

# FREE UNIVERSITIES

## Putting the Academic Freedom Index Into Action

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REPORT  
**March 2021**

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This updated report offers policy recommendations on how to use the Academic Freedom Index (AFi) for the advancement of free universities. It calls on decision-makers in higher education and foreign policy, university administrations, research funding organizations, advocacy groups, and parliaments to use the AFi data to better protect and promote academic freedom. It also includes recommendations for scholars and students.

The AFi aims to inform stakeholders, provide monitoring yardsticks, alter incentive structures, challenge university rankings, facilitate research, and ultimately promote academic freedom. It is the result of a collaborative effort between researchers at Friedrich-Alexander-Universität Erlangen-Nürnberg (FAU), the V-Dem Institute, the Scholars at Risk Network, and the Global Public Policy Institute (GPPi) as well as approximately 2,000 country experts around the world. AFi scores are based on the country experts' assessments, which are collected and integrated by V-Dem using a Bayesian measurement model.

## **Acknowledgments**

This updated report builds on work initiated by Katrin Kinzelbach (FAU, previously GPPi) and closely coordinated with Robert Quinn at the Scholars at Risk Network. Janika Spannagel was responsible for the project management at GPPi, with the support of Ilyas Saliba. The realization of the Academic Freedom Index would not have been possible without the expertise and infrastructure of the V-Dem Institute, including its global network of country experts. In particular, we would like to thank V-Dem's Anna Lührmann, Seraphine Maerz and Staffan I. Lindberg for the fruitful cooperation and smooth implementation of the project at V-Dem.

We are indebted to numerous scholars, higher education experts and index experts who contributed to the previous version of this report (published in March 2020), including by interpreting the data. In particular, we would like to thank the advisory board members of the AFi pilot project, notably Sonja Berghoff, Hauke Hartmann and Michael Ignatieff, for their support and commitment – especially when the AFi was nothing more than an idea. Robert Quinn, one of the authors of this report, was also a member of the advisory board. We would further like to thank Alicja Polakiewicz and Daniel Munier for their valuable research assistance and input on previous versions of this report, Alissa Jones Nelson for her edits, Alexandra Fragstein, Isabelle Birebent and the team at TAU Berlin for their graphic design support, Amanda Pridmore for a final proofread, and Katharina Nachbar for the layout and production management.

GPPi gratefully acknowledges funding from OSF's Higher Education Support Programme, which made both GPPi's work on the project and this report possible.

The recommendations presented in this publication are solely those of the authors.

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# 1. Introduction

Academic freedom is a universal right and essential to quality education, teaching and research. It is a driver of innovation, enhances the capacity of scholars and students to acquire and generate knowledge, and thereby protects societies' capacity for self-reflection. While states and universities throughout the world have long committed to respecting and protecting academic freedom,<sup>1</sup> it remains poorly understood – and is under attack in many places.<sup>2</sup>

As this report gets published, the international community is still addressing the global Covid-19 pandemic. Higher education institutions have tried to adapt to the new circumstances by implementing physically distanced teaching, learning and examinations and, where possible, through virtual offerings or remote collaborations. But above all else they have had to rely on and demonstrated creativity. That includes the countless academic institutions and researchers who have harnessed their expertise to support the various responses to the pandemic and its aftermaths.

New threats to academic freedom, however, have also emerged as a result of the pandemic. Most notable among these are increased opportunities for surveillance of research, teaching and discourse, as well as sanctions, restrictions, self-censorship, and isolation. While this is especially true in repressive countries, online harassment can be experienced anywhere. Even if the coming year will see us emerge from the depths of the pandemic, states, higher education leaders and institutions, funders, and advocates alike must remain alert to and guard against an entrenching of such threats to academic inquiry and expression, be they new or old. We must redouble our commitment to the principle that academic freedom matters – not just to higher education, but to everyone.

We offer this report to assist efforts to put the Academic Freedom Index (AFI) into action, for the benefit of present and future societies. This second iteration of the AFI data<sup>3</sup> draws on contributions by almost 2,000 country experts from around the world and covers 175 countries and territories (compared to 144 countries in the first edition) over the period from 1900 to 2020. The data is publicly available<sup>4</sup> and includes more than 140,000 observation points, several indicators, and an aggregate index on academic freedom, which is based on a Bayesian measurement model.

The Academic Freedom Index is a robust tool for research, but it also serves to inform policy debates among government officials, parliamentarians, research funders, university administrators, academics, students, and advocates. This report aims to further contribute to such debates. After introducing the objectives of the index as well as the dataset, we provide specific recommendations for key stakeholders on how they can apply the AFI to protect and promote academic freedom worldwide.

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1 See §15 of the International Covenant on Economic Social and Cultural Rights (ICESCR), obliging signatory state parties to “respect the freedom indispensable for scientific research,” ratified by 171 UN member states.

2 See *Free to Think. 2020: Report of the Scholars at Risk Academic Freedom Monitoring Project*, available at <https://www.scholarsatrisk.org/resources/free-to-think-2020/>. The report analyzes 341 attacks on higher education communities in 58 countries between September 1, 2019 and August 31, 2020.

3 See <https://www.v-dem.net/en/data/reference-material-v11/>.

4 The data can also be accessed via online visualization tools here: <https://www.v-dem.net/en/online-graphing/>.

# 2. Objectives

## Inform Stakeholders

The data and knowledge provided by the AFi is relevant to everyone working in or with academic institutions, and it benefits states and the general public, which depend on quality higher education and research. It provides easily accessible, multi-dimensional information on the state of academic freedom around the world and across time.

## Provide Monitoring Yardsticks

This data can inform and foster the development of monitoring mechanisms set up by governments or international organizations to better protect academic freedom. The AFi also helps research funding organizations – public or private – and university administrations to understand the conditions under which researchers and students work and learn in a particular country.

## Alter Incentive Structures

By providing global data on respect for and violations of academic freedom, we hope to bring a rights and freedoms perspective into debates on higher education governance and policy. The incentives for respecting academic freedom will grow if international organizations, academic professional organizations, ministries, funders, and universities integrate academic freedom assessments into their review processes. The AFi can influence prospects for the allocation of grants, the establishment of new institutional partnerships, and decisions on reporting standards.

## Challenge University Rankings

Academic freedom must be resurrected as a key criterion for academic reputation and quality. AFi country scores can be used to improve established university rankings. At present, leading rankings narrowly define academic excellence and reputation as a function of outputs. As a result, institutions in repressive environments have climbed the reputation ladder and now occupy top ranks. They thereby mislead key stakeholders and make it possible for repressive state and higher education authorities to restrict academic freedom without incurring a reputational loss. If academic freedom levels featured in the calculations of those rankings, this would lower the chances for institutions constrained by such restrictive environments to improve their international reputations and attract academic talent – thereby changing the knowledge economy and offering a new incentive to safeguard academic freedom.

## Facilitate Research

We still do not know enough about academic freedom and the factors that sustain or threaten it. The AFi is publicly available and continuously updated, and its data can be freely used by researchers from any field who are interested in issues related to academic freedom. In this way, the AFi contributes to improving our understanding of academic freedom, and consequently the scholarly debate on related issues. We also invite scientific scrutiny of the country experts' coding and hope that more experts will contribute their assessments in the years to come, providing validation, improvements, and additional nuances as applicable.

## Promote Academic Freedom

Advocacy and professional organizations promoting academic freedom can use the AFi to empirically ground their demands and inform their advocacy and campaigns.

# 3. Dataset and Methodology

The Academic Freedom Index is composed of five expert-coded indicators that capture key elements in the *de facto* realization of academic freedom: (1) freedom to research and teach; (2) freedom of academic exchange and dissemination; (3) institutional autonomy; (4) campus integrity; and (5) freedom of academic and cultural expression. A given issue is assessed by multiple, independent experts for each country in each year based on a pre-defined scale (see Table 1). Some 2,000 experts – typically academics in the respective country – have so far contributed such assessments. The ratings of individual coders are aggregated into country-year scores for each indicator, and in a second step for the index, using a Bayesian measurement model (see below). Aggregation procedures are fully transparent and all data, including the raw data submitted by individual coders, are publicly available for download.

In the dataset, the index is complemented by some additional, factual indicators, assessing states' *de jure* commitments to academic freedom at (6) constitutional and (7) international levels, as well as (8) whether universities have ever existed in a given country. Table 1 provides an overview of all the indicators. In total, this rich dataset includes more than 140,000 observation points.

## Expert Assessments and V-Dem Methodology

Assessing abstract concepts such as “academic freedom” is not a simple task. Existing approaches – including events-based, self-reporting or survey data, as well as legal analyses – all display critical shortcomings when it comes to painting a comprehensive picture of academic freedom violations across time and space. After carefully considering such alternatives and consulting with a range of stakeholders,<sup>5</sup> we decided to use expert assessments as the basis for the AFI, and we chose V-Dem as a partner for its implementation. Among the strengths of the V-Dem approach is full transparency on the number of coders, their individual submissions, and the data aggregation. While the AFI data collection and aggregation follows rigorous scientific procedures, we acknowledge that expert assessments have inherent limitations. For this reason, we welcome continuous and substantiated critical engagement with the AFI data.

The V-Dem project, headquartered at the University of Gothenburg in Sweden, hosts the largest database on democracy in the world, with 470+ indicators. Its innovative statistical methodology takes into account that assessments of complex concepts may vary across coders and cases. For each expert-coded indicator, V-Dem gathers data from multiple, independent coders. The contributing academics come from almost every country around the world, ensuring a diverse set of backgrounds. By accounting for coders' potential biases, diverging coding behaviors and levels of confidence, V-Dem's statistical model produces valid and reliable estimates. The Bayesian measurement model developed by Pemstein et al. relies on item-response theory and provides the respective best estimate of the value for an observation, alongside an estimate of uncertainty for each data point.<sup>6</sup> In sum, V-Dem's established research infrastructure and methodology provides (i) historical data extending back to 1900 for more than 180 countries; (ii) multiple, independent coders for each (non-factual) question; (iii) inter-coder reliability tests, incorporated into a Bayesian measurement model; (iv) confidence bounds for all point estimates associated with non-factual questions; (v) and transparent aggregation procedures; additionally, (vi) all the data – including original coder-level judgments – is freely available for download and online analysis at <https://www.v-dem.net/en/online-graphing/>.

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5 See Hoffmann, F. and Kinzelbach, K. (2018): “Forbidden Knowledge,” Global Public Policy Institute, available at: <https://www.gppi.net/2018/04/20/forbidden-knowledge-measuring-academic-freedom>.

6 For detailed insight into the methodology of the expert-coded data and the statistical modeling behind the various estimates, see Pemstein et al. (2021): “The V-Dem measurement model: Latent variable analysis for cross-national and cross-temporal expert-coded data,” University of Gothenburg, V-Dem, available at: [https://www.v-dem.net/media/publications/wp\\_21\\_6th\\_edition.pdf](https://www.v-dem.net/media/publications/wp_21_6th_edition.pdf), as well as Coppedge et al. (2021): “V-Dem Methodology v11,” University of Gothenburg, V-Dem, available at: <https://www.v-dem.net/static/website/img/refs/methodologyv111.pdf>.

Table 1: Indicators of the Academic Freedom Dataset <sup>7</sup>

Indicator	Question and Response Levels	Type of Data	Afi
<b>Freedom to Research and Teach</b>	<p><i>To what extent are scholars free to develop and pursue their own research and teaching agendas without interference?</i></p> <p><b>0: Completely restricted.</b> When determining their research agenda or teaching curricula, scholars are, across all disciplines, consistently subject to interference or incentivized to self-censor.</p> <p><b>1: Severely restricted.</b> When determining their research agenda or teaching curricula, scholars are, in some disciplines, consistently subject to interference or incentivized to self-censor.</p> <p><b>2: Moderately restricted.</b> When determining their research agenda or teaching curricula, scholars are occasionally subject to interference or incentivized to self-censor.</p> <p><b>3: Mostly free.</b> When determining their research agenda or teaching curricula, scholars are rarely subject to interference or incentivized to self-censor.</p> <p><b>4: Fully free.</b> When determining their research agenda or teaching curricula, scholars are not subject to interference or incentivized to self-censor.</p>	Expert-coded	X
<b>Freedom of Academic Exchange and Dissemination</b>	<p><i>To what extent are scholars free to exchange and communicate research ideas and findings?</i></p> <p><b>0: Completely restricted.</b> Academic exchange and dissemination is, across all disciplines, consistently subject to censorship, self-censorship, or other restrictions.</p> <p><b>1: Severely restricted.</b> Academic exchange and dissemination is, in some disciplines, consistently subject to censorship, self-censorship, or other restrictions.</p> <p><b>2: Moderately restricted.</b> Academic exchange and dissemination is occasionally subject to censorship, self-censorship, or other restrictions.</p> <p><b>3: Mostly free.</b> Academic exchange and dissemination is rarely subject to censorship, self-censorship, or other restrictions.</p> <p><b>4: Fully free.</b> Academic exchange and dissemination is not subject to censorship, self-censorship, or other restrictions.</p>	Expert-coded	X
<b>Institutional Autonomy</b>	<p><i>To what extent do universities exercise institutional autonomy in practice?</i></p> <p><b>0: No autonomy at all.</b> Universities do not exercise any degree of institutional autonomy; non-academic actors control decision-making.</p> <p><b>1: Minimal autonomy.</b> Universities exercise only very limited institutional autonomy; non-academic actors interfere extensively with decision-making.</p> <p><b>2: Moderate autonomy.</b> Universities exercise some institutional autonomy; non-academic actors interfere moderately with decision-making.</p> <p><b>3: Substantial autonomy.</b> Universities exercise institutional autonomy to a large extent; non-academic actors have only rare and minimal influence on decision-making.</p> <p><b>4: Complete autonomy.</b> Universities exercise complete institutional autonomy from non-academic actors.</p>	Expert-coded	X

7 More detailed information on these indicators – including the instructions, definitions and clarifications provided to expert coders – can be found in Coppedge, M. et al. (2021): “V-Dem Codebook v11,” University of Gothenburg, V-Dem. Available at: <https://www.v-dem.net/static/website/img/refs/codebookv111.pdf>. An in-depth description of the conceptualization of the indicators, coding decisions about the factual data, as well as content and convergent validation of the data can be found in Spannagel, J., Kinzelbach, K. and Saliba, I. (2020): “The Academic Freedom Index and other new indicators relating to academic space: An Introduction,” University of Gothenburg, V-Dem, available at: [https://www.v-dem.net/media/publications/users\\_working\\_paper\\_26.pdf](https://www.v-dem.net/media/publications/users_working_paper_26.pdf)

Indicator	Question and Response Levels	Type of Data	Afi
<b>Campus Integrity</b>	<p><i>To what extent are campuses free from politically motivated surveillance or security infringements?</i></p> <p><b>0: Completely restricted.</b> Campus integrity is fundamentally undermined by extensive surveillance and severe intimidation, including violence or closures.</p> <p><b>1: Severely restricted.</b> Campus integrity is to a large extent undermined by surveillance and intimidation, at times including violence or closures.</p> <p><b>2: Moderately restricted.</b> Campus integrity is challenged by some significant cases of surveillance or intimidation.</p> <p><b>3: Mostly free.</b> Campus integrity is to a large extent respected, with only minor cases of surveillance or intimidation.</p> <p><b>4: Fully free.</b> Campus integrity is comprehensively respected; there are no cases of surveillance or intimidation.</p>	Expert-coded	X
<b>Freedom of Academic and Cultural Expression</b> <sup>8</sup>	<p><i>Is there academic freedom and freedom of cultural expression related to political issues?</i></p> <p><b>0: Not respected by public authorities.</b> Censorship and intimidation are frequent. Academic activities and cultural expressions are severely restricted or controlled by the government.</p> <p><b>1: Weakly respected by public authorities.</b> Academic freedom and freedom of cultural expression are practiced occasionally, but direct criticism of the government is mostly met with repression.</p> <p><b>2: Somewhat respected by public authorities.</b> Academic freedom and freedom of cultural expression are practiced routinely, but strong criticism of the government is sometimes met with repression.</p> <p><b>3: Mostly respected by public authorities.</b> There are few limitations on academic freedom and freedom of cultural expression, and resulting sanctions tend to be infrequent and soft.</p> <p><b>4: Fully respected by public authorities.</b> There are no restrictions on academic freedom or cultural expression.</p>	Expert-coded	X
<b>Constitutional Protection of Academic Freedom</b> <sup>9</sup>	<p><i>Do constitutional provisions for the protection of academic freedom exist?</i></p> <p><b>0:</b> No.</p> <p><b>1:</b> Yes.</p> <p><b>95:</b> Constitution suspended.</p> <p><b>97:</b> Other or undetermined.</p> <p><b>99:</b> Missing.</p>	Factual data	
<b>International Legal Commitment to Academic Freedom Under ICESCR</b> <sup>10</sup>	<p><i>Is the state party to the International Covenant on Economic, Social and Cultural Rights (ICESCR) without reservations to Article 15 (right to science)?</i></p> <p><b>0:</b> State not a party to ICESCR, or made reservations to Article 15.</p> <p><b>1:</b> State is party to ICESCR without reservations to Article 15, but treaty not yet in force.</p> <p><b>2:</b> ICESCR in force and signed without reservations to Article 15.</p> <p><b>3:</b> ICESCR in force and ratified without reservations to Article 15.</p>	Factual data	
<b>Existence of Universities</b> <sup>11</sup>	<p><i>Have universities (ever) existed in this country?</i></p> <p><b>0:</b> No</p> <p><b>1:</b> Yes</p>	Factual data	

8 Pre-existing V-Dem indicator.

9 Data collected by the Comparative Constitutions Project, see: <https://comparativeconstitutionsproject.org/>.

10 Data collected by Janika Spannagel and Alicja Polakiewicz at GPPI.

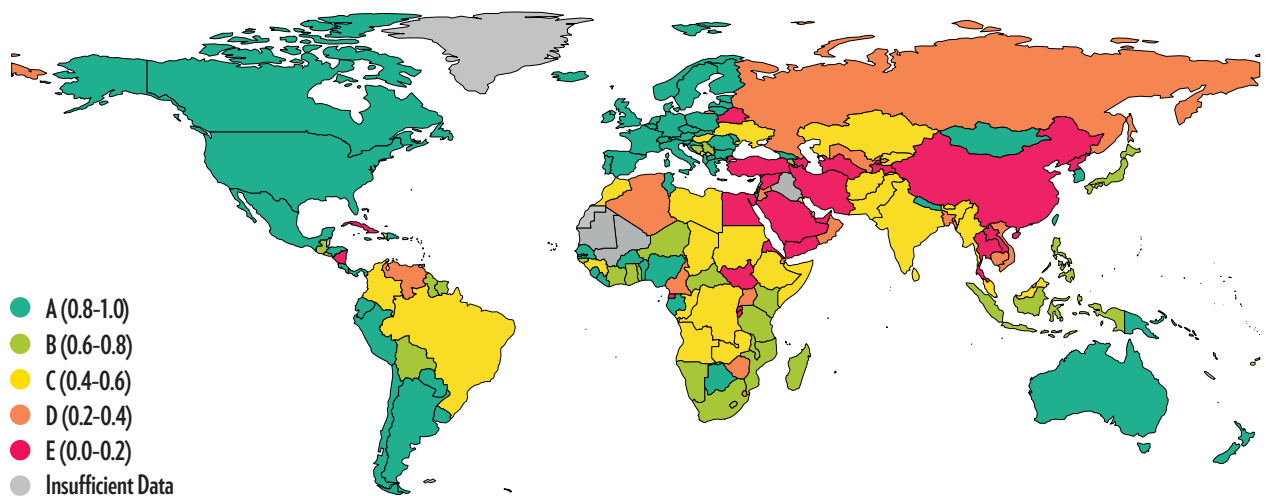
11 Data collected by Janika Spannagel and Alicja Polakiewicz at GPPI, with support from Brendan Apfeld at the University of Texas. This indicator was used to pre-code the expert-coded dataset.



When comparing countries' AFi scores, it is advisable from a methodological point of view to focus on larger disparities between countries rather than decimal-point differences or ranks, given that there is a certain margin of error attached to each individual score. Such confidence bounds are available in the dataset. For reasons of readability, we decided to not display them in the graphs of this report, but we recommend their consideration in any in-depth analysis of the data. For a global comparison of AFi scores (scaled 0–1), we suggest to group countries, assigning “A” status to all countries with an AFi score of between 1.0 and 0.8, “B” status between 0.8 and 0.6, “C” status between 0.6 and 0.4, “D” status between 0.4 and 0.2, and “E” status between 0.2 and 0.0.

The world map in Figure 1 depicts the 2020 AFi status for each country. Only few countries/territories did not yet meet the minimum coder threshold for 2020. Across the whole published dataset (1900–2020), country-years that did not meet a threshold of at least three coders for a particular indicator were omitted to ensure data quality. The aggregated index score is provided for country-years with at least three indicators meeting that threshold. The missing data will be complemented in the next rounds of data collection.

Figure 1: Global Levels of Academic Freedom 2020: Status Groups According to the Academic Freedom Index



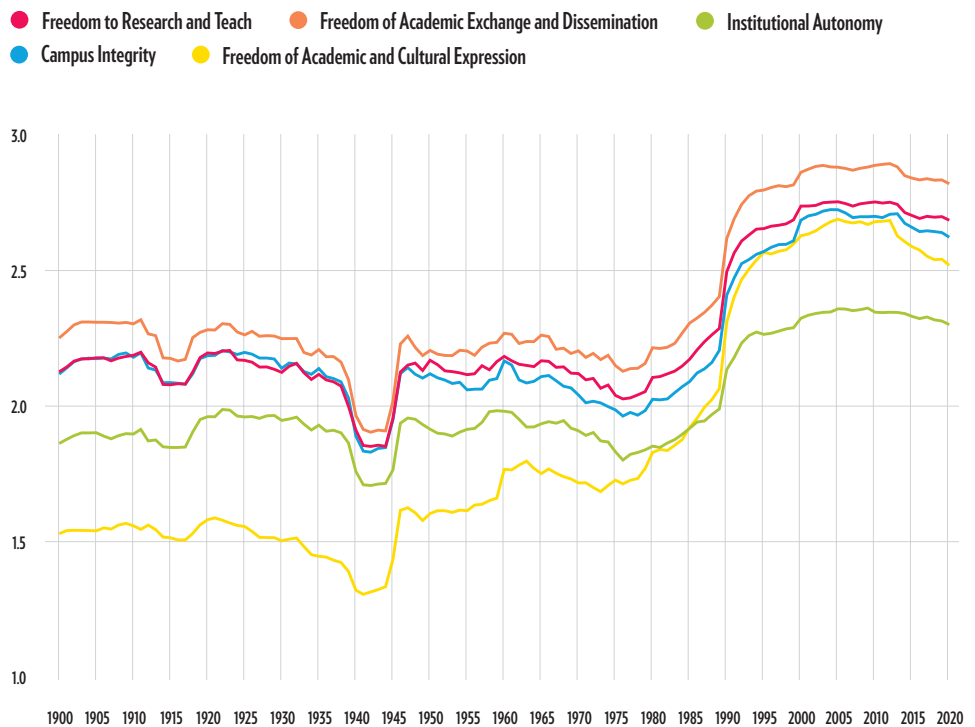
Source: AFi status group concept developed by the authors, based on V-Dem data (v11)

In addition to determining countries' AFi status, this rich data resource also enables the comparison of different indicators. For example, the dataset on constitutional provisions for academic freedom shows that more than one-third of countries with the worst performances in 2020 (a “D” or “E” status, that is  $AFi < 0.4$ ) have such *de jure* guarantees in place while extensive violations of academic freedom occur in practice.

Lastly, the index and indicators can be compared over time. Figure 2 depicts trends in the global averages of AFI's five constituent indicators from 1900 to 2020. Here, for example, we can see that universities' institutional autonomy generally seems subject to less extreme fluctuations than the other indicators. Its global average remains at a moderate level today. All the indicators suggest a substantial global drop in levels of academic freedom during World War II and a steep overall increase with the third wave of democratization in the early 1990s. More granular analysis can be done on the basis of individual country graphs, of which we provide some examples in the following sections.

**Figure 2: Global Trends in Components of Academic Freedom, 1900-2020**

(Note that the full scale is 0-4, truncated here to highlight changes over time. The current global average scores are not at the top of the scale.)



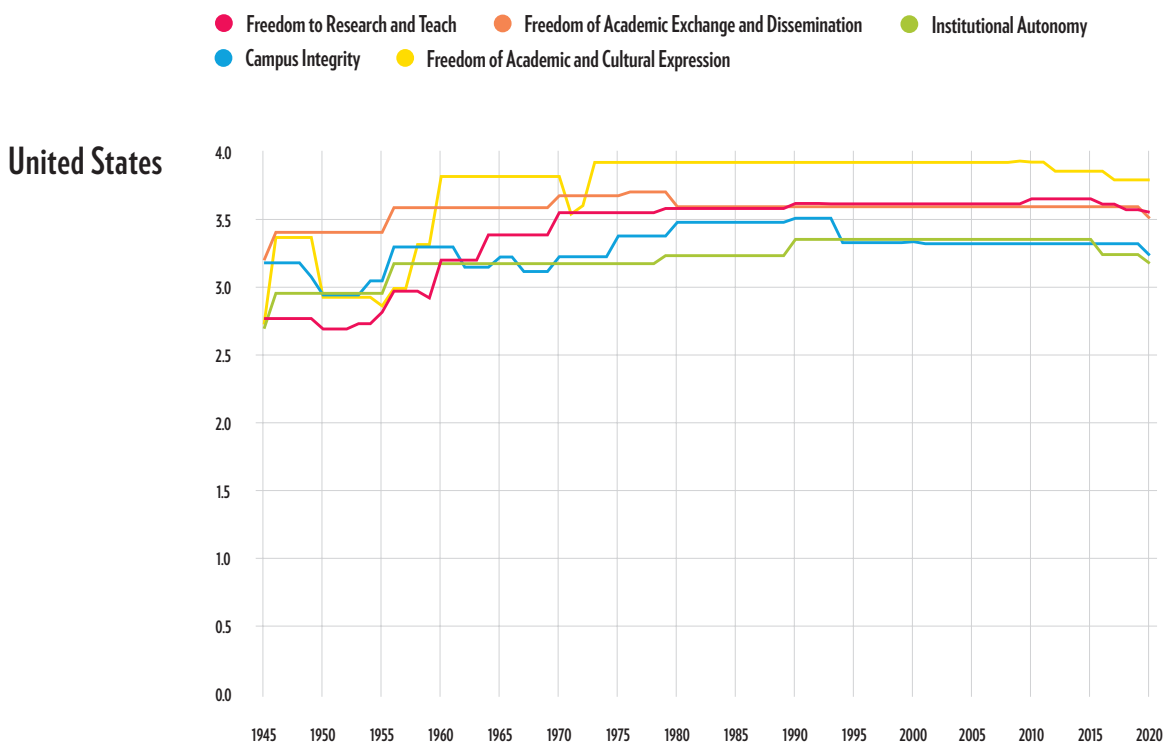
Source: V-Dem data (v11)

# 4. Recommendations

## 4.1 Higher Education Policy-Makers

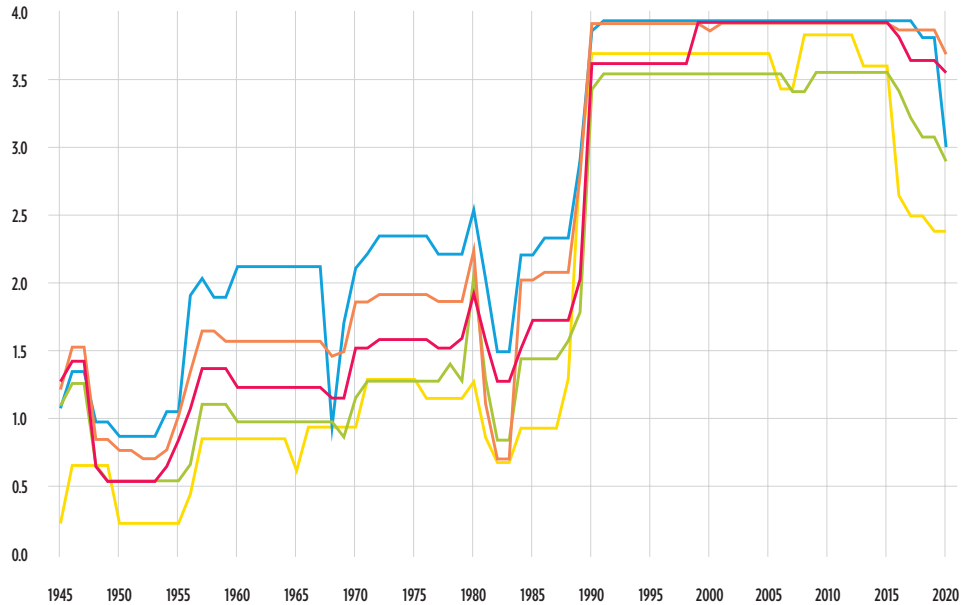
**Higher education authorities should use AFi data to assess the trajectory of their own work** by reviewing AFi indicators over time (see Figure 3 for select country examples). Analyzing their country's overall trend in the light of legislation, reforms, or policy changes can help higher education policy-makers assess the impact of such changes with respect to academic freedom. If evident deteriorations in academic freedom have been tied to specific legal or policy changes in the past, then these should be reassessed, and their reversion should be considered. Conversely, if a positive trend in certain AFi indicators can be linked to a specific policy change, then such policies should be preserved and could even serve as a blueprint for other states.

Figure 3: Select Country-Level Trends in Components of Academic Freedom, 1920-2020

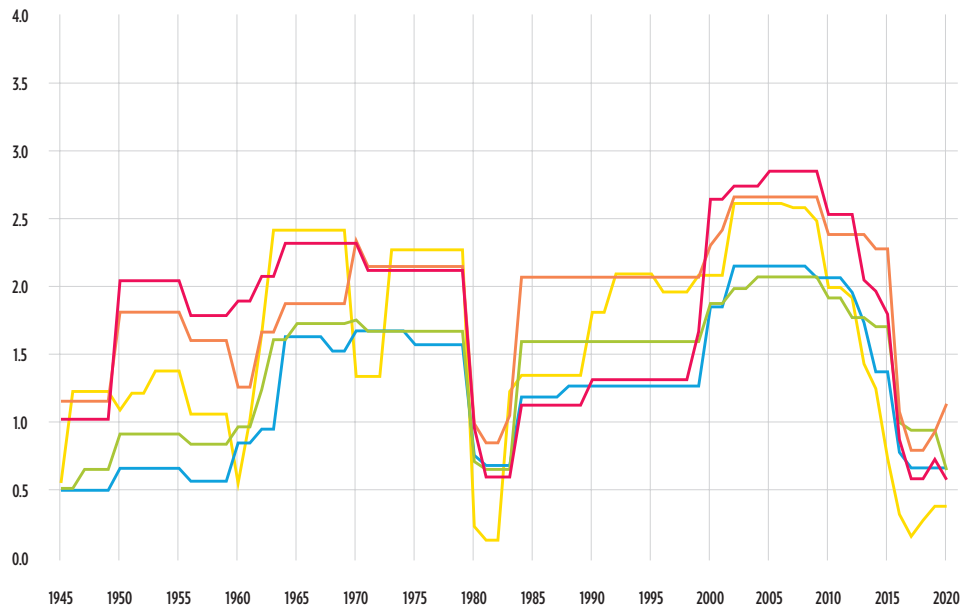


Source: V-Dem data (v11)

## Poland



## Turkey



Source: V-Dem data (v11)

**AFi data can provide a basis for international academic freedom monitoring mechanisms.** For example, the Bonn Declaration on Freedom of Scientific Research, adopted in October 2020, highlights the importance of monitoring, notably in the European Higher Education Area (EHEA).<sup>12</sup> The AFi indicators capture the

<sup>12</sup> German Federal Ministry of Education and Research. (2020): "Bonn Declaration on Freedom of Scientific Research. Adopted at the Ministerial Conference on the European Research Area on 20 October 2020 in Bonn," available at: [https://www.bmbf.de/files/10\\_2\\_2\\_Bonn\\_Declaration\\_en\\_final.pdf](https://www.bmbf.de/files/10_2_2_Bonn_Declaration_en_final.pdf).

core components of academic freedom, in line with states' obligations under the International Covenant for Economic, Social and Cultural Rights (Article 15), and thus provide an assessment tool that is applicable everywhere. However, they only provide information in broad strokes. We recommend that new monitoring efforts on academic freedom should include but also complement AFI data by taking a more detailed look at higher education legislation and regulations, as well as – crucially – sub-national variations in the *de facto* realization of academic freedom.<sup>13</sup>

**Higher education policy-makers must respond to declining AFI scores.** At least three possible avenues for action exist. We discuss these below, using the EHEA as an example:

- First, the EHEA should intensify its information-gathering efforts by ordering a comprehensive assessment of the national higher education sector or sectors in question. Such an assessment should be conducted by independent experts.
- Second, if this comprehensive assessment confirms a downward trend in academic freedom, EHEA experts should be tasked with providing recommendations to the relevant country authorities. If these recommendations do not lead to improvements, EHEA member states should provide assistance by developing twinning programs that are geared toward addressing the shortcomings or violations identified. Sharing best practices and capacity-development measures with relevant authorities or supporting scholar and student unions could be useful cooperative measures with which to reverse a declining trend in academic freedom.
- Lastly, if a government is responsible for ongoing disrespect for academic freedom and proves unwilling to take reasonable steps to improve the situation, the EHEA should employ instruments beyond assistance and expressions of disapproval. If such a mechanism is to be effective, then the toolbox must include sanction measures, such as exclusion from certain funding schemes.<sup>14</sup>

## 4.2 Foreign Policy-Makers

**By providing independent, reliable information, the AFI can help diplomats to understand and react to changing levels and violations of academic freedom.**

Research and higher education are international endeavors that often intersect with

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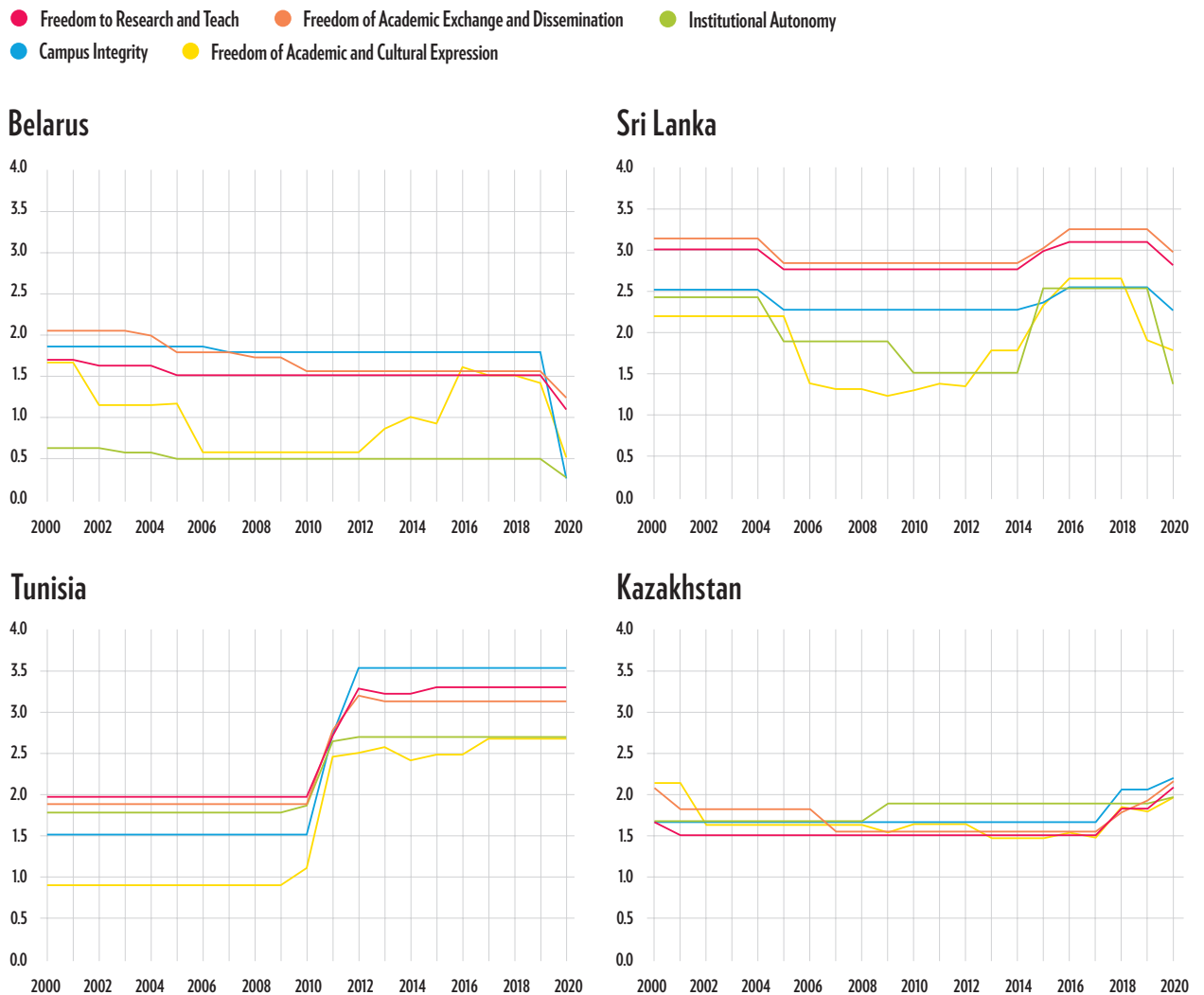
13 To address these shortcomings, we have pursued a parallel, more qualitative research agenda on academic freedom, entailing the development of case-study guidelines for comparable, in-depth assessments. The research guidelines, a data inventory on academic freedom sources, and four sample case studies on Brazil, Egypt, Ireland, and Russia can be found in: Kinzelbach, K. (2020): *Researching Academic Freedom*, FAU University Press, Erlangen-Nürnberg, available under open access at: [https://opus4.kobv.de/opus4-fau/files/15031/Researching\\_Academic\\_Freedom\\_OPUS.pdf](https://opus4.kobv.de/opus4-fau/files/15031/Researching_Academic_Freedom_OPUS.pdf).

14 It was announced in December 2020 that the EU's Horizon Europe and Erasmus+ grant schemes will include references to countries' respect for academic freedom. Learn more at: <https://www.europarl.europa.eu/news/en/press-room/20201207IPR93246/research-meps-reach-deal-with-council-on-horizon-europe-programme> (last accessed February 1, 2021).

foreign policy. Nevertheless, to date, academic freedom issues remain on the fringes of foreign policy discussions, only occasionally making the news cycle when individual academics are imprisoned. Fortunately, attention to this issue is growing in diplomatic circles. The AFi provides the necessary information for evidence-based diplomatic efforts on behalf of academic freedom. A better-informed diplomatic service can more meaningfully contribute to protecting and enhancing academic freedom. AFi data will hopefully encourage and assist foreign policy institutions in prioritizing academic freedom and developing new strategies and instruments to safeguard it worldwide.

**Diplomats may also use relative changes in AFi data over time to evaluate states' adherence to their respective commitments.** These include domestic laws

Figure 4: Select Trends in Components of Academic Freedom, 2000-2020



Source: V-Dem data (v11)

and international commitments, whether in treaties, multinational parliamentary bodies, or statements of principle. At a minimum, AFi indicators and data can provide a framework for the routine evaluation of and inter-state dialogue on adherence to such academic freedom commitments. In the best case, diplomats may use the data to encourage states to enact policy reforms aimed at increasing respect for academic freedom, with progress evaluated in future iterations of the index (see Figures 4 and 5 for examples of recent deteriorations and improvements).

The AFi scores, in combination with other available information on academic freedom, should be included in embassy monitoring and reporting. Restrictions on academic freedom are often one element in wider patterns of repression. Embassy reports on repressive practices that do not pay attention to the conditions in universities are incomplete. At the same time, universities can be islands of freedom amid repression, and as such, they warrant special attention. The AFi data provides a solid basis for diplomatic monitoring efforts, especially when combined with other available data, such as the incident reporting captured by Scholars at Risk’s Academic Freedom Monitoring Project,<sup>15</sup> among others. Embassies should build on this foundation and engage in more detailed, qualitative analysis, also noting variations between institutions within a particular country.

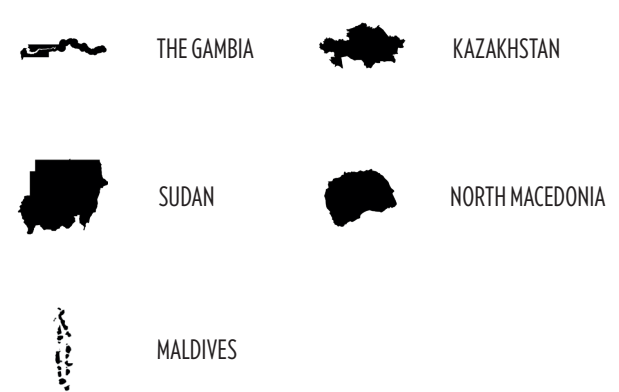
**Diplomatic representatives at the United Nations could use AFi data to report on their countries’ record on academic freedom.** For example, academic freedom is protected under international human rights law, grounded in the right to education (ICESCR Art. 13), the right to science (ICESCR Art. 15), and the right to freedom of

Figure 5: Countries With Recent Deteriorations or Improvements in Academic Freedom (2015-2020)

Countries or territories with AFi scores that deteriorated by at least 0.15 points in the last five years:



Countries or territories with AFi scores that improved by at least 0.15 points in the last five years:



15 Event-based data collected by the Academic Freedom Monitoring Project is available at: <https://www.scholarsatrisk.org/academic-freedom-monitoring-project-index/>. For a more detailed discussion of the methodology, see: <https://www.scholarsatrisk.org/methodology-of-the-academic-freedom-monitoring-project/>.

expression (International Covenant on Civil and Political Rights, ICCPR Art. 19), among other provisions. When submitting regular implementation reports to the UN, states can lead by example and report on academic freedom under the above-mentioned articles, drawing on AFi data to document their achievements.

Moreover, **diplomats can refer to AFi data when making recommendations to other states in multilateral fora.** In cases where states demonstrate a gross lack of adherence to their academic freedom commitments, coupled with an unwillingness to engage in dialogue or reform, AFi data can support diplomatic action aimed at containing or even reversing any erosion of academic freedom. For example, AFi data may be cited to identify norm-violating behavior in debates during the UN's Universal Periodic Review, or in submissions to the UNESCO Committee on Conventions and Recommendations. Conversely, in cases where states demonstrate considerable improvement in the realization of academic freedom, this should also be noted in multilateral fora.

Finally, **if states restrict scholars' travel, arrest them, violently assault them, or otherwise target them with repressive measures, diplomats and government representatives should express concerns over these violations and raise them bilaterally with the host government.** In the same spirit, embassies should provide fast-track visas for at-risk scholars. In countries with low AFi scores, embassies should proactively distribute information on available scholarships for persecuted academics. However, such forms of open, targeted repression are only the tip of the iceberg. Diplomatic attention to violations of academic freedom must begin much earlier. Crucially, **AFi data can help detect softer forms of repression in the university sector – long before individual academics fear for their lives.**

### 4.3 The UN System

Out of 193 UN member states, 171 have ratified the ICESCR, and not a single one has filed a reservation on the right to science.

Article 15 (3) of the International Covenant on Economic, Social and Cultural Rights (ICESCR) states that the “States Parties to the present Covenant undertake to respect the freedom indispensable for scientific research and creative activity.” Out of 193 UN member states, 171 have ratified the ICESCR, and not a single one has filed a reservation on the right to science. This means that a very large majority of states around the world have made a legally binding commitment to uphold academic freedom and have accepted UN monitoring as well as peer review by other states.

**The UN Committee on Economic, Social and Cultural Rights (CESCR) and UN member states should use AFi data to review state compliance with Article 15 (3) ICESCR.** States should also refer to CESCR's recent general comment on Article 15, which spells out state obligations under the right to science in detail.<sup>16</sup>

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<sup>16</sup> UN Committee on Economic, Social and Cultural Rights (CESCR). (2020): “General comment No. 25 on science and economic, social and cultural rights (article 15 (1) (b), (2), (3), and (4) of the International Covenant on Economic, Social and Cultural Rights),” E/C.12/GC/25, Geneva: United Nations, §13, pp. 3-4, available at: <https://undocs.org/E/C.12/GC/25>.



The ICESCR monitoring procedure relies on self-reporting by states. In the past, states have repeatedly under-reported on academic freedom, providing information on the *de jure* rather than the *de facto* situation, if they have reported at all. **State reports on the implementation of the right to science should use AFi data to provide information on *de facto* compliance with the state’s academic freedom obligations.**

**If a state party does not sufficiently report on academic freedom, the CESCR should base its assessment on AFi data as well as available shadow reports by non-governmental experts.** Where discrepancies are evident, the CESCR should seek further information from the state. We further recommend that, in the event that a state under-reports on academic freedom or provides a strictly *de jure* perspective, or when self-reporting and the AFi paint vastly different pictures, the committee should consider a country visit.

**AFi data covers all the core dimensions of academic freedom, and UNESCO should use this data as a basis for the new monitoring efforts currently under development.** In 2017, UNESCO revised its Recommendation on Science and Scientific Researchers, and it is now in the process of collecting national reports for the period 2017-2020, which will be examined by the Executive Board as well as by the General Conference during its 41st session in November 2021.<sup>17</sup> The AFi can inform national reports and help UNESCO identify which countries should be monitored more closely or receive more attention – for example, if a downward trend in academic freedom is evident in the AFi (see, for example, the countries listed in Figure 5). This also applies to UNESCO’s Recommendation Concerning the Status of Higher Education Teaching Personnel (adopted in 1997).

## 4.4 Parliaments

**The AFi can help national parliaments improve the quality and competitiveness of higher education in their countries.** Academic freedom is essential to top-quality teaching and research, which are themselves essential to national competitiveness in a global knowledge economy. Without security and autonomy, higher education institutions’ ability to guide and support quality research and teaching is compromised. AFi data can be used to identify possible threats to these important pre-conditions. It can also help national and multi-national parliamentary bodies to identify relative increases or decreases in respect for academic freedom among state partners in international higher education collaborations and provide a framework for regular evaluation, dialogue, and reform.

**National parliaments should begin with a self-evaluation** by reviewing their state’s scores across all indicators. If significant deficiencies or decreases are evident, national

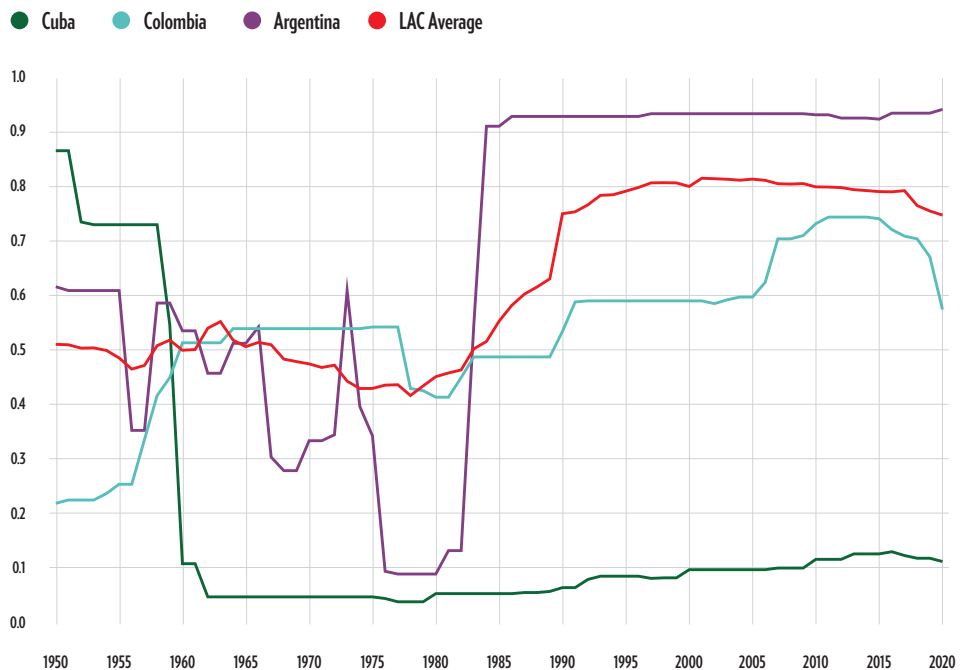
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<sup>17</sup> UNESCO. (2017): “Recommendation on Science and Scientific Researchers,” available at: [https://en.unesco.org/themes/ethics-science-and-technology/recommendation\\_science](https://en.unesco.org/themes/ethics-science-and-technology/recommendation_science).

parliaments should undertake inquiries into the cause or causes (e.g., reviewing existing laws and policies, studying state or non-state pressures on academic freedom) and develop appropriate policy remedies. Conversely, if the data shows significant strengths or increases in academic freedom, national parliaments should identify the earlier changes in conditions or policies which led to these increases and continue to support those conditions or policies, or encourage their replication elsewhere.

National parliaments can also **compare their state’s performance with that of other states**. Comparing relative changes over time among academic peer states may help to identify policy weaknesses and areas for improvement. Additionally, comparisons with academically more advanced states may also help to identify opportunities for improvement across the various indicators (see Figure 6 as an example of intra-regional comparisons on the AFi).

**Figure 6: Latin America & Caribbean (LAC): Regional & Select Country-Level Trends in Academic Freedom (AFi), 1950-2020**  
(Note that the AFi is scaled from 0 to 1.)



Source: V-Dem data (v11)

Parliaments can also use the AFi to promote academic freedom across borders. **The European Parliament (EP) should encourage the use of AFi data to improve respect for academic freedom across the European Union and beyond.** The EP has repeatedly supported activities promoting academic freedom and might encourage the use of AFi indicators when fostering constructive dialogue on the issue or encouraging higher education reforms, monitoring progress, and insisting on adherence to shared commitments over time. Such efforts could be particularly valuable across the EHEA,

which includes EU and non-EU member states. The EP should also use AFi data to support its 2018 recommendation urging the “defense of academic freedom in the EU’s external action.”<sup>18</sup> The EP might consult with national higher education decision-makers, human rights experts, and scholars and students both inside and outside of the EU on issues relating to academic freedom and the quality of higher education. It can encourage support for academic freedom through funding research, efforts to protect and promote academic freedom, public awareness campaigns or educational materials, events and discussions, and programs supporting at-risk scholars.

Other multinational parliamentary bodies (e.g., the Pan-African Parliament) may also consider the above uses of AFi data when promoting both member and non-member states’ adherence to their academic freedom commitments. A recent example of such a use of the AFi data is a resolution adopted by the Parliamentary Assembly of the Council of Europe (PACE).<sup>19</sup>

## 4.5 Advocacy Groups

**Advocacy groups may use AFi data to challenge states to meet their international and domestic legal and policy commitments to respect and promote academic freedom.** Academic freedom is protected under international human rights law, regional human rights systems, and in the constitutions, basic laws, or national higher education laws of most states. AFi data can help advocacy groups challenge all states, demanding that those with poor records on academic freedom improve adherence to their own commitments, and urging those with strong records to exert a positive influence on poorly performing states via bilateral and multilateral systems. Advocacy groups could assert their concerns and recommendations through the UN’s treaty bodies and special procedures, the Universal Periodic Review process, the UNESCO Committee on Conventions and Recommendations, regional human rights bodies (e.g., the Inter-American Commission on Human Rights, the African Commission on Human and Peoples’ Rights), or the higher education policy teams of the OECD or the World Bank, among others.

**Regular iterations of the index will help advocacy groups demonstrate trends (both positive and negative) and evaluate the effectiveness of enacted policy reforms.** As noted above, AFi data is based on multiple expert assessments of individual countries across many years. This supports comparisons of changes over time within each state covered, as well as comparisons of relative changes over time across countries. Since the data will be updated annually, the AFi will provide the best available data on changes in academic freedom – both improvements and regressions – and will support advocacy group activities beyond the immediate and the short-term, with a view toward long-term, deep, sustainable improvements.

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18 European Parliament. (2018): Document no. P8\_TA(2018)0483, available at: [https://www.europarl.europa.eu/doceo/document/TA-8-2018-0483\\_EN.html](https://www.europarl.europa.eu/doceo/document/TA-8-2018-0483_EN.html).

19 PACE. (2020): “Threats to academic freedom and autonomy of higher education institutions in Europe,” Resolution 2352, available at: <https://pace.coe.int/pdf/b0d53128aec46da97122204c6638a28d-2faeaa633326667a8259ffe25682ae848428feba12/resolution%202352.pdf>.

**By demonstrating relative changes in academic freedom over time, AFi data can help to support the link between academic freedom and quality higher education and research.** This link is difficult to prove, but AFi data can be used to illustrate patterns and trends where greater levels of academic freedom correspond to better quality, reputation, and competitiveness in higher education.

**AFi scores can help advocacy groups to push university leaders and administrators whose institutions are engaged in international higher education activities to understand the conditions in the various countries in which they are involved.** The annually updated country scores in AFi data enable advocacy groups to engage with university leaders and administrators regularly to evaluate the risks to their institutions, staff, and students. Advocacy groups should explain to administrators that considering the AFi when evaluating their activities, policies, and contingency planning is a quality-management and risk-mitigation strategy. In this regard, advocacy groups may especially want to point to the indicators on freedom to research and teach (1), exchange and dissemination (2), and campus integrity (4), low scores on which might suggest heightened risks for staff or students engaged in activities overseas.

**Toward all of these ends, advocacy groups should use AFi data to shape dialogue, combat misinformation, and mobilize support for policy recommendations aimed at increasing protection for scholars, students, institutions, and academic freedom overall.** They should review those AFi results and recommendations relevant to their own organizational priorities and activities. They should consider incorporating AFi results into their regular or ad-hoc reporting on national and international human rights conditions. All advocacy groups interested in academic freedom should regularly promote its importance to the quality of higher education, to democratic society, and to the protection and strengthening of human rights. They should demand that states meet their obligations by refraining from violations of academic freedom, preventing violations by others, and carrying out prompt, thorough, and transparent investigations of such violations to hold the perpetrators accountable.

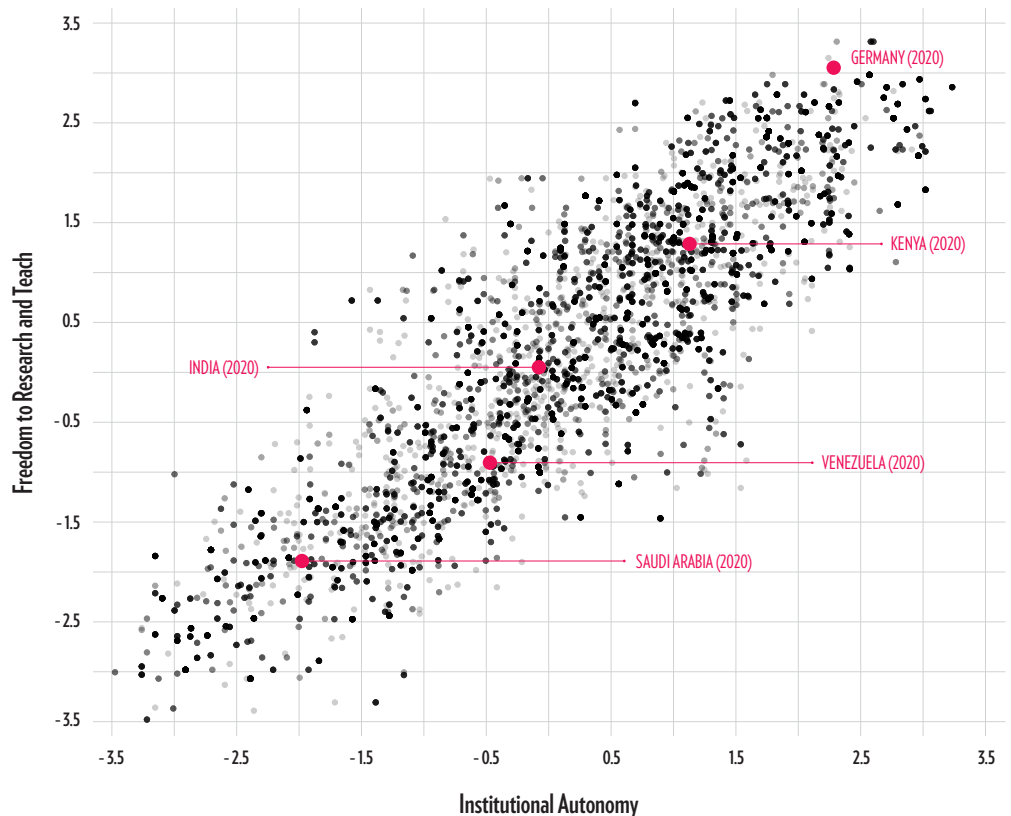
## 4.6 University Leaders and Administrators

The AFi is important for university leaders and administrators because it provides the first near-global coverage and historical comparison of country-level respect for several dimensions of academic freedom.

**University leaders may use AFi data domestically when advocating for material and policy support for their institutions and their national higher education system.** Crucially, university leaders should insist on institutional autonomy. AFi data illustrates that countries which respect universities' autonomy also tend to have high levels of freedom to research and teach (see Figure 7 on the next page).

**In places where academic freedom is generally well respected, university leaders and administrators may use recent changes or comparisons with other states to support appeals for resources or policies to maintain or enhance competitiveness, creating a virtuous cycle.** Comparing relative changes over time among academic peer states (as determined by type of higher education system, numbers of institutions or students, or level of investment in higher education, etc.) may help to identify policy weaknesses and support reform proposals. Similar comparisons with academically more advanced states may help to identify opportunities for improvement and to leverage competitive appetites among state officials or other key stakeholders, who would see increasing levels of respect for academic freedom across the various indicators as a means to improving the state's position relative to its peers.

**Figure 7: Distribution of all Country-Years (1900-2020) Between Institutional Autonomy and Freedom to Research and Teach** (n=13,749, using raw values from V-Dem model)



Source: V-Dem data (v11)

**AFi indicators provide university leaders and administrators with data and a framework for analyzing the conditions of academic freedom in other countries, whether before entering into new partnerships or activities, or as part of an established program.** AFi data puts university leaders, administrators, and their institutions on notice when they are engaged in activities in places where academic

freedom is not respected. They should therefore consider AFi data when evaluating their international activities, including satellite campuses, as well as any related communication to staff and students, program policies, insurance, and contingency planning. In this regard, university leaders and administrators may wish to pay special attention to the indicators on freedom to research and teach (1), exchange and dissemination (2), and campus integrity (4), because low rankings on these indicators might suggest heightened risks for staff or students engaged in activities overseas. Aspects to consider when collaborating with institutions in repressive environments go beyond the freedom indispensable for the envisaged research endeavor. There may also be a potential risk of being used to legitimate a repressive state or higher education actor. Furthermore, repressive actors might make attempts to erode academic freedom across borders and beyond the specific collaboration in question – for example, by implicitly or explicitly requesting that the partner institution censor politically sensitive research or teaching content.

**University leaders and administrators may wish to use the AFi in developing a culture of respect for academic freedom and proactive practices to promote research safety,** for example by putting academic freedom concerns on the program at university conferences, workshops, and leadership meetings. Moreover, the AFi can be used as a reference when universities want to ensure that students or staff going on research trips or taking up fellowships abroad are aware of the situation in their destination country and are well informed and prepared. If a researcher is planning a research stay in a country that has recently scored very low on indicators of freedom to research and teach (1), exchange and dissemination (2), and campus integrity (4), their university could ask them to prepare a risk analysis and risk mitigation strategy as well as demand specific safety training, as appropriate. For such countries, universities should also set up a crisis management procedure for handling attacks, detentions, disappearances, and other risks.

**University leaders and administrators may wish to consider AFi scores in evaluations of new and existing international higher education partnerships.** To this end, they could also establish a university body to monitor allegations of pressures on academic freedom on their campuses and in their international partnerships, and also make reports about those pressures available for public review. They should consider AFi data when reviewing insurance policies, in contingency planning, and when establishing new partnerships.

## 4.7 Funding Organizations

**AFi indicators provide organizations that fund international academic collaboration and scholarly exchange with a framework and data for monitoring the conditions of academic freedom in other countries, whether prior to setting up new partnerships or activities, or as part of ongoing programs.** AFi data can serve to put such organizations on notice when they are engaged in activities in places where academic freedom is not respected or is deteriorating. They should therefore consider AFi data when evaluating not only their activities and programs, but also their

insurance policies and contingency planning. In this regard, funders (as appropriate to the program) should pay special attention to the indicators on freedom to research and teach (1), exchange and dissemination (2), and campus integrity (4), because low performance on these indicators might suggest heightened risks for staff or students engaged in activities overseas.

**Funding organizations should strive to establish principles and procedures that recognize their own responsibility for academic freedom, similar to do-no-harm approaches in development cooperation.** Based on AFi data, funders could establish new procedures for reviewing funding applications. Notably, they could adopt AFi data as a traffic-light style warning system to automatically trigger certain requirements for ethical approval or specific preparatory trainings (e.g., in digital or communication security). Applicants could be required to submit a risk mitigation strategy as part of any application to undertake research in or with academic institutions located in countries with a status of C, D, or E, where academic freedom is not guaranteed (see the status group country lists in Table 2). Funders should also consider AFi scores as a factor when designing calls for teaching and research-related activities abroad.

**Organizations funding academic exchanges and international mobility could use AFi data to assess whether their grantees need special training, preparation, or support when going on a research trip or beginning a collaboration in another country.** AFi data can help to identify the general baseline of restrictions on academics in a specific country context. If a researcher or a student plans to leave for a country that scores very low on the AFi, then funding organizations bear additional responsibility to prepare their grantees for the more restrictive and potentially even repressive environment they will face. In such cases, funders should make resources available to ensure that outgoing researchers or students receive relevant preparatory training, including in data security, risk mitigation, or even hostile environment awareness, as needed. Funding organizations should also set up a crisis management procedure for handling attacks, detentions, disappearances, and other risks.

Moreover, **funders could make comprehensive risk assessments and written risk mitigation plans a necessary condition for funding trips to countries that score low on the AFi.** Just as ethics committee approval is necessary for research projects that involve human or animal subjects, such risk assessments and mitigation strategies should be obligatory for researchers venturing into places in which academic freedom is routinely violated.

**Funding organizations should also consider financially supporting research on academic freedom in countries that score low on the AFi.** Such research would seek to better understand both state and non-state pressures on academic freedom and autonomy within a national context, identify case-study examples that demonstrate these pressures, and propose policies, laws, and other measures to strengthen academic freedom.

Table 2: List of All Assessed Countries and Territories by Status Group With Their Academic Freedom Index Scores (Scaled From 0 to 1) for 2020

● <b>A Status (0.8-1.0)</b>		AFi					
Albania	0.840	Panama	0.901	Namibia	0.696	Cambodia	0.381
Argentina	0.942	Papua New Guinea	0.872	Niger	0.732	Cameroon	0.317
Australia	0.853	Paraguay	0.810	Palestine (West Bank)	0.746	Djibouti	0.279
Austria	0.966	Peru	0.946	Philippines	0.728	Eswatini	0.363
Barbados	0.940	Poland	0.862	Sao Tome and Principe	0.725	Hong Kong	0.348
Belgium	0.970	Portugal	0.955	Serbia	0.726	Jordan	0.308
Benin	0.836	Romania	0.935	Somaliland	0.637	Oman	0.215
Botswana	0.881	Senegal	0.892	South Africa	0.771	Qatar	0.210
Bulgaria	0.856	Seychelles	0.838	Suriname	0.743	Russia	0.374
Burkina Faso	0.890	Sierra Leone	0.859	Tanzania	0.608	Uganda	0.348
Canada	0.906	Slovakia	0.966	Timor-Leste	0.772	Uzbekistan	0.208
Cape Verde	0.809	Slovenia	0.933	Togo	0.763	Venezuela	0.210
Chile	0.945	Solomon Islands	0.908			Vietnam	0.377
Costa Rica	0.935	South Korea	0.870	● <b>C Status (0.4-0.6)</b>	AFi	Zanzibar	0.332
Croatia	0.881	Spain	0.939	Afghanistan	0.560	Zimbabwe	0.221
Cyprus	0.955	Sweden	0.964	Angola	0.425		
Czech Republic	0.941	Switzerland	0.959	Bhutan	0.554	● <b>E Status (0.0-0.2)</b>	AFi
Denmark	0.909	Taiwan	0.874	Brazil	0.442	Azerbaijan	0.075
Dominican Republic	0.922	The Gambia	0.835	Chad	0.585	Bahrain	0.041
Ecuador	0.851	Trinidad and Tobago	0.831	Colombia	0.574	Belarus	0.072
Estonia	0.942	Tunisia	0.807	Democr. Rep. of the Congo	0.406	Burundi	0.161
Finland	0.947	United Kingdom	0.915	Ethiopia	0.479	China	0.082
France	0.881	United States of America	0.901	Fiji	0.435	Cuba	0.111
Gabon	0.832	Uruguay	0.972	Guinea	0.550	Egypt	0.080
Georgia	0.882			Hungary	0.437	Equatorial Guinea	0.078
Germany	0.966	● <b>B Status (0.6-0.8)</b>	AFi	India	0.459	Eritrea	0.027
Greece	0.871	Armenia	0.773	Kazakhstan	0.429	Iran	0.120
Honduras	0.927	Bolivia	0.699	Kuwait	0.516	Laos	0.066
Iceland	0.925	Bosnia and Herzegovina	0.686	Kyrgyzstan	0.552	Nicaragua	0.183
Ireland	0.940	Central African Republic	0.647	Libya	0.452	North Korea	0.011
Israel	0.936	Comoros	0.715	Malaysia	0.493	Rwanda	0.082
Italy	0.969	El Salvador	0.747	Maldives	0.578	Saudi Arabia	0.076
Jamaica	0.940	Ghana	0.793	Montenegro	0.508	South Sudan	0.084
Latvia	0.970	Guatemala	0.783	Morocco	0.478	Syria	0.054
Liberia	0.839	Guinea-Bissau	0.763	Myanmar (Burma)	0.486	Tajikistan	0.093
Lithuania	0.938	Guyana	0.791	Pakistan	0.563	Thailand	0.130
Luxembourg	0.946	Haiti	0.683	Palestine (Gaza)	0.440	Turkey	0.064
Malta	0.927	Indonesia	0.637	Republic of the Congo	0.495	Turkmenistan	0.026
Mexico	0.863	Ivory Coast	0.709	Singapore	0.466	United Arab Emirates	0.127
Moldova	0.865	Japan	0.711	Somalia	0.419	Yemen	0.139
Mongolia	0.880	Kenya	0.797	Sri Lanka	0.561		
Nepal	0.846	Kosovo	0.783	Sudan	0.401	<b>Not Included in the 2020 Data*</b>	
Netherlands	0.918	Lebanon	0.602	Ukraine	0.537	Iraq	
New Zealand	0.881	Lesotho	0.683	Zambia	0.538	Mali	
Nigeria	0.886	Madagascar	0.735			Mauritania	
North Macedonia	0.863	Malawi	0.776	● <b>D Status (0.2-0.4)</b>	AFi	Vanuatu	
Norway	0.934	Mauritius	0.728	Algeria	0.303		
		Mozambique	0.634	Bangladesh	0.263		

**Not Included in the 2020 Data\***

Iraq  
Mali  
Mauritania  
Vanuatu  
\* due to insufficient coder numbers; other missing territories are not yet covered by V-Dem



## 4.8 University Rankings

Academic freedom is not acknowledged in any of the influential university rankings. As a reference point for scholars, university administrators, and governments, datasets such as the Shanghai Ranking, the Times Higher Education World University Ranking, the QS World University Ranking, or U-Multirank are in a unique position to improve academic freedom by altering incentive structures for students, scholars, universities, and governments.

The university rankings' individual methodologies vary widely, and there are important scholarly debates about the soundness of their respective approaches. None of them is directly comparable to the methodology chosen for the AFi index (see above). Irrespective of the chosen method, **university rankings should include the respect for academic freedom in their assessments.** Academic freedom is an important factor in making universities more attractive places for students and scholars. If a certain country scores badly on the AFi, then all universities in that country should be subject to a reduction of their score in a ranking.

Using the QS World University Ranking as an example, such a correction could look like this: Universities in the QS Ranking receive a total score between 0 and 100. Using the following formula, one can correct a university's position in the ranking, assuming that we attribute a weight of 20:80 to the AFi compared to the combined weight of the conventional indicators that currently determine the score:

$$\text{Corrected Score} = \text{Score} * (0.8 + 0.2 * \text{AFi})$$

This penalizes universities in the same country in an equivalent way, though proportionately to their current score.<sup>20</sup>

In the most recent QS Ranking, Peking University and the University of Tokyo are on ranks 23 and 24 respectively, with an overall score of 83.5 and 83.2. Using the above formula, the corrected score for the University of Tokyo would be 78.4, given Japan's AFi score of 0.711. Peking University would be downgraded to a corrected score of 68.2, given China's AFi score of 0.082. As the two base scores are almost equal, these corrected scores better reflect the respective universities' academic excellence.

This suggestion is merely illustrative. Each university ranking is constructed differently, and there is no one-size-fits-all solution. The optimal approach to

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20 A more intuitive approach might be to include the AFi *ex ante* as an indicator factoring into the calculation of the total score alongside the other indicators. However, in such a model – depending on their current score – some universities would be penalized, while some would benefit from the same AFi score. Such an outcome would be undesirable, especially because very low-ranking universities would be upgraded even with a low AFi score. The *ex post* approach – using a dynamic penalty that is applied after the calculation of the current score – prevents such a distortion.

incorporating the AFi will need to be designed in partnership with the respective ranking institutions. By including respect for academic freedom in their assessment methodologies, university rankings would create strong incentives for university rectors and governments who value and act on these prestigious rankings to take steps to strengthen academic freedom. Universities that want to be ranked could also be asked to file a written commitment to academic freedom as a precondition for being assessed.

**If ranking organizations continue to ignore academic freedom in their assessments, they should at least make the reasons for this choice explicit** and point to other resources providing information on violations of academic freedom, such as the AFi or the Scholars At Risk monitoring database for individual cases of violations.<sup>21</sup> Ranking companies should also urge their patrons – primarily higher education decision-makers, scholars, and students – to refer to the AFi when making policy decisions or selecting a university at which to study or work.

## 4.9 Academic Community

Professional associations, researchers, and students are at the forefront of the fight for academic freedom. Ultimately, they are the first to suffer the consequences of restrictions on and violations of academic freedom, followed by all who are deprived of the scientific, cultural, and economic benefits made possible by academic freedom.

**The AFi can inform individual students and researchers in their decisions about where to apply for academic jobs, study, or spend a semester abroad.** In particular, the indicators on the freedom to research and teach (1), exchange and dissemination (2), and campus integrity (4) should inform such decisions. The point here is not to discourage academic exchange and mobility, but to make sure that scholars and students review information on academic freedom and prepare themselves as necessary. Restrictions on academic freedom might vary substantially within a country and between institutions, and consulting the AFi cannot replace collecting specific information about the prospective host or partner institution.

Furthermore, **researchers and graduate students should consult a specific country's AFi scores before planning a fieldwork trip or an excursion, as well as when evaluating a potential or ongoing research cooperation.** Researchers should check both the AFi score and the separate indicators to get a sense of the situation in the country where their prospective partner institution is located. Academic cooperation can succeed even under difficult circumstances, but researchers must understand and manage the risks. Decisions should be made in line with the applicable ethical review procedures.

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21 Scholars at Risk. (2021): Academic Freedom Monitoring Project, available at: <https://www.scholarsatrisk.org/academic-freedom-monitoring-project-index/>.

For a researcher who takes his or her research environment seriously, it is often not enough to abide by the regulations and ethical provisions of one's home institution. If individual researchers or graduate students plan to undertake fieldwork-based research in a country in which academic freedom is severely restricted and violations of scholars' rights and academic institutions occur regularly, a risk assessment as well as appropriate risk mitigation measures (including specific preparation for such difficult work conditions) should be undertaken. **The AFi can help researchers and graduate students to assess the level of academic freedom before embarking on fieldwork.** If the destination country's AFi scores are low in general – and with regard to the indicators on freedom to research and teach (1), dissemination and exchange (2), and campus integrity (4) in particular – then a more comprehensive risk analysis and the implementation of risk mitigation strategies is appropriate. In environments in which researchers might be perceived as unwanted foreign intruders, data and communication safety can be as vital to researchers' and their interlocutors' physical safety as other protective measures.<sup>22</sup>

Moreover, **professional associations or unions can use AFi data as a reference point for a particular country's academic freedom status.** Many such associations already have academic freedom committees that could use AFi data to inform statements or advocacy efforts in individual cases for at-risk colleagues. They might also want to focus fact-finding efforts on countries that score low on the AFi, trying to identify at-risk colleagues who might not have personal contacts abroad who would raise their case with the relevant committees. Higher education unions and associations could also disseminate and incorporate AFi data into their organizing, advocacy, and lobbying activities.

**Researchers can use AFi data to answer research questions related to academic freedom and violations thereof.** The dataset currently includes five expert-coded indicators, one index, three factual datasets, and more than 140,000 observation points – a unique, rich source of data on academic freedom that will continue to grow in forthcoming annual rounds of updates.

In addition, **AFi data can also be used to start a debate on academic freedom at one's home institution.** AFi results could be distributed to interested colleagues or relevant committees, sparking a discussion of the data as well as of ways to address academic freedom concerns at home and abroad. Even if AFi scores are the best available data for studying shifting levels of academic freedom across countries and time, expert assessments are not flawless. Scholarly debate and scrutiny of the data is highly desirable. For example, we have reason to believe that recent worrisome developments may be overly reflected in the data. Brazil, which displays the most dramatic AFi decline in the last five years (see Figure 5 above), is a case in point. While there is evidence of deteriorating conditions for academics in the country,<sup>23</sup> the extent

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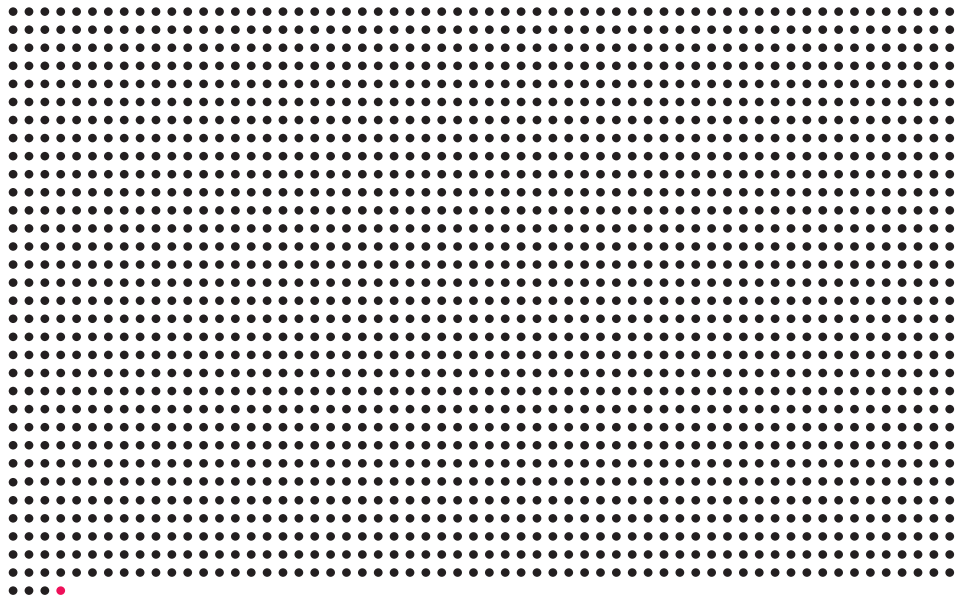
22 For a more detailed discussion of risk assessments and how researchers can develop risk mitigation strategies, see Grimm, J. et al. (2020): *Safer Field Research in the Social Sciences: A Guide to Human and Digital Security in Hostile Environments*, SAGE.

23 See Hübner Mendes, C. et al. (2020): "Academic Freedom in Brazil," Global Public Policy Institute, available at: <https://www.gppi.net/2020/09/01/academic-freedom-in-brazil>.

of the AFi score's decline seems somewhat disproportional in comparison to earlier periods in the country's history, as well as in comparison to other countries over the same period. In this context, it is important to reiterate that AFi coders are typically academics who work in the country that they assess. Their concerns and fears are reflected in the data. We believe that this intrinsic feature of expert-coded data must be openly discussed. Recent deteriorating trends should be read as important warning signs that depict the current climate among academics in the country. However, we also encourage substantiated, scholarly debate on the data, as well as additional expert assessments in future rounds of data collection that allow for a retrospect evaluation of the situation.

The AFi was built based on assessments provided by more than 2,000 coders around the world. If the AFi is to continue and improve, this effort requires even higher numbers of committed experts – even for countries that are already covered by the index. **Scholars with country-specific knowledge on academic freedom should contribute their expertise to the collaborative AFi coding effort.**

A total of 1,994 coders around the world have so far contributed their assessments to make the Academic Freedom Index a reality. Join them and help monitor academic freedom worldwide.



Sign up as a new coder by filling out the expert call [here](#). If you have any questions, please get in touch at [academicfreedom@gppi.net](mailto:academicfreedom@gppi.net).

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