape'* particularly at a time where public spending is challenged by an array of priorities such as health care, food security, climate change and education which are competing for attention and state funding in a context of downturns and decline in state resources. He further stated that: *"It is not surprising that the slice of resources available to fund higher education has diminished across the globe. The ripple effect on*

*local economies is obvious and has constrained governments the world over to pull-back on public spending, challenging nations to discover innovative ways of revenue generation for nation building.'* His presentation also included important insights on the funding of higher education in Ghana as well as the rapid growth of tertiary education with the private sector over the past two decades. Informing the participants that Ghana spends more than the world average on Education when comparing the expenditures in terms of percentage of GDP, he emphasized that it is not only about expenditures, but about content, quality and learning outcomes.

During the evening inauguration Pedro Teixeira, Vice Rector for Academic Affairs, University of Porto and Director of Centre for Research in Higher Education Policies (CIPES), Portugal framed the theme by providing a keynote on the economic developments in higher education funding. In his presentation he focused on the changing rationales for HE funding, trends in terms of diversification of funding sources and the challenges it implies and as well as the effects of increased focus on scale and reputation. He concluded by highlighting key challenges of leaders observed from four different perspectives: financial, organizational, strategic, and policy/systemic. This highly informative presentation clearly illustrated the complexity of higher education funding and the challenges that go hand in hand with the responsibility of higher education leaders.

The conference furthermore included a variety of interesting plenary presentations from different parts of the world on the role and expectations of higher education leaders; the ethical challenges for a transforming world and the institutional and societal expectations of higher education leadership. Through a series of 9 breakout sessions participants were able to discuss and share experiences around more specialized topics such as the impact on governance models of the new funding realities; the role of corruption and importance of academic integrity; the impact of competition including ranking and other market forces on the development of higher education institutions and nonetheless the perspective of the students both in terms of demands and expectations. The wealth of information and the variety of perspectives shared from different parts of the world makes it impossible to reflect it all in this short report attempting only to give a few glimpses of the deliberations of the conference, but the IAU was pleased to welcome speakers from all regions of the world naming only a few of the countries represented: Colombia, Iran, Canada, Ethiopia, Germany, Haiti, Malaysia, South Africa, Qatar, Kenya, Australia, Ireland and of course the host country Ghana. The programme also included regional and global perspectives from the Association of Universities of Latin America and the Caribbean (UDUAL), AUF - Agence Universitaire de la Francophonie, Magna Charta Observatory (MCO) and last but not least the International Association of Universities.

The presentations are available  
on the Conference website:  
[www.etchouches.com/iau2017](http://www.etchouches.com/iau2017)



## Global Meeting of Associations (GMA)

IAU was also pleased to welcome 70 participants representing some 25 university organizations around the world to the 7<sup>th</sup> edition of the biennial **Global Meeting of Associations (GMA)** which was devoted to the same theme but with particular focus on the implications for university associations. Prof. Ernest Aryeetey, former Vice-Chancellor of University of Ghana and currently Secretary General of the African Research Alliance of Universities (ARUA) delivered an inspiring keynote for the inauguration of the GMA setting the context by sharing his insights and experiences with the developments of higher education in Ghana and the challenges related to financial aspects and moving towards diversification of funding sources to meet funding gaps between the public contribution and the real cost. A plenary panel composed of representatives of associations from the European University Association (EUA), the Association of African Universities (AAU) and NAFSA, USA and nonetheless the President of the European Student Union (ESU) set the scene for discussion during the day programme of the GMA. Following the plenary panel the participants turned

to group discussions around a series of questions allowing the participants to meet in smaller groups to discuss and exchange on the different challenges and opportunities encountered in their respective contexts.

Both meetings were very successful and IAU is pleased to receive positive feedback from participants who attended the meetings. This forum provided an important opportunity for international dialogue and exchange among higher education leaders from different regions, with different traditions in terms of higher education funding and with different legal frameworks for operation. In spite of the differences in national context, common to all is that higher education leaders play an important role as influencers and decision-makers in their respective contexts. They hold a key responsibility to take the agenda forward and to protect and uphold the core values of higher education to avoid that the purpose of higher education is derailed by interest of financial profit and to ensure that at the end of the day higher education is about providing quality education to students allowing them to take informed decisions about their lives and through research contribute to the development of sustainable societies in line with the 2030 Sustainable Development Agenda.





We thank the University of Ghana for their warm welcome and hospitality and for their excellent organization of the Conference and for hosting the GMA; we thank the speakers for sharing their knowledge and experiences and for contributing to a stimulating programme; and we thank all the participants for their active participation as it was the sum of it all that allowed the IAU to hold these successful events in Accra, Ghana.

We hope to have the pleasure of welcoming you all to the next conference which will be hosted by the University of Malaya in Kuala Lumpur from 13-15 November 2018. The theme of



this conference is placing focus on the social responsibility of higher education looking at: *"higher education partnerships for societal impact"*.

## IAU WORLD HIGHER EDUCATION DATABASE (WHED)

IAU has been mapping higher education worldwide since its creation. The first publication *"Universities of the World"* was published in 1950 and contained a list of 620 universities in 73 countries. In 1959 the 4<sup>th</sup> edition *"International list of Universities and other institutions of higher education"* contained information about 3,145 HEIs in 95 countries. In 1962 the International Handbook of Universities already contains in the listing of Universities the distinction between public and private institutions. Today the World Higher Education Database (WHED) contains information on nearly 18,000 HEIs in 195 countries (see table).

The information in the WHED database is based on the national systems which are different from country to country. Yet, being aware of this limitation for comparison, it is interesting to observe the distribution by region and the

breakdown between public and private Institutions. 'Private' covers both for-profit and not-for-profit. This distinction will be made in the future although it is not always clearly indicated at country level. The number of institutions is not an indicator of the student enrolment numbers. However, it still provides an interesting snapshot showing that the majority of the HEIs are private.

🔗 Check out the wealth of information available in the World Higher Education Database (WHED).

In case you wish to update information or purchase advanced access to information, please contact [centre@iau-aiu.net](mailto:centre@iau-aiu.net).

[www.whed.net](http://www.whed.net)

|  | N° of countries | N° of HEIs | Public | %   | Private | %   | N/A | %  |
|--|-----------------|------------|--------|-----|---------|-----|-----|----|
| <b>Africa</b>                          | 55              | 1 673      | 700    | 42% | 973     | 58% | 0   | 0% |
| <b>Asia &amp; Pacific</b>              | 44              | 5 776      | 2 332  | 40% | 3 140   | 54% | 304 | 5% |
| <b>Europe</b>                          | 50              | 4 108      | 2 399  | 58% | 1 358   | 33% | 351 | 9% |
| <b>Latin America and the Caribbean</b> | 31              | 3 907      | 1 313  | 34% | 2 581   | 66% | 13  | 0% |
| <b>Middle East</b>                     | 13              | 337        | 165    | 49% | 172     | 51% | 0   | 0% |
| <b>North America</b>                   | 2               | 2 172      | 752    | 35% | 1 420   | 65% | 0   | 0% |
| <b>Total</b>                           | 195             | 17 973     | 7 661  | 43% | 9 644   | 54% | 668 | 4% |

*\*Data extracted on 16 November 2017*



## AROUND THE WORLD WITH THE BOARD

The *Around the world with the Board* section has become tradition in *IAU Horizons* and is generated when the Administrative Board meets. This year the Board met in Accra, Ghana. Board members were invited to provide synthesized insights in some of the major issues affecting higher education in their country. IAU is pleased to share such insights on 11 different countries from around the world.

### UNITED STATES

**Stephen Freedman**, *Provost, Fordham University*

In the United States, the primary issue in Higher Education relates to the possibility of changes in immigration policies for international students. In particular, concerns about H1B visa status and its impact on enrollments going forward, particularly for the graduate and professional schools. There is uncertainty about the continual growth for enrollments, especially from countries such as China, as geopolitical volatility seems to be increasing. Public state institutions continue to show budget constants and private institutions are under pressure to reduce the growth in tuition rate increases on a year to year basis. The “Value” of a liberal arts education, as it relates to career opportunities, especially in the humanities and social sciences, is also an issue of concern.

### INDIA

**Ranbir Singh**, *Vice-Chancellor, National Law University*

Today, in India there are fewer restraints on universities’ natural inclination towards internationalism. Students have more control over where they get educated and this is giving millions of youngsters a chance to spend their formative years abroad. The increased interest in internationalization has resulted in an important development of colleges that can teach managerial and technical skills and reconnect academics with the wider knowledge economy. However, the most important justification of all is that it is freeing resources of intellectual activity. This has eventually led to filling libraries with books as well as stocking laboratories with equipment, giving more researchers than ever before a chance to produce order out of chaos. However, the policymakers must strive to do more than merely enable the developed-country models. *Michelangelo was asked once: “How do you produce statues that are so full of life?” He replied “The rough marble already contains the statues; it is a matter of extracting them.”* In all the students of our universities we have fine professionals already present and the job of the universities is to chisel and bring them out not only as highly talented and skilled professionals but also good human beings.

### PORTUGAL

**Maria de Fatima Marinho**, *Vice-Rector for Cooperation and Culture, University of Porto*

Higher Education in Portugal consists of a binary system, which includes university and polytechnic education. University education is taught in public and private universities and polytechnic education in non-university HE institutions. The network of public HE Institutions comprises 14 Universities, 20 Polytechnic Institutes and 6 institutions of military and police HE. In the last decades, the Portuguese system of science and technology has reached unprecedented Internationalisation levels, following the general trends. Institutions have expanded contacts and cooperation at scientific and academic level in different countries, and international mobility of students, professors/researchers has increased substantially. The Portuguese Government recognizes the importance of HE internationalisation and recommends several categories of actions in internationalisation strategies (grouped in 4 thematic areas): i) Strategic Institutional Cooperation (joint programmes/curricular development, digital learning); ii) Mobility; iii) Promotion (Creation of a common brand for the internationalisation of PT HE); iv) Governance (reinforcement of institutional capacities).

### BANGLADESH

**Carmen Z. Lamagna**, *Vice-Chancellor, American International University-Bangladesh*

The need for quality assurance (QA) is emerging considering the nature of services and outputs of the education system. Recently from 2015, with the funding from World Bank Higher Education Quality Enhancement Project (HEQEP), along with University Grants Commission and Ministry of Education (MoE) of Bangladesh, the QA mechanism has started to roll out in all the HEIs of Bangladesh in different phases. HEQEP in its additional financing facilities has added a new component to establish quality assurance mechanism - the establishment of institutional QA cell as a catalyst for the establishment of a QA mechanism at HEIs. Another subcomponent is strengthening of a Quality Assurance Unit (QAU) of University Grants Commission (UGC) to oversee the establishment and activities of Institutional Quality Assurance Cells (IQAC) in both public and private universities.

## KURDISTAN REGION, IRAQ

**Mosleh Duhoky**, *President, University of Duhok*

The Ministry of Higher Education in Kurdistan Region raised the standards of its students learning outcomes by initiated an extensive comprehensive scholarships program to its junior staff to different world wide universities and centres of excellence. Adopting new teaching methodologies like student centred learning rather than teacher centred learning is considered as one of the positive development in our academic system. Recently there is an internal audit performance, monitoring and quality assurance along with the ranking of the universities. The ministry tries to put lots of efforts to overcome the existing barriers for progress and modernization.

## IRELAND

**Andrew J. Deeks**, *President, University College Dublin*

Although the Irish economy is recovering well following the imposition of significant austerity measures in the wake of the Global Financial Crisis (which saw the Irish financial system almost collapse in 2010), there has been no restoration of the funding cuts that were imposed on universities during this period, and no lifting of the restrictions placed on recruitment of staff and payment of allowances. Last year, for the first time since the crisis, there was an increase in the budget assigned to higher education, but this was only sufficient to offset demographic increases in student numbers. The same has happened this year, together with additional funding which is to be directed towards the Minister's priorities. Unfortunately, the value of higher education in Ireland is being questioned, and the Minister is keen to expand the technical education sector, in particular increasing the number of apprenticeships. There is currently a debate as to whether Ireland has too many university graduates and not enough skilled labour. Generally there is agreement that this is the case, yet virtually every parent wishes to see their children graduate from university. The debate continues.

## MAURITIUS

**Goolam Mohamedbhai**, *IAU Honorary president*

A noticeable trend over the past few years has been a decrease in the enrolment in tertiary education in Mauritius – both in the public and the private institutions. Mauritius is probably the only country in Sub-Saharan Africa, which is witnessing such a trend. It is true that the Gross Tertiary Enrolment Ratio in Mauritius is of the order of 40% - probably the highest in Africa. Still, Mauritius needs more skilled work force for its future development, especially as it transitions towards a knowledge economy. There could be many reasons for this decrease in enrolment: increasing unemployment of graduates, larger number of students proceeding overseas for higher studies, decrease in good quality secondary school graduates, stricter entry requirements at university level, etc. A thorough

study should be undertaken to better understand the causes and rectify the trend.

## LITHUANIA

**Giedrius Viliūnas**, *Vice-Minister of Education and Science of Lithuania. Conveyed by Board member, Inga Žalėnienė, Vice-Rector for Education and Research, Mykolas Romeris University*

Lithuania is implementing one of the most ambitious higher education reforms in Europe. On June 29, 2017, the Lithuanian Parliament approved the plan for optimization of the public university network. The plan provides for up to 8 instead of 14 currently existing state universities, intending to form two world class comprehensive research universities in 2 biggest cities, as well as retaining specialised universities. Alongside the university reform, the Lithuanian Government is planning to reform systems of tertiary vocational education and research institutes. The reform aims at strengthening international competitiveness of the Lithuanian higher education and meeting the challenges of changing demographic situation, as well as labour market demands.

## RUSSIA

**Oleg Smeshko**, *Rector, Saint-Petersburg University of Management Technologies and Economics*

Today in Russia, there are 816 universities (according to the official statistics 2016). Russian educational system consists of three levels: bachelor's degree, specialty, master's degree and training of highly qualified personnel. More than 5 million students study in public, private and municipal educational institutions. One of the main goals of the modern educational system is to ensure the modernization of the domestic economy, as well as to increase its competitiveness in the international scene through the creation of innovation development centers within Russia. Therefore, a number of projects were launched, including the priority project "Development of the export potential of Russian educational system". The project is designed to increase the attractiveness of Russian educational programs for foreign citizens and improve the conditions for their stay during their study in Russia. For the same reason target model of the activity of higher educational institutions on export of education is developing and implementing. As a result of the project, the number of international students who are enrolled in full-time study programs at Russian universities is expected to increase from 220,000 in 2017 to 710,000 in 2025.

## GERMANY

**Godehard Ruppert**, *President of the University of Bamberg*

Germany's system of schools and education lies under the sovereignty of the country's 16 states (*Länder*). In addition, through a common system the federal government can finance higher education projects and special programmes. The

“Exzellenzinitiative” which has just come to an end, was the most important programme of this system in the recent past. It was organised around 3 main pillars: graduate schools, clusters of excellence and additional funding for the expansion of individual universities’ profiles as elite institutions. A similar programme “Exzellenzstrategie” has just been launched but excluding the ‘graduate schools’ pillar. Out of 195 application submitted, 45 will receive funding starting next year. However a trend shows that the big and old universities have an advantage over new and mid-sized universities and that the crucial factor for receiving funding seems to be past performance rather than innovative ideas. The selection process was academic-driven, but favoring a conservative long term investment. That’s what sociologists call the Matthew effect: whoever has more will be given more – or in new-Swedish, the winner takes it all. The fact that the timeline for a project is now longer is positive, yet the system reinforces current disparities between universities with and without additional funding. We need a better system of basic funding for research and teaching.

## THAILAND

**Pornchai Mongkhonvanit**, *President, Siam University*

Higher Education in Thailand is under reform to cope with technology and demographic changes as the country moves towards an aging population and a decrease in the student age group; as well as to make higher education become the

main economic driver towards Thailand 4.0, a new economic development scheme of the current government focusing on value creation and modernization.

A committee has been formed by the Minister of Education in charge of developing a new “Ministry of Higher Education” in order to increase academic productivity and assure good governance. This committee also drafts “Higher Education Act” as the new Umbrella Policy Law to become the legal framework for this new ministry. This law aims at assuring the academic freedom and equitable access to Higher Education. It is foreseen that this new ministry will run by 4 main Committees: Higher Education Commission, Committee on H.E. Quality and Standards, H.E. Funding Council and Committee on the collaboration between HEIs and industry.

**INTERESTED IN BEING A MEMBER** of the IAU Administrative Board, consider becoming a candidate for election at the IAU 16<sup>th</sup> General Conference hosted by University College Dublin in Ireland in 2020.

Contact: [t.jensen@iau-aiu.net](mailto:t.jensen@iau-aiu.net)





# IAU THEMATIC PRIORITY AREAS



## Internationalization

Internationalization of higher education is an inevitable process in the era of globalization and a deliberate strategy for improving quality and relevance. IAU focuses on the academic rationales, the equitable and collaborative nature of the process and aims to minimize the adverse effects of international interactions when these take place in highly unequal and diverse contexts among HEIs with different resources, needs and interests.

### ► ABOUT ISAS (2.0)

#### ⊕ Cardiff Metropolitan University receives first “Comprehensive Internationalization” badge



Cardiff Metropolitan University is the first institution that will be awarded the ISAS (2.0) “Comprehensive Internationalization” badge. The decision was taken after the

positive opinion expressed by the Expert Panel that accomplished a site visit to institution on 9-11 October 2017. The Expert Panel was chaired by Dr. Madeleine Green, IAU Senior Fellow and included Tim Gore, Chief Executive Officer, University of London Institute in Paris, Eva Egron-Polak, IAU Senior Fellow and Giorgio Marinoni, IAU Manager, HE and Internationalization Policy and Projects. The Expert Panel provided the institution with a final report underlying the accomplishment achieved and suggesting improvements for the future. The badge will be officially awarded to the institution during the IAU 2018 International Conference, hosted by the University of Malaya, Kuala Lumpur, Malaysia, 13-15 November 2018.



Cardiff Metropolitan University awarded the ISAS (2.0) “Comprehensive Internationalization” badge.

#### ⊕ “Planning and Strategy” at Shigakkan University, Japan

A Memorandum of Understanding between IAU and Shigakkan University was signed in January 2017 and in February 2017 a site visit to launch a “Planning and Strategy” ISAS (2.0) was conducted by Eva Egron-Polak panel chair and at that time IAU Secretary-General. The university conducted a self-assessment exercise on internationalization and prepared a self-assessment report which was submitted to IAU in November 2017. The site visit by the Expert Panel took place on 29 November - 1 December 2017. The Expert Panel was chaired by Eva Egron-Polak, IAU Senior Fellow, and included Anna Ciccarelli, Fellow of The University of South Australia, Riyuki Takemura, former senior coordinator, Office of International Affairs, Hokkaido University, and Giorgio Marinoni, IAU Manager, HE and Internationalization Policy and Projects. The Expert Panel will provide the university with a report on the findings of the site visit and then help the institution develop an internationalization strategy.

#### ⊕ “Planning and Strategy” at KIIT University, India

In March 2017, Eva Egron-Polak, panel chair and at that time IAU Secretary-General, signed a Memorandum of Understanding between IAU and KIIT University during the launching site visit for a “Planning and Strategy” ISAS (2.0). The university conducted a self-assessment exercise on internationalization and prepared a self-assessment report which was submitted to IAU in November 2017. The site visit by the Expert Panel will take place on 17-19 January 2018. The Expert Panel is chaired by Eva Egron-Polak, IAU Senior Fellow, and included Hans-Georg van Liempd, Managing Director, School of Social and Behavioural Sciences, Tilburg University, Giorgio Marinoni, IAU Manager, HE and Internationalization Policy and Projects and an Indian expert to be confirmed. After the site visit, the Expert Panel will provide the university with a report on the findings and then help the institution develop an internationalization strategy.

## TAKE PART IN ISAS (2.0)!



The Internationalization Strategies Advisory Services programme provides support and advice to IAU members that seek to move forward on their internationalization efforts. For a full description of the IAU programme for advancing the internationalization of higher education, and to consider how this service may be of use to your institution, click on Internationalization advisory service on the IAU website or contact: Giorgio Marinoni at [g.marinoni@iau-aiu.net](mailto:g.marinoni@iau-aiu.net).

## 5<sup>th</sup> edition of the IAU Global Survey on Internationalization of Higher Education

IAU started the preparation of the 5<sup>th</sup> edition of the Global Survey on Internationalization of Higher Education and received support by different organizations around the world, among them, IAU wished to thank especially AUF, DAAD, NAFA and UNESCO for their financial contribution.

An Advisory Committee of international experts on internationalization was formed. It reviewed and redesigned the questionnaire to be used to collect data from HEIs. The questionnaire was tested by a pilot group of institutions and will be finalized by the end of the year 2017, in order to be translated in French thanks to the support of ARES, and in Spanish thanks to the support of OBIRET and the University of Guadalajara, Mexico. IAU plans to collect data in 2018 and publish the 5th edition in early 2019. The final report will be published by DUZ academic publishers and AUF will provide its translation in French.

## IAU appointed as coordinator of NIEA

IAU was appointed as coordinator of the Network of International Education Associations (NIEA) at the meeting held at the European Association for International Education (EAIE) conference in Seville (September 2017). NIEA brings together non-profit, non-governmental associations which main stated purpose is to advance international higher education. NIEA members meet twice a year: in spring during a conference in the Global South and in autumn in Europe at the EAIE conference. The next official NIEA meeting will take place at FAUBAI conference in Rio de Janeiro, Brazil on 14-18 April 2018.

## Internationalisation of Higher Education: a Handbook and a Journal



### Handbook on Internationalisation of Higher Education

Since Spring 2016 IAU acts as the Chair of the Editorial Board for the publication of this Handbook by DUZ Academic Publishers (DUZ Verlags- und Medienhaus GmbH) in Berlin, Germany, the first issue under IAU's coordination (issue 2/2016) was published in July 2016, and since then other four issues have been published, the latest being issue 3/2017, published in November 2017. Published three times per year and including articles from all over the world, the Handbook offers practically oriented articles of interest to anyone engaged in the internationalization of higher education. IAU Members benefit from a substantial discount on subscriptions to the hard copy and online versions. Website: <https://www.handbook-internationalisation.com/>



### Journal of the European Higher Education Area:

IAU Members can also benefit from a lower price on the subscription to the "Journal of the European Higher Education Area", another publication by DUZ Academic Publishers, a user-friendly tool to support the work of higher education leaders, faculty, decision-makers and students interested in the major reforms of the Bologna Process and their implications for institutional strategies and practices.



Contact: [g.marinoni@iau-aiu.net](mailto:g.marinoni@iau-aiu.net)



# Higher Education and Research for Sustainable Development

Future well-being of humanity and the planet depends on successful resolution of the interconnected challenges of economic, social, cultural, and environmental sustainability. IAU's actions in support of the *Agenda Transforming our world: the 2030 Agenda for Sustainable Development* and related Sustainable Development Goals (SDGs) provides a new framework for university collaboration, in research, curriculum development and outreach.

## + New IAU report - Higher Education Paving The Way To Sustainable Development: A Global Perspective



In September, the IAU launched the Report of its 2016 global survey on Higher Education and Research for Sustainable Development (HESD). With this publication, the IAU underlines the key role higher education plays in achieving the SDGs. By sharing knowledge and promoting international cooperation, the IAU aims at supporting and inspiring higher education leaders to develop

HESD strategies. The findings of this publication are based on a survey in which 120 higher education institutions worldwide took part. The results underline that universities are involved in sustainable development and integrate it in their strategic development plans. However, there is room for progress.

Download the report: [www.iau-hesd.net](http://www.iau-hesd.net)

## + UNESCO Global Action Programme on Education for Sustainable Development (GAP-ESD)

In September, IAU renewed its commitment to the UNESCO GAP Partner Network for the coming two years (Action Area 2: Transforming Learning and Training Environments). Partners in this area promote the whole institution approach to HESD. Such an approach implies the active involvement of all stakeholders in an institution (students, staff, faculty/educators, local citizens, community organizations and companies) working together to embed sustainability in curriculum, teaching and learning, governance, facility and operations, human resources, community interaction, and in research.

To share your experiences and questions on this with the IAU, please contact us via the IAU online form available at: [www.iau-hesd.net](http://www.iau-hesd.net)

## + HESD portal renewed with the 17 SDGs

### SUSTAINABLE DEVELOPMENT GOALS



The IAU HESD portal now integrates the SDGs in all the content published. This upgrade allows to better showcase higher education's contributions to the 2030 Agenda for Sustainable Development. Join universities and other HEIs from around the world and help scale up your actions while learning with and from others: make sure you share your institutional profile and sustainability initiatives on the portal. Register using our online form accessible at: [www.iau-hesd.net](http://www.iau-hesd.net)

## + Representation

The IAU took part in various events to promote HESD and present IAU's work in this field including the GUNI (Global University Network on Innovation) International Conference on SDGs and the EAIE (European Association for International Education) Conference.

### IAU HESD CLUSTER

The IAU is building a cluster that will enable a select number of Member institutions and organizations to collaborate more closely and engage with the Association on HESD issues. The cluster will contribute to the advancement of IAU's 2016-2020 strategic objectives. For more information and to get involved, please contact: Dr. Hilligje van't Land, [h.vantland@iau-aiu.net](mailto:h.vantland@iau-aiu.net)





# Values-based leadership in higher education

## *The International Mapping of Tertiary Education Leadership training programs is now online*

IAU was commissioned by the World Bank to undertake a mapping of professional development training programs available around the world for higher education leaders at different levels of the institution. The aim of this exercise was to identify programs on offer and discover gaps in terms of geographic coverage, type of program, target audience, etc. IAU has issued an analytical report presenting the rationale, methodology and results of the study.

The list of all 78 identified programs is now available in an online searchable directory, which allows sorting the programs according to 6 topics as follows: target audience, duration, delivery mode, location, tuition fee, credential.

For more information and download the online searchable directory of programs, visit <https://iau-aiu.net/Leadership> or contact: Juliette Becker ([j.becker@iau-aiu.net](mailto:j.becker@iau-aiu.net))

## Leading Globally Engaged Universities (LGEU), a truly global leadership programme in nature

After four successful sessions in Asia, Europe, Latin America and Africa, Leading Globally Engaged Universities (LGEU), the IAU leadership development programme, is going to North America! The 5<sup>th</sup> session will be hosted by **McMaster University in Canada** for the first 2018 session taking place from **13 to 18 May 2018**.

Launched in 2015, LGEU is a 5-day programme which moves around the globe, held twice a year and hosted by an IAU Member institution. Each session brings together about 15-20 senior Higher Education representatives in leadership positions from all over the world. It provides an opportunity for higher education leaders with an international outlook, to engage in peer-to-peer learning in a distinctive, internationally-oriented leadership development programme. The workshop combines engaged debate about strategic leadership issues in HE, with structured peer-learning exercises that underline unique aspects of working in an inter-cultural and globalized context. LGEU also offers opportunities to learn about the institutions, country and region in which it takes place through visits to local institutions and organizations. Gain insights, inspiration and build new networks to respond to the challenges and changes impacting on higher education systems and individual universities worldwide.

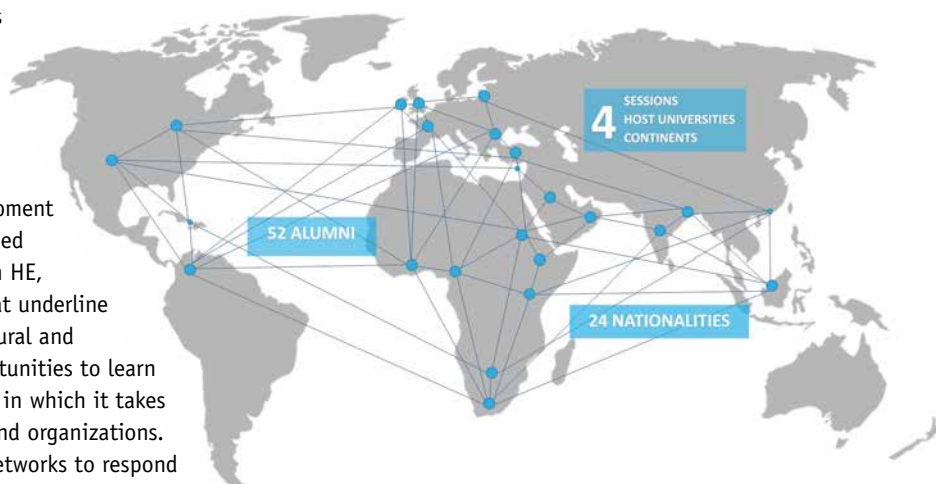
**Apply now!** <https://iau-aiu.net/leadership>

## What participants gain



**LEADING GLOBALLY  
ENGAGED UNIVERSITIES  
(LGEU)**

- A global network of higher education colleagues in similar leadership positions;
- Appreciation of how institutions in different countries are responding to common challenges;
- Alternative perspectives on the different conceptions of leadership and in particular values based and global leadership;
- Practical insights into how the host country is enhancing global engagement – at system, region and institutional levels;
- Greater awareness of their preferred style of leading and your personal strengths as an effective senior team member and globally adaptive leader;
- Specific ideas and opportunities to extend their university's approach to global engagement & collaboration;
- An outline plan to take forward in their own institutional context; and
- An extended suite of practical tools, resources and models to aid them and their institution become even more globally engaged.





# Information and Communication Technologies (ICTs)

The future of higher education: what is the role of technology?



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In the international development discourse, it is commonly accepted that ICTs contain new opportunities to facilitate access to knowledge and information and thereby the potential to reduce inequalities by expanding access to knowledge and information to larger parts of the world's citizens. However while pursuing the positive developments that ICTs may offer, it is also important to recognize that harnessing the potential of ICTs is often very costly. In a context of financial restrictions, reductions in public spending and increased competition and commercialization of higher education, **leaders of universities need to decide how to invest in ICTs in order to maximize the benefits and opportunities in order to remain relevant and provide state of the art ways of teaching, research and management.** Simultaneously, leaders are confronted with increasing levels of information security and data protection, as well as the high risk of technology obsolescence due to rapid development. Last, but not least, implementing new ICTs often requires adaptation, capacity building for faculty and staff so that they embrace the changes and transformation ICTs bring about and make use of them for improving learning and research. None of which are simple processes to put in place. Thus, while recognizing the important potential of ICTs to bridge divides and to reduce inequalities, the risk of exacerbating existing or creating new inequalities is equally high since it requires means, necessary infrastructure and human skills to harness the potential of ICTs.

It is for this reason that IAU has an important role to play in this area as the Association represents higher education institutions in all corners of the world regardless of their differences both in terms of type of institutions as well as the different national contexts. IAU has a unique capacity to bring

together members and foster exchange of information and experience in order to bridging divides through exchange of experience and information and contribute to bridging rather than exacerbating existing divides.

In line with the IAU Strategic Plan, IAU is pleased to announce that an action plan has just been approved during the IAU Administrative Board in Accra, Ghana and we look forward to moving forward in this new area for the Association; monitoring trends with its members, acting as a catalyst for cooperation and exchange and most importantly acting as a voice for access to knowledge and information for all.

## CALL FOR PARTICIPATION

IAU Members are invited to share their experiences about how they are innovative using technology to enhance the quality and /or access to higher education. It can be in form of an article, a wish to organize a workshop to showcase the experience to IAU members or to take part in a working group to pilot activities in this field.

For more detailed information, please contact Trine Jensen ([t.jensen@iau-aiu.net](mailto:t.jensen@iau-aiu.net))

# IAU COLLABORATION AND NETWORKING

IAU is always pleased to partner with Members and other higher education stakeholders, including development and donor agencies on targeted projects and initiatives. Most fall under the four pillars identified in the IAU strategic plan. Some are crosscutting and are reported on here.

## Collaboration with the Council of Europe



IAU continues to support the work of the Council of Europe in relation to higher education. Recently IAU took part in three specific events:

### + 8<sup>th</sup> Forum on Education Reforms, Prague, Czech Republic

The Council of Europe launched the new Reference Framework of Competences for Democratic Culture (RFCDC) at the 8<sup>th</sup> Forum on Education Reforms in Prague, Czech Republic. The RFCDC will be developed for uptake at HE level in 2018. The event brought together participants from 37 countries of the European Cultural Convention, representatives of major intergovernmental organisations and NGOs. The IAU Secretary General chaired a session and moderated the closing panel discussion.

### + Lisbon Recognition Convention Committee Meeting, Strasbourg, France

The meeting led to the adoption of the Recommendation on Recognition of Qualifications held by Refugees, Displaced Persons and Persons in a Refugee-like Situation

### + The 3<sup>rd</sup> Bologna Process Researchers' Conference, Bucharest, Romania

Under the auspices of the Romanian Government, the Conference brought together researchers from Europe and beyond to discuss *Twenty Years of Bologna and a Decade of EHEA: What's Next?; the Bologna Process and the Wider World of Higher Education; Social Dimension within a quality oriented HE systems; Transparency Tools - Impacts and Future Developments; Financing and Governance*. The research papers will be published in a volume to be presented at the Bologna Policy Forum and the Paris Ministerial Conference in May 2018. More information: <http://fohe-bprc.forhe.ro/>

## Cooperation with Magna Charta Observatory (MCO)



In light of the commitment to shared values, collaboration between IAU and MCO continued to strengthen. The collaboration is in line with MCO's efforts not only to include

more signatories from other world regions, but also to determine how its work and the values it promotes need to reflect perspectives of non-European higher education institutions. For IAU, collaborating with the MCO supports its thematic focus on values-based leadership and its strong desire to promote ethical conduct and academic integrity. The two organizations took part in a daylong workshop on academic integrity organized by Turnitin, in June 2017. The former Secretary General attended the MCO Annual Conference held in Hungary in September, and the MCO once again organized a workshop as part of IAU International Conference in Ghana. The former Secretary General was one of the MCO Council Members involved in preparing the pilot project entitled 'Living Values' which is getting underway in a dozen universities around the world. The project aims to mobilize universities to put values into practice and to share how they do so with the MCO.

## Updates on the Higher Education Institutions and Responsible Research and Innovation (HEIRRI) project



Higher Education Institutions  
& Responsible Research and Innovation

This European Commission funded project in which IAU is involved aims at integrating the concept of "Responsible Research and Innovation" (RRI) in the education of future professionals involved in research and innovation systems, with a view to promote its alignment with societal needs, values and expectations. HEIRRI understands RRI as a transformative, critical and radical concept, and includes the six key aspects identified by the European Commission: public engagement, gender, open access, science education, ethics and governance. RRI can potentially make research and innovation investment more efficient, and focus on global societal challenges at the same time. IAU contributed to HEIRRI's recent developments of Training Programmes and Materials addressing different educational levels, using innovative methodologies and various media. Higher education institutions from around the world are testing the training programmes and materials until March 2018. The results of these pilots will be presented in the 2<sup>nd</sup> HEIRRI conference, in Vienna on 27 April 2018. It will focus on 'Education towards a responsible society, transforming universities through RRI'. [www.heirri.eu](http://www.heirri.eu)



## MEMBERSHIP NEWS

Total number of institutional Members  
is **615** (as of 1 December 2017)

**IAU is pleased to welcome new Members who joined and re-joined the Association since April 2017.**

### NEW HIGHER EDUCATION INSTITUTIONS

#### Bosnia and Herzegovina

Herzegovina University  
[www.hercegovina.edu.ba](http://www.hercegovina.edu.ba)



#### Côte d'Ivoire

Peleforo Gon Coulibaly University  
[www.univ-pgc.edu.ci](http://www.univ-pgc.edu.ci)



#### Ethiopia

Addis Ababa Science and Technology University  
[www.aastu.edu.et](http://www.aastu.edu.et)



#### France

Business and Development School 3A  
[www.ecole3a.edu](http://www.ecole3a.edu)



#### Haiti

Caribbean University (*Rejoin*)  
[www.universitecaraibe.com](http://www.universitecaraibe.com)



#### Hungary

University of Pécs (*Rejoin*)  
[www.pte.hu](http://www.pte.hu)



#### Iceland

University of Iceland (*Rejoin*)  
[www.english.hi.is](http://www.english.hi.is)



#### India

Jawaharlal Nehru Technological University Anantapur  
[www.jntua.ac.in](http://www.jntua.ac.in)



#### Iran

Imam Javad University College  
[www.en.iju.ir](http://www.en.iju.ir)



#### Iran

Payame Noor University  
[www.pnu.ac.ir](http://www.pnu.ac.ir)



#### Iraq

Hawler Medical University  
[www.hmu.edu.iq](http://www.hmu.edu.iq)



#### Jordan

American University of Madaba  
[www.aum.edu.jo](http://www.aum.edu.jo)



#### Jordan

University of Petra  
[www.uop.edu.jo](http://www.uop.edu.jo)



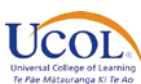
#### Mexico

University of Guanajuato (*Rejoin*)  
[www.ugto.mx](http://www.ugto.mx)



#### New Zealand

Universal College Of Learning  
[www.ucol.ac.nz](http://www.ucol.ac.nz)



#### Peru

National University of Central Peru  
[www.uncp.edu.pe](http://www.uncp.edu.pe)



#### Russian Federation

Voronezh State University  
[www.vsu.ru](http://www.vsu.ru)



#### Saudi Arabia

University of Business & Technology  
[www.ubt.edu.sa](http://www.ubt.edu.sa)



### NOT YET MEMBER? JOIN IAU

- The most representative association with more than 700 members in some 120 countries
- A UNESCO partner, uniquely positioned to collaborate with many international organizations
- A long history of promoting values of academic freedom, intercultural dialogue, collaboration, ethical conduct and global social responsibility.

### BENEFIT FROM

- **An advanced access to IAU information services**
  - World Higher Education Database (WHED)
  - peer-reviewed journal Higher Education Policy
  - magazine IAU Horizons
  - and all other IAU publications
- **Opportunities to make your institution visible**
  - host IAU international conferences & workshops
  - showcase your initiatives on the WHED, on IAU website, newsletter and portals
- **Advisory services and professional development opportunities**
  - Internationalization Strategies Advisory Service
  - Higher Education leadership training programs
- **A large network of peers from around the world**
  - Learn from other perspectives, share your knowledge and form new partnerships
  - Get actively involved in IAU governance

[www.iau-aiu.net](http://www.iau-aiu.net)

contact: [j.becker@iau-aiu.net](mailto:j.becker@iau-aiu.net)

# IN FOCUS

## Academic Freedom and University Autonomy under Threat

UNIVERSITY AUTONOMY AND ACADEMIC FREEDOM ARE CONCEPTS AND PRINCIPLES THAT ARE AT THE HEART OF THE WORK OF IAU. Today it is not so much what academic freedom and university autonomy stand for that we invited the authors to address, but rather the ways in which they are under threat in a growing number of countries around the world.

Kwadwo Appiagyei-Atua analyses how the 'third generation of constitution making in Africa' since the fall of the Berlin Wall saw the return of democracy in Africa and the slow yet controversial recognition of academic freedom.

John Higgins highlights paradoxes in the South African experience including the post-apartheid divorce between academic freedom and institutional autonomy that resulted in formal centralization of state authority over universities. He analyses how the recent #FeesMustFall protest movement has resulted in austerity measures that ultimately work to their disadvantage.

Juliette Torabian shows how successive French University Autonomy laws have created and increased horizontal differentiation between universities and how the latest autonomy plan increased the steering power of the French state, leading universities to adopt principles from the economic field and thus eroding authentic autonomy rather than reinforcing it.

Hsueh Chia-Ming analyses how world round campus censorship is steadily increasing over the past years. The harm to academic freedom is not only regional but also international and needs to be addressed as such.

Samvel Karabekyan and Kristina Tsaturyan explore how changes in the law impacts on higher education in Armenia and in particular on the quality of staff and study programmes.

Dzulkipli Abdul Razak presents the results of a Malaysian research project aiming at identifying steps that are to "catapult Malaysia's higher education sector towards excellence".

Michaela Martin looks at the nature of autonomy in selected higher education institutions in five Asian countries to analyze the effects of higher education governance reforms.

Beathe Øgård refers to the UNESCO Recommendation concerning the status of higher education teaching personnel in adopted in 1997 and provides examples of how autonomy of universities continues to be under threat.

Judith Eaton discusses the important threats to autonomy in the US in the current national political context.

Agneta Bladh recalls the principles of the Magna Charta Universitatum and the need to possibly revisit it to better adhere to the reality of higher education's positioning in society today.

Sjur Bergan, on behalf of the Council of Europe on the one hand, Phil Altbach and Hans de Wit from a Boston College point of view on the other, debate the degree to which freedom and autonomy can or should be exercised. Both papers stress that high quality teaching and research is not possible in the absence of academic freedom and institutional autonomy, two conditions for democratic societies to strive.

Last but not least, the papers by Marit Egner and Lauren Crain present the Academic Refuge Project and Daniel Munier calls for attention to *Free to Think 2017*, the Scholars at Risk third annual report analyzing attacks on higher education communities.

**Hilligje van't Land,**  
IAU Secretary General

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- 29 **The Gold Standard of Academic Freedom in an Age of Uncertainty** by Philip G. Altbach and Hans de Wit, CIHE
- 30 **Academic Refuge: a strategic partnership to promote greater respect for academic freedom and welcoming refugees in higher education** by Marit Egner, Norway and Lauren Crain, Scholars at Risk
- 31 **Global Rise in Anti-Democratic Trends and Attacks on Higher Education** by Daniel Munier, Scholars at Risk
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Do not hesitate to contact IAU in case you have questions or comments related to the articles in the 'In Focus' section.

Contact: [j.becker@iau-aiu.net](mailto:j.becker@iau-aiu.net)

## 01 Institutional Autonomy and Academic Freedom under threat in Africa



by **Kwadwo Appiagyei-Atua**, Senior lecturer at the Faculty of Law, University of Ghana

Institutional autonomy and academic freedom remain contested issues in Africa. The return to democratic rule in most African countries after the fall of the Berlin Wall ushered Africa into its third generation of constitution making [1]. Each generation of constitution-making impacted differently on academic freedom, depending on whether democracy was upheld or degraded, thereby affirming the intricate relationship that exists between democracy and academic freedom [2]. Thus, one can conclude that the evolution of academic freedom is in its third phase in Africa. The third phase, which saw the return of democracy to Africa, witnessed for the first time in the constitutional history of Africa, the specific recognition of academic freedom in the constitution of 14 African countries [3].

Yet, about 20 years after the return to democracy, Africa is going through another phase of constitution-making, witnessed by a return to illiberal democracies or liberalized authoritarianism. There have consequently been changes in the constitutions and laws of at least 15 African countries to allow for “third termism” (change of the constitution or other laws to allow for a third or indefinite term in office which constitutes an infringement on the principles of democratic change of government).

Based on this trajectory, the question is whether there has been a parallel change in the fortunes of academic freedom in Africa?

A review of African states’ constitutions do not reflect a change in the laws on academic freedom. However, in practice, academic freedom remains fragile, not consolidated, in its exercise and respect. This diminished fortunes of academic freedom cut across board, not depending on whether a country has altered its constitution or any existing laws to allow for third termism. In this era and space, institutional autonomy and academic freedom have suffered from abuses, not only from the usual culprit, the State, but also from non-State actors as well as the management of these same institutions.

To assess this development, the paper adopts the criteria developed by the Scholars At Risk Network (SAR) academic freedom monitor which aims to “identify, assess and track incidents involving one or more of six defined types of conduct which may constitute violations of academic freedom

and/or the human rights of members of higher education communities.”[4] These are

- Killings/violence/disappearances
- Wrongful imprisonment/detention
- Wrongful prosecution
- Restrictions on travel or movement
- Retaliatory discharge/loss of position/expulsion from study
- Other significant events [5]

Since the beginning of 2017, based on information gathered by SAR Monitoring [6] instances of violation of institutional autonomy and academic freedom recorded by SAR shows as follows:

|   | Event               | Frequency |
|---|---------------------|-----------|
| 1 | Imprisonment        | 2         |
| 2 | Prosecution         | 2         |
| 3 | Loss of position    | 4         |
| 4 | Travel restrictions | 2         |
| 5 | Killings            | 13        |
| 6 | Disappearances      | 13        |
| 7 | Violence            | 13        |
| 8 | Imprisonment        | 4         |
| 9 | Other               | 1         |

For East Africa, countries affected are Kenya, Zimbabwe and Uganda. In one incident from Kenya, which occurred on October 10, 2017, a group of unidentified gunmen opened fire on a van carrying students, staff and faculty on the campus of the Technical University of Mombasa in which two lecturers died in the attack [7].

For West Africa, 8 incidents have been recorded, centred in Nigeria (6), Niger (1) and Sierra Leone (1). In one of such incidents two unidentified attackers attempted to bomb a dormitory at the University of Maiduguri. This was the sixth reported attack on the university since January 2017, attributed to the Boko Haram insurgency [8].

In North Africa, 4 incidents have been recorded this year, affecting Egypt (3) and Algeria (1). In one reported incident, a professor of neuropsychiatry at Zagazig University was suspended on August 20, 2017 for allegedly posting blasphemous Facebook messages [9].

In Central Africa, 2 incidents were recorded in DRC and Cameroun. Details on the incident which occurred in DRC are that on July 21, 2017, Congolese soldiers and police opened fire on University of Kinshasa (UNIKIN) students demonstrating against the detention of two classmates which resulted in the death of two student protesters [10].

These incidents, though, are not exhaustive. In Togo, for example, student leaders were arrested, tried and imprisoned in



June 2017 for leading ‘unauthorised’ demonstrations to press for the payment of their allowances and for better conditions on university campuses [11].

Also, in the countries which have sought to introduce third termism, references to increased erosion of human rights generally have been recorded against the Opposition, pro-democracy civil society groups, academics and students before the imposition of third termism, during the process to change the laws to allow for third termism or after the imposition of third termism.[12] A good example remains Togo and the Democratic Republic of Congo (DRC), which has led to high-handed brutality, arrests and the firing of live munitions against student demonstrators on university campuses [13].

In conclusion, it is worth reminding States that their core duty towards the university is not to control but to regulate and ensure a balance between autonomy and accountability (see paras 10, 15 and 22 of the UNESCO Recommendation on the Status of Higher Education Personnel). The State is also reminded of its ‘obligation to protect higher education institutions from threats to their autonomy coming from any source’ (Para 19, UNESCO Recommendation). University management is also advised that, as provided under para 20 of the UNESCO Recommendation, ‘autonomy should not be used ... as a pretext to limit the rights of higher-education teaching personnel...’

## 02 Paradoxes of Academic Freedom in South Africa



by **John Higgins**, Arderne Chair of Literature, University of Cape Town, South Africa

The grounding ideas that direct our action and policies – those that we assume can be taken for granted – are often those that need the most careful attention.

In higher education, academic freedom and institutional autonomy are fundamental ideas, and while few if any openly speak out *against* the core ideal of academic freedom, the way it is spoken *for* may work to inhibit or undermine it.

Some of the particular paradoxes and ambivalences of the South African experience may throw unexpected light on the fundamental concepts of academic freedom and institutional autonomy as these face new threats in the twenty-first century.

### Paradox One

The forcing of the National Party’s apartheid policies onto higher education through the *1958 Higher Education Amendment Act* prompted one of the most forceful formulations of academic freedom and institutional autonomy of the twentieth century.

Writing against the racial segregation of higher education, vice-chancellor of the University of Cape Town, T. B. Davie, argued that academic freedom and institutional autonomy were inextricably interwoven, and universities had to have “freedom from external interference in (a) who shall teach, (b) what we teach, (c) how we teach, and (d) whom we teach”.

### A Second Paradox

With the formal demise of apartheid and the adoption of a new Constitution in 1996, many expected the triumph of Davie’s principles. Instead, the new government – fearing resistance to its policies for transformation in higher education – insisted on divorcing academic freedom from institutional autonomy.

True, the new Constitution offered explicit protection for academic freedom, but only by identifying it as an individual right, alongside and akin to the freedom of artistic expression, and severing it from the questions of its setting as a practice in actual higher education institutions.

The 2012 *Amendment Act* cemented what was implicit in this constitutional compromise: the formal centralization of state authority over the universities.

Ironically enough, the new legislation authorized a degree of state control that the apartheid government itself would have envied (while, just as surely, it would have absolutely rejected the policy’s transformative content).

Proponents of academic freedom and institutional autonomy decried this, but it was the student protest movements of 2015 and 2016 that revealed just how paper-thin this authority was in reality, and exposed the underlying flaws in its definition of academic freedom.[i]

### Current Paradoxes

A powerful dimension in the protest movements was the implicit critique of the constitutional compromise, and above all, its core definition of academic freedom as an abstract human right divorced from institutional practice.

Protest focused on the material and institutional aspects necessary for student academic freedom practice under the organizing slogan *#FeesMustFall*. [ii]

*Lehrfreiheit* (to use an old vocabulary) needed to include such mundane but essential things as funds for the buying of textbooks, but also the provision of food, accommodation

and transport for the underprivileged students drawn from the massively unequal society that is South Africa.

Successful at least in the short-term, *#FeesMustFall* resulted in a 0% increase in fees for the 2016 academic year, and the promise of further government action on a range of associated issues.

But the focus on fees also created its own problems, particularly in policy environment dominated by a populist politics.

For too exclusive a focus on fees and student funding alone threatens to marginalize and put out of the picture other key areas in the ecology of the higher education system, in ways that ultimately threaten the sustainability of the system as a whole.

Since 2016, the new austerity measures present a number of paradoxes: shrinking the number of staff enables (but does not support) the growth in student numbers; increasing the budget for student bursaries decreases funding for library allocation, maintenance and infrastructure, including IT, in ways that work ultimately to the disadvantage of students.

More recently, the shock announcement by the National Research Foundation of a two-thirds cut to its budget for research support threatens to undo the past decades of steady improvement in staff development and research productivity,

Consideration of South Africa's often paradoxical relations to academic freedom and institutional autonomy show how complex these ideas are, and how difficult to realize in practice.

The global challenge remains how to acknowledge and prioritize (according to different national circumstances) the differences and distances between the assertion of the abstract right to academic freedom (both of students and staff), and the provision of the material and institutional resources necessary to put that right into practice.

### 03 A glance at the role of the State in universities' autonomy in France



by **Juliette Torabian**, *Senior international expert in education and sustainable development, Doctorate in comparative higher education, University College London, Institute of Education*

French higher education is a uniquely complex system which is difficult to read from the outside. Its centralised system is an

aggregation of sharply hierarchical institutions that are funded and governed by different ministries and non-State partners which does not assent to the more habitual divide between private and public institutions. According to Clark (1983), the French HE system is a typical example of a 'single public system with multiple sectors'- Mascret (2015) affirms this is still the case today. The history and development of French universities' autonomy, therefore, differs from other systems such as the Canadian or the UK systems that are categorised as 'multiple public system with multiple sector' with a historically established autonomy.

What is interesting is the case of French HE, is the changing definition and rationale behind 'autonomy' of HEIs. In the 1968 Edgar Faure law, universities' autonomy is reminiscent of the State's trust in the capacities of cultivated professors and students to participate in the governance of universities. The 1984 Savary law- abrogated in 2000- follows suit but prefers to create an evaluating body (CNE) anyways. In 2002, the law on finances sets forth a new contractual management scheme shifting towards more institutional financial autonomy.

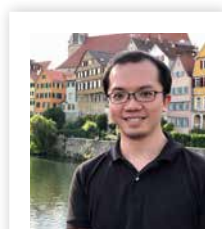
Autonomy takes a new meaning with the controversial 2007 LRU law that indicates 'the universities should benefit from a governance system that is better adapted to the challenge of excellence and provision of education to a greater number of students'. This law enunciates the inability of the State in continuing to directly manage the universities in an increasingly expanding HE system. The autonomy project of the State had two aims: 'a) contain public expenditure and allocate funding based on performance; b) make universities accountable as they assume responsibility of their own strategy and resource planning' (Mascret, 2015:78). Hence, the State gave more administrative- not leadership- power to the President of the universities to use and manage their allocated public budget and their personnel (which was handled by the State till then).

Despite the apparent rationality of the increased autonomy of HEIs under the 2007 LRU law, the process has failed to facilitate authentic academic autonomy. In fact, the State obliged universities to assume full autonomy until the deadline of 1<sup>st</sup> of Jan 2012 without really giving them the wings to fly. The 4<sup>th</sup> Report of the LRU follow-up committee (30 Jan 2012) indicates this by saying 'all universities are as of now autonomous but the process is still incomplete...the process cannot be reduced to legal aspects and must extend to teaching and research...and the role of the State should evolve concurrently with the new status of universities'. Following the LRU law a few of bigger universities who already had established local partnerships with other universities and the grandes écoles under the PRES initiative and who had a better capacity to deal with the autonomy situation advanced but other smaller universities were left behind. The 2013 report of the Commission of Senators to the Council of Ministers underlines the positive aspects of LRU but also expresses doubts and regrets with regards to the transfer of authority which has

not been based on a thorough analysis of the capacities of each university. The report points out some of the side effects have been an increase in hiring contractual teachers and a multiplication of course offers without a real relevance to the needs of the students and the society. Thus, in the name of autonomy, the law created further horizontal and vertical differentiation between universities.

Furthermore, the deregulation that happened under the enhanced institutional autonomy in France has become a re-regulation of HEIs and has in fact helped the State keeping its powerful position in steering the HEIs from a distance. Autonomy cannot exist when universities have no say in choosing their students and as long as the State appoints university ‘teacher-researchers’ or ‘professors’. In addition, along with the trend of increased autonomy there has been a growing influence of economic rationality over the regulations and decision-making procedures of institutions. It has meant more external control and accountability combined with an exaggerated amount of bureaucracy that is considered by several researchers (Watty, 2002; Millikan & Colohan, 2004; Cartwright, 2007; Willems et al, 2014) as an attack on the professional autonomy of teaching staff. Thus, the ‘autonomy plan’ of the French State has played a double role: it has ensured the steering power of the State and has led universities to adopt principles from the economic field that consequently erode any attempt towards authentic autonomy of the French HEIs.

## 04 Academic Freedom: The Soul of Higher Education



by **Hsueh Chia-Ming, Ph.D., Visiting Scholar, Center for Studies in Higher Education, University of California, Berkeley**

Over the course of several decades, higher education worldwide has moved from the periphery to the center of governmental agendas. The rapid increase in number of universities from the second half of the twentieth century reflects the growing importance of the higher education sector in promoting economic growth. Universities are now seen as crucial national assets in addressing many policy priorities, and as sources of new knowledge and innovative thinking; providers of skilled personnel and credible credentials; contributors to innovation; attractors of international talent and business investment; agents of social justice and mobility; and contributors to social and cultural vitality (Boulton and Lucas, 2008). For supporting a multifunctional and transcendent role of a university, academic freedom is the foundation of all the academic activities.

Academic freedom has a long, controversial history and is far from secure in many parts of the world; in some places, academic freedom is even under attack, and some countries even have no or limited academic freedom (Altbach, 2007). As de Wit and Hanson (2016) indicate, academic freedom is valued in a variety of socio-political climates but with varying degrees of fragility. We should not assume that this is only the case in emerging and developing countries, as there are increasing examples in so-called developed countries where academic freedom is challenged. According to the recent Free Speech University Rankings (FSUR) in the United Kingdom, 63.5 percent of institutions are ranked ‘red’, meaning they place significant restrictions on speech by banning particular speakers; merely six percent of UK universities surveyed place no significant restrictions on speech. Compared with 2015, when there were just 40 percent of institutions ranked red (Slater, 2017). Besides, the statistic from Scholar At Risk project (2017) shows, during the last year, 257 reported attacks in 35 countries, including killings, violence, and disappearances; wrongful prosecution and imprisonment; loss of position and expulsion from study; improper travel restrictions; and other severe or systemic issues. These are infringements on not only the right of the public to know but the right of the private to publish as well. A kind of campus censorship seems to be increasing steadily over the past years.

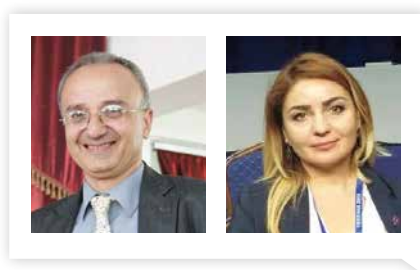
Recently, emerging nationalism and political intention have even been strengthening their influence in professional groups. In August, 2017, two of the leading Chinese study journals published by Cambridge University Press (CUP), The China Quarterly and The Journal of Asian Studies, were requested to remove hundreds of articles and book reviews about topics the Chinese state deems to be politically sensitive – such as the Tiananmen Square massacre, Tibet, and human rights – from their websites in China by an import agency. Although the withdrawal sparked uproar among academics and finally made CUP reinstate the articles in China, it is undeniable that the harm to academic freedom nowadays is not only regional but also international; not only on campus but expanding to cyberspace.

Universities have long possessed knowledge and talents which are intellectually powerful that make governments strive to control them. However, what higher education really needs is support instead of threat. A country should give universities enough freedom and resources to enable them to contribute more to humanity. For a university, how to maintain a neutral censorship shapes its own spirit. *When it gain resources from some authorities, restrictions which may narrow academic freedom will always follow.* Michael Ignatieff, president of Central European University (CEU) in Hungary, had remarks at the opening ceremony when CEU was under the crisis of being closed. There is no single vision for an open society but all visions of an open society share a critical component: the belief in an epistemology of freedom. That reminded us of the true spirit of higher education.



Reviewing the history of higher education, academic freedom always needs to be fought for, especially at critical moments. Pursuing knowledge and positively affecting people are seen as the core missions of university, and academic freedom is the base which we should protect and cherish. Without academic freedom, a university is nothing but a puppet and will never be great or respectable.

## 05 Academic Freedom and University Autonomy: the danger of the notions drift



by **Samvel Karabekyan**, *Erasmus+ Higher Education Reforms Expert, Chair*, and **Kristina Tsaturyan**, *Erasmus+ Higher Education Reforms Expert, Armenia*

In the past 20 years, Armenia was fully engaged in the globalisation processes and the Higher Education did not remain apart from this which was followed by a wave of system-wide reforms. The changes were reflected in the Law on Higher and Postgraduate Education of the Republic of Armenia (2004) which already at that time reserved the rights to the Universities to have autonomy in governance issues and academic freedom. Though it is still a question, what kind of autonomy and academic freedom it implied for the Armenian Universities that were still under inertia of Soviet centralized governance system.

It is no accident that despite the fact that the right to autonomy was fixed in the law, immediately after its adoption, despite keen criticism of the academic community, universities were given the legal status of state non-profit organizations, which significantly limited the implementation of the rights enshrined in the Law.

The recently initiated process of changing the organisational status of Armenian Universities from state non-profit organization to foundations slightly changed the situation. The new organisational status contributed to enhancing university autonomy, mainly by providing possibilities to create legal entities and conduct commercial activities independently. However, this development could not be considered as an increase of autonomy for the higher education system in Armenia, particularly, for the reason that the level of participation of the Government in organisational and decision making processes didn't change. In practice, what does it really

imply? The semi-autonomy resulted in that the Universities had shallow changes, without going deeper to the content, meanwhile down-to-top approaches were not much encouraged by the University administration and the widely used expression clearly articulated the situation: "Initiative is punished".

During the period of 2012-2015 EUA has conducted a survey to assess the autonomy of the Universities in Armenia in the frame of TEMPUS Athena Project financed by the EU Commission. According to the scorecard Armenian Universities' autonomy was assessed in four domains and scored in the following percentage: organizational autonomy 47%, financial autonomy 66%, staffing autonomy 93% and academic autonomy 38%, where a score of 100% indicated full institutional autonomy; a score of 0% meant that an issue is entirely regulated by an external authority. So, in two substantial domains such as organizational and academic autonomy Armenia scored in lower cluster that directly hindered further development and provision of quality education and ensuring the academic freedom for the professorship.

In 2011, the Canadian Association of University Teachers has noted in its Statement that the University Autonomy "can protect academic freedom from a hostile external environment, but it can also facilitate an internal assault on academic freedom. Academic freedom is a right of members of the academic staff, not of the institution. The employer shall not abridge academic freedom on any grounds, including claims of institutional autonomy".

In the Armenian case this caution is important for at least two reasons. First, the shift of paradigm specific for the current state of higher education system, in particular change in the role of students as a consumers of educational services, inevitably leads to the situation when universities, to significant extent, take the features of commercial enterprises. Secondly, in societies with a transitional political-economic system, where the lack of democratic culture cannot create an effective counterbalance of such changes, the normal process of development of self-governed institutions, as a rule, is being stopped at the stage of getting autonomous status of universities without continuing to the deeper level, not touching on rights and freedoms of academic staff. In these circumstances, the *de jure* autonomy of the University didn't anyhow affect the structure of University governance and academic freedom of individual teachers and researchers. Moreover, the more rights universities acquire, the less narrow is the room of freedom at the level of teaching staff.

It is quite obvious that the autonomous universities should be committed to increase the real academic freedom, since only in that case they can count to have a qualified teaching staff and quality study programs. And now, when the social demand for Higher Education went down because of the demographic and the socio-economic situation in the country, this is the only way to come up with deeper content wise changes and attract motivated students.

## 06 Autonomy and accountability in Malaysian higher education institutions



by **Tan Sri Dzulkifli Abdul Razak**,  
*Immediate past-president, IAU*

In 2005, the Malaysian government formed a committee of experts to identify steps that can catapult Malaysia's higher education sector towards excellence. One of the main issues the report identified was the need to strengthen autonomy and accountability in higher education institutions. The Institute for Democracy and Economic Affairs (IDEAS) with Tan Sri Dzulkifli Abdul Razak acting as Chair, then embarked on a one-year research and advocacy project to investigate ways to strengthen autonomy and accountability in universities and raise awareness about the potential synergy of these two documents to policymakers and the public. The main output from the project was the publication of four policy papers in different areas of higher education autonomy.

In his paper "The History of University Autonomy in Malaysia", Chang Da-Wan provides us with a historical perspective on the diminution of university autonomy and academic freedom within Malaysia's tertiary sector since the establishment of University Malaya (UM) in 1962. For almost a decade thereafter, UM enjoyed unqualified self-governance, but these institutional freedoms became impaired with the radically restrictive Universities and University Colleges Act (UUCA) enacted in the year 1971. In 1975, the UUCA was amended and democratic elections within university councils disappeared altogether. Chang Da points out that the corporatisation of Malaysian universities in the late 90s further robbed universities of a representative academic voice. Though most public universities in Malaysia have gained autonomous status in recent years, Chang Da warns us that without proper legislative framework, academic freedoms will continue to be flagrantly undermined in these universities. He stresses the need for major policy reforms if we wish to revive the "golden era" of university autonomy in Malaysia, amongst them the abolishment of the stifling UUCA and a cessation of the ever-prevalent bureaucratisation of higher education in Malaysia.

Sean Matthews' paper, "Autonomy and Accountability in Higher Education: Lessons from Ghana and Mexico" explores alternative approaches to evaluating the performance of tertiary academic institutions through the examples of Ghana and Mexico. Matthews advances a seldom heard perspective by recommending a focus on fundamental national objectives, amongst them achieving a balance between the primary factors

of higher education governance. While universities may double as safe spaces for intellectual conversation and debate, this is only the case when there is little political interference with university affairs; in sharp contrast to Malaysia, universities in Mexico are granted complete autonomy and Matthews attributes this self-governing ecosystem partly to the presence of two bodies—CONACYT (National Council for Science and Technology) and ANUIES (National Association of Universities and Higher Education Institutes)—that lend a voice to the collective interests of tertiary institutions in Mexico. Matthews' paper gives us an insight into the possible reformations of institutional review processes, but the sectoral climate needed to facilitate such changes requires Malaysia to first extinguish state bureaucratic and administrative control over deservedly autonomous, independent statutory bodies.

Wan Saiful Wan Jan's paper, "Will Our Public Universities Have Financial Autonomy?" explores the issue of financial independence and university autonomy. The relevant ministries remain adamant that it is within their purview to reserve decision making rights of these institutions. Control is maintained in areas such as budget allocations, setting of tuition fees and salary structures of staff. Since 2015, federal funding of tertiary education institutions has been cut 19%. The cuts however, were not followed by comprehensive changes to financial autonomy regulation to allow universities to control how funds were allocated. Red tape around charitable-giving to institutions makes it complex for private individuals to set-up charitable bodies. Wan Saiful recommends a restructuring of current policies to enable the philanthropic sector to flourish. In conclusion a more comprehensive plan needs to be devised in order to allow universities greater financial autonomy.

In his paper "History and Epistemology of Universities", Munif Zariruddin Fikri Nordin discusses the history, academic freedoms and autonomy of universities with a philosophical approach regarding the role of a university. He does this by contrasting the concept of universities from the Arab, Chinese, Indian and Western worlds. The original function of universities were a sanctum for scholars to pursue knowledge without interference. The author argues that need for academic freedom as a gateway to a fundamentally stronger education system. The need for autonomy is crucial in allowing scholars to aggressively pursue academic excellence without the interference of other institutions. By allowing a university to become dependent on another body the integrity of the knowledge generated becomes questionable. Munif advances the idea that universities in Malaysia serve three key functions, primarily to bridge the socio-economic gap between ethnic groups. From a political dimension, universities are used to drive political ideologies of stakeholders. From a collaborative point of view, universities are used to establish ties with foreign governments. Munif points out that only when the knowledge bread in universities is free of intervention can the academic culture of excellence be allowed to thrive.

## 07 Increased autonomy for universities in Asia: what were the effects?[1]



by **Michaela Martin**, *Programme Specialist at the International Institute for Educational Planning*



The expansion of the higher education sector has been particularly fast in Asia. Between

1991 and 2014, the gross enrolment ratio (GER[2]) increased from seven to 42 per cent in Eastern Asia, and from six to 23 per cent in Southern Asia (Global Education Monitoring report 2016). Within this context, granting of autonomy to higher education institutions with accountability was a common adopted governance reform in the region.

As part of an interregional project on the effectiveness of governance reforms, IIEP analysed the nature of autonomy and its effects on selected higher education institutions in five Asian countries: Cambodia, China, Indonesia, Japan and Viet Nam (Varghese, N.V.; Martin, M. 2014). The intention of the research was to generate empirical evidence on the effectiveness and effects of higher education governance reforms.

### What was the nature of increased university autonomy?

University autonomy is a rather complex concept that potentially covers many different reform measures. The IIEP research referred to the conceptual distinction between substantive and procedural autonomy developed by Robert Berdahl (1971). The research revealed that most measures introduced in five types of governance reforms actually only involved freedom in administrative aspects without increasing the authority by HEIs to take decisions on substantive priorities. On the contrary, substantive autonomy for HEIs was generally curtailed by new accountability measures, such as quality assurance systems.

### Change in legal status of HEIs as a vehicle for increased autonomy

In four of the five countries studied, the change in legal status of higher education institutions was used as a vehicle for the introduction of increased autonomy. The change in legal status was typically accompanied by a new governance structure which vested increased authority either in a governing body such as a Board of Trustees (Indonesia and Japan) or in the strengthened role of a University president (China).

### More autonomy in the management of finance and academic staff

All governance reforms provided increased power to HEIs in the area of financial and personnel matters. In China, Japan and Indonesia, the most crucial reform measure was a move away from a line item to a lump sum budget, the latter finally not being implemented in Indonesia because of the Ministry of Finance opposed it in the process. Greater authority was also granted to HEIs to recruit and manage administrative and academic staff, accompanied in the case of China, Indonesia, Japan and Viet Nam with the loss of civil servant status of academic staff who became university employees. This major move was accompanied with new responsibilities given to HEIs in the area of staff management. In China, for instance, universities were given the authority to assess the performance of teachers, make appointments and readjust the payment of subsidies and salaries.

### What were the effects of increased autonomy on universities?

Under the research, IIEP studied the effects of increased autonomy on one university in each of the case countries. Indeed, the granting of authority had brought far-reaching changes for these institutions in the five case countries. These changes pertained to the governance structures of HEIs, the structure and the number of academic staff, their capacity to generate supplementary income and the diversity of the academic offer.

### Autonomy and governance and management structures

In the area of the governance and management of institutions, the case studies demonstrated that the reforms have led to the creation of a stronger executive at the institutional level. New governing bodies, such as a board of directors or board of trustees with stronger external representation (from local public authorities or enterprises) to which the president or rector of the university is accountable, were put in place.

### Autonomy and academic staff recruitment

The effects of increased autonomy in the area of staff recruitment, due to abandoning the civil service status of academic staff, were variable. In Japan, there was a clear increase in fixed term appointments in the universities. In Indonesia, after the introduction of the governance reform, the government decided to freeze civil servant recruitment in the legal entity universities in order to obligate these universities to recruit university staff. However, the introduction of the promised block grant system for operational expenditure was stalled by the Ministry of Finance with the argument that the public funding to universities had to follow the Government Treasury Law. Legal status universities were thus required to finance academic staff recruitment exclusively from their own resources.



## Autonomy and the generation of extra budgetary funds

Increased autonomy enabled institutions to obtain resources from non-government sources and engage increasingly in income-generation activities, leading to an enhanced share of private income in all higher education institutions to different extents depending on market opportunities. In general, universities became more active in the establishment of university enterprises. Private revenue doubled in the period of study in nominal terms.

## But there were also undesired effects of the reforms...

Increased autonomy brought more market opportunities, but in some cases led to academic staff neglecting their academic core activities. For instance, in Cambodia, the reform enabled academic staff to engage massively in continuous professional development courses. Consequently, university lecturers devoted less time to the preparation of their PhD projects, which impacted in the medium to long term their career development.

Increased autonomy produced also an increase in inequity in access to resources across departments. This increased autonomy led to higher workloads for academics. In all universities, academic staff had supplementary administrative responsibilities and spent excessive time on new administrative tasks.

Finally, increased autonomy changed the distribution of power between academics and administrators, usually to the detriment of the former. It led to more conflict between university administrators and academic staff, since administrators made many decisions internally, whereas formerly, the Ministry of Education was responsible for taking the decision and creating conflicts at the administrative level.

recommendation is the only international instrument that explicitly treats the central importance of recognizing academic freedom, institutional autonomy and related values to higher education quality and performance. University autonomy is defined by the Recommendation as “*that degree of self-governance necessary for effective decision making by institutions of higher education regarding their academic work, standards, management and related activities consistent with systems of public accountability, especially in respect of funding provided by the state, and respect for academic freedom and human rights*”. However, since the Recommendation was adopted in 1997, the autonomy of universities has been increasingly under threat, for different reasons.

During the 1990s, the neoliberal ideology of free market and minimal state intervention has deeply influenced the environment of higher education institutions. In order to compensate for the loss of public funds under neoliberal regimes and to respond to a large increase in number of students, higher education institutions have prioritized revenue generation and have increasingly become reliant on private sources of funding. A strong focus on management efficiency has led to more hierarchical, top-down decision-making instances, limiting the arena for participation of scholars in the definition of research priorities and strategies. Applied research and market-oriented development have become top priorities, while basic research and public-interest research with little market appeal (e.g. in health and agriculture sectors) are undermined. Intellectual property rights over research results have hindered free circulation of new knowledge.

In poor countries, chronic public underfunding of higher education institutions has eroded the quality of learning and the capacity of producing critical research, often resulting in recurring teacher strikes and student demonstrations met with violence. In such contexts, opening the doors of universities to private capital has often been presented as the solution for meeting the demands of the labour market for qualified manpower, especially considering the high rates of unemployment among youth.

We are witnessing a trend in financing of education with the increased and frequently use of fixed-term and part-time positions in higher education institutions. In the US 75 per cent of teaching positions in universities don't have tenure, in Latin-America it's as much as 80 per cent, in Australia 40 per cent and Canada 30 per cent [1]. Young academics are the most vulnerable in this trend and restricting them to engage in public debate and in contradiction to academic freedom. Among the consequences of the increased use of these contracts we see less predictability and uncertain job careers, where academics don't dare to engage in public debate, criticize, or share research in fear of losing positions. This leads to a shrinking space for academic freedom where especially the individual's right to academic freedom is at stake.

## 08 Commercialization of higher education – shrinking the space for critical thinking or meeting the demands of society?



by **Beathe Øgård**, President of the Norwegian Students' and Academics' International Assistance Fund (SAIH)

**SAIH** | Norwegian Students' and Academics' International Assistance Fund

Twenty years have passed since UNESCO Member States adopted the Recommendation Concerning the Status of Higher Education Teaching Personnel. Despite being soft law, this

Where states are not able to provide sufficient funding for education, how do we ensure higher education does not end up as a privilege for the rich? How do we counteract economic divisions? Scholarships and loan schemes for students is one way to go in order to ensure access for all and ensure inclusion of marginalised groups.

Commercialization of higher education cannot be seen within a black and white binary, or simply be divided between public and private actors, where it is “easy” to point out which one to shame and blame. There exist many grey zones in this terrain in which we must navigate within. Several large commercial actors are increasingly involved in providing educational services, leading to economic flows in direct and indirect streams, with or without strings attached. There is the issue of how we disseminate research to make it accessible for the public and society as a whole, is this through market-driven journals with increased subscription fees or through open access publications? We should acknowledge that we are currently facing numerous challenges to be able to ensure the right to quality education and access for all, in line with the Sustainable Development Goals and Agenda 2030. In order to not leave anyone behind, we need to face these and address the current trends threatening higher education and its values.

## 09 Threats to academic freedom and institutional autonomy challenge U.S. accreditation as well



by **Judith S. Eaton**, President, Council for Higher Education Accreditation



Academic freedom, colleges and universities carrying out their educational purposes without

inappropriate influence from external centers of power[i], and institutional autonomy, the sustained independence of higher education institutions as they make academic judgments and provide academic leadership, are at the heart of accreditation and assuring quality in the United States. Academic freedom is essential to the quality of leadership in teaching, learning and scholarship expected by accrediting organizations. This leadership cannot take place without the expectations of institutional autonomy that are part of accreditation. The standards, policies and practices of accrediting organizations are all built on the importance and centrality of both of these concepts.

Accreditation plays a pivotal role in U.S. higher education. It is the primary source of judgment about the academic quality of higher education. A decentralized enterprise of 85 nongovernmental, independent organizations, accreditation reviews thousands of institutions and programs of all types. Earning and maintaining accredited status is a requirement for colleges and universities to be eligible for federal and state government funds.

Both academic freedom and institutional autonomy are under threat in the United States, driven by two changes in society. The first is a major expansion of government regulation of higher education, whether state or federal, and the second is the current state of political discourse in the U.S., now dominated by growing ideological intolerance emerging from all parts of the political spectrum and affecting the academy. While neither change is aimed directly at accreditation, they also constitute threats to accreditation's commitment to academic freedom and institutional autonomy.

Expanded government regulation is the result of the overwhelming importance of higher education in today's difficult economy. As institutions with legal authority to operate, colleges and universities have always been subject to government regulation. However, the regulation is expanding dramatically and, increasingly, it is focused on the academic work of higher education. The more that government sets standards for quality to which accreditation must adhere and the more government itself judges the performance of institutions and programs instead of holding institutions and accreditors accountable for doing this, the more difficult it becomes for an institution to make genuinely autonomous decisions regarding the conduct of its affairs.

The current state of political discourse, whether involving groups or individuals on campuses and elsewhere, whether “progressive” or “conservative,” is raising questions and issues about how far the academic freedom of faculty extends, what constitutes free speech and the political activity of students. Social media place a glaring spotlight on such fundamental issues as what to do when freedom of expression and the interests of the campus community collide. Major U.S. universities have been sites of vigorous debate and, at times, open conflict about the meaning of academic freedom and the free expression of ideas.

There are no easy answers or immediate remedies for accreditation with regard to these threats for not only academic freedom and institutional autonomy but accreditation as well. However, as colleges and universities are engaging in an emerging dialogue to rethink the boundaries of free expression of ideas for faculty, students and the entire campus community, accreditation can play a constructive role in urging and supporting such discussion. Accreditor expectations that quality institutions sustain academic freedom and an environment conducive to open expression of ideas and vigorous, respectful debate and discussion can be a valuable motivator.

With regard to institutional autonomy, both higher education institutions and accreditation can make a powerful political case that there needs to be some rollback and future limiting of government regulation in the academic arena. Colleges, universities and accrediting organizations do not need the federal government playing a dominant role in defining academic quality, deciding the number of credits that are to be offered in an academic program or determining what should be considered acceptable transfer of credit. Higher education needs to be held accountable for high-quality performance, not directed in its academic work from Washington DC or state capitols.

It is a difficult and crucial moment in the United States, for higher education, for accreditation and the role that our colleges and universities play in building a strong, informed and aware society of social justice. Academic freedom and institutional autonomy are vital issues that must be addressed at this pivotal moment.

## 10 Let the views be heard



by **Agneta Bladh**, Vice President of  
Magna Charta Observatory Council



The Nordics – the countries in the northern part of Europe – seem to be countries where the HEIs are quite autonomous. There is legislation in all the Nordic countries about academic freedom and autonomy – even though this legislation is formulated in different ways and the focus is a bit different. The Nordics are in the middle or upper scale in the EUA Autonomy Scorecard.

From time to time, there are discussions in these countries on autonomy and academic freedom. Sometimes, these discussions are about internal relationships between the management and the faculty. But there are also discussions about the relationship between the governments and the institutions. As all the Nordic states spend quite a lot resources on higher education and research, the politicians also want to influence how these resources are spent. The autonomy debates in the Nordics often circulate around different interventions from politicians linked to resource allocation. For example there is a protest in Sweden against the intervention from the Swedish minister of Higher education and Research against two HEIs wanting to concentrate to one campus, thus taking away all activities from another of their campuses. These decisions were taken due to financial reasons, but also to qualitative reasons. The ministerial intervention resulted in no concentration

decision, as institutions suddenly were not allowed to decide this on their own, against the general rules. In Denmark, the Ministry intervenes in the supply of courses, considering the unemployment rate of graduates, and therefore wants fewer courses in the humanities. Academics and students, especially in the field of humanities, have expressed their concern. The Danish politicians also want the students to graduate faster, thereby pressing both students and institutions.

An issue in all the Nordics is how the professional time of academic staff is spent, on research, education, and other missions. This is not regulated by the state, but the resource allocation systems are highly performance based, which influence the work of the academic staff; students have to pass faster, numerous publications and citations in good journals are necessary. New Public Management is highly present, even though a discussion has started about the negative effects of NPM. The resource allocation of research is to a large degree also distributed through research councils, resulting in heavy competition between academics. The governments also direct some of these resources to specific fields and programs, important to their countries, thereby influencing the research of academics. However, academics in the Nordics are free to criticise their governments and their managements. So, compared with the situation in other countries, both inside and outside Europe, you can say that this is a situation most academics can live with, as they are allowed to give voice to their concerns.

The prerequisites for academic freedom and institutional autonomy differ between countries. Academic freedom and institutional autonomy are sometimes under threat as higher education is under national control. Institutions have to convince their societies that they need HEIs with high integrity in order to serve them in the best way. Neither countries nor institutions will flourish in isolation or with restrictions that make it impossible for academic staff and institutions to keep their integrity.

The fundamental values of universities, subscribed in the Magna Charta Universitatum, should be common to all institutions. Many institutions around the world (more than 800 from 85 countries) have signed the document. The values expressed are about the integrity of institutions and the integrity of academic staff. The signatories realize that their institutions are part of national settings and have responsibilities to their societies. However, this responsibility can only be upheld together with a strong sense of integrity.

HEIs interaction with society has been more intensive since the Magna Charta Universitatum was signed for the first time in Bologna 1988. HEIs are nowadays a more heterogeneous body of institutions. The Universitatum is a standard for an international community sharing the same values and might – as times are changing – also be updated to suite our present challenges. From the part of the Magna Charta Observatory Council we are – after years of discussions – now prepared to start such an updating. The fundamental values are at the



core of our hearts, but could partly be expressed in another way, while recognizing that institutions are part of their local, national and global settings.

## 11 Academic freedom and institutional autonomy



by **Sjur Bergan**, *Head of the Education Department of the Council of Europe, series editor of its Higher Education Series, and a long term member of the Bologna Follow Up Group*



It is difficult to imagine a democratic society that did not foster academic freedom and institutional autonomy. It is equally difficult to imagine high quality teaching and research in the absence of academic freedom and institutional autonomy. Both living democracies and high-quality education and research require the will and ability to ask critical question and to find answers to them. Both those who would emphasize democratic ideals and those who would prefer a justification based on the quest for excellence should therefore be able to agree on the need for academic freedom and institutional autonomy. But what does this mean in practice?

At least in Europe, academic freedom and institutional diversity have often been seen primarily in terms of the legal relationship between higher education institutions and public authorities, often referred to as “the state”. The European debate also tends to focus on institutional autonomy, with the implicit assumption that autonomy guarantees academic freedom.

Granted, legal matters *are* important. Without some kind of legal guarantees, academic freedom and institutional autonomy are unlikely to thrive. Legal provision may be a necessary but far from sufficient condition. Quite apart from the fact that laws may be violated, there are quite complex and mostly non-legal issues that influence the degree to which academic freedom and institutional autonomy are observed.

And the issue is often one of degrees rather than absolutes. One can certainly think of societies in which both are entirely or almost entirely absent. It is much more difficult to imagine absolute freedom or autonomy. Academic freedom is not the same as freedom of expression. Even if maintaining that the earth is flat may not be a route to social esteem, few would deny individuals the right to express this particular opinion. That is, unless the individuals are academics specializing in astrophysics or related disciplines. Then the issue is not one of freedom of expression but of accepting the standards of the discipline, based on observation and empirical evidence.

Defining academic freedom as the freedom of expression moderated by academic standards may be too simplistic but nevertheless gives an indication, with the caveat that academic standards develop. The development of new knowledge and understanding may go against current standards. Semmelweis is a case in point, as is the fact that at certain periods of academic history researchers have had to teach according to the established “canon” even if their own research showed quite different results.

Likewise, few would argue in favour of absolute autonomy, for example that universities do not need to observe public safety standards, non-discrimination in admission, or for that matter public accounting rules. Autonomy does imply the freedom to organize and run the institution in such a way that the quality of teaching and research is ensured, without undue and detailed interference from public authorities. It also implies that institutional leadership must provide for academic freedom: one could imagine a highly autonomous but strong and directive leadership curtailing academic freedom within the institution.

While the relationship between public authorities and academia is crucial, autonomy is a broader issue. If a substantial part of the institution’s funding comes from a single source, whether public or private, is the institution autonomous? If a research grant or an industry contract restricts the freedom to publish the results or subjects them to vetting by the funder, is academic freedom ensured?

What is the position of autonomous institutions within the education system? They grant their degrees and have their quality assessed in accordance with regulations established by public authorities. Public authorities are responsible for the overall system, including the allocation of public funds. If these authorities wish to stimulate research in areas that they consider important to the future of the country, to develop higher education in underserved regions, or encourage institutions to engage with their local society, do they infringe on institutional autonomy if they allocate funding or provide other incentives accordingly? Much depends on how this might be done. In the unlikely event that all or most public funding would go to only a few research fields, study programs or institutions, we could well be faced with infringement of institutional autonomy. If, within an overall funding policy that is perceived as balanced and fair, public authorities were to provide some earmarked funds for purposes given priority in broader public policy, it may be difficult to argue that public authorities are overstepping their role.

Even within the limited space of this article, we hope to have demonstrated that academic freedom and institutional autonomy are important to both democracy and academic excellence, and that there is no contradiction between the two. Academics and public authorities should be conferred with both, and in Europe they should therefore help make the role of academic freedom and institutional autonomy a key topic in the further development of the European Higher Education Area.

*Sjur Bergan played a key role in developing the Council of Europe's Recommendation CM/Rec(2012)7 on the public responsibility for academic freedom and institutional autonomy and the lead author of the discussion paper on academic freedom and institutional autonomy submitted to the BFUG in December 2016.*

## 12 The Gold Standard of Academic Freedom in an Age of Uncertainty



by **Philip G. Altbach**, founding director and research professor, and **Hans de Wit**, director and professor, Center for International Higher Education, Boston College, US

When the modern concept of academic freedom was created in Germany in the nineteenth century, it was simple. Professors at Humboldt University had the right to teach and publish in their areas of expertise without interference. Academic freedom did not necessarily extend far beyond the classroom and the research expertise of a professor. In the early twentieth century, the concept was expanded in the United States to include guarantees of academic freedom for professors speaking or writing on any topic—protecting the autonomy of professors in all areas of research, teaching, and wider societal discourse. It has also come to include protection of free expression on campus for students and others. This broader definition came to be generally accepted as the “gold standard” of academic freedom.

Some have argued that academic freedom also includes institutional autonomy, norms of faculty governance, and freedom from control by government or other external authorities. This idea was enshrined in the “Cordoba Reforms” in 1918 in Argentina, which became a norm throughout Latin America. Thus, the term “autonomous” is included in the titles of many Latin American public universities such as the National Autonomous University of Mexico.

Many now link academic freedom with university governance, institutional autonomy, and other aspects of contemporary higher education. While we are committed to shared governance, autonomy, and the best norms of higher education, these elements should not be confused with academic freedom.

## The Uncertainties of the Present

First, some good news. The norms and values of academic freedom are widely accepted worldwide. With the end of the Soviet Union, the tight controls over the academic community in the Soviet sphere have by and large ended. Although full academic freedom may be limited in some of these countries, there is a recognition of the basic values and reasonable adherence in general. In very few countries are the basic values entirely missing—in North Korea, for example, controls over all aspects of expression in the universities and society are tight and penalties for violating them severe; many Syrian academics have been killed or forced into exile for speaking out against the Assad regime. A remarkable case is contemporary Turkey, where large numbers of professors have been fired because of alleged sympathy with antiregime organizations.

Much more common are countries in which there are some—often arbitrary and frequently unspecified—limitations on what can be researched, published, or taught, and where academics who speak out on certain issues considered sensitive can be sanctioned, prosecuted, or even killed. Organizations such as Human Rights Watch and Scholars at Risk keep track of the most egregious examples and seek to help academics who are persecuted. Frequently, the “red lines” of what is acceptable campus discourse are not clear, creating uncertainty and risk.

Not surprisingly, violations of academic freedom are more common for the social sciences and humanities than for the natural or life sciences. *Verboten* topics may be political or economic, as in China, Cuba, and Vietnam; the recent attacks on the Central European University in Budapest by the Hungarian government have received much attention. Ethnic themes, as in Singapore, or religious topics (in Saudi Arabia, Pakistan, and many other countries—accusations of blasphemy can result in severe punishment) are sensitive issues.

In an essay about tensions between free and offensive speech, Peter Scott (University World News, issue 472, September 3, 2017) gives a description of a “more confused, fractured, volatile and ideologically diverse global environment.” In the current context, the gold standard of academic freedom is no longer a clear reference. A recent article by Chris Quintana (The Chronicle of Higher Education, June 28, 2017) shows how, under the Trump Administration, the number of incidents related to academic freedom in the United States have rapidly increased. Uncertainties about what academic freedom and autonomy mean, and about the boundaries of free expression and political correctness are more noticeable than ever, and are playing out heavily on campuses and in social and other media. It is more important than ever to hold on to what the gold standard is about: autonomy of faculty in research, teaching and societal discourse, and free expression for students and others in the academic community.

## 13 Academic Refuge: a strategic partnership to promote greater respect for academic freedom and welcoming refugees in higher education



by **Marit Egner**, Project Coordinator of the Erasmus+ Strategic Partnership project "Academic Refuge" and Senior adviser at University of Oslo, and **Lauren Crain**, Acting Director, Research and Learning, Scholars at Risk

*Are some questions too dangerous to ask? What happens to scholars and students who ask those questions? How can academia assist scholars and students to reduce the risk of doing research and encourage society to use scholars as a resource instead of seeing them as a threat to power?*

The University of Oslo, the Scholars at Risk Network, The UNICA Network and the University of Ljubljana have come together in an Erasmus+ Strategic Partnership project to increase the competence and capacity of European universities to promote academic freedom and other core higher education values, and to welcome refugee students and threatened scholars to campus.

In the project we highlight the global nature of higher education, which allows scholars to be a resource wherever they are. For scholars fleeing violent conflict and oppression, it is important for them to be able to continue their work; many of these scholars want to contribute to their home country from the diaspora, in the hope that they are able to return and help rebuild in the future.

The first part of the project focused on staff training for universities in Europe to improve the welcoming of displaced scholars and refugee students and to highlight the many positive contributions that refugee scholars can offer their host countries. In June 2017 the project held a staff training week with 55 participants from 20 different countries across Europe to share best practices and explore opportunities to cooperate. A curriculum for this type of training has been developed and will soon be available on the project webpage for reuse in other contexts.

Even as more universities create temporary positions for at-risk scholars, we also recognize that lasting security for scholars

### ➡ The Academic Refuge Project

**EU Funding:** Erasmus+ Strategic Partnership

**Project period:** 2016-2019

**Coordinator:** University of Oslo

**Partners:** Scholars at Risk, UNICA Network of Universities from the Capitals of Europe, University of Ljubljana

**Associate partners:** European Association University (EUA), and European Association for International Education (EAIE)

**Webpage:** <http://www.uio.no/english/about/global/globally-engaged/academic-refuge/>

**Facebook:** <https://www.facebook.com/academicrefuge/>

and universities will only come from wider understanding of the importance of academic freedom and related core higher education values. The other main part of the project is to promote a better understanding of these values as stated in the 1997 UNESCO recommendation concerning the status of higher-education teaching personnel. Higher education institutions and their academic staff and students play a crucial role in a healthy society by examining and asking questions about the world around them. These questions offer meaningful contributions to society, however when challenging the status quo or in speaking truth to power, these questions can result in threats against scholars and their communities. The Scholars at Risk Network's most recent report, Free to Think 2017, documented 257 attacks in 35 countries between September 1, 2016, and August 31, 2017.

Given the magnitude and scope of the problem of threats against scholars, it is important to enhance understanding about why academic freedom is important, not only to academics, but to all of society. One major output of the project will be a Massive Open Online Course (MOOC) on this topic, where we will grapple with questions such as:

- What is academic freedom and how does it relate to other higher education and societal values?
- Why are academic freedom and related values important, and what threats or challenges to these values may be faced in different contexts?
- How can you as a student, academic or other staff member in higher education promote and defend academic freedom and related values?

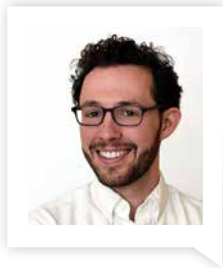
The course will be launched on the Futurelearn platform on 4<sup>th</sup> June 2018, and it will be free and available for everybody with internet access through a computer or phone.

The Scholars at Risk Network is an important forum for universities interested in discussing and promoting academic freedom. The University of Oslo is currently hosting four threatened scholars and participating in joint activities with SAR. We invite all universities around the world to join the movement



to promote and protect academic freedom by encouraging staff and students to participate in the MOOC on academic freedom, inviting an at-risk scholar to campus as a guest speaker or guest researcher, or participating in the Scholars at Risk Network 2018 Global Congress in Berlin, 23-26 April 2018.

## 14 Global Rise in Anti-Democratic Trends and Attacks on Higher Education



by **Daniel Munier**, Acting Director of Advocacy, Scholars at Risk

### SCHOLARS AT RISK

NETWORK

On January 6, 2017, Nuriye Gülmen found her name listed among thousands of others in Turkish Emergency Decree No. 679. Gülmen, a professor of literature at Selçuk University in Konya, found herself suddenly without a job, barred from ever taking up another position in a public university, and unable to legally leave the country. Her academic career in Turkey met this abrupt end because Turkish authorities claimed she was affiliated with a movement led by Muslim cleric Fethullah Gülen, who the authorities allege was responsible for a violent coup attempt last year. She has repeatedly denied affiliation either with Gülen or the coup attempt.



Gülmen's story is not unique. As detailed in *Free to Think 2017*, Scholars at Risk's third annual report analyzing attacks on higher education communities, she is among over 7000 higher education personnel who have had their academic careers in Turkey destroyed by emergency decrees. In

addition to these mass dismissals, Turkish authorities have taken a range of sweeping and targeted actions against the higher education community, including detentions, prosecutions, travel restrictions, and university closures. Turkish authorities claim after fifteen months of these actions that Turkish higher education has been made better. *Free to Think*

2017, however, shows with much greater certainty that these ongoing actions have severely damaged the operations, reputation, and future of Turkey's higher education sector, having left students without professors, research projects abandoned, and international partnerships under threat.

It might be tempting to think of the plight of Professor Gülmen and her colleagues as an extreme phenomenon happening only in Turkey, but this would ignore the global picture. Turkey's purge of higher education is just one part of a global trend of increased attacks on academic freedom and higher education. *Free to Think 2017* analyzes 257 attacks in 35 countries, from September 1, 2016, to August 31, 2017. These include violent—at times deadly—attacks on scholars, students, and university communities around the world, including suicide bombings in Nigeria and Pakistan. These include repression of organized student expression in Zimbabwe and Thailand. These include restrictions on the ability to travel freely for academic purposes; deteriorating conditions for higher education in Venezuela; and politically-motivated attempts to shutter institutions in Central and Eastern Europe, including the European University in Saint Petersburg and the Central European University.

The task of the global higher education community is therefore a weighty one: To combat the anti-democratic tendencies that drive violent and repressive attacks on higher education. To do so, the university sector must stand united in defense of core higher education values, including academic freedom, institutional autonomy, and social responsibility. Every institution, every scholar, has a responsibility to ask difficult questions and to seek and impart knowledge for the widest public good. Scholars at Risk members, partners and guests will gather at the Freie Universität Berlin from April 23-26, 2018 for SAR's 2018 Global Congress, *The University and the Future of Democracy*, to discuss how best to meet that responsibility, how to help colleagues under threat, and how to defend the principle that critical inquiry is not disloyalty, but a scholar's duty.

Professor Gülmen reminds us of this. Rather than be silenced, she and Semih Özakça, a primary school teacher, staged a sit-in in Ankara's Kizilay Square to protest the emergency decrees and demand relief for academics, teachers, and others affected by the crackdown. On March 9, 2017, they began a hunger strike, which led to their arrest on May 22. The two educators have continued their hunger strike while in detention, becoming international symbols of resistance to the anti-democratic crackdowns on dissenting voices worldwide. They put their lives in the balance to defend the values of the university. Join us in solidarity with them. Join us in building awareness of attacks on scholars and universities in Turkey and around the world. Join us creating opportunities at our own institutions for threatened colleagues. Join us in Berlin in 2018, and help protect and strengthen higher education communities worldwide.

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## NEW IAU PUBLICATIONS

### HEDBIB

International Bibliographic Database on Higher Education

### HIGHER EDUCATION POLICY (HEP)

30/2 - JUNE 2017

30/3 - SEPTEMBER 2017



The 7 papers in June's issue are looking at widening participation policy in England, and how inter-institutional competition has

replaced cooperative ethos and wider social justice aims; voucher schemes in the Republic of Georgia; collaboration between NGOs and institutions in Africa; space and academic identity in HE from an open and distance learning perspective; a comparison of evaluation agencies in UK, France and Italy; how understanding transnational education plays a critical role in addressing

challenges; and mental health issues and counselling services in HE in the US

In September's issue, the papers are dealing with the development of a single qualifications framework in Europe; the postsecondary institutions rating system in the US; agency costs in higher education; stakeholder perspectives and their influences on quality assurance; the role of the chief information officer in higher education; academic inbreeding in Portugal. <https://iau-aiu.net/HEP>

### QUALITY MANAGEMENT IN HIGHER EDUCATION: DEVELOPMENTS AND DRIVERS

The UNESCO Institute for Educational Planning (IIEP-UNESCO), in collaboration with the IAU, has just published *Quality Management in higher education: Developments and drivers*. This book fills a knowledge gap on the



state of quality management in higher education institutions.

Authors Michaela Martin, supported by Shreya Parikh, draw from the responses from

over 300 institutions worldwide to map recent developments, drivers, and obstacles in quality management today. As the first truly global survey of its kind, it provides first-hand primary data on this salient issue in higher education reform.

Part of a larger international IIEP research project on helping countries develop stronger capacities for more effective quality assurance, the book is available for free download on the IIEP-UNESCO website.



# Academic integrity, the foundation of education.



**Fortunately, integrity is a learned skill just like any other discipline.**

For students, the importance of Academic Integrity goes beyond a set of rules with which to understand black and white behaviour. Academic Integrity is the foundation students need in order to understand what to do in grey situations. The temptation and ease with which students can take short-sighted decisions can be better combated with a more thorough understanding of the long-term impact for themselves, their academic work and society more widely.

For an institution, protecting reputation and assessing risks is easy. However, demonstrating a deep and meaningful commitment to Academic Integrity is more difficult.

Clearly, there is work to be done and guidance needed. Examples and clear definitions with plans for execution are needed now. These examples and definitions are already present in the academic community. The challenge is to give this community the confidence to share their good practices with their peer institutions.

Turnitin provides holistic solutions to wholly support Academic Integrity and original thinking, that include tools to help institutions and educators initiate conversations around ethical behaviour in the classroom and beyond.

Do you want to give Academic Integrity a more central role in your institution and want to know how to achieve this? Do you have good practice to share?

**Speak to us today at [integrity@turnitin.com](mailto:integrity@turnitin.com)**

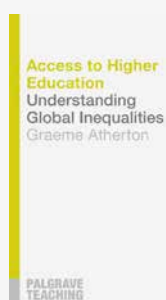




## SELECTED ANNOTATED LIST OF PUBLICATIONS RECEIVED AT IAU

### ACCESS TO HIGHER EDUCATION: UNDERSTANDING GLOBAL INEQUALITIES

by Graeme Atherton, Ed., London:  
Palgrave Macmillan, 2017, 224 p.  
ISBN 978-1-137-41189-1



In this book, higher education experts and researchers in 12 countries throughout the world examine how access is being addressed.

They portray a picture characterised by contrast and commonality, highlighting the importance of socio-economic structures, national identity and cultural context to understanding access. The book spans countries such as Canada, the United States, the UK, and Finland, where efforts to improve participation and retention have been ongoing for decades. In Asia, two contrasting approaches to access and equity in Malaysia and India are detailed. In Africa, countries such as Ghana have showed commitment to access, however the capacity and infrastructure are insufficient to meet student demand. Finally, in Australia, where there has been government commitment to student access, recent reforms threaten to undo previous advances.

### GLOBALIZING UNIVERSITY RESEARCH: INNOVATION, COLLABORATION, AND COMPETITION

by Karen Holbrooke, Kiki Caruson,  
New York: Institute for International  
Education, 2017, 268 p.  
ISBN 978-0-87206-385-3

This book examines the many ways in which universities can support international research, equip researchers and faculty with tools for international

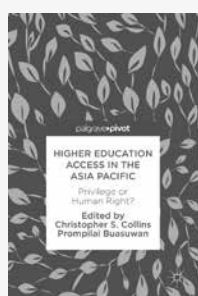


collaboration, engage students, and create institutional partnerships to facilitate research that reflects our globalised world. Recognising challenges

such as time, language and cultural differences in project management, the book offers a critical reflection into the internationalization and globalization of institutional research. Although having a US focus, the book features examples of research collaboration and partnerships around the world, details best practices and provides practical information such as funding opportunities and programmes. The book provides a useful roadmap in creating an interconnected institution.

### HIGHER EDUCATION ACCESS IN THE ASIA-PACIFIC: PRIVILEGE OR HUMAN RIGHT?

by Christopher S. Collins, Prompilai  
Buasuwan, Basingstoke, New York:  
Palgrave Macmillan, 2017, 166 p.  
ISBN 978-3-319-58669-4



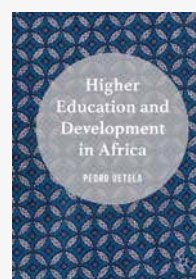
This book offers empirical, evaluative, and philosophical perspectives on the question of higher education as a human right in the Asia Pacific.

A regional introduction is followed by chapters analysing country-specific developments in South Korea, Timor Leste, North Korea, China, Taiwan, and Vietnam illustrating the diversity of higher education development in the region. They reveal how issues of price, accessibility, mobility, government funding and the quality of higher

education shape the views of human rights in higher education. Although the recent expansion of higher education in Asian-Pacific countries has resulted in greater opportunities for access to students from social classes or excluded groups, this has not guaranteed equal access to higher education which remains a challenge in most countries due to limited public funding.

### HIGHER EDUCATION AND DEVELOPMENT IN AFRICA

by Pedro Uetela, Basingstoke, New York:  
Palgrave Macmillan, 2017, 183 p.  
ISBN 978-3-319-31140-1



This book explores the connection between economic growth and higher education in Africa, focusing principally on sub-Saharan African countries

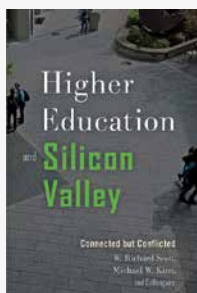
from their independence (1960s and 1970s) to the present. Analysing some of the dominant narratives of international agencies like the Bretton Woods Institutions, the book argues that investing in higher education institutions needs to be prioritised to foster the knowledge generation that is necessary for modernisation and development. Planning and policy reforms undertaken by different countries across the continent are used to evaluate links between higher education and development. It also examines higher education governance across Africa, comparing a range of models and how they affect African states and universities. Finally, an in-depth examination of governance of higher education institutions in Mozambique, based on the author's original research, is provided.



## SELECTED ANNOTATED LIST OF PUBLICATIONS RECEIVED AT IAU

### HIGHER EDUCATION AND SILICON VALLEY: CONNECTED BUT CONFLICTED

by W. Richard Scott, Michael W. Kirst,  
Baltimore: John Hopkins University Press,  
2017, 282 p.  
ISBN 978-1-4214-2308-1



Higher education institutions are increasingly seen as vital to local economies. These dynamics are explored in the context of the high-tech industries of

Silicon Valley in the San Francisco bay area. As an innovation economy, the success of the region depends on the knowledge and training of a highly-skilled workforce. Based on a longitudinal study over four decades, the research covers more than 350 higher education institutions and examines their roles in developing and sustaining the technology sector in Silicon Valley. The book also explores challenges such as limited state resources and rapid population growth and details strategies pursued by institutions attempting to uphold academic standards, while responding to the demands of a rapidly changing market economy.

### NEW LANGUAGES AND LANDSCAPES OF HIGHER EDUCATION

by Peter Scott, Jim Gallagher, Gareth Parry, Oxford: Oxford University Press,  
2017, 288 p.  
ISBN 978-0-19-878708-2

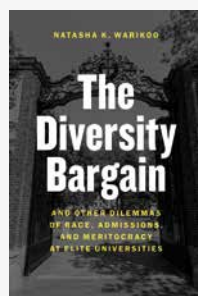
The central argument in this book is that new ways of thinking about higher education are needed to understand the role of universities in contemporary society. Over-reliance on existing conceptualisations of higher education may have encouraged a view that there



is no alternative to the development of more marketised forms of higher education. The analysis offered suggests that the future is much more open and fluid. 'Systems' of higher education, whether expressed through funding or regulatory regimes, are being eroded. 'Institutions', often assumed to be to be given enhanced agency by more corporate forms of management, are no longer powerful actors. 'Research', often corralled by assessment and management systems, is becoming more diffuse and distributed. The 'publicness' of higher education has not disappeared as public funding has diminished, but taken on new forms.

### THE DIVERSITY BARGAIN

by Natasha K. Warikoo, Chicago, London:  
Chicago University Press, 2016, 293 p.  
ISBN 978-0-226-40014-3



Elite universities are widely seen as institutions that demonstrate that meritocracy and equal opportunity exist. In this book, the author examines how students from

minority non-white backgrounds are less likely than white students to gain admission to Oxbridge and other Russell Group institutions in the UK and to Ivy group universities in the United States. Based on her research in both countries, the author explores how such inequalities persist, particularly students' use of 'racial frames' to understand race, meritocracy and inequality.

### THE IMPACT AND FUTURE OF ARTS AND HUMANITIES RESEARCH

by Paul Benneworth, Magnus  
Gulbrandsen, Ellen Hazelkorn,  
Basingstoke, New York: Palgrave  
Macmillan, 2016, 214 p.  
ISBN 978-1-137-40898-3



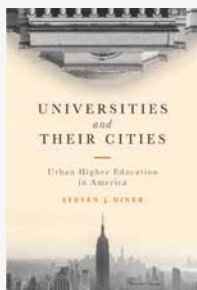
This book explores the societal value of arts and humanities research in Europe. The first part examines how science policy has influenced the

debate on the public value of arts and humanities research. Rather than the dominant discourse where societal contribution has become synonymous with patents, licensing and spin-off companies, the real value of arts and humanities research, the authors argue, lies in its influence on societies' capacities for transformation. The second part presents in-depth country case studies in Norway, the Netherlands and Ireland conducted as part of the European Community Humanities in the European Research Area (HERA) programme. Contextualising universities' engagement with arts and humanities, the book offers a new framework for arts and humanities research, redefining the social contract between society and research.

### UNIVERSITIES AND THEIR CITIES: URBAN HIGHER EDUCATION IN AMERICA

by Steven J. Diner, Baltimore: John  
Hopkins University Press, 2017, 170 p.  
ISBN 978-1-4214-2241-1

Surveying American higher education from the early nineteenth century to the present, this book examines the various ways in which universities have responded to the challenges offered

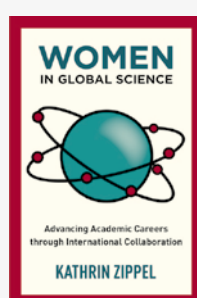


by cities. In the years before the Second World War, municipal institutions endeavored to 'build character' in working class and immigrant

students. In the postwar era, universities in cities grappled with massive expansion of enrolment, issues of racial equity, the problem of 'disadvantaged' students and addressing the 'urban crisis'. Through the twentieth century, urban higher education institutions greatly increased the use of the city for teaching, research on urban issues, and inculcating civic responsibility in students. Moving into the twenty-first century, university location in urban areas has become increasingly popular with both city-dwelling students and prospective resident students.

### **WOMEN IN GLOBAL SCIENCE: ADVANCING ACADEMIC CAREERS THROUGH INTERNATIONAL COLLABORATION**

by Kathryn Zippel, Stanford: Stanford University Press, 2017, 244 p.  
ISBN 978-1-5036-0149-9



This book considers women's participation in academic science, technology, engineering and mathematics fields. The author explores how gender shapes the

opportunities and obstacles for researchers internationally, and whether the globalisation helps or hinders the advancement of women. The book is based on survey, interview, and focus group data of STEM academic staff

involved in international collaborative research in 38 research universities in the United States. The author illustrates how gender is embedded in international collaboration practices of nation-states, funding agencies and universities and examines in particular the implications for women's access to and opportunities to participate in international conferences, research sites, and fieldwork.

### **Erratum**

In IAU Horizons v. 22 no. 1, the Editors' names for the book 'Knowledge and Change in African Universities' (Sense Publishers) were incorrectly printed. Their correct names are Michael Cross and Amasa Ndofirepi.

**By Amanda Sudic**, Librarian/  
Documentalist  
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/// Trine Jensen, Manager, Events and Projects and Juliette Becker, Executive Assistant/Programme Officer

**Printer:** SEP, Nîmes, France /// **Design:** Maro Haas

ISSN (printed version): 2076-2194 / ISSN (web version): ISSN: 2076-2208



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