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TASMANIA

# Governance and Structures for the Internationalisation of Higher Education: Translating Policy into Practice

by

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## ***Abstract***

As globalisation continues to expand and allow for the rapid exchange of commerce and ideas across political boundaries, internationalisation of higher education is becoming increasingly important. So too, is understanding how universities are effectively adjusting and contributing to this changing landscape. This, however, is complex, given the variety of circumstances that affect how and why a higher education institution internationalises. This research compares the development of internationalisation policy and practices at similar institutions in different national contexts, using case studies of universities in Australia, the United States and Norway with the overarching research question: Why are some universities able to internationalise comprehensively and develop sustainable internationalisation policies and practices while others are not? Three sub-questions were examined: how is internationalisation constructed at each university, how is internationalisation policy developed and implemented at each university, and how is internationalisation reflected in the campus environment?

Qualitative research methods with an interpretivist approach were used. Data was collected via documents, semi-structured interviews and observations. A policy document analysis was conducted to determine trends in the rationales used in the development of internationalisation policies, in addition to interviews with key academic and administrative staff members at each university and observations on each campus to examine policy development and implementation.

More specifically, in order to answer the first research question, relevant international, national, state and university policy documents were collected and a thematic analysis of the documents was conducted. This was completed using the three general phases described by Creswell (2005) and Guest et al. (2012). Once the themes were synthesised,

they were compared with the Maringe, Foscett and Woodfield's (2013) typology of rationales for internationalisation to determine within which paradigm each university sits. The universities in this research are all public institutions, similar in size (10,000-12,000 full time students), ranking (top 5% in world) and geographic location (regional and suburban). Although each of these universities is an Organisation for Economic Co-operation and Development (OECD) member country and is considered to be a 'knowledge society' with a strong education system, universal access to information and commitments to foster knowledge-sharing, their rationales for internationalisation differ. This, in turn, may have contributed to the variation in the institutional responses to internationalisation.

To obtain an in-depth understanding of internationalisation policy development and implementation at each university, semi-structured interviews were conducted with key administrative and academic stakeholders involved in their university's internationalisation process. Topics covered included rationales for internationalisation, internationalisation policy development process, internationalisation implementation and internationalisation evaluation. Using Ostrom's (2011) institutional analysis and development framework as a guide, and the three general phases of thematic analysis described by Guest, MacQueen, and Namey (2012), common themes were identified for each interview topic. Next, Bartell's (2003) framework of university culture was used to understand the process of internationalisation at each university. Finally, the three cases are juxtaposed to illustrate the range of contexts in which internationalisation is occurring and each university's responses to internationalisation. Although the universities in this study are quite similar in terms of size, location and rankings, the results reveal dissimilar patterns for internationalisation at each institution. Policyscapes were distinct and rationales for internationalising varied for each case as did policy development practices and approaches

to implementation. There was homogeneity in the policyscapes for the Australian and Norwegian cases, but not in the United States. Overall, the rationales were economic for the Australian case, political for the Norwegian case and a mix of political, economic and educational depending on the level (international, national, state, or institutional) for the American case.

The policy development processes ranged from coordinated, inclusive and participatory to piecemeal and exclusive and may be explained by university culture. In turn, this has affected the implementation of internationalisation within the universities. In some cases, for example, a gap can be seen between policy rationales and rationales cited by university staff. In order to establish longer term sustainability in internationalisation practices, this is an area that universities could consider bringing into alignment.

This study identified several factors related to policy processes that are barriers or enablers for internationalisation. For example, interview participants often indicated that leadership is key. This is consistent with Knight (1994), who described the importance of effective, enthusiastic, committed leadership. In addition, the theme of communication was emphasised, with university staff emphasising the importance of transparent, clear, consistent communication. A third area is the role of academic staff in internationalisation. Some processes included academics in planning and policy development, while others did not. Romani et al. (2018) found that the role of academic staff can be underestimated in internationalisation efforts. A cross-case analysis identified that additional potential causes for policy-practice disconnects include the extent of internationalisation within a university, university leadership approaches, the communication flow and structures within a university, and the marketisation of universities.

Regardless of ideological position, certain policy development processes are more conducive to sustainable internationalisation practices (Turner & Robson, 2008) and thus, meeting internationalisation policy aspirations. As universities move towards sustainability, understanding and identifying the different approaches can be useful from both a research and administrative perspective.

There is a dearth of recent studies that examine relationships between structures, processes, and actors of international higher education and methodologically, and few comparative studies. This research aims to fill that gap and inform planning, practices and policy development at higher education institution.

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## Chapter 1 Introduction

As the globalisation of economies and global mobility continues to expand and allow for the rapid exchange of commerce and ideas across political boundaries, the internationalisation of education is becoming an increasingly important practice. So too, is understanding how universities are effectively adjusting and contributing to the changing landscape. The idea of the internationalisation of education is not new as the movement of scholars and students can be traced back centuries (de Wit, 2002; Wildavsky, 2010). Today, this concept is shaping policies and practices at universities around the globe (Altbach, Reisberg, & Rumbley, 2009). Around the world, nations are developing strategies, policies and programs to ensure that their higher education students are fully equipped to contribute to and participate in the global circulation of ideas and commerce. For example, in Australia, the National Strategy for International Education 2025 was released in late 2016. Additionally, the United States (US), while lacking a comprehensive national international education policy, has a multitude of programs spread across three agencies that support the internationalisation of higher education. In 2000, President Clinton issued a “Memorandum on International Education Policy” and in 2012, the US Department of Education released a report called *Succeeding Globally through International Education and Engagement: U.S. Department of Education International Strategy 2012-2016*. In Europe, the Bologna Process, which began in 1999, has created a series of agreements, including a European Higher Education Area (EHEA) to ensure a standard of quality amongst the various participating EU and non-EU states and support student and staff mobility. In addition to reshaping internationalisation policy at universities in Europe, this process has had global impacts (Zmas, 2015). The Bologna Process is often used as a model for international education policy development at universities in other parts of the world such as Africa and Asia. However, the outcomes of

how the Bologna Process transfers outside of the European area are still unclear as each region has a different socio-economic, political, historical and cultural context (Zmas, 2015). Regardless, there is clearly a global mandate to internationalise higher education. Globalisation is inevitable and universities have no choice but to respond (Altbach, 2004; Appadurai, 2000; Barnett, 2016; Burnett & Huisman, 2010; Kwiek, 2009; Marginson, 2007). Why and how the various policies are implemented depends on a variety of factors, or motivations and rationales, which vary from country to country and institution to institution. As Hudzik (2011) describes, even how an institution defines effective international education will vary significantly. Because the internationalisation of education extends to several aspects of higher education institutions, the other variant in this equation is the variety of implementation strategies used. These are dependent on an institution's internationalisation goals and may include, for example, expanding study abroad opportunities, developing research efforts with international partners, enrolling international students, offering off-shore campuses, and developing curriculum that focuses on area studies or language studies and/or accommodates diverse learning methods are pursued (Dobson & Hölttä, 2001). How these strategies are implemented and perceived will also affect their success (Warwick & Moogan, 2013). This research project will examine the structures, processes, mechanisms and actors necessary for higher education institutions to effectively translate international education policies into practice.

This comparative study will use qualitative research methods starting with a literature review focusing on effective internationalisation efforts. Next, a policy analysis will be conducted to determine 'policyscapes' (Carney, 2009), and historic trends in the development of international education policies. Interviews with key academic and administrative actors and comparative case studies of higher education institutions in

Australia, the United States and Norway will be conducted to provide a more in-depth understanding of internationalisation policy development and implementation. The universities in this research are all public institutions, similar in size (10,000-12,000 full time students), ranking (top 5% in world) and geographic location (regional and suburban). Although each of these universities is in an Organisation for Economic Co-operation and Development (OECD) member country and is considered a 'knowledge society' with a strong education system, universal access to information and commitments to foster knowledge-sharing, their rationales for internationalisation differ. Finally, observation will be used to triangulate data collected in the interviews and policy analysis. All data will be synthesised to answer the overarching research question: Why are some universities able to internationalise comprehensively and develop sustainable internationalisation practices while others are not? For the purposes of this study, Hudzik's (2011, p. 6) definition of 'comprehensive' internationalisation, "a commitment, confirmed through action, to infuse international and comparative perspectives throughout the teaching, research, and service missions" will be used. The term 'sustainable' is used to mean lasting or long-term, consistent with Turner & Robson's (2008) use of the term. More specifically, the three aspects described below will be examined.

- How is internationalisation constructed at each university?
  - What is the context, motivations and rationale for internationalisation at each university?
  - How do the global, national, local, and institutional layers of policy relate to each other?
  - How and why does the discourse shift about internationalisation?
- How is internationalisation policy developed and implemented at each institution?
  - Is this effective? Why or why not?
  - What types of structures, processes, mechanisms and actors contribute to successful internationalisation? Why?
- How is internationalisation reflected in the campus environment?



- How does the built environment reflect internationalisation efforts? Is it consistent with what is described in policy documents and interviews?

In further defining the scope of this study, it is important to note at the beginning that although closely linked to internationalisation policy, immigration policy and trade policy are beyond the scope of this study and will not be included. Similarly, it is important to emphasise that the scope of this study is focused on the governance of internationalisation and will not focus on teaching, research and service. While interview participants and policies may refer to teaching, research and service, a thorough examination of them is outside the scope of this thesis. Finally, as Kosmützky and Putty (2016) indicate, there is a gap in the current literature in terms of examining the relationships between structures, processes, mechanisms and actors of international higher education and methodologically, in comparative studies. This research aims to fill that gap and the answers to these questions will be able to inform the planning, practices and policy development at higher education institutions in Australia and overseas.

## **Chapter 2 Literature Review**

This literature review will begin by describing the overall field of literature on the internationalisation of higher education. Next, it will continue by clarifying definitions of some key terms and then will cover the purpose of education and university, theoretical models and frameworks for understanding context and rationales for international education. Following that, it will shift to policy and look at approaches to internationalisation policy, global to national to local (glonacal) studies, governance for internationalisation and trends in comparative internationalisation studies and topics for future consideration. It finishes by discussing measuring success.

### ***Position in internationalisation literature***

Prior to reviewing the literature on discrete key aspects of this study, it is important to understand where this study is situated in the overarching international education literature. The body of literature on the internationalisation of higher education is relatively new. Bedenlier, Kondakci, & Zawacki-Richter (2017) recently conducted a systematic literature review of the Journal of Studies in International Education, the top journal in this field, that spanned the two decades (1997-2017) of publication since the journal's inception. This review identified four general phases of research trends: delineation of the field (1997-2001), institutionalisation and management of internationalisation (2002-2006), consequences of internationalisation: student needs and support structures (2007-2011) and currently, the research is moving from focusing on the institutional to the transnational context of internationalisation (2012-2016). My research fits with this trend as it is a comparative study spanning three nations. Additionally, Bedenlier et al. (2017) developed a concept map of the essential scope of the Journal of Studies of International Education showing how the concept students, universities, curriculum, internationalisation and

education relate to each other. My research does not fit neatly within any of the existing concepts identified by Bedenlier et al. (2017), but rather combines three of the identified core concepts, 'internationalisation', 'universities' and 'education', contributing to a new area of research.

### ***Definitions***

Because the field of international education research is relatively new, it is necessary to clarify the definitions of some key, frequently used terms and explain which definitions will be used in this study. The first term is 'internationalisation'. One of the more widely used definitions of internationalisation is "the process of integrating an international, intercultural or global dimension into the purpose, functions or delivery of post-secondary education" (Knight, 2004, p. 11). This is the definition that will be used in my research. A key word in this definition is 'process' indicating the ongoing nature of internationalisation. However, the definition does not offer a description of the integration process, which is something that will be explored further here. Adding specificity to Knight's definition, Hudzik (2011, p. 6) describes 'comprehensive' internationalisation. He explains that this is "a commitment, confirmed through action, to infuse international and comparative perspectives throughout the teaching, research, and service missions". This means that internationalisation will be present in all aspects of a higher education institution and will be embraced by not just institutional leadership, but also academic and administrative staff as well as students.

Expanding further on the definition of internationalisation, and adding a level of complexity, the literature also describes a variety of strategies for implementing the concept of internationalisation. These strategies include expanding study abroad opportunities, developing research efforts with international partners, enrolling international students,

offering off-shore campuses, and developing curriculum that focuses on area studies or language studies and/or accommodates diverse learning methods (de Wit, 2013; Dobson & Hölttä, 2001; Ellingboe, 1999; Hénard et al., 2012; Knight, 2008). Some efforts focus on determining the components of internationalisation. Ellingboe (1998, Ludeman, Mestenhauser, & Ellingboe, 1999 p. 753) identified seven key components of successful internationalisation including “utilization of foreign study, research, and teaching; initiation of international courses; collaboration with foreign scholars; participation in educational reform in this country and elsewhere; utilization of international students or U.S. students with study abroad experiences; planning and implementation of degree programs or concentrations with international emphases; and experiences with teaching courses that may be presumed by definition to be ‘international’.” If using Knight's (2004) definition of internationalisation, which includes ‘integration’, then presumably, all of these components should be considered when assessing the internationalisation of a university. How these strategies are implemented and perceived will also affect their success (Warwick & Moogan, 2013).

Another term often used in the international education literature is ‘globalisation’. While some authors use this term synonymously with internationalisation (Denman, 2002), most others draw a distinction between the two (Altbach, 2002; de Wit, 2013; Maringe, Foskett, & Woodfield, 2013). Regardless, the two terms are related. Maringe et al. (2013, p. 12) define globalisation as a term used to describe “world-scale transformations taking place in the political and ideological, the technological and economic, and the social and cultural aspects of life.” Altbach, Reisberg, & Rumbley (2009, p. ii) define globalisation as “the reality shaped by an increasingly integrated world economy, new information and communications technology, the emergence of an international knowledge network, the role of the English

language, and other forces beyond the control of academic institutions". They continue on to explain that "internationalization is defined as the variety of policies and programs that universities and governments implement to respond to globalization." Similarly, Barnett (2016) describes 'globalisation' as something that is happening to a university, regardless of how the university chooses to respond, or internationalise. There is agreement in the literature that globalisation is occurring at a more rapid, intense pace now than ever before and the 'cultural other' must be considered as it is no longer necessarily an 'other', but rather already integrated into daily life (Sanderson, 2004). My research is aligned with this school of thought.

One more term that has emerged more recently in the literature is 'glocalisation'. This is defined by Patel & Lynch (2013, p. 223) as "the merger of global and local perspectives on the socio-economic and political impact of all phenomenon that affects local and global communities." Other scholars (Nicotra & Patel, 2016; Sklad et al., 2016) offer similar definitions. Essentially, glocalisation refers to a third culture that is created when the global and local come together. Patel & Lynch (2013) indicate glocalisation should replace the term internationalisation, suggesting it is more holistic. However, Backhaus (2003) points out that glocalisation tends to focus on how local cultures are adapting to or being changed by globalisation. Based on that, it could be argued that the concepts are distinct. In this study, 'glocalisation' will not replace the term 'internationalisation'.

### ***Purpose of education and university***

Before we can begin to understand why and how higher education institutions internationalise, it is useful to consider the purpose of higher education because it lays the foundation for why education institutions exist. Philosophers and scholars have long been seeking to define the purpose of education (Noddings, 1998). The answers to this question

have varied in thought even as far back as the classical Greek philosophers. For example, around 380 BC Plato argued in *The Republic*, that the purpose of education is to create people who are useful to the state and that education will lead to the good life, a life dominated by deep thinking, and that the educated will be the rulers. He describes the ideal state one where “philosophers are kings, or the kings and princes of this world have the spirit and power of philosophy, and political greatness and wisdom meet in one” (Plato, 2000, p. 161). Plato saw education as an indispensable aspect of civil society. In *Nicomachean Ethics*, Aristotle describes the purpose of education in terms of the virtues as primarily for personal growth. He also allows that “for perhaps it is not the same to be a good man and a good citizen of any state taken at random” (Aristotle, 1999, p. 75), meaning that a ‘good’ is an educated man and thus, for one to be a good citizen, one must be educated. In terms of international education, this sets the stage for the existence of various rationales in the current academic literature.

Moving forward in time to the early twentieth century, in *Democracy and Education*, John Dewey, an American philosopher interested in educational reform, explains his thoughts on the purpose of education, which is essentially for communication. He takes an ecological approach and argues that humans are social animals and societies would not exist without communication. He explains that living in proximity does not create a society, rather communication does and “education, in its broadest sense, is the means of this social continuity of life” (Dewey, 1930, p. 3). Dewey continues on to describe how communication is educative with both the communicator and the listener living enhanced experiences because of the process.

In order to have a more complete view of the purpose of education, it is necessary to consider the meaning of scholarship or what it means to be a scholar. Boyer (1990)

examines, from an American perspective, the purpose of scholarship and notes how, over time, it has shifted from a focus on teaching to service to research. He points out that, despite these shifts, teaching remains at the heart of scholarship. In order to fully capture the purpose of today's scholarship, Boyer (1990) proposes four views of scholarship that need to be taken into consideration: discovery, integration, application and teaching. While broad, this is consistent with how the purpose of education has been described throughout history. One point of contention that Boyer points out is that while scholarship has many dimensions, academic status is largely determined by research and publications. He points out that this is not a comprehensive evaluation of scholarship, as it does not adequately capture teaching.

Contemporary scholars around the world are still considering the purpose of education (Altbach, 2002), and the same themes of communication, personal growth and improved civil societies are present. It is also acknowledged that there is variation amongst different segments of society regarding the purpose of education, with higher education becoming increasingly subject to market pressure and consumer demands. Ek, Ideland, Jönsson, & Malmberg (2013) note that within universities there is a tension between marketisation and academisation in higher education, with some universities shifting towards a commercial view of education. This tension is justified. Access to higher education is listed as a basic human right in the United Nations *Universal Declaration on Human Rights* (United Nations, 1948), which by definition, conflicts with emerging focus on profit seen at some higher education institutions. This trend, however, has not caused the UN to waver in its stance. The United Nations Educational, Scientific and Cultural Organisation recently stated that education is “a fundamental right and the basis for progress in every country” (UNESCO

2014, p1). Additionally, Altbach (2002, p2) argues that education and knowledge “build(s) the underpinnings of a civil society” and should not be considered commodities.

More recently, Uslu, Calikoglu, Seggie, & Seggie (2019) found, through a systematic literature review focusing on entrepreneurial universities, that rather than focusing on the innovative teaching or knowledge building, the term ‘entrepreneurial’ was most often associated with the commercialisation of scholarly activities to increase institutional income revenue. They suggest that this approach, or mindset, can shift universities away from their overall mission of public good and thus, mechanisms need to be created by administrators that allow compatibility between both of these goals. Because the rationales a university has for internationalising ultimately affect the implementation of internationalisation, depending on their rationales for internationalisation, universities may be confronted with a need to reconcile the concepts of education as trade and education as knowledge sharing. Choudaha (2017, p. 6) suggests that recruiting international students for increasing income revenue is “unethical and detrimental to the hard-earned reputation of...higher education.” A balance must be found between the two. Turner & Robson (2008) propose that education as trade is not necessarily irreconcilable with education as knowledge-sharing and the internationalisation can still generate income while contributing to global knowledge sharing, and Abbas, Yousafzai, & Khattak (2015) point out that sustainable growth is possible.

Finally, looking to the future, Barnett (2016) suggests that one must understand the complex university as an institution in order to unlock and widen the scope of possibilities for the twenty-first century. In order to facilitate this, Barnett proposes that there are three distinct, yet not unrelated, planes of understanding: “(1) university as an institution and as idea (2) university-as-it-has-come-to-be-in-the-present, in time and space and its future



possibilities; and (3) university-as-a-set-of-particulars and the university-as-embodying-certain-universals” (p45). To illustrate the connection between planes, Barnett (2016) uses the concepts of internationalisation and globalisation. Because globalisation is something that is happening to the university regardless of what the university chooses to do, he places it in plane one. Internationalisation, on the other hand, he sees as a possibility for the university and thus, on plane two. Each university can consider how and to what extent it wants to internationalise. Once we are able to understand the university as existing in a space between its current state and its possibilities, Barnett (2016) explains we can then begin to explore what the future may hold for universities.

### ***Globalisation shaping internationalisation policy***

Sanderson (2008) explains that the breadth and depth of internationalisation is far reaching with knowledge, people, technology, values and ideas flowing across and between political and institutional boundaries. In response to globalisation, higher education institutions and governments at a variety of levels are creating policies regarding internationalisation. Because governments and higher education institutions both use policy as a means of ordering and directing issues they need to manage (Berger & Luckmann, 1991), policies and policy-focused analysis provide a window into understanding how and why higher education institutions are functioning and approaching internationalisation (Hong, 2018; S. Robertson et al., 2012; Shore & Wright, 2011). Policies have been identified as key elements of internationalisation (Childress, 2009; Knight, 1994, 2004; Rizvi & Lingard, 2010; Tamrat & Teferra, 2018), providing guidance for the implementation of internationalisation commitments. Additionally, multi-layer policy-focused analysis (Bray & Thomas, 1995) can help with understanding the dynamics of change and provide “a more accurate mapping of interests, strategies, and influence” (Hacker & Pierson, 2014, p. 643).

Not only is this true at the international, national and state/county government levels, but it is also true at the institution level. Because these policy documents act as roadmaps for institutions, a policy-practice divide can occur if a message is not consistent through the multiple relevant policy documents, not only at the institution level, but also through the layers of applicable policy, or 'policyscape' (Carney, 2009; M. A. Larsen & Beech, 2014).

### ***Path dependence***

In the same way that the various levels of policy affect each other, so too, do historical policy decisions. This concept is known as 'path dependence' and although more frequently used in the business literature (Eriksson et al., 2000), the concept can be transferred easily to education policy (Hong, 2018). Basically, path dependence means that once an institution starts down a path, it becomes difficult to change courses (Levi, 1997). Institutional arrangements created to facilitate the initial chosen path become obstacles to changes and reversals to the original choice. For example, Graf (2009) looks at internationalisation in German and British universities and finds that despite the consciously chosen method of operation of an institution, be it based on strategic coordination or competitive markets, universities are still a product of the legacy of the education system they are embedded within. There are various external spheres, such as national policies and programs that affect path dependency. In the policy analysis portion of my research, I will compare the construction of internationalisation policy over time in three case studies to determine if and how the various layers of policy affect one another and are path dependent.

### ***Global to national to local (glonacal) studies***

Recently, scholars (Cho & Palmer, 2013; Liu & Metcalfe, 2016; Marginson, 2004; Marginson & Rhoades, 2002; Sklad et al., 2016) have begun to put into practice 'glonacal analysis', or develop an understanding of how global, national and local elements interact and shape

higher education. Marginson & Rhoades (2002) developed a glonacal agency heuristic (Appendix B), which suggests that global, national and local elements (global + national + local = glonacal) all interact simultaneously and must be considered, along with the internal spheres of influence for each element. For example, Marginson (2004) did a glonacal analysis of internationalisation focused on markets and competition in higher education and found that indeed, global, national and local elements had an effect on global patterns of domination and subordination in higher education and should all be taken into account when institutions seek to influence their reputation.

Liu & Metcalfe (2016) applied the glonacal heuristic to internationalisation in China, using it to develop a nuanced understanding of internationalisation at one department in one university. Doing so, they identified two central concepts relating to “inbound and outbound flows of scholars and disciplinary norms that influenced the global and national reputation of the department” (p399). This specific knowledge of the local layer is then used to illustrate the global-national-local flow and has implications for future internationalisation efforts. The glonacal heuristic provides a mechanism to examine in detail the flows between global, national and local layers for specific aspects of internationalisation. It may be useful for exploring any tensions that are identified in this research; however, due to the micro-analytic nature of the heuristic, a simplified version, such as Leask & Bridge's (2013) layers of policy context will be used in this study.

### ***Theoretical models and frameworks for understanding context***

Over the last two decades, various models and frameworks have been proposed for understanding the different paradigms of and approaches to internationalisation strategies. Warner (1992) described three models used in the internationalisation of curriculum: the market model, the liberal model and the social transformation model. These models are

useful for understanding the underlying philosophies of universities and link back to the rationales for internationalisation.

Following that, Van der Wende (1997) conducted a review of existing models for understanding the internationalisation of higher education and proposed a modified version of Clark's (1983) triangle of coordination in higher education. This modified version assumes state authority, market and academic oligarchy influence the coordination of higher education, and places it in the international context, thus allowing researchers to consider the international roles of and influences on the three forces. The models proposed by van der Wende (1997) offer a systematic way to analyse and compare international education policies. In van der Wende's (1997) study, the models were then used to analyse international education policies for several European countries. This could be expanded to include other countries, as well as updated to see a shift in policies over time.

Bartell (2003) then offered a framework for understanding the process of internationalisation. This study proposed a matrix based on a model developed by Sporn (1996) with four strength and orientation typologies of organisational culture. This particular model can help researchers understand an institution's capacity to support strategic management. Bartell (2003) continued to explain that specific indicators can be weighted in relation to a university's mission and then be used in combination with his typology to measure the comparative extent of an internationalisation process. This model will be used as a framework for analysis to understand the policy development and implementation processes in my research and is described in more detail in Chapter 3.

Looking specifically at internationalisation of the curriculum, Leask & Bridge (2013) point out that in addition to understanding the paradigms in which internationalisation strategies are created, it is also important to understand the geopolitical 'layers of context' (p.85) that

influence how decisions about internationalisation are made. They developed a model of concentric circles that depict the various layers affecting the internationalisation of the curriculum. These layers start at the institutional level and move out through the local, national and regional and finally, global levels. Because of the complexity of layers, each institution is in a unique position regarding internationalisation. This model, shown in Figure 1, will be used as a guide for determining the policy context for internationalisation at each institution in this study.

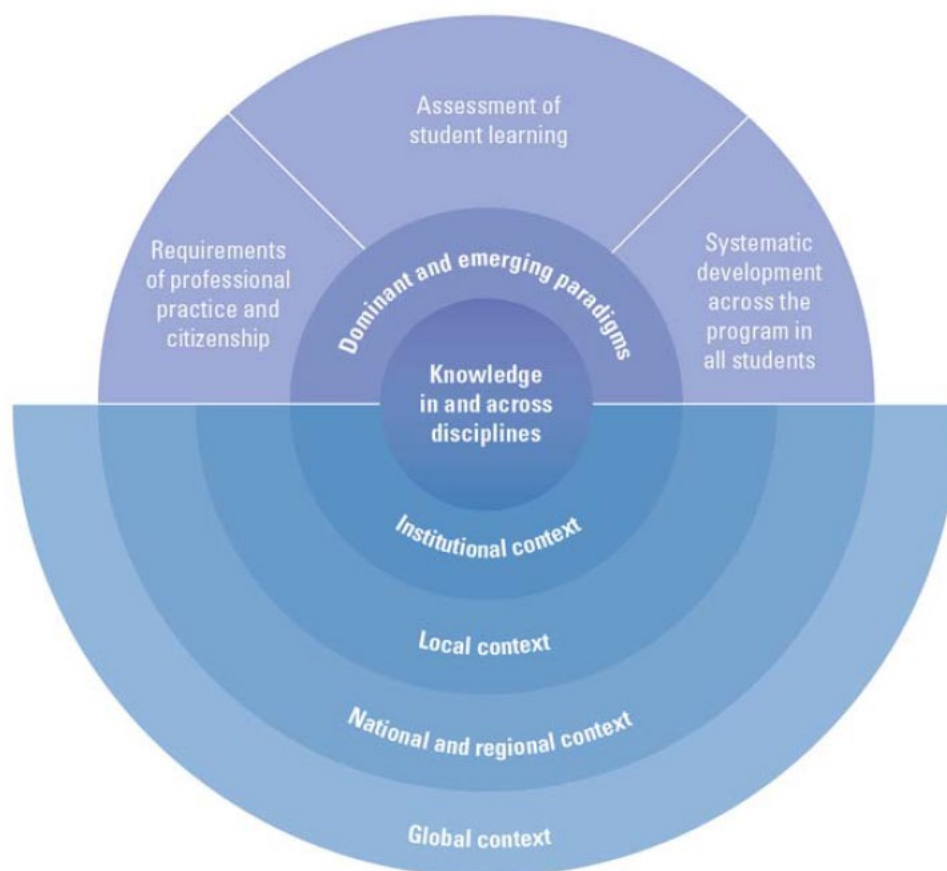


Figure 1 Leask and Bridge's (2013, p. 84) nested layers of context for internationalisation

That same year, Maringe et al. (2013) developed multiple models for characterising internationalisation by conducting a global study that surveyed 500 universities. Overall, they found that there were essentially three value-driven models for internationalisation: commercial (primarily western universities), cultural (primarily Confucian and Middle East

nations), and curriculum (primarily poorer universities of the south). These models provide a broad characterisation of internationalisation processes around the world and suggest that differences may be geographically distinct. This is similar to Warner's (1992) findings, except here, 'curriculum' replaces the 'social' model. While much of the literature shows agreement with the existence of the three types of models, the findings of certain comparative studies, such as Dobson & Hölttä (2001), do not agree with Maringe et al.'s (2013) sweeping generalisation that one value-driven model would apply primarily to entire regions of the world. Dobson & Hölttä (2001) found that Australia's internationalisation efforts were commercially driven, which fits with Maringe et al.'s (2013) regional boundaries for commercial value-driven model, but the characteristics of Finnish internationalisation efforts fit better with Maringe et al.'s (2013) curriculum-driven model, despite Western Europe being listed under the commercial-driven model in Maringe et al.'s (2013) study. Finally, despite discussions in the literature about emerging isomorphism or homogeneity in higher education (Steger, 2003; Teichler, 2004), Maringe et al. (2013) found that there continue to be wide differences between countries and regions in internationalisation strategies due to the fact that "institutions tend to have specific factors that define and shape their existence and identity in the market" (p31).

### ***Rationales for international education***

At the heart of internationalisation efforts lie rationales. These explain why an entity chooses to internationalise and affect the manner in which various policies are implemented. Rationales will vary from country to country and institution to institution. As Hudzik (2011) describes, even how an institution defines effective international education will vary significantly. While the studies in the previous section sought to explain

internationalisation processes, the typologies described here pertain specifically to rationales for internationalisation and are summarised below in Table 1.

*Table 1 Summary of typologies for understanding rationales*

Author(s)	Year	Rationales
Knight and DeWit	1995	<ul style="list-style-type: none"> <li>• Political</li> <li>• Economic</li> <li>• Educational</li> <li>• Cultural</li> </ul>
Blumenthal et al	1996	<ul style="list-style-type: none"> <li>• Political</li> <li>• Economic</li> <li>• Educational</li> <li>• Cultural/academic</li> <li>• Scientific</li> <li>• Technological</li> </ul>
Knight	1997	<ul style="list-style-type: none"> <li>• Political</li> <li>• Economic</li> <li>• Academic</li> <li>• Cultural/social</li> </ul>
Maringe et al	2013	<ul style="list-style-type: none"> <li>• Economic</li> <li>• Political</li> <li>• Educational</li> <li>• Sociocultural</li> <li>• Technological</li> <li>• Pedagogical</li> </ul>

Knight and De Wit (1995) described four overarching groups of rationales for internationalisation: political, economic, educational and cultural. Shortly after that, Blumenthal et al. (1996) showed that the rationale for higher education internationalisation policy can be political, economic, educational, cultural or academic, scientific and technological. Following that, Knight (1997) rearranged the possible rationale into four groups: political, economic, academic and cultural/social. Maringe et al. (2013) expand on this further with their taxonomy of rationales, which includes economic, political, educational, sociocultural, technological and pedagogical rationales. The taxonomy was used to inform the survey Maringe et al. (2013) conducted to develop their value-driven models of internationalisation described above. This particular breakdown of categories reduces overlap between types of rationales. Also included in their description of these six categories are clearly defined strategies and purposes for each rationale. Because of this

specificity, and the more detailed breakdown of categories, this final, and most recently published typology of rationale, will be used for this study. The typology is shown in its entirety in Appendix A and described in more detail in Chapter 3 (Methods).

### ***Policy development processes***

The process of how a policy is developed, implemented, and evaluated, is an important aspect of governance and often crucial to the success of policy (Ostrom, 2009, 2011; Sabatier, 1991; Sabatier & Weible, 2014; Yonezawa, 2017). Rizvi & Lingard, (2010, p. 5) explain that “policy is both text and action” and it is important to use a broad definition of policy that includes both.

While governance and policy development processes are well documented in the field of political science, there is a relative gap in the education literature about internationalisation governance and the development of internationalisation policies. However, there are a few studies to note in the field of education. Knight (2004) explains the importance of considering top down versus bottom up approaches for internationalisation of higher education and examines the relationship between the two approaches. In order to do this, Knight (2004) considers policies, approaches and rationales for internationalisation at three levels: international, national and institution. While many models consider more than one layer when determining the context for internationalisation, most do not take into account that there can be tension between the international, regional, national, institutional and disciplinary rationales.

Fleacă (2017) examined internationalisation policy development processes and found that the architecture of the process itself is integral in facilitating a comprehensive approach to internationalisation. Towards this end, Fleacă (2017) proposed a model that identifies a roadmap for the core processes of internationalisation at a higher education institution.



Using the trigger events of globalisation and competition, and the classic policy development cycle, the complex model describes in detail the necessary steps for analysing and planning, executing, and controlling and improving for three key groups involved in higher education internationalisation: academic, research and business relations. Fleacă (2017, p. 91) suggests that this model can be used to “ensure favourable conditions for deploying comprehensive internationalization strategy”. Because there are so many actors involved in internationalisation across a higher education institution, this model also makes clear why transparency in process is also important. This is the only study found that provides an in-depth examination of the policy process for developing comprehensive internationalisation for higher education at the institution level.

Yonezawa (2017) suggests that the method in which internationalisation plans are developed is important to consider and describes a spectrum of pattern of behaviours in institutional internationalisation, or culture, ranging from ‘specialised’ at one end to ‘universal’ at the other. At the specialised end of this spectrum, internationalisation plans are developed by a small group of assigned staff within the university. Yonezawa (2017, p. 379) points out that while this may be a quick way to develop internationalisation plans, it can “cause difficulty in inspiring the majority of university staff to adopt international engagement” since only a limited number of people are involved in the development process. At the ‘universal’ end of the spectrum, which is more closely aligned with Hudzik's (2011) concept of ‘comprehensive internationalisation’, all university staff, regardless of responsibilities or position, are involved with internationalisation through a facilitative culture. Yonezawa (2017) also developed a conceptual model to illustrate the relationship between institutional structure (centralised or decentralised) and the pattern of institutional behaviour and identified key factors in the interaction between structures and

cultures including senior leadership, roles of international offices and internal communication.

A few studies look specifically at national internationalisation policy and governance challenges faced in a single country. It may be possible that the lessons learned from these experiences can be applied in a broader global context and may be relevant to other countries. These studies primarily focus on the effects of government funding and structure. For example, Yonezawa & Shimmi (2015) examined internationalisation in the case of university governance and national government internationalisation policy in Japan. They found that government lead initiatives spurred internationalisation in Japanese universities. Because of a successive series of policies developed and funded at the national level, universities were stimulated to collaboratively consider strategic actions to improve internationalisation. The result of these government-led programs was that the universities that participated saw improved internationalisation and increases in world rankings. These programs concluded with a change in Japanese administration in 2009 and it is not yet clear whether the momentum that was built will continue without government-led structure and funding.

Because of the relative dearth in internationalisation governance literature about policy processes, it will be necessary to look more broadly to the field of political science for appropriate models and apply them to internationalisation. Ostrom's (2009, 2011) policy process models will be particularly relevant to this research. Her framework for institutional analysis and development (IAD) (Appendix C), which was designed for use in a wide variety of fields of study, shows how external variables, such as rules-in-use and attributes of communities, set the context and affect an action situation which leads to outcomes. This same framework also emphasises the link actors have to potential outcomes. Ostrom (2011,

p12-13) explains that for each actor, whether an individual or a group, one must consider “how and what participants value; what resources, information, and beliefs they have; what their information-processing capabilities are; and what internal mechanisms they use to decide upon strategies.” This is reflected in Viczko & Tascón (2016), as noted below.

In addition to Ostrom’s IAD framework, several other models have been developed to assist in understanding different aspects of policy development processes. Table 2 below summarises the various conceptual models used to understand policy development at different scales: micro, meso, or macro, where micro is meant for the institutional level analysis of internationalisation policy development, meso seeks to explain internationalisation policy development at a regional, national or global scale and macro has the broadest focus and is not specifically focused on internationalisation policy, but rather policy development in general. These broadly scoped can easily be applied to internationalisation policy development. As such, Ostrom’s IAD framework is used as a guide for understanding the policy development processes looked at in this study.

*Table 2 Summary of models for understanding internationalisation policy development*

<b>Author(s)</b>	<b>Year</b>	<b>Model</b>	<b>Focus</b>	<b>Scale of scope</b>
Clark	1983	Pyramid analytical heuristic	Seeks to characterise national systems of higher education	Macro
Marginson & Rhoades	2002	Glonacal agency heuristic	Seeks to explain global, national and local spheres of influence on higher education internationalisation policy making	Meso
Ostrom	2007, 2009, 2011	Institutional Analysis and Development (IAD) framework	Seeks to explain how external variables such as actors, information, rules and resources affect policy making	Macro
Fleacă	2017	Core Processes Roadmap	Explains process for internationalisation strategy development within an institution	Micro
Yonezawa	2017	Conceptual models of the practice of educational internationalisation	Seeks to define relationship between the structural approach to internationalisation and the patterns of organisational culture	Meso

### ***Policy implementation***

After a policy has been developed, implementation of that policy occurs (F. Fischer et al., 2007). This phase of the policy cycle is equally as important as the policy development phase and as such, there is a portion of the internationalisation literature that examines this. Salazar-Morales (2018) identifies a gap in the literature regarding internationalisation policy implementation. He asserts that more studies are needed that focus on successful policy implementation rather than policy failures.

Understanding the institutional culture of a university and the subsequent implementation of internationalisation efforts makes the analysis of policy development processes more attainable and thus, aids in the identification of management challenges (Sporn, 1996).

Towards this end, there are several conceptual models described in the literature that seek to explain internationalisation policy implementation. In general, these models assist with understanding various aspects of university culture and how those aspects affect the implementation of internationalisation at the university. For example, Bartell (2003, p. 56) developed a university culture framework based on work by Sporn (1996) to help with understanding internationalisation processes at universities. This framework relates the strength of a university's culture (strong/weak) and the orientation of the university (internal/external) to examine a university's "capacity to support strategic management."

Other papers offer typologies that assist with categorising approaches to internationalisation such as Knight (1994), which breaks down the approaches to internationalisation implementation into four categories: the process approach, the activity approach, the competency approach and the organisational approach. Table 3 below summaries various models used to understand implementation processes for internationalisation policies at the institutional level. Seven of the studies discussed above

are particularly relevant to the topic of this study and so will be drawn upon for the conceptual framework, to assist in identifying data sources and in data analysis. Table 3 provides a summary of models for understanding internationalisation policy implementation.

*Table 3 Summary of models for understanding internationalisation policy implementation*

<b>Author(s)</b>	<b>Year</b>	<b>Model</b>	<b>Focus</b>
Davies	1992	Institutionalisation of Approaches to Internationalisation in Universities	Examines the organisational consequences of internationalisation with focus on strategy (ad-hoc to systemic) and delivery (marginal to central)
Knight	1994	Typology of approaches to internationalisation	Describes four approaches to internationalisation including process, activity, competency, and organisational
Rudzki	1995	Strategic Management Model	Two models that describe a proactive approach to internationalisation and a reactive approach to internationalisation
Sporn	1996	Typology of university culture	Juxtaposes strength of university culture (weak/strong) with orientation of university culture (internal/external)
Bartell	2003	University culture-based framework	Based on Sporn (1996), framework to assist in understanding process of internationalisation of universities
Turner & Robson	2008	The International Continuum	Continuum from symbolic to transformative made up of nine spectrums that address the multidimensional nature of internationalisation
Johnstone & Proctor	2018	Cultures of the Academy	Seeks to align institutional contexts with national contexts and cultures

### ***Participatory processes***

As with any policy process, it is important to understand who the key actors, or stakeholders, are and how they are related to each other in internationalisation governance. Jongbloed, Enders, & Salerno (2008) describe the interconnections and interdependencies of the various constituencies, stakeholders, and communities associated with universities. The International Association for Public Participation (2018) developed a spectrum of public participation mechanisms for policy processes ranging from the least participatory to most participatory, including: informing, consulting, involving, collaborating and empowering. Fischer et al. (2007, p. 168) suggest that choosing which level of participation is important as each level has its own strengths and weaknesses. They also

assert that “participation increases the rationality of public decision making to the extent that it overcomes the failings of markets and politics, as well as its own internal weaknesses.” Further supporting this, Rizvi & Lingard, (2010, p. 4) explain that “individual decision on isolation does not constitute policy.” When choices are not made regarding the level of public participation in policy making processes or a choice is made to not have a participatory policy development process, Susskind & Elliott (1983) describe a pattern of how participation naturally evolves over time. This pattern starts with ‘paternalism’, or governing by the elites, which is then generally followed by ‘conflict’ where stakeholders begin to distrust the policy makers, second-guess decisions and demand opportunities to participate. This eventually ends in ‘coproduction’ where decision making power is shared and conflicts can be resolved positively. The duration of this pattern varies and may take many years.

Extending this thinking to internationalisation with a focus on research, Appadurai (2000) explains the difference between weak internationalisation and strong internationalisation as essentially, one of participation. He explains that if universities just accept the current elements of research and look for international partners who think the same way, then that is ‘weak internationalisation’. However, if instead, conversation is invited regarding the nature of research, it may be laborious or even contentious, but the end result will be ‘strong internationalisation’ and more robust.

### ***Key stakeholders***

In addition to an understanding of all phases of internationalisation policy development processes, there is also a need to understand how policies developed by various key groups within each context level (Leask & Bridge, 2013) relate to each other (Childress, 2009; Cho & Palmer, 2013; Sam & Sijde, 2014). Viczko & Tascón (2016) studied internationalisation at

Canadian universities by analysing national level policy documents and determining key stakeholders in internationalisation processes. This study examined three policies created at the national level by three different actors: a national government agency, a national education organisation and a pan-Canadian provincial organisation. Not only was the content of the policy documents considered, but also the actors involved in developing each document. It was found that despite all being focused on the national level and having an overlap in actors in the development, there were tensions between the three policies. The authors suggest that this is due the specific approach to each policy text given the actors, knowledge and space in which the policies were developed. For example, in the case of overlapping actors, the role that each actor played in the development of each policy varied; for one policy, an actor may have had a lead role with their knowledge heavily reflected in the content, while for another policy that actor had a peripheral role, resulting in a different emphasis in each policy.

Stromquist (2007) also looked at the roles of various actors in the internationalisation of higher education and found that the field is shifting. University administrators and external firms are playing larger, stronger roles and emerging as powerful decision-makers, “shaping academic content and even academic governance” (Stromquist, 2007, p. 81). These influencers focus their efforts on recruiting students and academics with an eye to improving university reputations and thus securing even more students and research funds. While academic administrators have traditionally been involved in recruitment, external firms have not. Indeed, Beelen (2018) also supports this and points out that because internationalisation is becoming so imbedded in our universities, the range of key stakeholders is extending to leaders, lecturers, educational developers and researchers. The rapid growth in internationalisation, de Wit (2018, p. 42) explains, “has resulted in an





who looked at Finland and Australia. The authors chose these two countries because they were believed to represent the extremes in terms of internationalisation policies in universities, with Australia being driven by trade and economics and Finland focusing on increasing multiculturalism and quality of education. The authors compared philosophies, student mobility and numbers of international enrolments and found that language of instruction and fee structure are influencing internationalisation policy. While Australia was found to follow a direct economic model for internationalisation, Finland did not (Dobson & Hölttä, 2001). Graf (2009) compared internationalisation strategies for British and German universities and found, using Hall & Soskice's (2001) Varieties of Capitalism approach, that despite similar structural incentives provided by the global market for internationalisation, there were distinct national patterns in the internationalisation strategies chosen by the universities because of each university's "specific national institutional environment" (p. 570).

Other studies compare internationalisation in multiple countries. For example, Taylor (2004) examined universities in Canada, Australia, the United States and Sweden to determine motivations for developing internationalisation strategies, the activities and initiatives undertaken to internationalise the universities and the overall importance of the input of internationalisation and its influence on the management of these universities. In this case, strategy documents, such as strategic plans, from four universities were compared with a focus on five themes: motivation, teaching and learning, research, staffing, and institutional management. Overall, it was found that internationalisation strategy documents were important in the internationalisation process, which is also emphasised by Childress (2009) and that despite the importance of the strategies, "[an] area current strategies for

internationalisation seem to be deficient relates to implementation and monitoring”

(Taylor, 2004, p. 168).

Yet other studies chose to compare multiple universities within the same country.

Toyoshima (2007) interviewed directors responsible for international student matters and marketing at ten universities in England and demonstrated how the strategies and

approaches compare between pre-1992 and post-1992 universities. Gyamera (2015)

critically examined internationalisation strategies in three public Ghanaian universities using semi-structured interviews and document analysis. Gyamera (2015) analysed mission

statements, strategic collaborations, establishment of international centres, benchmarks

and foreign experts, and determined that internationalisation strategies were strongly

influenced by economic rationale and followed the market model, but the author argues

that this is not appropriate for the internationalisation of education and a shift to a cultural-value driven approach would be more beneficial to Africa. Interestingly, these findings do

not fit with the geographic trends described in Maringe et al.'s (2013) value-driven models, which would place Ghanaian universities in the curriculum-value driven category.

Finally, there are studies that compare internationalisation within a region. Mok (2007)

examines internationalisation strategies for Asian universities and describes the key issues particularly related to Asian universities following an Anglo-Saxon paradigm of

internationalisation. Because of the rapid growth of tertiary students and expansion of

internationalisation in this region, there seems to be an emerging geographic focus in the

literature on the Asia-Pacific region. As the counties of this region position themselves to

become global economic leaders, the universities are working to create an equally dominant

cultural presence in the world with a cultural value-driven approach to internationalisation

(F. Maringe et al., 2013). Singh (2010) studied internationalisation of higher education in the

African context by looking at internationalisation policy, planning and research and then, considering the Bologna Process and how it affects internationalisation in the African context. This also has wider implications for other regions as universities around the world look to the Bologna model to borrow policy, set goals for greater cooperation and develop instruments to manage and support academic mobility.

### ***Geographic location and internationalisation in peripheries***

Many international education studies (e.g. Burriss, 2006; McCormack, 2013; Zhou & Wu, 2016) have focused on institutions in highly populated, metropolitan areas and/or elite, world-class institutions, which are more likely to attract international students, staff and research opportunities. However, there are some studies that have purposely focused on internationalisation at rural, peripheral universities. For example, Welch, Yang, & Wolhuter (2004) looked at internationalisation at a rural, historically black South African university. They found that at that university, despite its location and being historically marginalised, there was widespread understanding of the importance of internationalisation and support for increasing internationalisation, however staff were uncertain about how to move forward. Because higher education institutions that are not located in centres lack the natural advantages that those that are located in centres have, Klemenčič (2017, p. 1) asserts that institutions in the peripheries “need deliberate internationalisation strategy” and explains how comprehensiveness can help these universities move forward with internationalisation. Finally, Sin, Antonowicz, & Wiers-Jenssen (2019) also studied internationalisation in the semi-peripheral countries of Norway, Portugal and Poland. Focusing on mobility, through an analysis of national policies and strategies, they found that universities in these countries are employing different approaches in recruiting international

students than countries that traditionally recruit larger numbers and are able to market themselves using political, cultural or geographical aspects rather than educational assets. This recent research identifies the importance of understanding internationalisation at institutions outside of major urban centres. Bègin-Caouette (2013) points out that rural community colleges may have a more sustainable approach to developing and implementing internationalisation policies than urban and suburban community colleges. It could be argued that understanding internationalisation at regional universities is more important now than ever. My research aims to further the understanding of internationalisation at regional universities and contribute towards filling this information gap. As such, the universities selected for my research are not located in highly populated, metropolitan areas and/or elite, world-class institutions.

Internationalisation policy is affected by immigration policy (Brajkovic & Helms, 2018) and the areas in which all three universities in my research are located have seen significant increases in refugee populations since 2000. This is something that universities must consider (Ergin, De Wit, & Leask, 2019; Maringe, Ojo, & Chiramba, 2017).

### ***Measuring success***

An important part of the policy process is evaluation. In order to understand how and why internationalisation is occurring at an institution, it is necessary, on some level, to have an understanding of whether efforts are successful. Although internationalisation is occurring at a rapid pace, it is not clear how success should be measured. Various elements of success have been identified and indicators have been developed (Center for Internationalization and Global Engagement, 2012; Furushiro, 2006; Green, 2012; Green & Olson, 2003; Olson et al., 2006), but there is not one agreed upon system for defining success. As de Wit, (2009, p3) explains, further complicating this is that “there is not one model for

internationalisation, so in measuring internationalisation this diversity of rationales, approaches, objectives and strategies by region, country and institution must be taken into account.” This leaves it difficult not only to measure the success of efforts within an institution, but also to compare levels of success across institutions. Interestingly, Nolan & Hunter (2012) found that although each institution follows a different path to successful internationalisation, the path to failure is often similar. De Wit, Hunter, Howard, & Egron-Polak (2015, p57) point out that because of this “it would be beneficial to any policymaker or institution to become more informed about the fundamental factors, elements and conditions that promote or discourage internationalisation efforts before embarking on a strategic initiative in internationalisation.”

Recently, higher education institutions have placed an increasing emphasis on the importance of rankings (Hazelkorn, 2007). One of the problems with this is that there are a multitude of commercial ranking organisations, such as the Academic Ranking of World Universities (ARWU), QS World University Rankings and US New and World Report’s Best Global Universities Rankings, and they each use different indicators to determine rankings. Sharma (2016, p. 1) suggests that perhaps these organisations are using the wrong sets of indicators and could include “whether institutions have specific organisational structure to support internationalisation; whether it provides visa, residency or residents work permit services, which would benefit international students, researchers and academics; and how well international students integrate with local students, including the facilities to ensure this is the case; and foreign language webpages.” Despite criticisms of these ranking systems, institutions still use the rankings in a variety of ways including for benchmarking purposes, to aid in institution decision-making and for marketing (Hazelkorn et al., 2014).

Closely related to rankings is the concept of being or becoming a 'world class university'.

Salmi (2009) describes three key factors that these institutions must possess in order to be considered 'world class': abundant resources, concentration of talent, and favourable governance. In order to be labelled 'world class', an institution must be accountable for and able to quantify success (Hazelkorn, 2007). However, how the factors identified by Salmi (2009) are evaluated is left up to the ranking organisations.

In the academic literature, various case studies examine efforts to measure success within a specific country. Sumskaitė & Juknyte-Petreikiene (2016) looked at internationalisation policy in Lithuania and found that significant public funding and structure were essential to stimulate internationalisation efforts, however, there was not a mechanism for evaluating the success of these internationalisation efforts, so it was unclear whether the resources being invested were having a positive impact. This highlights the importance of the entire policy process, including evaluation, for internationalisation. When a policy is developed that is designed to stimulate internationalisation, a mechanism for evaluation should be included in the policy.

Braskamp (2009) points out that there must be a connection between the desired outcomes of internationalisation and the means by which those outcomes are achieved. He offers a framework for developing indicators to assess internationalisation efforts that connects these two dimensions. For each desired student and learning outcome (e.g. cognitive, intrapersonal, and interpersonal), the framework guides the user to develop indicators for each internationalisation strategy (e.g. curriculum, co-curriculum and community). Although Braskamp (2009) assumes globalisation in general is the motivation for internationalisation at all universities and focuses his framework solely on student learning and development, declining to include research or mobility, the concept of his framework is still relevant and

could be expanded to assess internationalisation more comprehensively by including more aspects of internationalisation as well as additional rationales.

Finally, there have been attempts to quantify internationalisation. Egron-Polak, Hudson, & Sandstorm (2015) describe the results of two large-scale surveys that were conducted in 2013-2014 by the International Association of Universities (IAU) and the European Association for International Education (EAIE) to quantify internationalisation in Europe. The IAU survey focused on perceptions of internationalisation practices, while the EAIE survey focused on perceptions of the pertinence of internationalisation. It was found that these surveys were able to identify themes and trends in perceptions, which were positive in nature. However, the surveys only provided a snapshot of what internationalisation looked like at the time. They were not able to forecast whether the themes and trends would persist in the future or change trajectory. Monitoring over time will be required.

Given the diverse and complex contexts for internationalisation in higher education systems, it is difficult to use a distinct set of indicators to compare success across institutions. In order to measure an institution's level of success in internationalising, the goals must first be clearly understood. Instead, it may be more effective to consider how comprehensive (Hudzik, 2011) internationalisation is at institutions. Hudzik (2011) proposed that 'comprehensive internationalisation' may be indicative of success. That is to say, considering how far the practice of internationalisation permeates and is engrained in various aspects of an institution. Internationalisation efforts that are widespread rather than piecemeal are desirable. Regardless of goals and rationales, the governance of internationalisation needs to have longevity. As the practice of internationalisation continues to expand, universities need to ensure their policies, including both the

development and implementation processes, comprise long-term strategies and aim for sustainability (De Wit, 2018; Holzmann, 2017; Salazar-Morales, 2018).

### ***Conclusion***

Internationalisation is not a new concept or practice. Scholars have been exchanging ideas across political borders for centuries. However, now the pace of internationalisation is accelerating and expanding. Universities embrace internationalisation for different reasons and in turn, react in different manners. It is important to understand how universities can move forward most effectively in this uncharted territory. There is gap in comparative studies that examine the relationships between structures, processes, mechanisms and actors of international higher education and methodologically, in comparative studies (Kosmützky & Putty, 2016; Powell, 2020). This research aims to fill that gap and inform the planning, practices and policy development at higher education institutions in Australia and overseas.



## Chapter 3 Methodological Approach and Research Design

### *Overview*

As described in the previous chapter, this research focuses on understanding the factors and dynamics that affect the governance and structures for the internationalisation of higher education. More specifically, it will examine internationalisation at universities in Australia, the United States and Norway and the context in which it is occurring. The research aims to inform the planning, policy development and practices at universities in Australia and overseas. The following overarching research questions are answered:

- How is internationalisation constructed at each university?
  - What is the context, motivations and rationale for internationalisation at each university?
  - How do the global, national, local, and institutional layers of policy relate to each other?
  - How and why does the discourse shift about internationalisation?
- How is internationalisation policy developed and implemented at each institution?
  - Is this effective? Why or why not?
  - What types of structures, processes, mechanisms and actors contribute to successful internationalisation? Why?
- How is internationalisation reflected in the campus environment?
  - How does the built environment reflect internationalisation efforts? Is it consistent with what is described in policy documents and interviews?

### *Research design*

The basic research design for my research consists of two general phases that were repeated for each of the three case studies (Figure 1). The specific details of data collection and analysis methods used are described in detail in the sections below. In terms of a brief overview, the primary focus of the first phase was the rationales and motivations for internationalisation at each nested layer of policy over time. The second phase focused on internationalisation at the institutional level. Semi-structured interviews and observations were used to collect data to understand policy development and implementation at each

university. Thematic analysis was the principal method of analysis used. In Figure 1, the arrows with the dashed lines indicate paths where triangulation was built into the methods. Once all of the data was collected and analysed for each case, a cross-case comparison was completed to identify common factors and dynamics affecting internationalisation.

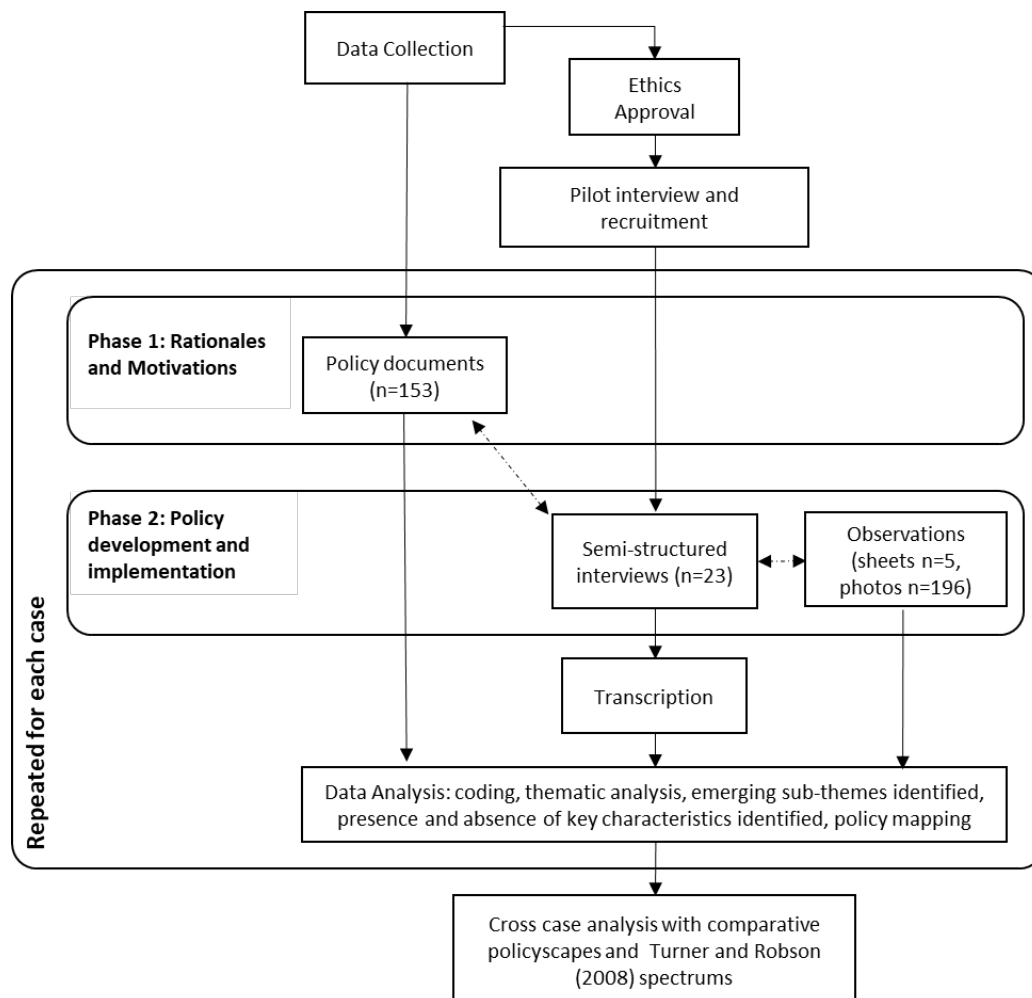


Figure 1 Overview of research design

### Interpretive approach

This research is an empirical, qualitative study. Because the aim of this project is to seek understanding and provide a rationale for the motivations for internationalisation, the research is conducted in an interpretivist paradigm (Sandberg, 2005). Interpretivism may be best understood when compared with positivism (Kember, 2000). Where positivism seeks to test a hypothesis, interpretivists are looking for a plausible explanation or understanding of

a social structure (Bhattacharya, 2008), in this case the internationalisation of higher education. For an interpretivist researcher, it is important to “understand motives, meanings, reasons and other subjective experiences which are time and context bound” (Hudson & Ozanne, 1988, p. 510).

### ***Policy analysis***

This research relies heavily on policy analysis. The field of policy studies as an academic field of study emerged in the 1950s, largely in response to liberal, democratic governments’ desires to use social sciences to inform the development of public policy, shifting away from previous *ad hoc* methods of policy development (Fischer et al., 2007; Rizvi & Lingard, 2010).

As such, experts in policy analysis are often called upon to explain and guide social structures. It is important to make the distinction, however, between analysis *of* policy and analysis *for* policy. The former is an academic endeavour that seeks to understand why and how a particular policy was developed and what the effects of that policy might be. The latter is research conducted for, and often commissioned by, governments or other bodies intending to develop policy based on the results of the research. This is not to say that analysis *of* policy will not inform policy development; it often does, but that is not the impetus for the research. My research involves the analysis *of* policy.

Ozga (2000) recognises that there is not one specific approach for conducting policy analysis in education. The appropriate approach depends on the nature of and context in which the policy being analysed and both qualitative and quantitative approaches are used (Fischer et al., 2007). Likewise, the focus of the policy research can vary as well, ranging from contextual issues to textual considerations to implementation and outcome issues (Rizvi & Lingard, 2010), with a variety of methods available for each area of focus. Maguire and Ball (1994) describe three overlapping, qualitative approaches to education policy analysis: elite

studies ('situated studies of policy formation' (p.279)), trajectory studies (deal with policy across 'policy cycle' (Fischer et al., 2007, p. 43)) and implementation studies (focus on translation of text to practice). Rizvi and Lingard (2010) add policy text analysis to this list. In the case of my research, the policy analysis is multi-dimensional and spans all four of these dimensions. First, actual policy texts are analysed and the discourse within them is documented (Taylor, 2004), next policy development processes are examined and finally policy implementation is observed and documented. The data collection and analysis for each of these dimensions is described in detail in the sections below.

### ***Comparative studies***

The underlying research design used will be a comparative case study (CCS) design (Bartlett & Vavrus, 2017; Flyvbjerg, 2006; Yin, 2014). The comparative method has been used for centuries (Fraser, 1964) and is often used as an alternative to the experimental method. Turner (2016) explains that comparative studies in education use the naturally occurring variations in our environment, thus overcoming practical and moral obstacles that using the experimental method in studies of education present. Hummrich and Terstegen (2017, p. 1) explain that "qualitative comparative studies show the intrinsic logic of cultural arrangements (like the education system)."

Overall, while there are some comparative studies in the international education literature, this area has recently been identified as a research gap (Kosmützky & Putty, 2016).

Comparative analysis of policies allows for the identification of policy convergence and divergence and the mechanisms and conditions affecting these phenomena (Knill, 2005). Studies (Dale, 1999; Lingard & Rawolle, 2011; Marginson, 2004; Simola et al., 2013) show that understanding the relationships between layers of policy within a country and between countries can facilitate a better understanding of the effect of and response to globalisation

in internationalisation policies at higher education institutions. Bartlett and Vavrus (2017, p. 13) explain that “in CCS research, one would pay close attention to how actions at different scales mutually influence one another.” In addition to looking at the various layers of policy, (Sundet, 2016) explains there is a need to look at not just the macro aspects of the internationalisation of higher education, but to also look at the micro, ‘nuts and bolts’ of the daily processes and practices. Finally, at the foundation of this thinking, Latour (2005) describes how the macro is neither above or below the micro, it is simply an addition or another connection to consider. My research covers comparisons of both the macro and the micro aspects of internationalisation.

### ***Case study research and concept of field***

A word about the value of case study research and the concept of field is necessary. Case study research is widely used across disciplines and research paradigms. It is often used in education research and typically includes document analysis, interviews and observations (Stake, 1995). While there are a variety of approaches to case study research (Table 4), it is widely agreed that case study research is valid and useful. Flyvbjerg (2006) describes how case study research is important for generating context-dependent knowledge, which can also reveal findings of relevance to other contexts. Bartlett and Vavrus (2017, p. 12) further explain that “the importance exerted by context is one of the primary reasons for selecting a case study approach to research.” In terms of using case study in policy analysis, Stake contends that case studies can play a useful role in public policy settings (Stake, 2003). Traditional approaches to case study assume society is stable. However, Latour (2005) explains that society is not stable, so we need to rethink how we approach research and can make broader comparisons. Towards that end, more recently, Bartlett and Vavrus (2017)

have also proposed that it may be time to rethink the comparative approach, suggesting that there is no need for tightly bound case studies. Case studies allow us to compare and contrast, as well as to trace a central idea or issue, in this instance, internationalisation, across sites and scales (Bartlett & Vavrus, 2017). Here, in my research, the central idea of internationalisation points towards policies and then, as the policies are analysed, we can understand how rationales for internationalisation are similar or different and ask why these similarities and differences matter.

*Table 4 Overview of interpretivist approaches to case study*

<b>Author(s)</b>	<b>Year</b>	<b>Description and key concepts</b>
Stake	(1995)	cases valued for intrinsic and instrumental values, flexible design, yet tightly bounded
Latour	(2005)	Broader comparisons, does not assume society is stable
Flyvbjerg	(2006)	Case studies can be important for generalising and falsification
Yin	(2014)	Quite structured, tightly bound
Bartlett and Vavrus	(2017)	Consider cultural production of meanings and power relations, “pay attention to how actions at different scales mutually influence each other” (p.13)

Because my research seeks to compare the cases on multiple axes, rather than using a traditional approach and directly comparing and contrasting specific units (Stake, 1995; Yin, 2014), a logic defined by Bartlett and Vavrus (2017) that seeks to compare across sites and time periods was used. This allowed for a comparison on three axes: horizontal, which contrasts one case with another; vertical, which compares influences at different levels of the polycscape; and transversal, which compares over time. Therefore, rather than specifically comparing countries or universities, the concept of ‘field’ as a way of thinking about context (Bourdieu & Wacquant, 1992) is employed here. This assumes that context is made; it is both relational and spatial (Vavrus, 2016). The value of this novel approach can be seen in Carney (2009) where educational polycscapes are compared for Denmark, Nepal

and China. In this study, Carney (2009, p. 63) argues that in order to compare cases in educational policy, which must 'be understood in ongoing relation to other such cases', the concept of the 'field' must be reconstructed to accommodate the multifaceted nature of policy.

### ***The cases***

The governance of internationalisation in different contexts is compared using case studies from three highly developed countries: Norway, the United States of America and Australia. These three countries are all members of the Organisation for Economic Co-operation and Development (OECD) and considered 'knowledge societies' (Drucker, 1969; UNESCO, 2005) with strong education systems, universal access to information and commitments to foster knowledge-sharing. The universities, the Universitetet i Agder (UiA), the University of Vermont (UVM) and the University of Tasmania (UTAS), are all public institutions, similar in size (10,000-12,000 full time students), ranking (top 5% in world) and geographic location (regional and suburban). They were chosen for their similarities. Table 5 provides an overview of the profile for each university. Further justifications for case selection are also provided at the beginning of each case chapter.

*Table 5 University profiles for each case*

	<b>Case 1</b>	<b>Case 2</b>	<b>Case 3</b>
<b>Institution</b>	<b>UVM</b>	<b>UTAS</b>	<b>UiA</b>
<b>Location</b>			
country	United States	Australia	Norway
setting	Regional; Small city	Regional; Small city	Regional; Small city
<b>Structure</b>	public	public	public
<b>Students and Staff (2015)</b>			
<b>Total students (FTE)</b>	<b>11,641</b>	<b>10,845</b>	<b>11,879</b>
Undergrad	86%	71%	

	Postgrad	14%	29%	
<b>International students</b>		<b>1,237</b>	<b>3,458</b>	
	Undergrad	89%	45%	
	Postgrad	11%	55%	
<b>Total faculty staff</b>		<b>1,439</b>	<b>786</b>	<b>777</b>
	domestic	1378	470	
	international	61	316	
<b>Rankings</b>				
<b>QS World University Ranking 2018</b>		531-540	287	n/a
<b>Webometric 2019</b>				
	world	276 (1%)	402(2%)	1046 (5%)
	country	109 (7%)	19 (10%)	5 (10%)
<b>UniRank 2019</b>				
	world	182 (1%)	541 (4%)	1364 (10%)
	country	102 (6%)	21 (53%)	7 (23%)

Norway, although geographically located in Europe, it is not part of the EU and thus, from a policy perspective operates in a more similar framework to the United States and Australia, neither of which fall under the jurisdiction of larger regional governance agreements.

Geographic isolation is a common factor both for countries and institutions. As discussed in the previous chapter, internationalisation in peripheral/semi-peripheral locations (Sin et al., 2019a) represents a gap in the current knowledge. While the three cases in this study have many factors in common, the literature (de Wit, 2001; Sundet et al., 2017; Anthony Welch, 2002) suggests that each may have a different rationale for internationalisation.

### ***Data collection methods***

Documentation, interviews and observation are used for data sources (Creswell, 2003; Gillham, 2000; Yin, 2014) in this research. The first part of this research seeks to answer the overarching research question: how do policyscapes affect internationalisation at the



institution level? In order to answer this question, policy documents were collected, and the texts were analysed to understand the context and rationale for internationalisation via policyscapes in three different cases. Table 6 provides a succinct overview of the methods that were used for data collection for this first phase of research. While data analysis methods for this phase are indicated in the table below, they will be discussed in more detail in the ‘Data analysis’ section of this chapter.

*Table 6 Internationalisation construction methods overview*

<b>Key Research Question: What is the construction of internationalisation at each institution?</b> <b>Purpose: Descriptive</b> <b>Research paradigm: Interpretivist</b> <b>Approach: Qualitative</b>				
	Sub-questions	Data Source	Procedure	Data Analysis
1.	What are the relevant policy documents? What is the policy context for internationalisation at each institution? Which institutional policies pertain to internationalisation?	Websites of relevant institutions	Desktop internet search for existing policy documents	Structural Analysis or policy mapping (Yanow, 2000) - Map/Timeline
2.	What are the key themes in the relevant policy documents? What are the rationale used for the development of policy documents?	International, National and State Policy documents	Policy analysis, text reading and interpretation	Thematic Analysis
3.	What are the key themes in the relevant policy documents? What are the rationales used for the development of institutional policy documents? How are these themes translated from international, national and state documents into institutional policy documents? What are the discursive shifts about internationalisation in the policy texts? What are the themes surrounding internationalisation? What are the gaps in institutional internationalisation discourse?	Institution Policy documents	Policy analysis, text reading and interpretation, comparison of themes from international, national and state texts with institutional texts	Thematic Analysis
4.	How do institutions fit in the six categories described by Maringe et al. (2013)?	Maringe et al. (2013) Conceptual framework	Synthesised data	Comparison

### *Policy documents*

The source of data for this phase was relevant international, national, state in the United States and Australia, county in Norway, and institution level policy documents that were publicly available online. For each level, the websites of applicable institutions and

organisations were searched to locate any relevant documents. A total of 152 policy documents dated from 2000 to 2017 were analysed. A period of greater than a decade was chosen in order to avoid basing conclusions on transitologies, or distinct periods of transition (Cowen, 2000a, 2000b). This time period included multiple administrations for each national government. The type and number of policy documents used for analysis varied by level (Table 7). A complete list of all policy document analysed can be found in Appendix 6 Policy documents: Norwegian case, Appendix 7 Policy documents: Australian case, and Appendix 8 Policy documents: American case. For the one document that was not available in English, Google Translate was used to translate the document from Norwegian to English prior to analysis. While Google Translate has limitations, for the purpose of identifying broad themes, it was sufficient (Roth, 2013). This is discussed in further detail below in the cross-language qualitative research section later in this chapter.

*Table 7 Types of policy documents from 2000-2017 by level and case*

Level	Case			Total documents
	UTAS	UiA	UVM	
<b>International</b>	Bilateral agreements and MOUs (30)	Multilateral agreements, legislation, regulations and conclusions (17)	Multilateral agreements, bilateral agreements, MOUs, joint statements (34)	<b>81</b>
<b>National</b>	Plans, frameworks, reviews and reports (11)	Legislation, white papers, strategies, action plans (11)	legislation, white papers, strategies, memos (15)	<b>37</b>
<b>State/County</b>	White paper, understanding, position paper, strategies (4)	Strategies (2)	Council reports (2)	<b>8</b>
<b>Institution</b>	Strategies, plans (8)	Strategies, plans, charters, frameworks, policy statements (7)	strategies, annual reports, memos, presidential essays, action plans, research briefs (11)	<b>26</b>
<b>Total documents:</b>	<b>53</b>	<b>37</b>	<b>62</b>	<b>152</b>

### *Semi-structured interviews*

The second part of this research is focused on understanding the internationalisation policy development processes and implementation at each university. Table 8 provides a succinct overview of the methods that were used for data collection and analysis for this second phase of research. As with the table for the first phase of data collection, data analysis methods are indicated here, but are discussed later in this chapter.

*Table 8 Policy development and implementation methods overview*

**Key Research Question:** How is internationalisation policy developed and implemented at each institution?  
**Purpose:** Descriptive  
**Research paradigm:** Interpretivist  
**Approach:** Qualitative

Sub-questions	Data Source	Data Collection Method	Data Analysis
1. <i>[Indicative semi-structured interview questions]</i> How are internationalisation policies developed and implemented at each university? What are the processes? Who is involved? Are stakeholders satisfied? Are processes perceived as being effective? Fair? Efficient? Why or why not? What are the perceived barriers/tensions? What are the perceived enablers/facilitators? How is internationalisation (perceived to be) influenced at the university? Are internationalisation efforts successful? How is/should success measured?	Key academic and administrative stakeholders (such as top admin, key faculty in social sciences, natural sciences and fine arts, study abroad/mobility staff)	Semi-structured interviews	Thematic analysis
2. What are the key themes surrounding internationalisation? Are there discursive shifts regarding the development and implementation of internationalisation policy? What factors and dynamics are influencing internationalisation in either a positive or a negative direction?	Interview transcripts/recordings	Semi-structured interviews	Thematic analysis
3. What types of governance and structures are evident? Do they contribute to comprehensive internationalisation? Why?	Interview transcripts	Synthesised data	Comparison

To collect data for this second phase, semi-structured interviews were used. These provided a standardised approach yet were flexible (Gillham, 2000). Twenty-three semi-structured interviews were conducted with key academic faculty and administrative staff whom were

stakeholders in each university's internationalisation process. Because in qualitative research the unit of analysis is experience, participants were chosen because they could "provide substantial contributions to filling out the structure and character of the experience under investigation" (Polkinghorne, 2005, p. 139) and their professional roles were linked to internationalisation at the university where they worked. Participants were professionals from the following institutions: University of Tasmania (Australia), Universitetet i Agder (Norway) and University of Vermont (United States). All participants were adults. Table 9 shows a list of interviewees by university and job classification.

*Table 9 List of interviewees by university and job classification*

Case			
	UiA	UTAS	UVM
<b>Gender</b>			
Male	3	6	1
Female	5	2	6
<b>Job Type</b>			
Academic	3	4	4
Administrative	5	4	3
<b>Total Participants</b>	<b>8</b>	<b>8</b>	<b>7</b>

Interviews were conducted in-person (Plano Clark, 2008) during field visits to the campus of the interviewee in either Norway, the United States or Australia when possible. When it was not possible to meet in person, interviews were conducted via Skype. All of the interviews were conducted in English. Conducting all interviews in English provided continuity and avoided translation, which can be thematic in nature (Ashmore & Reed, 2000; Roth, 2013) and could have contaminated the data. Interviews lasted from 35 to 50 minutes and were recorded and transcribed by the researcher to provide a deep familiarisation with the data.

Transcription, in comparison to translation, is mundane and simply seeks to copy spoken words into text without interpretation (Roth, 2013, 2014). After interviews were transcribed, transcripts were imported into NVivo for ease of coding. NVivo software for qualitative research was used to store, organise and code (Guest et al., 2012; Saldaña, 2009) interview transcripts.

Table 10 below shows the topics and subtopics addressed in each interview. Because the interviews were semi-structured, questions within a topic were not always asked in the same order. At times, interview participants would address certain questions during discussion on a prior topic, in which case, the question was not repeated.

*Table 10 Indicative semi-structured interview topics and questions*

Topic	Indicative Questions
Introduction	<ul style="list-style-type: none"> <li>Please explain your role, now and in the past, regarding internationalisation. (Academic degree (level, country)? Years of experience?)</li> </ul>
Rationales and Motivations	<ul style="list-style-type: none"> <li>Why is internationalisation occurring at this university? What do you believe are the most important reasons for your institution to focus on internationalisation?</li> <li>How is internationalisation influenced at this university? What (external/internal) factors and dynamics are influencing internationalisation in either a positive or a negative direction?</li> <li>How influential are international, national and state (Australia, USA)/county (Norway) policy levels on the internationalisation policy of your institution? Examples?</li> <li>What are the risks of internationalisation for your university?</li> </ul>
Planning and Policy Development	<ul style="list-style-type: none"> <li>Is there a specific organisational structure to support internationalisation? Who has the main responsibility for the internationalisation within your institution? How is responsibility shared?</li> <li>Is there an internationalisation plan for this university? What does it cover? [students, staff, alumni, curriculum, research, social engagement, institution]</li> <li>How are internationalisation policies developed at this university? What are the processes? How are decisions made?</li> <li>Who is involved? How/What are their roles? Local to global actors? Are stakeholders satisfied? Are the processes perceived as being effective? Fair? Efficient? Why or why not?</li> <li>What are the enablers/facilitators of internationalisation?</li> <li>What are the barriers/tensions for internationalisation?</li> <li>Does this university have a holistic approach to internationalisation? Examples?</li> </ul>

Topic	Indicative Questions
Implementation and Management	<ul style="list-style-type: none"> <li>• Tell me how internationalisation policies are implemented at this institution. How is internationalisation occurring? Examples? Where can I see examples of internationalisation on campus?</li> <li>• What are the priority internationalisation activities at this institution? Funding adequate?</li> <li>• Have there been any major turning points (events, key people) that changed the course of internationalisation at your institution? How did they affect change?</li> <li>• <i>What are the enablers/facilitators of internationalisation?</i></li> <li>• <i>What are the barriers/tensions for internationalisation? [if not discussed above]</i></li> </ul>
Evaluation and Monitoring	<ul style="list-style-type: none"> <li>• In general, are internationalisation efforts successful at this institution? What is an example of this? [ex. Targets met for international students, mobility (in/out, students/staff), staff recruitment, etc]</li> <li>• What makes internationalisation successful or not at this university? How is/should success measured?</li> <li>• Do you think your institution has particular strengths and weaknesses regarding internationalisation? Explain.</li> <li>• Is there anything you would like to tell me about internationalisation at this university?</li> </ul>

Data from all interviews was kept confidential and anonymous, in the case of Norway, and re-identifiable for the other two cases. It should be noted that the way Norway and Australia approach anonymity is different. Where Australia differentiated between identifiable, re-identifiable and anonymous, at the time of data collection Norway did not make the same distinction and offered only two categories: identifiable and anonymous. Informed consent was used with participants being provided information sheets and signing consent forms prior to being interviewed. Participants were assured that their names would not be used when reporting data. Further ethics information is described in the Ethical Implications section below and all relevant forms are included in Appendices 1 through 5.

### *Observations*

Finally, observations via photographs accompanied by observation sheets were used (Stake, 1995). Gillham (2000) explains that this is the most direct way to collect data. Unlike written data, which captures what people intend to do or should do, observation produces data not about what people say they do, but what they actually do. Observation also allowed for

triangulation, or convergence, of data collected through the policy documents and semi-structured interviews. This data collection method acted more as a 'supplementary technique' (Gillham, 2000, p. 49) to give an illustrative dimension to my multi-method research. It also provided a greater depth of understanding of the internationalisation implementation on each campus. According to (Keegan, 2008, p. 619), photographs "offer a visual medium in addition to the more common verbal medium. They complement the spoken word and often enable a richer, more holistic understanding of research participants' worlds." In the case of my research, photographs were used to compliment interview data.

Characteristics to be observed were drawn from the literature as well as from the policy analysis and interview data. Displays and physical layout, among other factors (Ellingboe, 1999; McCormack, 2013; Yanow, 1995), were observed. Photos were taken of libraries, bookshops, student centres, bulletin boards, art displays and signage on each campus (Yin, 2014). At least one physical campus of each institution was the source of data collected through visual observation. Data gathering forms (Stake, 1995) along with photographs were used to collect and organise data. As recommended by Stake (1995), the forms included space for both qualitative and quantitative information, as well as a narrative account and commentary on the factors identified as important in the literature, policy analysis and interviews, and driven by the research questions. Appendix 10 Observation data collection sheet shows the observation sheet that was used to collect data about the physical structure of the campus. Table 11 provides a summary of observation data collected for each campus.

Table 11 Overview of observation data collected

Campus	Number of Photos	Observation Sheet	Period of data collection
Kristiansand	21	yes	November 2017
Grimstad	38	yes	December 2017
<b>UiA Total</b>	<b>59</b>		
Launceston	12	yes	February 2018
Hobart	51	yes	February 2018
<b>UTAS Total</b>	<b>63</b>		
Burlington	74	yes	July 2018
<b>UVM Total</b>	<b>74</b>		
<b>OVERALL Total</b>	<b>196</b>	<b>5</b>	

## Data analysis methods

### Thematic analysis

The primary method used for analysis in this study was thematic analysis. This was guided by various typologies and frameworks in each phase as described below. In the first phase of this research, a thematic analysis (Creswell, 2012; Guest et al., 2012) of policy documents at the international, national, state/county and institution levels was used to determine rationale trends and the dominant internationalisation themes for each policy document. This allowed for the identification of historic trends in the development of international, national and state internationalisation policy in order to determine the context of internationalisation at each university. The documents were read through three times. The first reading was for familiarisation and initial ideas about the emerging patterns of themes were noted. During the second reading, initial descriptive codes (Saldaña, 2009) were



generated and emerging themes were grouped. In the third reading, the themes were synthesised, relationships between the data were described and links to existing research were considered. Once the key themes were determined for a document, they were compared to the typology of rationales developed by Maringe et al. (2013) to identify the primary, and in some cases a secondary, rationale for each document. Finally, the international, national, state/county, and institution policy documents and their rationales were mapped and compared over time, providing an overview of the policy structure, or 'policyscape' (Bartlett & Vavrus, 2017; Yanow, 2000), and context for internationalisation at each university in order to identify trends, connections and tensions between the layers of policy. Once the mapping was complete, it was possible to see within which paradigm each university sits in terms of rationales for internationalisation. Within that context, institutional policy documents were then examined to identify themes surrounding internationalisation and any gaps in internationalisation discourse at each university. The strength of using thematic analysis in the document analysis is that it gives a broad overview of the policy environment in which internationalisation exists at each university.

#### *Policy mapping*

Rizvi and Lingard (2010) point out the importance recognising the layering of policy across global, national and local spaces and the need to consider the temporal factor. Because an interpretive approach to policy analysis (Yanow, 2000, 2007) is used for my research, rationales derived from thematic analysis of the policy documents were systematically mapped over time and policy layer (international, national, state/county and institution) to create visual policyscapes for each case. This provided an overview of the policy structure and context for internationalisation at each university. Mapping the rationales over time

and layers made patterns and connections visible and allowed the exploration of space/time relationship (Vavrus, 2016).

### *Frameworks for analysis*

Several frameworks were used to guide the thematic analysis. To determine the rationales for internationalisation, Maringe et al.'s (2013) typology of rationales was used. This recently developed framework was chosen because it built upon and expanded previous typologies of rationales. The authors also offered clear definitions and example strategies for each rationale for ease of classification. The rationales along with example strategies that may be mentioned in policy documents are described in Table 12 below.

*Table 12 Modified from Maringe et al.'s (2013) rationales for internationalisation*

<b>Rationale</b>	<b>Meaning/focus</b>	<b>Example Strategies</b>
<b>Economic</b>	Increasing economic competitiveness and \$	Overseas recruitment to bring \$
<b>Political</b>	Create world understanding, leadership, peace	Global problem focused curriculum/research centres, world-class talent
<b>Educational</b>	Internationalisation as educational quality marker, internationalisation administration	Developing internationalisation audit frameworks, research partnerships, joint degree programs
<b>Sociocultural</b>	Forge greater understanding between nations/cultures, enrich learning experience	Mobility, second language learning
<b>Technological</b>	Response to current technological developments, becoming technology leaders	State-of-the-art technologies, distance/e-learning
<b>Pedagogical</b>	Internationalising university curriculum, support for learning/student experience	Guidelines for preparing international curricula, pedagogical preparedness of staff to deal with international curricula

For the second phase of this research, Ostrom's (2011) institutional analysis and development (IAD) framework was used as a guide to develop the topics and sub-topics for the interview instrument. Ostrom's IAD framework emphasises the importance of rules and policies and identifies the factors that can affect them during the policy cycle. Ostrom's (Ostrom, 2009, 2011) policy process models are particularly relevant to this research. Her framework for institutional analysis and development (IAD), which was designed for use in a wide variety of fields of study, shows how external variables, such as rules-in-use and

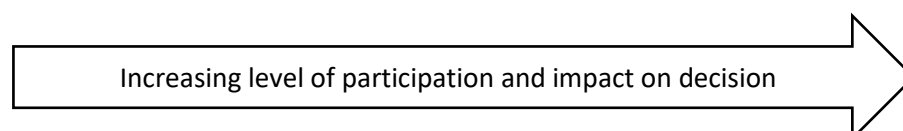
attributes of communities, set the context and affect an action situation which leads to outcomes. This same framework also emphasises the link actors have to potential outcomes. Ostrom (2011, pp. 12–13) explains that for each actor, whether an individual or a group, one must consider “how and what participants value; what resources, information, and beliefs they have; what their information-processing capabilities are; and what internal mechanisms they use to decide upon strategies.” As such, interview transcripts were reviewed to identify factors that affected internationalisation policy development processes and to identify actors involved at each institution. Using three general phases of thematic analysis described above by Guest, MacQueen, and Namey (2012), common themes were identified for each interview topic. This allowed me to see how inclusive and participatory the various policy development processes were.

To further refine the level of participation in the development of internationalisation policies at each university, the International Association for Public Participation's (2018) typology of community participation was used. In the case of my research, “community” referred to the university community. Table 13 describes the IAPP’s five levels of community participation along with the goals and promises associated with each level.

*Table 13 Levels of community participation modified from International Association for Public Participation (2018)*

Level of participation	Inform	Consult	Involve	Collaborate	Empower
<b>Participation goal</b>	To provide the public with balanced and objective information to assist them in understanding the problem, alternatives, opportunities and/or solutions.	To obtain public feedback on analysis, alternatives and/or decisions.	To work directly with the public throughout the process to ensure that public concerns and aspirations are consistently understood and considered.	To partner with the public in each aspect of the decision including the development of alternatives and the identification of the preferred solution.	To place final decision making in the hands of the public.

<b>Promise to university community</b>	We will keep you informed.	We will keep you informed, listen to and acknowledge concerns and aspirations, and provide feedback on how public input influenced the decision.	We will work with you to ensure that your concerns and aspirations are directly reflected in the alternatives developed and provide feedback on how public input influenced the decision.	We will look to you for advice and innovation in formulating solutions and incorporate your advice and recommendations into the decisions to the maximum extent possible.	We will implement what you decide.
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Finally, Sporn's (1996b) typology of university culture was used to understand the process of internationalisation at each university. This framework allowed me to understand the strength and orientation of university culture at each university. Understanding the institutional culture of a university and the subsequent implementation of internationalisation efforts makes the analysis of policy development processes more attainable and thus, aids in the identification of management challenges (Sporn, 1996b). With four distinct quadrants (Figure 2), this framework relates the strength of a university's culture (strong/weak) and the orientation of the university (internal/external) to examine a university's "capacity to support strategic management."

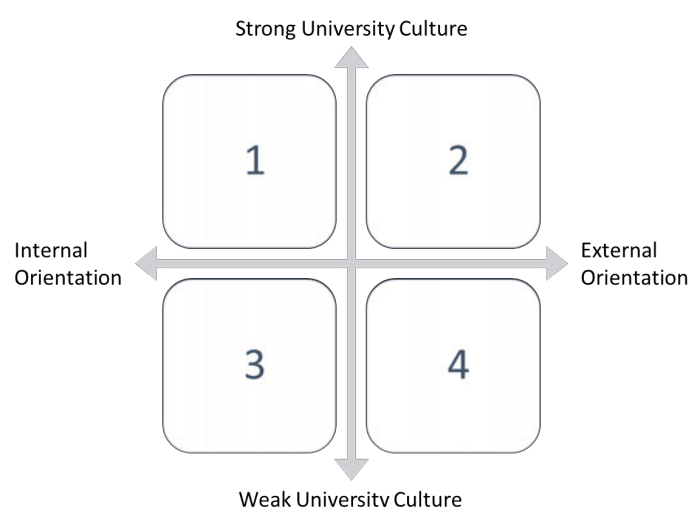


Figure 2 Sporn's (1996b) typology of university culture

The assumptions underlying Sporn's (1996b, p. 55) approach are:

- Strong cultures are more successful in adaptation than weak cultures; and
- Externally oriented cultures are more capable of adapting to environmental changes than internally oriented cultures.

The characteristics of universities that sit in each quadrant are described below in Table 14.

Based on interview transcripts, each university was placed in quadrant. This allowed for a deeper understanding of organisational management and how internationalisation is approached within each institution. It also assisted in identifying barriers and enablers to internationalisation, which helps to inform opportunities for improving the practice.

*Table 14 Quadrant descriptions for Sporn's (1996b) typology of university culture*

Quadrant	Description
<b>1 Strong culture, Internal orientation</b>	Members have uniform values, beliefs, and attitudes dominate. University members and groups generally share same patterns of behaviour and values concerning internal activities. Organizational adaptation to external changes is only poorly supported by the culture. This type of culture is adequate in stable environments, but it will encounter problems as soon as external changes arise.
<b>2 Strong culture, External orientation</b>	Members have shared values, beliefs, and attitudes. Activities are externally oriented. Show the same patterns of behaviour and have the capability of reacting flexibly to changes. This cultural type is the most suitable for enhancing adaptation. Although culture can consist of subcultures, they are integrated in the university as a whole. In this situation the university can reach its goals effectively by coordinated activities of the subcultures.
<b>3 Weak culture, Internal orientation</b>	Members have divergent values, beliefs, and attitudes. They are dominated by subcultures with their work being concentrated on internal affairs. The university members concentrate on their own work and do not identify with the university as a whole. Few members of the university community are willing to adapt the university to changing conditions in the environment.
<b>4 Weak culture, External orientation</b>	Members have divergent values and beliefs, but the subcultures are focused on the external environment. However, the activities of the different subcultures are not coordinated. With this orientation, the university can still adapt in a changing environment. To stay successful though, a strong university culture will have to be developed while the external orientation is retained.

It is worth noting that Bartell (2003, p. 56) used Sporn's university culture framework to help with understanding internationalisation processes at universities, comparing internationalisation at universities in Canada. He suggested that further refining of each

quadrant was needed as, for example, a ‘strong’ university culture could be either positive or negative. This framework was used in this research with Bartell’s suggestion in mind.

### *Cross-case analysis*

Finally, the three universities in my cases were juxtaposed in a cross-case analysis to illustrate the range of contexts in which internationalisation is occurring and each university’s responses to internationalisation. The research questions this cross-case analysis asks are: How does internationalisation implementation vary between universities with similar and different rationales? How can universities, regardless of rationales for internationalising, move forward to meet their policy aspirations while ensuring long-term sustainability? And, related to the second question, how can universities bring dynamics into alignment to move towards sustainability?

By comparing internationalisation policies and practices at three similar universities in different settings, it is possible to see “the institutional consequences of particular combinations marshalled within specific dynamics” (Y. Turner & Robson, 2008, p. 27). First, the policyscapes and rationales for internationalisation as determined in the policy analysis were compared to illustrate the range of contexts. Then, Turner and Robson's (2008) spectrums of internationalisation orientation were used as the framework for data analysis to understand where each university falls in terms of sustainable internationalisation practices. This is useful for both research and administrative purposes. The spectrums used for this portion of the analysis are shown below in Table 15.

*Table 15 Turner and Robson's (2008) continuums for internationalisation*

Continuums		
International orientation	Symbolic	Transformative
Stimulus	External	Internal

International impetus	Business-led	Internationalist
Strategic management focus	Markets/student recruitment	International partnerships/knowledge sharing
Financial focus	Cost- and revenue-focused	Investment-focused
External engagement	Competitive	Cooperative
Management style	Designed	Emergent
Institutional characterisation of internationalisation	Prescriptive	Descriptive
Style of participation	Compliance	Commitment
Sustainability	Short-term	Long-term

### ***Methodological challenges***

#### ***Strengths and limitations***

To summarise the discussion of strengths described above, using structural analysis (Yanow, 2000) to examine the relevant policy documents, an overview was created that illustrated the broader context in which internationalisation occurs at each university. The strength of using thematic analysis in the document analysis is that it gave a broad overview of the policy environment in which internationalisation exists at each university. Using descriptive codes provided me with an overview of the main topics or categories covered in the policy documents. This was essential in describing the context of internationalisation at each university. Thematic analysis allowed for the identification of patterns, in order to critically analyse the data and identify discursive shifts. Using Maringe et al.'s (2013) taxonomy of rationales to compare each document allowed for a critical element to this research. Then, this analysis was combined with the results of semi-structured interviews and observations to form a more complete critical discourse analysis (Wodak & Meyer, 2009), for a

comparative study of internationalisation of higher education at universities in Australia, the United States and Norway.

Although the methods chosen for my data collection and analysis were appropriate as shown above, they are not without limitations. While strengths are mainly discussed above where each step of the methods is described, the limitations and measures taken to mitigate are succinctly described in Table 16 below.

*Table 16 Limitations to data collection and analysis methods and strategies to mitigate*

<b>Method</b>	<b>Limitations</b>	<b>Strategies to mitigate</b>
Using documents	Biased selectivity (Yin, 2014)  Institutions may block access to documents (Yin, 2014)	Rigorous searching, documents requested from university libraries and staff when necessary (Yin, 2014)
Semi-structured interviews	Lack of reflexivity, participants only give information they think researcher wants to hear (Yin, 2014)  People not equally articulate and perceptive (Creswell, 2003)	Use multiple sources of data collection, including policy documents and observations (Gillham, 2000)  Multiple people interviewed for each case (Yin, 2014)
Observation	Time-consuming (Gillham, 2000)  Data difficult to write up accurately (Gillham, 2000)	Adequate time planned for data collection from start (Gillham, 2000)  Observation sheets filled out as soon as possible (Gillham, 2000), either on campus or within an hour of completing observation
Thematic analysis	Bias in interpreting data (Merriam, 1998)	Articulate researcher experiences, worldview, and theoretical orientation to the study (Merriam, 1998), multiple sources of evidence (Yin, 2014), prolonged time in field (Creswell, 2003)

### *Interviews*

Additional methodological challenges were linked to interviews. At one of the universities, there were a high number of vacant positions related to internationalisation and several participants who had been in their positions for less than 3 months at the time of interview. At this university, I encountered several people who were hesitant to participate either due



to newness in position, feeling that they had nothing to contribute or feeling that they were not qualified or involved enough to participate. At all of the universities, the interview period was spread out over a longer period of time than planned due to staff being overseas. This was resolved either by prolonging the interview period and scheduling interviews for when staff returned to their campuses or by conducting interviews via Skype.

### *Triangulation*

Triangulation (Creswell, 2012; Stake, 2003) through data collection and data analysis was used to increase the credibility of my research findings by “drawing from evidence taken from a variety of data sources” (Rothbauer, 2008, p. 893). For example, rationales for internationalisation were determined through the analysis of policy documents. However, in the semi-structured interviews, participants were also asked about their university’s rationales for internationalising, which provided an opportunity to compare the answers with stated and gleaned rationales from the policy documents. Likewise, with the semi-structured interviews and observations. Participants were asked to describe examples of internationalisation on their campuses and then observation data provided a chance to compare what they described with what was observed. Being able to corroborate evidence from a variety of sources provided validity to my findings (Creswell, 2012).

### *Cross-language qualitative research*

Cross-language qualitative research can also present methodological challenges (Squires, 2009). Because this research was designed to collect data for cases in three different countries with different languages spoken, it is necessary to consider the importance of written and spoken language in this study. Translation issues are not often mentioned in the methods sections of research involving cross-language data collection (van Nes et al., 2010). While discussing this here does not eliminate potential problems with cross-language

research, it will give readers “a better insight into the way potential meaning losses have been avoided in the procedures used” (van Nes et al., 2010, p. 316).

Interviews were conducted in English, which is my native language, but was a non-native language for some interview participants. However, English is the dominant language for research around the globe and is commonly used in academia (Kushner, 2003). The nature of university staff working in internationalisation should be noted. Many of the staff interviewed had spent significant time overseas and/or were international staff. Several were at the time working in a country that was not their home country and working in a language that was not their native language. To avoid compromising anonymity, ethnic and linguistic origins of interview participants will not be described in detail. However, interviews were conducted with staff from various countries at each university. For example, an interview conducted in English at the University of Tasmania was not necessarily conducted in the native language of the participant even though the working language of the University of Tasmania is English. Likewise, just because an interview was conducted in Norway, does not mean that the participant being interviewed in English was not a native English speaker. This was true for participants at each university where interviews were conducted.

Language is in a constant state of flux. Even within the same language, linguists make distinctions between idiolects and sociolects, the first being an adaption by an individual and the second being a group dependent use of the language (Louwerse, 2004). On a larger scale, this can be seen in the differences between Australian English, American English and Canadian English, for example. However, despite these differences, research (Louwerse, 2004) has found that idiolects and sociolects are difficult to detect when analysing text.

Because of this, I am confident that language differences did not affect data collected through interviews and analysed thematically.

For the policy documents, all documents except for one were available in English. It is not uncommon for European policy documents to be published in multiple languages, including English (Kushner, 2003). For the document that was not available in English, Google Translate was used to translate the text from Norwegian to English. Translators and linguists would argue that there is no such thing as a perfect translation, but rather that meaning is constructed from rhetoric, logic and silences (Simon, 2003; Spivak, 1993) and the effects of translation on data are often invisible (Squires, 2009; Temple & Young, 2004). Because the thematic analysis method used did not require precise semantics, this type of translation was adequate. If the data analysis method had used a Boolean model and relied upon exact string matches, for example, this translation may not have been sufficient (Baeza-Yates & Ribeiro, 1999).

Finally, because an interpretivist approach is used for this research, it is important to situate myself as the researcher within the issue of cross-language qualitative research (Temple & Young, 2004). My native language is American English. I grew up in the United States, but have lived, worked and studied extensively overseas, including in Australia and in Norway. In addition to experience with variations on the English language, I speak Spanish at an advanced level having studied it for six years at the tertiary level, including one semester at the Universidad de Costa Rica. I have also formally studied Italian and Norwegian. Growing up, I was an exchange student twice, one summer to Brazil and another to Italy. I lived with families in both countries who spoke little to no English. My extended family uses five spoken languages with German and English being the common languages between them. Everyday translated communication is normal to me. As a researcher, I have a high-level of

sociocultural competence and significant background knowledge (Squires, 2009) about all three places of study in this research.

### ***Ethical implications of plan***

It is interesting to note that many books and articles on the interpretive methodological approach do not have a section on 'ethics'. Schwartz-Shea and Yanow (2012, p. 22) explain that this is because "ethical concerns are not a separate subject, but instead emerge throughout the project" in the interpretivist approach. Because the first phase of this research relied exclusively on documents and did not involve any interactions with people, certain ethical considerations common in qualitative research such as anonymity, informed consent and confidentiality are not relevant and human ethics approval was not necessary. For the second phase of this research, semi-structured interviews with key academic and administrative stakeholders at each university and observations, human ethics approval was sought and received. All of the relevant human ethics approval documents can be found in Appendices 1 through 5. This was considered a low risk application. All participants interviewed were professionals in academia and questions were on matters relating specifically to their profession, which did not pose any risk to their professional or social life. One last ethical implication involving the interpretation of the data should be noted. This research does not fit neatly into either the etic or the emic approach (Headland et al., 1990) to research. I approached the case study in Norway largely from an etic perspective. I had not been to the Universitetet i Agder campuses prior to conducting interviews and observations and aside from studying Norwegian language, had limited experience with Norwegian culture or policy. On the other hand, I do have a relationship with the university being studied in Australia, having worked as a lecturer at the university for ten years and attended as a student for three years. For the case in America, I did not have a relationship

with the institution used for the case study, but I had been to the campus before and had lived in the area previously. Also, I am American and attended American higher education institutions for both my Bachelor and Masters degrees. Because of this, I would consider myself an embedded researcher for these cases. The advantage of this is that I am familiar with policies and practices. Usually, a limitation of being an embedded researcher is the risk of being too involved to be able to interpret social/cultural structures impartially and I was aware of this as I conducted the thematic analysis. However, as an American, with experience in American universities, I also have examined the Norwegian and Australian data with an etic perspective, or through the lens of a different culture, which may have allowed me to see structures or themes in the data in ways that an embedded researcher could not and interpret structures impartially. It could be argued that a combination of etic and emic approaches would provide the most thorough understanding of how internationalisation is constructed at the universities studied in this research.

Finally, I acknowledge that despite my best efforts, there are likely to be some elements of bias in my interpretation of the findings. The conclusions of this research represent my interpretation of the various sets of data collected, including the interviews, which were constructed from the multiple realities of the participants (Norum, 2008). Each participant's voice presented a unique perspective of internationalisation at their university based on their reality. Likewise, my interpretation of that voice is based on my reality. It is possible that my findings could be subject to other interpretations.

## ***Conclusion***

This qualitative, empirical research uses an interpretive approach with comparative case studies to further the understanding of higher education internationalisation governance.

Cases in Australia, Norway and the United States, were selected based on similarities in university size, ranking and geographic situation. A non-traditional concept of field was used in order to trace factors influencing internationalisation over time and space. Data was collected through policy documents, interviews with key administrative and academic staff and campus observations. Thematic analysis of the data was guided by previously published typologies and frameworks and was the principal means of data analysis. Triangulation was built into the research design and used to corroborate evidence from a variety of sources and provided validity to my findings.

## **Chapter 4 Case 1: University of Tasmania (UTAS)**

### ***Case overview***

Internationalisation is relatively new in Australia. As such, there is less published in the academic literature about internationalisation in Australia than there is for the other two cases. Among what has been published, there are varying descriptions of what has been the motivation or rationale for this emerging practice in Australia.

However, several authors describe the importance of international students as financial sources in Australia. Dobson & Hölttä (2001, p. 244) explain that internationalisation is viewed as an “export of education services”, or a commodity to be traded, in Australia. Also supporting this idea, Welch (2002) describes how internationalisation has focused on the international student market for the last two decades and Marginson (2015a) writes that decreased government funding in higher education has lead universities to increasingly look to international students as sources of funding. These same rationales are also seen more recently in Khalaf (2020). The idea of education as an export commodity and a means of generating revenue has been consistently described over time.

Taking a different tack, Byrne & Hall (2013) recognise that Australia has made commercial gains via international education and suggest that international education could also be used as a soft power. Australia could capitalise on the relationships and interactions that result from it and use those towards public diplomacy. While other countries such as the United States use this approach, Australia has not made this shift.

Geographically, Marginson (2015b, p. 266) points out that higher education in Australia is focused on Asia. “In 2013, the question of Australia’s positioning in Asia, and of the role of higher education and research in relation to Asia, became an issue of front-rank policy importance in Australia, following an Australian government task force report.” This focus

has become increasingly important in the last decade and is reflected in both the policy analysis data and interview data in my research.

The institution at the centre of this case is the University of Tasmania (UTAS). Founded in 1890 and located in Tasmania, a small island state off of the southeast coast of Australia, this public university has three main campuses in Tasmania and is the only university in the state. The state itself is geographically isolated from the rest of the country and largely rural, with mining, agriculture, forestry and more recently, tourism being the main industries. Approximately, 42% (Parks & Wildlife Service Tasmania, 2020) of Tasmania is protected by national parks and World Heritage sites, making outdoor recreational activities abundant.

According to QS World University Rankings, the university in this case had approximately 10,845 full time students in 2015 on its Tasmanian campuses and was given a world ranking of 287 in 2018. Interestingly, unlike the institutions in the other two cases, this university tends to report the total number of students, both full and part time as well as attending and distance, which leads to a number closer to 30,000 students. Kember, Leung, & Prosser (2019) show that in higher education institutions massification leads to attrition. They studied a regional university in Australia and found that as the university increased enrolment by admitting students who traditionally would not have been admitted and increasing online learning, attrition increased. The universities in the other two cases do not do this, instead they emphasise the number of attending, full-time students, which, in turn, allows them to promote low teacher-student ratios. It is unclear why this university chooses to promote itself with high student numbers.

*Table 17 University of Tasmania profile*

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**Case 2**

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**Overview**

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Institution	UTAS <sup>1</sup>	
Location		
	country	Australia
	setting	Regional; small city
Structure	public	
<b>Students and Staff (2015)</b>		
Total students (FTE)	10,845	
	PG	29%
	UG	71%
International students	3,458	
	UG	45%
	PG	55%
Total faculty staff	786	
	domestic	470
	international	316
<b>Rankings</b>		
QS World University Ranking 2018	287	
Webometric 2019		
	world	402(2%)
	country	19 (10%)
UniRank 2019		
	world	541 (4%)
	country	21 (53%)

In terms of nested layers of context, Australians have been living in a period of relatively high degree of uncertainty for the past decade. There have been six prime ministers in the last 10 years. There has been a focus on China at the state and national level. Both have looked to China to expand both trade and tourism.

In recent years, there has been a push to grow tourism within the state. However, while the state has seen an increase in international visitors, there is not an international airport in the state of Tasmania. Additionally, in terms of context for this case, there has been an increase in immigrants and refugees in Tasmania in recent years. Over the last decade, the state has sought to increase its population by taking in refugees. In 2015 the Safe Haven

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<sup>1</sup> Data for Students and Staff from QS World University Ranking data

Enterprise Visa (SHEV) scheme became operational in Tasmania and refugees have been encouraged to resettle in the state.

In terms of internationalisation at UTAS, it is a relatively new practice. For example, there are no policy documents publicly available prior to 2012 for this university. Scholars of discourse analysis (Carabine, 2001; Dijk, 1985; Livholts & Tamboukou, 2015) would argue that the silences and absences in data can be as important as what is said. The absence of public internationalisation documents could be interpreted to indicate either a suppressed historical discourse or that no discourse exists surrounding historical university level internationalisation.

This chapter will first examine in detail the nested layers of rationales and motivations found in policy documents for internationalisation at the University of Tasmania. Then using data collected through semi-structured interviews and observations, the policy development and implementation processes at UTAS are examined. Key themes that emerged from this data are discussed along with barriers to internationalisation for this case, as well as risks and tensions.

Finally, it should be noted that the first part of this chapter was published in the peer-reviewed *Journal for International Education Studies* in 2018 as “Understanding Contextual Layers of Policy and Motivations for Internationalization: Identifying Connections and Tensions” (S. Fischer & Green, 2018) (Appendix N Fischer and Green 2018). What appears here in the first part of this chapter forms the foundation for that paper. This same published approach is used for the document analysis for the other two cases as well. The full text of this paper can be found in Appendix N Fischer and Green 2018 along with the peer-reviewed abstract and slides for a presentation given at the European Conference for

Education Research (ECER) 2017 in Copenhagen, Denmark (Appendix O ECER 2017 peer-reviewed abstract and presentation).

### ***Rationales and context for internationalisation***

#### ***International policy context***

To understand the policy context for internationalisation at this university, I begin at the international level, as outlined in Leask and Bridge's (2013) framework. Currently, there are no formal multilateral agreements at the international level that specifically address internationalisation of education with a global scope. There are regional agreements such as the Bologna Convention, which aims to facilitate mobility in Europe by calling for common higher education policy and practice within the region, as well as the *UNESCO Dakar Framework for Action* (2000) and the *UNESCO Muscat Agreement* (2014), which set global education goals and targets, but do not address internationalisation. In addition, there are several international organisations that provide potential frameworks for the internationalisation of higher education, including the Organisation for Economic Cooperation and Development (OECD), the United Nations Educational, Scientific and Cultural Organization (UNESCO), and the United Nations Children's Fund (UNICEF). The documents produced by these organisations tend to focus on quality assurance, documenting global trends and best practices for internationalisation. While these documents are straightforward, how they are interpreted or translated at a national level varies.

*Table 18 Examples of international education policy*

<b>Document</b>	<b>Year</b>	<b>Organisation</b>	<b>Purpose</b>
Guidelines for Quality Provision in Cross-Border Higher Education (Van Ginkel and Rodrigues Dias 2005)	2005	OECD	Quality assurance
Cross-border Tertiary Education: A Way towards Capacity Development (Vincent-Lancrin 2007)	2007	World Bank and OECD	Best practices

Trends in global higher education: Tracking an academic revolution (Altbach et al 2009)	2009	UNESCO	Document global trends
Approaches to Internationalisation and Their Implications for Strategic Management and Institutional Practice	2012	OECD	Best practices

Australia does belong to two regional international forums, Asian Pacific Economic Cooperation (APEC) and East Asia Summit (EAS) that have the ability to develop higher education internationalisation policies, but to date, they have not. APEC's Education Strategy 2016-2030 (Asian Pacific Economic Cooperation, 2017) and associated Action Plan (Asian Pacific Economic Cooperation, 2017), which are aimed at supporting sustainable economic growth, identify the need to support internationalisation including mobility and scholarships for mobility. The 2015 Incheon 2015 Declaration and Framework for Action (UNESCO, 2015) is another recent important international educational agreement that includes Australia, but it does not address internationalisation. Because of the lack of multilateral agreements for Australia at the time of data collection, 31 bilateral agreements and MOUs with 22 countries were analysed instead (Table 19). The overarching primary rationale for these documents was educational with elements of the sociocultural rationale also present. Common themes in these documents included cooperation, overseas qualification recognition, exchange of information and people and language.

*Table 19 Australia's bilateral international education policies 1990-2017*

<b>Year</b>	<b>Country</b>	<b>Themes</b>	<b>Rationale</b>
1990	Brunei Daruualam	education and training, exchange information, mobility, curriculum, communication, science and engineering, second language learning, partnerships	sociocultural
1998	Germany 11 Sept	overseas skills recognition	educational
1998	Germany 29 Sept	overseas skills recognition	educational
1999	France	overseas skills recognition, mobility	educational, sociocultural
2002	Colombia	mobility, information exchange, training, joint research, technology transfer, joint ventures, economic development, linguistic development,	sociocultural
2003	India Science and Technology MOU	cooperation, science and technology, collaborative projects, intellectual property rights,	educational

Year	Country	Themes	Rationale
2003	India Education Exchange Programme MOU	partnership building, information exchange, joint research, training, mobility, joint programs, joint centres, overseas skill recognition, technology	sociocultural, educational
2003	Turkey	economic development, mobility, information exchange, joint research, technology, scholarships, linguistic exchanges, joint ventures,	sociocultural
2005	Taiwan	mobility, partnerships, joint language teaching	sociocultural
2006	India Biotechnology MOU	cooperation, science and technology, collaborative projects, funding, guidelines, reviews, intellectual property rights	educational
2007	European Union	education and the economy, jobs, understanding languages, cultures and institutions, mobility, joint curriculum, overseas skill recognition, technology, quality assurance, benchmarking,	educational
2007	Japan	collaboration, regional education issues, mobility, joint research, language education, policy dialogue	educational, political
2008	Republic of Korea	overseas skill recognition, mobility, joint research programs, language education	educational
2010	Kingdom of Saudi Arabia	mobility, information exchange, training, joint research, technology transfer, joint ventures, economic development, linguistic development, cooperation, overseas skill recognition, language teaching	sociocultural
2011	India Extension of Biotechnology MOU	extend 2006 doc	educational
2011	Malaysia	information exchange, mobility, research, curriculum, planning, management, training, professional development, intellectual property rights	educational
2011	Mongolia	vocational education, staff exchange, scholarships, language learning, information exchange, joint conferences/workshops,	educational, sociocultural
2011	Taiwan VET	vocational training, internships, industry, employment, intellectual property rights	educational, economic
2011	Vietnam (signed with Ministry of Labour, Invalids and Social Affairs)	partnership, cooperation, vocational, training, quality assurance, English language, distance education, information exchange, labour market, human resource development	educational, economic
2012	China	replaces 2002 and 2009 agreements, education exchange and cooperation, partnership building, mobility, Chinese/Australian studies, internationalisation of higher education, language learning, understanding school systems	sociocultural
2012	India Student Mobility and Welfare MOU	information sharing, administration, technology transfer, training, student well-being,	educational
2012	Malaysia	cooperation, exchange of information, overseas skills recognition, mobility, quality assurance,	educational
2012	Thailand	exchange of information, standards, policy developments, reform, joint planning and implementation of programs, mobility, bridging courses, overseas skills/qualifications recognition, distance education, special education, English/Thai language training	educational
2013	Vietnam (signed with Ministry of Education and Training)	replaces 2008 agreement, cooperation, procedures, IPR, Australia to facilitate in Vietnam, exchange of people/info, labour market/demand, bridging courses, training provided by Australia, English language, quality control,	educational, economic
2014	China- Higher Education Qualifications Recognition	Higher education qualifications recognition	educational
2014	China Student, Researcher and	student, researcher and academic mobility, New Colombo Plan, cultural understanding, cooperation,	sociocultural

Year	Country	Themes	Rationale
	Academic Mobility		
2014	Indonesia	cooperation, coordination, exchange of information, joint research, mobility, quality assurance, English/Bahasa Indonesia language, recognition of qualifications	educational
2014	United Arab Emirates	cooperation, facilitate linkages, collaborative programs, exchange of people/info, recognition of qualifications, standards, benchmarking	educational
2015	Brazil	cooperation, facilitate linkages, collaborative programs, exchange of people/info, recognition of qualifications, standards, benchmarking, English/Portuguese teaching	educational
2015	Mexico	cooperation, training, standards, curriculum, policy, occupational standards, exchange of information, cooperation, vocational training	educational
2015	Chile	cooperation, consultation, mobility, information exchange, benchmarking, standards	educational
2016	Paraguay	cooperation, consultation, mobility, information exchange	educational
2016	Peru	cooperation, consultation, facilitate linkages, collaborative programs, exchange of info/people, policy development, standards, accreditation, English/Spanish teaching, nomenclature of awards,	educational
2016	Qatar	cooperation, supporting linkages, mobility, collaborative programs, exchange of info, quality assurance, standards, recognition of qualifications,	educational
2016	United States of America MOC	economic development, topics of mutual interest, communication,	political, economic
2017	Argentina	cooperation, communication, scholarships, collaboration programs, exchange of information, policy development, standards, accreditation, nomenclature, English/Spanish teaching, pedagogical practices	educational
2017	China - Vocational Education and Training	vocational training, labour market, industry, quality assurance, benchmarking of occupational standards, employability, green jobs and sustainability, sharing resources, communication, scholarships	educational, economic

### *Australian national policy context*

The next level needed to understand the context of internationalisation is the national level.

Relevant Australian government policy documents published from 2000 onwards were identified and thematic analysis was used to explore the main themes and ideas surrounding internationalisation. Once key themes were identified in a document, they were compared to the strategies that Maringe et al. (2013) use to map six rationales for internationalisation of higher education and a primary rationale was identified for each document. Internationalisation of higher education is not a new concept in Australia, however, the policy documents from 2000 onwards are limited in the aspects of

internationalisation covered, with many of the documents focusing on policies for incoming students such as visas and fees. It was not until 2016 that the first national level strategy for a comprehensive approach to internationalisation was released. It should be noted, that as explained in Chapter 1 Introduction and shown in Table 20, Australia has a relatively short history of policy related specifically to the internationalisation of higher education. For Australia, the extent of the history of policy related specifically to internationalisation of higher education has been included in this study. While it may be possible to find sections of other policies, such as immigration and trade policies, that affect international education in Australia, for this study, only policies specifically focused on international education were analysed. Trade and immigration policy, while they may be linked, are not within the scope of my research and are not included for other cases in my thesis.

After completing the thematic analysis, the primary rationales for internationalisation were determined for each document based on the rationale model developed by Maringe et al. (2013). This analysis of the relevant policy documents from 2000 onward shows that the economic significance of international education is emphasised and that the overarching primary rationale for the internationalisation of higher education in Australia is economic. Eleven out of the twelve documents analysed had an economic primary rationale. This is consistent with Murray and Leask (2015) who reviewed national policies and also found that the dominant models for internationalisation in Australia are driven by a commercial mindset. This study builds on their findings with a more detailed analysis of all policy documents relating to internationalisation for a specific Australian university.

*Table 20 Rationales for Australia's national level international education policies 2000-2017*

<b>Policy Document</b>	<b>Date</b>	<b>Key Themes surrounding Internationalisation</b>	<b>Rationale(s) for Internationalisation (Maringe, Fosskett and Woodfield 2013)</b>
Education Services for Overseas Students framework	2000	Regulations for tuition, visas, quality assurance	Economic, Educational

<b>Policy Document</b>	<b>Date</b>	<b>Key Themes surrounding Internationalisation</b>	<b>Rationale(s) for Internationalisation (Maringe, Foskett and Woodfield 2013)</b>
Review of Australian Higher Education, or Bradley Review	2008	Economic growth, labour market, international competition, recruitment of international students, mobility, revenue from international student fees, international rankings	Economic
Senate Enquiry into the Welfare of International Students	2009	Economic value of international education, global education market, safety, visas, student support and advocacy, immigration, international reputation	Economic
IEAA Strategic Vision for International Education in Australia	2011	Partnerships, national prosperity, social advancement, quality assurance	Educational, Economic
Strategic Review of the Student Visa Program, or Knight Report	2011	Global competition, economy, visas, financial benefits of having international students	Economic
Australia in the Asian Century	2012	Economic importance of Asia, education as a good/service demanded by Asia, relationships, economic opportunities, international student recruitment, increase cultural knowledge about Asia, language acquisition, mobility to/from Asia, partnerships, technology to access Australian education, education as service export	Economic
Review of Student Visa Assessment Level Framework	2013	Economic importance of international education, visas, immigration risk management	Economic
International Education Advisory Council report, Australia - Educating Globally, or Chaney Report	2013	Economic importance of international education, governance and coordination, partnerships, networks, collaboration, visas, Asia, international standing, international demand for Australian higher education, fields of study, outbound mobility, offshore programs, development of world-class facilities, global supply of students, international student recruitment	Economic, Political
New Colombo Plan	2015	Mobility, relationships, collaboration	Sociocultural, educational
Migrant Intake into Australia (Productivity Commission)	2016	Labour market, immigrant educational attainment levels, higher education fees	Economic



Policy Document	Date	Key Themes surrounding Internationalisation	Rationale(s) for Internationalisation (Maringe, Foskett and Woodfield 2013)
National Strategy for International Education 2025	2016	Global demand for education services, leadership, brand, partnerships, competition, international student recruitment, Asia, education market, international rankings, quality assurance, student support, graduate employability, technology, mobility, visas	Economic, political
Value of International Education to Australia	2016	Economic value of international education, education as an export, cultural capital, social and cultural benefits, soft diplomacy	Economic, sociocultural

Looking more closely at the data, only one document analysed, *The New Colombo Plan* (2015), was found to have a primary rationale that was not economic. It focuses largely on mobility, relationships and collaboration, making the primary rationale socio-cultural. In the other national level documents analysed, even when strategies typically associated with non-economic rationale are mentioned, these are seen as playing a secondary role to the ultimate goal of improving the Australian economy. For example, *The value of international education to Australia* (Deloitte Access Economics 2015) states “A number of stakeholders noted that international education can help produce a bilingual workforce that can create greater opportunities for international economic cooperation...” (p.55). Second language learning is a strategy associated with sociocultural rationale for internationalisation; however, in this case, it is seen as a means to an economic end.

Other common themes in the policy documents pertaining to the internationalisation of higher education include the export of education, policies for incoming students regarding visas and fees, the economic significance of international education, international reputation and rankings, global competition, international student recruitment and mobility. These are all associated with a market-based approach to internationalisation and

aimed at increasing economic revenue. For example, the 2012 White Paper, *Australia in the Asian Century*, which set out significant implications for education, had an economic rationale; that is, to develop education as an export industry for the Asian markets.

In contrast to the heavy emphasis on economic drivers in internationalisation policy, the *New Colombo Plan*, piloted in 2014 followed by the release of the plan in 2015, boost t has a primarily sociocultural rationale. This is the first time socio-cultural aims were found to be dominant themes in the documents analysed for this study. Then, in the *Value of International Education*, released in 2016, a sociocultural theme is again present, albeit as a secondary rationale. However, because the presence of socio-cultural aims is such a recent phenomenon, it is not possible to determine whether this sociocultural interest will significantly inform new policy development in Australia within a broader policy landscape dominated by an economic rationale. The inconsistency in discourse here may be a reflection of the frequent changes in government and political leadership that Australia has experienced over the last 10 years.

As also observed by Whitsed and Green (2016), the analysis conducted for this case study detected a silence in the national level policy documents in relation to the internationalisation of research and curriculum. While the publication of the *National Strategy for International Education 2025* in 2016 is significant, as it is the first of its kind in Australia, it lacks any specific commitment to any of the rationales outlined by Maringe et al. (2013), aside from an economic one. Recognition of the importance of political, educational, sociocultural and pedagogical rationales is lacking. Although there is mention of technology in the *National Strategy*, it is simply identified as an opportunity for the future and there are no specific action strategies for responding to this opportunity.

### *Tasmanian state policy context*

Moving down one layer, state level internationalisation policy documents were examined.

Tasmania is a small island state with a traditional prominence of rural industries and more recently, tourism. The state has only recently begun to engage with internationalisation. As with the national layer, relevant policy documents were identified, and thematic analysis was used to explore the main themes and ideas surrounding internationalisation. Once the key themes were identified for a document, they were compared to the strategies that Maringe et al. (2013) use to map six rationales for internationalisation of higher education and a primary rationale was identified for each document.

*Table 21 Tasmania state level international education policies 2000-2017*

<b>Policy Document</b>	<b>Date</b>	<b>Key Themes surrounding Internationalisation</b>	<b>Primary Rationale</b>
<i>Tasmania's Place in the Asian Century White Paper</i>	2013	education as a service, consumers of education, creating a market for education, education as an export, building business through education, mobility to reach trade potential, culture/language acquisition, socio-cultural enrichment (to access Asian markets), technology, offshore/onshore programs, research partnerships	Economic
<i>Making the Future Partnership: education, innovation, quality of life and economic impact 2015-2025</i>	2015	economy, economic value of education sector	Economic
Dept State Growth International Education Position Paper	2016	benefits to the economy, education market, industry coordination, education agents, economic opportunities, economic value of education, cultural and linguistic diversity, brand promotion, university as a major driving economic force,	Economic
Tasmanian Global Education Growth Strategy	2017	economic value of international education, economic contribution of international students, international student growth, cultural diversity, UTAS rankings and awards, marketing, industry partnerships, student welfare/safety, promotion, brand ambassadors, onshore/offshore education, alumni	Economic

In 2013, the Tasmanian Government released a white paper, *Tasmania's Place in the Asian Century White Paper*, in response to the national level *Australia in the Asian Century* published in 2012. This paper is primarily focused on developing strategies to benefit economically from Asia's current economic growth. As seen in national level documents

analysed, when non-economic strategies of internationalisation are mentioned, such as those associated with the socio-cultural rationale, the ultimate goal is still economic benefits, as in the following statement; “boost the socio-cultural enrichment that will allow Tasmania to achieve a demographic and cultural transformation with long-term benefits for accessing Asian investments and markets” (Department of Premier and Cabinet, 2013, p. 35).

More recently, the state of Tasmania and UTAS developed a partnership program, *Making the Future Partnership: education, innovation, quality of life and economic impact 2015-2025*, that touches on the internationalisation of education. Like the previous document, the primary theme identified in this document is the potential economic value of the education sector. Where internationalisation is specifically mentioned, it is in the context of the economic contribution international students will make to the Tasmanian economy, in line with the rest of Australia. The development of international partnerships with China and the Association of Southeast Asian Nations (ASEAN) is mentioned in the context of promoting economic growth. The ideas of cultural and social development are identified as a secondary theme in this document, being included less often than economic growth.

These are the only documents identified at the state level that address the internationalisation of higher education and the primary rationale indicated for both is economic.

#### *University internationalisation discourse*

Finally, in order to understand university level internationalisation discourse, relevant policy documents were identified, and thematic analysis was used to explore the main themes and ideas surrounding internationalisation. Once the key themes were identified for a document, they were compared to the strategies that Maringe et al. (2013) use to map six

rationales for internationalisation of higher education and a primary rationale was identified for each document. Only internationalisation documents from 2012 onwards were available on the university website.

#### *Key university level themes*

The economic benefits of internationalisation appear to be a key motivator and are frequently cited as the rationale for internationalisation in UTAS policy documents. This was also the case in the semi-structured interviews. Other common themes present in the policy documents, which are all subthemes of economic benefits, include marketing and international student recruitment, the global reputation and competitive markets. International rankings are cited as being very important to the university and this appears to be entirely driven by an economic rationale. Rankings are often mentioned in the context of being a marketing tool for the university. For example, the *UTAS International Strategy 2016-2020*, released in 2016, clearly underscores the relationship between rankings and recruitment of international students:

“The University of Tasmania ranks ninth amongst Australian universities in regard to external research income to support research and research training and is in the top two percent of universities worldwide...Whilst these factors make us a viable destination for overseas students it is also necessary that we are internationally engaged and that our curriculum and offerings are world-class and produce globally-aware work-ready graduates – for the benefit of all of our students and in order to be attractive to international students.” (p. 4).

There is a clear focus here on the business of internationalisation in the institutional policy documents. This is consistent with, and has not changed from, the results of Dobson & Hölttä (2001) who also found that the financial benefits of incoming international students are particularly significant to Australian universities.

Analysis of university policy documents from 2012 onward revealed that there was not an overarching comprehensive university internationalisation strategy document until 2016.

The institutional approach to internationalisation has been largely piecemeal and

opportunistic. While there are several documents addressing internationalisation, they do not appear to be developed with a comprehensive, coordinated approach. For example, the documents released in 2016 do not address mobility consistently. While *The UTAS Curriculum 2025 White Paper* (2016) and the *UTAS International Strategy 2016-2020* both mention student mobility as a priority, in *The UTAS Student Experience Strategy* (2016), student mobility is not mentioned. Furthermore, *The UTAS Curriculum 2025 White Paper* emphasises the importance of staff mobility, while the *UTAS International Strategy 2016-2020* mentions staff mobility only three times and only once linked with student mobility. The lack of a comprehensive, coordinated approach to internationalisation is also reflected in the manner in which the rationales tend to vary from document to document. For example, looking at the 2016 documents again, the primary rationales (economic, pedagogical and sociocultural/ economic) differ for each of the three documents released this year. Thus, the university is providing an inconsistent message.

Another source of confusion in the UTAS policy documents is the conflation of the phrases 'national and international' and 'global' and 'international.' There is a preference for using the word 'global' in place of 'international'. Yet, many argue that there is an important difference between the two (Altbach & Knight, 2007; Centre for Educational Research and Innovation & Organisation for Economic Co-operation and Development, 2008; Knight, 2008; Scott, 1998). Globalisation is viewed as a stage of world development and is associated with the compression of space and time (Anthony Welch, 2002), whereas internationalisation involves relationships and agreement between nation states or entities within nation states with specific policies and practices. The internationalisation of higher education concerns an academic institution's "ability to cope with the global academic environment" (Altbach & Knight, 2007, p. 290). Equally confusing is the frequency with

which the words, “national and international” are listed together, however, often only national implementation strategies are described. For example, in *Open to Talent Strategic Plan* (2012) connecting with national and international networks is mentioned (p. 9), however the more specific strategies described in this section focus on engaging with local communities and creating work and volunteering opportunities on campus. While the inclusion of the word international indicates an awareness of the concept of internationalisation, the lack of description of specific international strategies indicates a lack of commitment to it.

One final theme to note is that geographically, Asia, and China specifically, are points of focus for UTAS. Latin America and the Middle East are mentioned occasionally as emerging priority geographic areas; however, this is secondary, and any strategies described in the documents focus on China and Asia. The focus on Asia is seen through the layers of policy, with the theme present in the state-level *Making the Future Partnership: education, innovation, quality of life and economic impact 2015-2050* document and the national-level *National Strategy for International Education 2025* and *Australia in the Asian Century*.

Despite this theme being present in the multiple layers of policy documents, clear linkages between the documents are not always defined and specific, comprehensive strategies are lacking. While the university indicates plans to expand its association with Asia, its efforts are opportunistic and without the benefit of overarching regional strategies, agreements and understandings. A more strategic and comprehensive approach as described by Hudzik (2011) may benefit future UTAS internationalisation efforts. Hudzik (2011, p. 11) argues that “increasingly, the business of universities is as much across as it is within borders, and not just in the free flow of ideas but in the global flow of students and scholars who generate

them.” A more comprehensive approach to internationalisation could improve the university’s ability to cope with this new reality.

*Table 22 Rationales by policy document and year for University of Tasmania*

<b>UTAS Policy Document</b>	<b>Date</b>	<b>Purpose of Document</b>	<b>Key Themes Surrounding Internationalisation</b>	<b>Primary Rationale for Internationalisation</b>
Open to Talent Strategic Plan	2012	Sets strategic direction for university	Global, “national and international”, desire for international recognition/ranking/standard, desire to increase/strengthen international profile	Economic
Draft Engaged Globally - Strategic Plan 2013 – 2018 – this contains Int’l student recruitment plan and curriculum plan as well	2013	Supplement to Open to Talent strategic plan - Global engagement and internationalisation plan	Global reputation, international standards, Asia and the Pacific, international student recruitment, global engagement, economic benefits, curriculum, global competency for academics and students, mobility, UTAS governance for internationalisation, online delivery	Economic, Educational, Sociocultural
UTAS Social Inclusion Plan	2013	Supplement to Open to Talent Strategic Plan – plan to widen participation and ensure equitable and inclusive experience for all students and support social inclusion research	“equity groups..., international students and women” (p.1), social inclusion activities listed (limited)	Educational
Strategic Research Plan 2014-2018	2014	Supplement to Open to Talent Strategic Plan – plan for research excellence	Global ranking, global connection, international standards, international collaboration, “national and international”, international reputation, competition, international student recruitment, Asian Century	Political



<b>UTAS Policy Document</b>	<b>Date</b>	<b>Purpose of Document</b>	<b>Key Themes Surrounding Internationalisation</b>	<b>Primary Rationale for Internationalisation</b>
University of Tasmania Strategic Plan for Learning and Teaching 2012-2014 (2015 Extension)	2015	Framework for operationalizing learning, teaching and academic quality goals	Global society, world class research, competitive environment, global partnerships, UTAS as global educator, “national and international”, create global citizens, internationalisation of curriculum, mobility, aspirations	Political
Retention and Success Strategy 2015-2017	2015	Sub-Plan to Strategic Plan for Learning and Teaching – focus on retaining and supporting students	Increase in international onshore load, overseas retention rates high, onshore international students’ success rate high, accountability for international students separate from domestic students, low mention of international students	Economic
UTAS Student Experience Strategy (incomplete document publicly available)	2016	Supplement to Open to Talent Strategic Plan	International exchange, international reputation and rankings, international student recruitment, global marketplace	Sociocultural, Political, Economic
The University of Tasmania Curriculum 2025 White Paper	2016	Recommendations for curriculum renewal	International student recruitment, internationalisation of the curriculum, outward mobility, engaging staff and students in internationalisation process, blockers and enablers of outward mobility and internationalisation of curriculum, international rankings, financial benefits of international education, global competition, globalisation, MOOCs, international student market, international experiences	Sociocultural, Economic, Pedagogical
UTAS International Strategy 2016-2020	2016	Supplement to Open to Talent Strategic Plan – framework to develop, fund and implement international objectives	International student recruitment, economy, funding, international rankings, global reputation, international markets, marketing, economic benefits of international students and academic visitors, research, research partnerships, global competition, student and staff mobility, governance of UTAS internationalisation, infrastructure, China, India, ASEAN countries	Economic

### *Gaps in university discourse*

The layered approach to policy analysis, based on Leask and Bridge's (2013) framework, and compared with Maringe et al.'s (2013) taxonomy of rationales has revealed several gaps and inconsistencies in the university's internationalisation discourse. One of the more notable gaps is that internationalisation as a comprehensive concept (J. Hudzik, 2011) is not mentioned until 2015 in the University of Tasmania Strategic Plan for Learning and Teaching 2012-2014 (2015 Extension). Just as significantly, there are no publicly available UTAS policy documents, which focus on internationalisation prior to 2016. There is very little mention of internationalisation at home, or the enrichment onshore international students can potentially provide for domestic students in any of the university's policy documents. Although inbound mobility is mentioned somewhat regularly, outbound mobility for students and staff is not discussed often. Furthermore, while mobility is mentioned in four of the nine documents developed by UTAS, only *The UTAS Curriculum 2025 White Paper* contains an in-depth consideration of the topic. This document presents seven specific, detailed recommendations for improving the uptake and learning outcomes for outbound mobility. The 2012 *TESQA Report of an Audit of UTAS* cites mobility as an area that needs improvement and recommends that UTAS develop of an overarching strategic approach to student mobility. Overall, there is a lack of acknowledgement of the contribution that internationalisation provides to knowledge building and no discussion about intercultural communication and the learning of languages. There is some mention of digital learning, mostly in the context of MOOCs, but this does not appear to be a priority, despite being identified as an emerging opportunity in the national policy documents. Finally, transnational programs are discussed in the earlier policy documents, but disappear from

later documents where the priorities change to increasing international onshore student load.

In 2016, a possible shift in discourse is seen. This could be due to the national conversation surrounding the development of the *National Strategy for International Education 2025* or possibly the *New Colombo Plan*, which has become a prominent influence on Australian internationalisation. Internationalisation is discussed more thoroughly and holistically in the documents released this year than in previous documents. The *UTAS International Strategy 2016-2020* (2016a) is the first of its kind at the university and *The UTAS Curriculum 2025 White Paper* (2016c) includes a commitment to internationalising the UTAS curriculum in all programs of study. However, despite the inclusion of an internationalisation discussion paper with thorough attention to internationalisation of curriculum at UTAS in *The UTAS Curriculum 2025 White Paper* (2016b), the concept is still not integrated with wider university policy and planning in that paper. A shift away from an economic rationale may be a positive change, as it could be argued that knowledge and education should not be considered commodities (Altbach, 2002). It remains to be seen if this shift will continue or if it is an anomaly. This could be further explored through interviews in future research.

#### *Relationship between levels of policy*

Some inconsistencies in discourse may be explained by the context in which policies are developed. For example, if a key internationalisation policy developed at the national level has a predominant economic rationale, then one may expect to see this trickle down through the levels of policy, with that predominant rationale echoed shortly thereafter at the state and institutional levels. It is also reasonable to assume that the reverse is true. Policies developed at the institution level may affect the discourse at the state and national level. This effect can be seen in Table 23 below where the primary rationale(s) for each key

internationalisation policy document are shown by level and year developed. However, this does not account for all the shifts in discourse, which indicates that other factors may be affecting the shifts. For example, the political rationale seen at the institutional level in 2014 and 2015 is not reflected in the national or state levels of policy.

Table 23 Summary of rationales by level and year for Australian case

Year	International	National	State	Institutional
2000		Economic, educational	No documents available on website	No documents available on website
2001				
2002	Sociocultural			
2003	Educational			
	Sociocultural, educational			
	Sociocultural			
2004				
2005	Sociocultural			
2006	Educational			
2007	Educational			
	Educational, political			
2008	Educational	Economic		
2009		Economic		
2010	Sociocultural			
2011	Educational	Economic		
	Educational	Economic		
	Educational, sociocultural			
	Educational, economic			
	Educational, economic			
2012	Sociocultural	Economic		Economic
	Educational			
	Educational			
	Educational			
2013	Educational, economic	Economic	Economic	Economic, educational, sociocultural
		Economic, political		Educational
2014	Educational			Political
	Educational			
	Educational			
	Educational			
2015	Educational	Sociocultural, educational	Economic	Political
	Educational			
	Educational			
2016	Educational	Economic	Economic	Sociocultural, Political, Economic
	Educational	Economic, political		Sociocultural, Economic, Pedagogical
	Educational			
		Political, economic		Economic, socio-political
2017			Economic	

### *Summary of policy analysis*

The multi-layered contextual analysis developed and applied in this case study have revealed the influence of national and local/state policy settings on an institution's policy development and sets the stage for a better understanding of the blockers and enablers of internationalisation practice at the institution. The variety of rationales found in this case study, which generally privilege the economic over other drivers, indicate how mixed messages to a university's stakeholders can arise, and potentially lead to an inconsistency in the policy development process. As Childress (2009) points out, internationalisation plans are a higher education institution's "written commitments to internationalization." (p. 291). They provide direction and the foundation for institutional support for internationalisation processes. If this is not consistent, internationalisation cannot be successful. The largely piecemeal approach to internationalisation policy at the university in this case study raises questions about the extent to which the policy development processes could be considered participatory and whether key stakeholders have been included in the processes (Fleacă, 2017; Ostrom, 2011).

While the analytical approach to policy development has revealed potential blockers to comprehensive internationalisation, further research is needed to understand the process of implementation in institutions. Implementation is a key element in the internationalisation process and requires future research (G. Sanderson, 2008; Taylor, 2004). Interviews with key academic and administrative stakeholders would be valuable to explore a) how policy is interpreted (how do stakeholders interpret mixed messages), b) issues of participation and ownership, c) how inconsistency between vision (e.g., white papers) and strategy documents arise.

Finally, future research could also define institutional measures and definitions of success in internationalisation. Various elements of success have been identified and indicators have been developed (Center for Internationalization and Global Engagement, 2012; Furushiro, 2006; Green, 2012; Green & Olson, 2003; Olson et al., 2006), but there is not one agreed upon system for defining success. While results of this research point toward economic indicators and university rankings being used as ad hoc indicators of success, it is not clear from the results of this research how the institution in this case study is specifically defining success and evaluating its internationalisation efforts. Further research into the impact of internationalisation policy and outcomes of internationalisation efforts is needed.

### ***Institutional policy development and implementation***

Understanding the context in which a university is internationalising only provides partial insight into how decisions are being made and implemented. To further understand how policy is developed and implemented at UTAS, semi-structured interviews were conducted with key academic and administration staff. Through the course of semi-structured interviews several key themes emerged for this case. These included internationalisation as a business, the importance of international students in terms of recruitment and economic benefit and certain aspects of university culture, such as constant change.

### ***Policy development processes and participation***

When asked about the development processes for UTAS internationalisation policy, interview participants indicated that overall, the processes were not participatory and that there was not a shared vision.

I think that we are all committed. I'm not sure we are full aligned. And that's consistent with not having a strategy. [UTAS07]

Furthermore, most interview participants were unaware of how policies were developed or whether policies even existed.

This is where I'll be honest. No one has got a clue. It's a complete dog's breakfast. We've been trying to get a new agreement through with another university in China and no one knows how to do it. We don't know whether you meant to get financial approval first or whether to get approval from admissions or approval from the senate or the faculty. No one knows the order that these things are meant to go in. Whether they are meant to be done synchronously and so you think you've reached the end and then someone else says, 'Oh I haven't looked at it the first few times – approve it.' There's no clear pattern of how you develop international programs. It's very, very unclear. And even people at the highest level say this is wrong. They just don't know sometimes who is meant to be included in the decision-making process or the secrets involved in the decision-making processes. It's very frustrating. I mean, you finally think you are at the stage where you are getting the final version signed off at the top level, but it's taken 18 months to get it through. We are at the point where the other partner was about to jettison us because they didn't think we were committed and serious. ... I think it has to do with constant change of personnel. At all levels. And the institutional memory just isn't there. There's that and also, the university keeps changing structures, which is very counterproductive. [UTAS04]

And

It's not a coherent group of people. The international office and the global office and the marketing and the faculties, they are all not working well together. They need to work on being a coherent machine and it's not. [UTAS03]

And

*[How are policies developed? Do you know?]* I've been involved in the university's internationalisation committee, but I haven't...I think the plan was developed by the DVC Global. But there wasn't much interaction with other people how that happened.

*[Who is involved?]* I don't know. I don't have a clue.

*[Internal and external people?]* I honestly don't have any idea. You'd hope it was, but I just don't know. I would have thought that people like us should have been involved, but we weren't. [UTAS04]

Participants described policy processes that were not well coordinated or organised.

I think that we have a way to go. I think that [our policies] are still immature. I think that planning and strategy has. Yeah. I don't know that I want to be ....I think we do have a way to go. I think we need to agree to an institutional framework, a strategic framework that helps guide all internationalisation. It will have different lenses. Understanding what those lenses are and the ways in which the different streams of work impact or work across. I think we are immature in that area. For a whole range of reasons which are contextual and organisational. And would be true of any organisation when a strategy has been contested for a while. I'd probably want to not go into too much detail. [UTAS07]

In some instances, this may have been due to staff being new in their positions, but staff who had been at the university for longer also had little awareness and/or involvement in the policy development process. For example, one staff member who had been at UTAS for several years explained



This one is where I might not be able to say as much. So, from a policy standpoint, policies are developed in conjunction with the academic council, so effectively, [xxx], the Vice Chancellor, probably the DVC, will go and meet with the academic council to draw up policies surrounding internationalisation in the way that we recruit and teach students here at UTAS. That's as much as I know about that. [Have you been involved?] No, I haven't. Well, I should take that back. I may have provided them intelligence around student recruitment activity and enrolment activity, but I haven't myself been directly involved with the policy creation itself. [UTAS01]

And

I've been involved....the only ones that I've seen are the relatively low-level ones like refunds or deposit fees, things like that. I've been involved in a few low-level policies, but they have implications. So, things like how much deposit international students should pay in order to receive the confirmation of enrolment. So, in order to receive that, they have to pay some money and there's lots of discussion about how much that should be. And equally, how much we should refund to students if they change provider or course. So again, a lot of this is about balancing our duty around compliance with our customer service. [UTAS02]

A centrally run, top-down approach was often described. For example, the following quote clearly shows that rather than being included in the initial stages of planning and development, the university community was presented with information and asked for feedback. It is unclear whether any feedback from the community was incorporated into the final strategy.

It was very centrally driven. And it was a draft green paper was prepared, was put out to the university community for consultation, some sessions were held, there were some alumni survey, a staff survey and a student survey. And from that the final strategy was developed and put forward as a draft, but as I said, it wasn't accepted. [UTAS07]

And

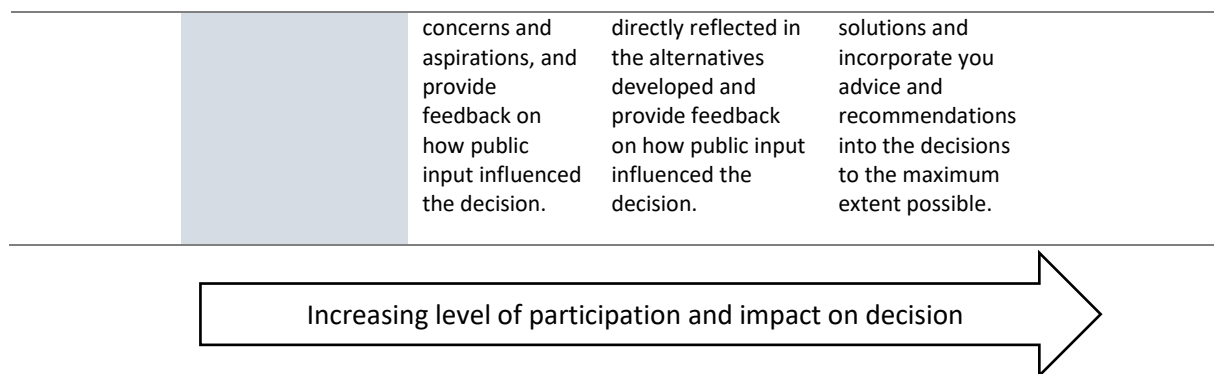
The university-wide policy was predominantly written by [XXX] and then it goes to council and the VC has some input into it. I don't know how it is today. I imagine that the PVC writes a draft based on what she perceives is the optimum policy and then I don't know what happens to it. [UTAS03]

Finally, in terms of policy development and implementation, the university in this case study appears to be operating at the 'inform' end of the community participation spectrum in Table 24. Andrews (2007) explains that careful consideration should be given as to which level of participation is chosen because each has distinctive strengths and weaknesses. While the 'inform' mode can be an appropriate area to be functioning in for certain

activities, due to the lack of democracy, it does not generally yield outcomes acceptable to the larger community for purposes such as creating a shared vision or coherent, comprehensive implementation. Owusu-Agyeman (2019, p. 1) describes the importance of participative processes in higher education and the positive impact it has on innovation in higher education institutions. He found that “engagement, motivation, communication flow, communication utilisation and decision-making strongly enhance the participative process.” Relying on an elite hierarchy to make and implement decisions will only reveal partial solutions, where “public participation can augment the rationality of public decisions” (Andrews, 2007, p. 161). Some top-down scholars would argue that when implementation must pass through a series of clearance points effective implementation becomes increasingly difficult (Pülzl & Treib, 2007), however, others would argue that “significant policy change was only possible if goal consensus among actors was high” (Pülzl & Treib, 2007, p. 92). Without involving the various actors in the policy development process, it is difficult to create consensus among actors. Along the same lines, it should be noted that participation can be used as a form of communication, too. From an administrative standpoint, this may be desirable as improved information flows can produce better decisions (Andrews, 2007).

*Table 24 Levels of community participation modified from International Association for Public Participation (2018)*

<b>Level of participation</b>	<b>Inform</b>	<b>Consult</b>	<b>Involve</b>	<b>Collaborate</b>	<b>Empower</b>
<b>Participation goal</b>	To provide the public with balanced and objective information to assist them in understanding the problem, alternatives, opportunities and/or solutions.	To obtain public feedback on analysis, alternatives and/or decisions.	To work directly with the public throughout the process to ensure that public concerns and aspirations are consistently understood and considered.	To partner with the public in each aspect of the decision including the development of alternatives and the identification of the preferred solution.	To place final decision making in the hands of the public.
<b>Promise to university community</b>	We will keep you informed.	We will keep you informed, listen to and acknowledge	We will work with you to ensure that your concerns and aspirations are	We will look to you for advice and innovation in formulating	We will implement what you decide.



### *Key themes*

#### *Internationalisation as a business*

In this case, the predominant theme surrounding internationalisation was the idea of internationalisation as a business. Similar to the policy texts, interview participants primarily spoke of internationalisation in terms of a business approach. Regardless of which semi-structured interview topic was being discussed, the responses were generally focused on the economic aspects of internationalisation, statistics and marketing. When asked at the beginning of an interview why internationalisation is occurring at UTAS, a participant responded,

Domestically, we receive not as much funding from domestic students as we would from an international student. International students actually bring in more funding from that point of view. So, from a business perspective, it actually helps to keep the university afloat or above the black, you could say. In terms of actually being able to keep the lights on and to actually have teachers in school to teach the domestic students and the international students themselves. [UTAS01]

When asked about whether internationalisation was successful at the end of the interview, the same respondent said,

For instance, just looking at this from a market standpoint, if you go to AUSTRade's website and you get some of the market data from them, you can see that Tasmania is up from 2017 by 28% for international students, whereas AUSTRade as a whole only has like 16%. So, we are way above that. If you look at it from the numbers of international students in classrooms themselves, the figures show that the classrooms are growing. You look at the number of scholarships that were actually issued out – it's up 86% for international students. On top of that the number of scholarship holders that are coming to UTAS has increased. Our ability to recruit directly to international students is improving. [UTAS01]

This was echoed by other participants and is consistent with the language in the UTAS level policy documents.

### *Importance of international students*

The importance of international students was also emphasised by interview participants.

This came through in several ways. One was that international students were equal to money or revenue generation. For example, when describing their role at UTAS, one participant explained,

The stuff I do is more about...simplified, it's more about revenue generation, so it's about supporting students to be taught there or to come here to be taught, basically. [UTAS02]

And this participant later explained,

There's probably no doubt that changes in government funding or at least central government support for projects or initiatives that the university want to do like buildings or infrastructure or anything like that and the same for students with providing loans and financial support has reduced and so there's certainly a financial imperative to recruit students from outside of Australia because the Australian market is limited. There's only so many students that the university of Tasmania can teach that can be or are Australian. So that's certainly one major driving factor, is the fact that financially it's not possible to maintain such large facilities with a capped number of domestic students. So, I would say that's the main driver. [UTAS02]

And another said,

From a business side, its moving more towards a sales target, locus type atmosphere rather than a purely quality student atmosphere. We're not dumping quality students because that will affect us from a national and international ability to give students visas. But it's focusing less on that and how we are meeting our targets and our goals from that standpoint. And from that there's a bit of pressure. We've had a few issues around how staff have felt around that, but overall, it's a move that has to happen because of the amount of students that we are trying to bring in. [UTAS01]

These quotes show that staff understand the university to equate international students with income and recruitment of them is important. Related, when asked if internationalisation is successful at UTAS, international student numbers were referenced as an indicator by interview participants for this case. This is seen in the quote used above and repeated here:

For instance, just looking at this from a market standpoint, if you go to AUSTRade's website and you get some of the market data from them, you can see that Tasmania is up from 2017 by 28% for international students, whereas AUSTRade as a whole only has like 16%. So, we are way above that. If you look at it from the numbers of international students in classrooms themselves, the figures show that the classrooms are growing. You look at the number of scholarships that were actually issued out – it's up 86% for international

students. On top of that the number of scholarship holders that are coming to UTAS has increased. Our ability to recruit directly to international students is improving. [UTAS01]

And international student recruitment was identified as a priority by interview participants.

For example,

...diversifying our engagement in markets, in partnership development. We are reorienting our English language centre to become more integrated. I think our student accommodation is a priority, generally, but particularly internationally, always recruitment is a priority. [UTAS07]

Also related to the recruitment of international students, are visa issues. This topic came up often in the interviews. Participants described how state and national government decisions regarding student visas have the ability to severely impact student numbers at UTAS.

Student numbers increase when there are favourable visa conditions, such as extra points towards residency for living in regional areas.

I wasn't aware until just recently that it's a lot easier for international students to get a permanent visa if they come to Tasmania. I had no idea about that. It has changed a little bit, but it's still better than compared to the mainland. So that was interesting. That was an eye-opener. It plays a big part in a lot of, especially Asian countries I would say. [UTAS05]

And

Externally what affects us the most is the Department of Immigration here in Australia and the policies and procedures around visa assignment. Specifically, around the simplified student visa framework (SSVF). This particular system is set up to monitor how students are issued visas and how we issue confirmation of enrolments (COE) which is the way in which students apply for a visa. They have to get a COE from us before they can get that. So, the department of immigration looks at us and goes 'hey, are you giving quality students COEs or are you just giving COEs to anybody you feel like? Because if you are giving COEs to just anybody, then we are going to start knocking back your students' abilities to get visas.' So, we have to make sure that we are getting quality students in and not just getting whomever we can. [UTAS01]

### *Barriers and enablers*

In order to understand impediments to internationalisation and potential ways forward, participants were asked about barriers, risks and enablers for internationalisation at UTAS. Two related themes that came up with all participants were change and leadership. These were seen as the biggest barriers to internationalisation. Participants described an

organisation that has been dealing with regular, abrupt change and a lack of leadership for an extended period of time. They spoke of constant restructures, vacant positions, and absent leaders.

*Change and leadership*

Constant change in staff and leadership were often cited as barriers to successful internationalisation in this case.

The constant change has been a problem. [UTAS00]  
and

I'm the wrong person to ask. I haven't been in it for 12 months. And I know that the new PVC has changed the structure, so I couldn't tell you. I have no idea what they are doing. [UTAS03]

and

I think it has to do with constant change of personnel. At all levels. And the institutional memory just isn't there. There's that and also, the university keeps changing structures, which is very counterproductive. [UTAS04]

and

I think we are in a state of flux. So, we have moved from having a very loose approach over the last few years to leading into a very centralised, direct approach over the last 18 months to now moving back to a college led approach. I think that it doesn't really matter as long as what you have is a clear strategic direction. So, when you talk about NASA in the USA and you say what's your job and they can say to put a man on the moon, I think we need the same clarity with our internationalisation strategy. And we're not there yet. [UTAS07]

and

Constant change. There are things we'd like to do that we have been stopped from doing. And that's frustrating. Because we think we know what's in the interest of IMAS and the university sometimes. Better than some of the people making the decisions. This for instance, this, have you heard of [a program]? Currently this has been taken over by the DVC global and that person doesn't like them. And even though we find them really, really valuable in [our department] and for developing other relationship with other universities. So, we can't progress there until that leadership changes. [*Why don't they like them?*] I think it's a personal issue. They had some bad experience in the past or something. There are quite a number that are just based on singles, just one student, so it's not worth the effort for getting that up for one student. I can see that, but a blanket ban is just silly. [UTAS04]

In addition to changes in personnel and restructures, changes to the curriculum were also mentioned as a barrier to internationalisation in this case.

I mean we all like to think we are doing the best at internationalising the curriculum and all of that however, I find quite often the changes within the universities, the policies that are drawn up might actually be counteracting the internationalisation. So, for example, if we have in our global strategy, one of the key objectives in there is about sending more of our students overseas study opportunities and all of that stuff. However, the curriculum is not defined to make this very easy. We are saying one thing, but we are not actioning it in that way as well. So even though we have it as a key objective to do that, it's actually becoming more difficult for students because the curriculum has changed and become less flexible with not so many electives anymore for certain degrees and things like that, which counteracts. [UTAS05]

At the time of interviewing for this case, there were several vacant positions in the internationalisation arena. In addition, several staff declined interviews citing they felt they were too new to their positions to be able to offer any substantive information.

The lack of effective leadership was another concern that interview participants raised.

Effective leadership is paramount to internationalisation. Mestenhauser & Ellingboe (2005, p. 37) explain that successful internationalisation depends on its "institutionalisation and mainstreaming across and through entire institutions. And that is a function of leadership..."

Smithee (2012) describes the importance of various types of leadership to internationalisation at higher education institutions. He argues that there is not one particular type of leadership that is needed for internationalisation, but rather many potential sources. This line of thought echoes Young (1991) who explains that in addition to structural leadership, or leaders who are appointed by the official hierarchy, intellectual leaders and entrepreneurial leaders should not be discounted, especially when structural leaders are ineffective.

### *Risks*

When asked about the risks of internationalisation, most interview participants for this case described financial risks. The over-reliance on one country was often mentioned by interview participants.

The only other risk would be when we chase money in students. Sometimes we expose ourselves to an overreliance in some markets. China is an overexposure to all of Australia the moment. [UTAS07]

And

...internationalisation could actually have a detrimental effect on us depending upon our relationship with a country. An example of this is our relationship with the UAE. We have a great partnership with the AMC with the UAE and our ability to recruit from them. But if something happened there with our relationship with the UAE, we suddenly lose a bunch of our students there and our ability to teach domestically because our funding from that actually dropped if something happens there. [UTAS01]

And

We go over to China a lot and China is putting so much money into higher education. The market for students from China will be shrinking. It's going to be contracting very soon. And in 10 years' time, we will be sending our students to China rather than the other way around. We're putting a lot of emphasis and effort into establishing a relationship with a couple of universities who are very compatible with our own research and interests into making sure the program lasts forever. So, we want to ensure that staff and students and research programs are all thoroughly integrated so that even when the booming Chinese education in the west has passed, we will continue to have a strong presence and we will still be getting highly numerous students who want to study with us and we will be sending students to them as well. I think a lot of universities are going to be badly hurt by this in the near future. [UTAS04]

And

If you get too many students from one place. This isn't the so much the case for us, but in the business, if something happens in China, if something happens with that market, they are in serious trouble, financially. And to a smaller degree, we have, we are one of only 3 universities in Australia with accreditation for our law degree in Sri Lanka, India, Singapore and Malaysia. And at the moment, we get a lot of students from Singapore and we have for a long time. Singapore is a small place, word of mouth, it has worked very well for us. If suddenly the Singapore Law Council decided that they weren't going to accredit our degree anymore, we'd lose 25% of our – it could seriously damage our student numbers. And then we are reliant on that international cohort. So, there's always a danger, if something happens in the world we can't do anything about. That's always there. [UTAS06]

And

Putting all of your eggs in one basket is a risk... To keep a good diversity on campus it's another risk, you know if you just hone in on a couple of countries. [UTAS05]



Currency movements were also seen as a risk. This was described as a financial risk to UTAS and also to those choosing to study in Australia from other countries. If a currency moved too much and made attending university too expensive, students would withdraw. The university risks losing full fee-paying international students and the students risk not being able to complete their degrees.

Given the university's heavy reliance, which is not as heavy as some, on international income there are risks related to currency movements. It's a big factor. Not so much our currency movements, but other places. [UTAS00]

Some interview participants described safety and cultural differences as a concern as well.

From an academic standpoint, we are pulling in students from populations which may not necessarily agree with the socio or ideological ideas of certain faculties or colleges are trying to teach, so a student may come in and find out they don't actually agree with what is going on here. Which could bend the ideas the way the teaching is going on to the positive end, it could also push it to the negative end depending on different factors that are going on there. [UTAS01]

And

Things like dealing with the challenges of bringing together large of different nationalities. So, they are probably most pronounced in things like business courses and Chinese students. That's probably the most common. It's not an issue in Tasmania yet, because our numbers are so small relatively, but if you looked at somewhere like Monash or RMIT or Melbourne, they will have classes that will be 90% Chinese. And so, the risk to the institution and more to the state is to make sure that they keep domestic students engaged without... So, the positives of bringing lots of international students is that you get that diversity but for the domestic student they won't want to go into a class full of literally 100 Chinese and they are the only ones that speaks English as their first language. [UTAS02]

*Tensions*

Most interview participants in this case described internationalisation as a two-sided subject. Several explained that their personal beliefs were that the focus of internationalisation should be on the academic benefits, but that the university focused on the economic benefits.

It's a strategic role about where we go with international. At a more concrete level, it's about the recruitment of international students. It's also, at least to me as important as the recruitment of international students, although it doesn't bring in money in the same way, but for me it's important, and that's enabling outbound mobility for our students. [UTAS06]

And

I think there's a bit of a tension. One, there's a tension about getting more international students to come here and study with us. They bring money, but they also bring important things for our domestic students so that they work alongside and study with people from other cultures, there's internationalisation of the curriculum, it's good for their careers. And, then, we do try to send students overseas. [UTAS00]

And

So, from my perspective, this is actually a two-sided topic. So, there's the academic side of internationalisation and there's the business side of internationalisation. ... The academic side is, by bringing in international students to UTAS will diversify the student base, which allows for a better chance for domestic students to interact on a global market from a sense of them getting different ideas that aren't necessarily their own here locally....The business of the intake of international students. Domestically, we receive not as much funding from domestic students as we would from an international student. International students actually bring in more funding from that point of view. So, from a business perspective, it actually helps to keep the university afloat or above the black, you could say. In terms of actually being able to keep the lights on and to actually have teachers in school to teach the domestic students and the international students themselves. [UTAS01]

And

I don't want to talk about UTAS, I want to talk about [our department]. Because I think we are in actually quite different positions. In [our department], we consider ourselves primarily a research institute and we are a niche provider of specialised education products. ...So due to the level of numeracy we've required, we've engaged in quite close relationships with Chinese and Japanese universities in particular. It's a different perspective. So, it isn't about money. That's a second or third level goal. We are looking to populate our research programs with competent staff and competent graduate students. The money-making element of it is not important to [our department]. UTAS are engaging in a lot of mass bums on seats. In areas, we have large numbers of students enrolled in relatively or proportionately little face-to-face time compared to [our] programs. So, we are not a mass money maker. So, we probably are generating our brand and reputation and our research program. So that's our primary reason for doing this. [UTAS04]

And

Interviewer: What are the reasons for internationalisation at UTAS?

You mean the ideal reason or the reality reason? [*The reality reason.*] The reality is that they don't get enough block funding. So, they need the income from the international students. It's very, very, very simple. [UTAS03]

And

Well, there are two answers to that. One is a high-level one – we believe in the importance of exchange in the broadest sense, bringing students in and sending students out, and ideas our students going out and coming back with fresh ideas. I think that's where people like me come from. But there's also on a much cruder level and it's true for most universities, we want the money from having international students. [UTAS06]

#### *Role of academic staff*

Finally, in terms of tensions, it should be noted that a disconnect was detected in the interview data between academic staff and administrative staff for this case. In several cases, academic staff were careful to clarify that their views on internationalisation differed from the institution's view. These staff were aware that their ideas about internationalisation, which were all similar and included student and staff mobility, creating global citizens, internationalisation at home and research, were not university priorities and were in conflict with the revenue generation priority. Administrative staff, with one exception did not express this view, however, most other administrative staff acknowledged that there were two sides to internationalisation at UTAS: a business side and an academic side. This is also consistent with the tensions described by Kuznetsova & Kuznetsov (2019). They found that the marketisation of universities, or managing based on business ideals, in the United Kingdom had organisational effects. Points of strain were found in the form of a divide between professional and academic staff. Finally, Romani, Carneiro, & Dos Santos Barbosa (2019) found that the role of academic staff can be underestimated when it comes to internationalising higher education institutions. They argue that academic researchers international academic experience, participation in international collaboration networks, and experience with international partnerships and publications make them well-placed to have a positive impact on the internationalisation of their institutions. Young (1991) also lends credence to this in his description of intellectual leadership. It may be beneficial to the university in this case to access the knowledge and abilities of academic staff.

#### *Micro-dynamics of the university campus*

While the analysis of the nested layers of policy provided insight into the macro-level structures and relationships in the internationalisation of higher education for this case, and the interviews allowed me to examine the meso-level policy development and

implementation processes, looking more closely at how the micro-level interactions affect internationalisation is necessary to have a more complete picture. For example, bridging these macro and micro levels of analysis, Pickering (2019) uses the logic of deliberative ecologies (Mansbridge et al., 2012) to suggest that the sites of environmental negotiations can affect the outcomes of the negotiations. For example, if a meeting to negotiate pollution control were held in a city dependent on coal energy, the outcome of the meeting may be different than if it were held in a city that was dependent on clean energy. Or on a more micro level, if the meeting were held in a building that had limited informal common gathering spaces, negotiations may progress differently than if they were held in a building with ample informal gathering spaces, allowing meeting participants to network and build alliances on site. Extending this logic to the ecology of university campuses, it is reasonable to suggest that how a campus is physically set up will affect internationalisation on that campus.

Observations conducted on two campuses for this case in early 2018 provided insight as to how the micro-dynamics of this case's campuses were affecting internationalisation. The observations were used to identify policy/practice disconnects in addition to how the physical campus can facilitate or inhibit internationalisation. For example, at this university, the International Student Advisers Office on the main campus was located in the basement of the library building with limited signage indicating its presence. The signage that was present encouraged students to make an appointment before they visited the office (Figure 2). This did not create a welcoming environment and thus, did not facilitate internationalisation. While a sign or the location of staff offices may seem small, the concept of nonlinear dynamics, or how "a change of a given magnitude in one part of the system may produce a disproportionately large or small change elsewhere in the system"

(Pickering, 2019, p. 64), would suggest that how a public space is configured or used may, in fact, have a large effect.



*Figure 2 Sign on UTAS Hobart campus*

Upon entering the library, the three indications of internationalisation were observed: a tile on the electronic kiosk that would allow international students to pay their fees, a pop-up banner behind a row of computers advertising student exchange opportunities and a small sign with 'welcome' written in several different languages (Figure 3 and Figure 4). There was no signage in languages other than English. All three universities in my research had centrally located library buildings with lounge areas near the entrance with newspapers and magazines available for reading. In this case, no newspapers or magazines were observed in languages other than English. In social areas for students, signs and posters were observed advertising multicultural events, indicating a possible interest in internationalisation held by the student body.

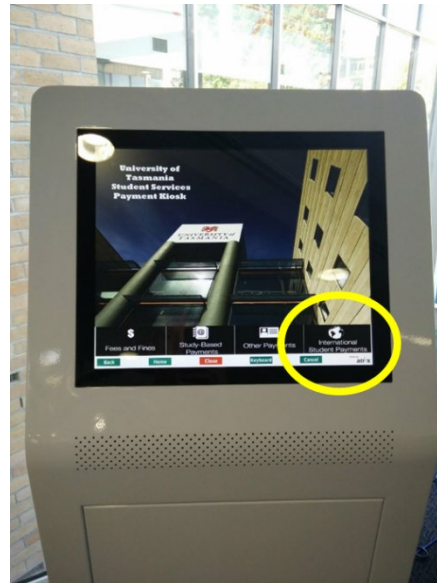


Figure 3 Electronic kiosk on UTAS Hobart campus where international students can pay fees

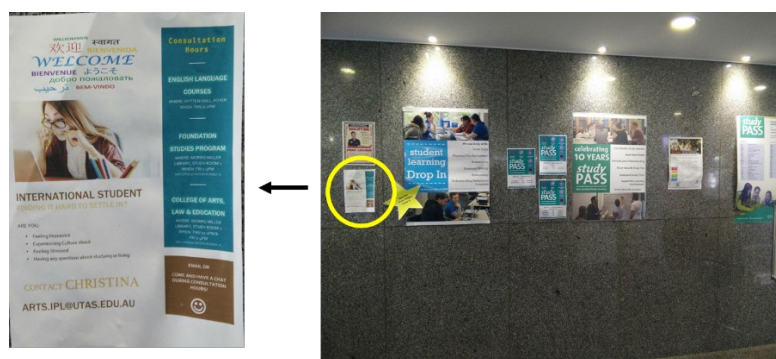


Figure 4 Small 'welcome' sign on UTAS Hobart campus

While the above figures provide specific examples of visible implementation of internationalisation strategies, Table 25 and Table 26 below provide summaries of internationalisation strategy observations conducted on the two largest UTAS campuses, Hobart and Newnham, in February and March 2018. Although Hobart is the main campus for this university, the Newnham campus had more visible signs of internationalisation present. For all campuses, the same five strategies were sought for observation. In addition, for each campus, any strategies specifically mentioned in interviews or policy documents for that campus were also sought. In some instances, these additional strategies were observed

to be present, in others, they were not. For the university in this case, all additional strategies mentioned in interviews were observed to be present.

*Table 25 Summary of observations of implementation of internationalisation strategies for Hobart UTAS campus (March 2018)*

Strategies	Description of presence and frequency
<b>Campus Culture/Co-curriculum</b>  Examples: Clubs, art, languages, food, International celebrations, physical/cultural artefacts (Yin, 2014)	<ul style="list-style-type: none"> <li>• Signs for international clubs/celebrations present, but minimal and primarily located in student lounge area</li> <li>• Minimal signs present in language other than English</li> <li>• Bathroom etiquette signage present in student area</li> <li>• Only English for emergency help, recycling, academic help signs</li> <li>• Student help centre located in basement of library with minimal signage except advising students that they MUST have an appointment</li> <li>• Only visible international student signage in library was for international students' payments</li> <li>• Global exchange sign displayed behind computer bank and only partially visible</li> <li>• Food options primarily Australian</li> <li>• Textbooks in bookstore only in English</li> </ul>
<b>Admissions emphasis</b>  Examples: Recruit int'l students, domestic students, mobility	Via website, emphasis on recruiting international students
<b>Research</b> Examples: Evidence of int'l partnerships, Research abroad	Visible promotion not present
<b>Curricula</b> Examples: Visible promotion of int'l majors/courses, Website	Visibly promotion of international majors/courses not present, website only available in English
<b>Mobility</b> Examples: Location of study abroad office, Visible promotion of mobility	Limited visible promotion of mobility, only student mobility
<b>Triangulation (defined by interviews and policy analysis)</b>	
Other 1: Int'l students visible	Present, students speaking multiple languages

*Table 26 Summary of observations of implementation of internationalisation strategies for Newnham UTAS campus (February 2018)*

Strategies	Description of presence and frequency
------------	---------------------------------------

<b>Campus Culture/Co-curriculum</b>	<ul style="list-style-type: none"> <li>• Signs for international clubs/celebrations present</li> <li>• No signs present in language other than English</li> <li>• Student help centre centrally located</li> <li>• English language centre centrally located and clearly labelled</li> </ul>
Examples: Clubs, art, languages, food, International celebrations, Physical/cultural artefacts (Yin, 2014)	<ul style="list-style-type: none"> <li>• Welcome sign in library in several languages</li> <li>• Food options primarily Australian in one cafe, some international options in second cafe</li> <li>• Textbooks in bookstore only in English</li> <li>• Chinese New Year decorations displayed</li> <li>• All campus maps, emergency help, recycling in English</li> </ul>
<b>Admissions emphasis</b>	Via website, emphasis on recruiting international students
Examples: Recruit int'l students, domestic students, mobility	
<b>Research</b>	Visible promotion not present
Examples: Evidence of int'l partnerships, Research abroad	
<b>Curricula</b>	Visible promotion not present, website only available in English
Examples: Visible promotion of int'l majors/courses, Website	
<b>Mobility</b>	Study abroad promotions in toilets
Examples: Location of study abroad office, Visible promotion of mobility	
<b>Triangulation (defined by interviews and policy analysis)</b>	
Other 1: Int'l students visible	Yes
Other 2: AMC (at Newnham campus) more international	Yes, Newnham had more visible internationalisation than Hobart campus

### *University culture*

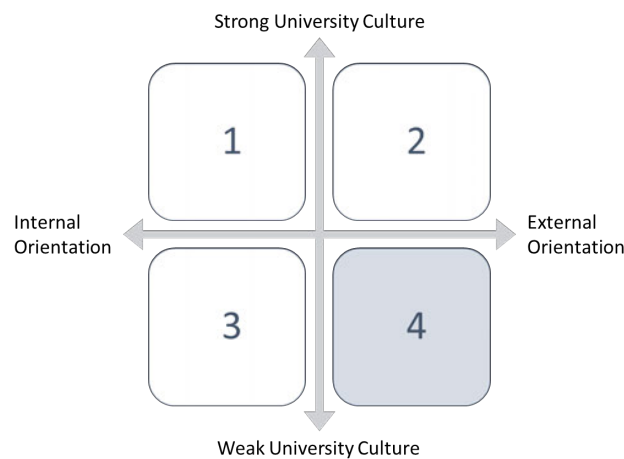
To better understand how conflicts and tensions can be addressed, it is helpful to understand the organisational culture of an institution. In summary, interviews for this case revealed

- Many staff new to their positions
- Constant change
- Low awareness of policy development/planning processes and university policy documents as well as policies from other geopolitical levels
- Confusion, piecemeal approach
- Top-down processes, hierarchy very important
- Authoritarian leadership style (Garza et al., n.d.; Nanjundeswaraswamy & Swamy, 2014)



- Many not aware of or involved in how policies are developed
- An unwillingness to speak about UTAS as a whole, just their specific area
- Inconsistent views of internationalisation
- A divide between academic and administrative staff regarding rationales and implementation of internationalisation and education as trade versus education as knowledge sharing

All of these factors indicate that the university in this case sits in the fourth quadrant of Sporn's (1996b) typology of university culture.



*Figure 5 University of Tasmania in Sporn's (1996) typology of university culture*

The university culture at this institution is weak, and the orientation is moderately external.

While the university looks outward and attempts to adapt to changing environments, the divergent values and lack of coordination between various subcultures within the institution result in a low degree of congruence and integration and thus, a limited and insufficient response set for adjusting to the changing environment. Academic staff, who have robust experience and knowledge regarding internationalisation, are largely pre-empted in order to maintain hierarchy and authority at the expense of adapting to the changes that internationalisation brings. This university is currently not well-situated for developing a unified internationalisation strategy and implementing it in a coherent manner. However, this university is better placed for internationalisation than an institution located in the third

quadrant would be. The external orientation is a positive for this university, as institutions that are externally oriented are better able to adapt to changing environments (Bartell, 2003; Sporn, 1996b). A challenge for this university will be to strengthen its organisational culture so it can facilitate and support adaptation.

### ***Conclusion***

The policy analysis for this case shows a dominant economic rationale for internationalisation across the multi-layered policyscape. This is also reflected in the interview data. However, in the interviews, some participants were able to explain that their personal beliefs were that academics should be the focus of internationalisation, not revenue. Participants described policy development process were largely on the informative end of the participation spectrum along with top-down processes. Constant change was cited by participants as a prime barrier for internationalisation, including high turnover in staff, restructuring of faculties and changing the curriculum. Internationalisation is currently seen as a means to generate revenue at this institution. As a stand-alone approach, this philosophy does not lead to sustainable internationalisation.

As a final note for this case, at the end of the data collection period for this case, two significant events occurred. First, a new Vice-Chancellor arrived, who may bring a new approach to managing the university and internationalisation. And second, approximately 14 months after data collection was complete for this case, a national television show aired condemning the use of international students as revenue generators and naming UTAS as an offender guilty of this practice. Both of these events have the potential to significantly disrupt the discourse identified in my research.

## Chapter 5 Case 2: University of Vermont (UVM)

### *Case overview*

The United States has a long history of higher education internationalisation. After World War II, the United States began laying the foundation for the internationalisation of higher education with the Fulbright Act of 1946, which is aimed at supporting mobility, and the National Defense Education Act of 1958, which promotes language learning and area studies to support national defence. At this same time, education was shifting from an elite system to a mass system (Boyer, 1990), with opportunities expanding and higher education being viewed no longer as a privilege, but as a right. This resulted in an academic revolution of sorts and many structured projects and programs for the internationalisation of higher education in the United States. Beginning on the heels of World War II, at the basis of these internationalisation efforts was a fear that national security was at risk. O’Connell & Norwood (2007, p. 15) show that sentiment is prominent even today; “A pervasive lack of knowledge about foreign cultures and foreign languages in this country threatens the security of the United States as well as its ability to compete in the global marketplace and produce an informed citizenry.” This can be seen clearly throughout the foundational policies for internationalisation at the national level as shown in Table 27. These documents were not part of the policy analysis for this case, but rather are presented here for illustrative purposes and to set the context.

*Table 27 Foundational policy for US internationalisation of higher education*

<b>Date</b>	<b>Policy Document</b>	<b>Purpose/Scope</b>
1946	Fulbright Act of 1946	Foreign currency credits from post-war surplus property sales to be used for international educational exchanges
1958	National Defense Education Act of 1958	Aimed to increase technological knowledge and power of United States by investing in science curricula
1961	Mutual Educational and Cultural Exchange Act of 1961 (Fulbright-Hays Act)	Broadened programs from 1946 Fulbright Act and allowed use of other currencies to pay for them
1965	Title VI of the Higher Education Act of 1965	Enhanced instruction in foreign language and area and international studies

1966	International Education Act	Aimed to add a world dimension to the Higher Education Act. Funds never appropriated.
1991	David L. Boren National Security Education Act of 1991	Improve the teaching of foreign languages, area studies, counter-proliferation studies, and other international fields to help meet national security challenges
1997	Interagency Working Group (IAWG) on U.S. Government-Sponsored International Exchanges and Training	Mission is “improving the coordination, efficiency, and effectiveness of United States Government-sponsored international exchanges and training” (Clinton, 1997, p. 1)

There are two factors making this case distinct: the size of the US higher education system and the decentralisation of the US higher education system. The system is significantly larger than that of Australia and Norway, with 4,583 postsecondary degree granting institutions in 2015-2016 (National Center for Education Statistics, 2019). Unlike in the other two cases, there is not a national system of education in the United States. The US Constitution gives the individual states responsibility for all levels of education, primary through tertiary. As such, there is a great degree of variation within the country in how universities are funded and structured (de Wit, Hunter, Howard, & Egron-Polak, 2015). While the federal government can influence higher education through funding, it does not control it. In order to keep this case as similar and thus comparable to the others, an institution, the University of Vermont, in a small state, Vermont, with a small higher education system was chosen. Because of this, while it is more similar to the other two cases in this study, it is not necessarily representative of the United States as a whole. Geographically, Vermont is on the north eastern edge of the United States and borders Quebec, Canada, which is a French-speaking province. The state has one of the smallest economies in the country, with its main international trading partner being Canada. Like the regions where the other cases are located, Vermont has seen an increase in the number of refugees settling there. It is the second smallest state in the US by population, yet in the period from 1 October 2018 to 30 September 2019, it accepted more refugees than 12

other states (Refugee Processing Center, 2019). Burlington itself is a refugee resettlement area (Bose, 2014, 2018; Ibrahim, 2016). While Burlington has received refugees in the past, they have primarily been economic refugees from Europe and French Canada. Since 2000, there have been successive waves of refugees from Somalia, the Congo, Sudan, Iraq, Bhutan, and Burma (Bose, 2018; Portes & Rumbaut, 2014). As described in other chapters, these increases are significant and must be taken into consideration when examining internationalisation efforts at nearby higher education institutions (Avery, Wihlborg, Almualm, Almahfali, & Christou, 2019; van der Wende, 2017).

The institution that is at the centre of this case is the University of Vermont. This university is a small, rural institution located in Burlington, Vermont. Founded in 1791, this institution is one of the oldest universities in the United States. Although it is a public institution, only about 6% of its budget comes from the state (University of Vermont, 2018). Similar to Tasmania, the population of the state of Vermont is small and as such, the University of Vermont is dependent on out of state students, which make up roughly 70% of the student population. Table 28 below shows an overall profile of the University of Vermont. It is similar in size to the other two universities with approximately 11,641 full time students enrolled in 2015. This university is ranked similarly to the two institutions in the other cases as well.

*Table 28 University of Vermont profile*

<b>United States Case</b>		
<b>Overview</b>		
<b>Institution</b>		UVM <sup>a</sup>
Location		
		country
		USA
		setting
		suburban
<b>Structure</b>		public
<b>Students and Staff (2015)</b>		

<b>Total students (FTE)</b>	11,641 <sup>2</sup>
PG	14%
UG	86%
<b>International students</b>	1,237
UG	89%
PG	11%
<b>Total faculty staff</b>	1,439
domestic	1378
international	61
<b>Rankings</b>	
QS World University Ranking 2018	531-540
Webometric 2019	
world	276 (1%)
country	109 (7%)
UniRank 2019	
world	182 (1%)
country	102 (6%)
a QS World University Ranking data	

This chapter will first examine in detail the nested layers of rationales and motivations found in policy documents for internationalisation at the University of Vermont. Then, using data collected through semi-structured interviews and observations, the policy development and implementation processes at UVM are examined. Key themes that emerged from this data are discussed along with barriers to internationalisation for this case, including risks and tensions. These methods are explained in more detail in Chapter 3.

### ***Rationales and context for internationalisation***

As described in previous chapters, rationales are the motivations for internationalisation. They explain why an international dimension is being incorporated. As de Wit (2001) explains, not only may these rationales vary over time and between regions, but different stakeholders within the same region and time period may have different rationales for internationalising. As such, in order to understand why internationalisation is occurring and

<sup>2</sup> UVM Fall 2015 Enrollment Report available at <https://www.uvm.edu/sites/default/files/f2015eh.pdf>

the nested context in which decisions regarding this are being made, policy documents from 2000 through 2017 were collected for the following geopolitical layers: international, national, state and institutional.

#### *International policy context*

To understand the context for internationalisation at the University of Vermont, we begin looking at the international level of policy. The documents included in this layer of analysis are multi- and bi-lateral agreements, along with memorandums of understanding (MOUs) and joint statements. In Table 29 below, the documents analysed are listed in chronological order and primary rationales determined by thematic analysis are indicated for each document. For this layer, 34 documents were analysed. As with the other two cases, the overarching primary rationale for the international layer was found to be educational, with many policy documents focusing on the structures and frameworks for implementing internationalisation initiatives. At this level, the primary focus tends to be agreements to set up programs aimed at developing exchange and study abroad opportunities, such as Fulbright programs. For example, the Memorandum of Understanding Between The Department of State of The United States of America and The Ministry of Education and Science of The Russian Federation on Educational Cooperation (United States Department of State, 2009, pp. 1–2) states the intent “to pursue joint projects and activities that strengthen strategic stability, international security, economic well-being and the development of ties between American and Russian people...” There is similar language in many of the other bilateral agreements through the years such as the 2005 Agreement for the establishment of the U.S.-Polish Fulbright Commission (United States Department of State, 2005) and the 2014 Agreement for cooperation in educational exchanges with China (United States Department of State, 2014).

Also visible in the international layer is a shift in discourse after the 2008 and 2016 U.S. presidential elections. Prior to 2008, the rationales seen were educational and sociocultural. After 2008, there is more variety in rationales; we see the political, technological and economic rationales begin to appear. After the 2016 presidential election, we see an end to the creation of new bilateral or multilateral policy documents pertaining to international education.

Additionally, it is important to note that the United States has agreed that education is not to be considered a commodity. This is in contrast to Australia's approach to education. For example, in the Joint Declaration on Higher Education and the General Agreement on Trade in Services (2001), it states

Higher education exists to serve the public interest and is not a "commodity", a fact which WTO Member States have recognized through UNESCO and other international or multilateral bodies, conventions, and declarations. (2001, p. 1)

And later in the same document, a statement is made that show that even though education is being discussed in economic trade terms, it is an export being offered for development purposes, not economic gain.

Education exports must complement, not undermine, the efforts of developing countries to develop and enhance their own domestic higher education systems. (2001, p. 2)

*Table 29 Rationales for United States bi- and multi-lateral international education policy documents from 2000-2017*

Policy Document	Date	Key Themes surrounding Internationalisation	Primary Rationale
Agreement for the establishment of the U.S.- Mexico commission for educational and cultural exchange, with memorandum of understanding.	2000 and 2010	mutual understanding, educational exchange, program administration and financing	educational
Memorandum of understanding on the Fulbright Exchange Program (Andorra)	2000 and 2015	exchange, mobility, program development, application review	educational, sociocultural
Agreement between the Government of the United States of America and the Government of	2000	exchange, program administration	educational



Policy Document	Date	Key Themes surrounding Internationalisation	Primary Rationale
the Argentine Republic for Financing Certain Educational Exchange Programs			
Agreement concerning educational and scholarly exchanges administered by the Romanian-U.S. Fulbright Commission.	2000	exchange of knowledge and professional talents, program administration and coordination, funding	educational, sociocultural
Joint Declaration on Higher Education and the General Agreement on Trade in Services	2001	education not a commodity, improving society, interpreting, preserving, and promoting cultures in the context of cultural pluralism and diversity, quality, access, and equity of higher education, trade of education services	sociocultural
Agreement concerning the Bulgarian-American Commission for Educational Exchange	2003	mutual understanding, cooperation, exchange, program administration and financing	educational, sociocultural
Agreement for the establishment of a binational educational exchange foundation. (Canada)	1999, 2003 and 2009	mutual understanding, cooperation, exchange, program administration and financing	educational, sociocultural
Agreement for educational, cultural and scientific cooperation. (Spain)	2004	cooperation, program administration	educational
Agreement for the establishment of the U.S.-Polish Fulbright Commission.	2005	mutual understanding, exchange of knowledge and talents, program administration	educational, sociocultural
Agreement concerning the J. William Fulbright Commission for Educational Exchange in the Slovak Republic	2005	mutual understanding, cooperation, exchange, program administration and financing	educational, sociocultural
Agreement between the United States of America and the European Community Renewing a Program of Cooperation in Higher Education and Vocational Education and Training	2006	mutual cooperation, exchanges, joint projects, technology, language, history, culture, global knowledge-based economy, mutual understanding, mobility, joint study programs, program administration	sociocultural, educational
Agreement on the equal opportunities scholarship program. (Chile)	2007	exchange of knowledge and professional talents, quality, improving global competitiveness, program administration	sociocultural, educational
Agreement concerning the Hungarian-American Commission for educational exchange.	2007	mutual understanding, program administration and financing	educational
Agreement for investing in people: education. (Liberia)	2007	aid for education	educational
Brazil Memorandum of Understanding on Education	2007	cooperative efforts in education, mutually beneficial educational activities, cooperation, mobility	educational
Agreement on educational cooperation (Azerbaijan)	2008	mutual understanding, cooperation, exchange, program administration	sociocultural, educational

<b>Policy Document</b>	<b>Date</b>	<b>Key Themes surrounding Internationalisation</b>	<b>Primary Rationale</b>
Agreement for educational and cultural exchange programs (Brazil)	2008	mutual understanding, educational, cultural, scientific, technical and professional exchange, program administration and financing	educational, sociocultural
Memorandum of understanding on the Fulbright Exchange Program. (Panama)	2008	exchange of knowledge and professional talents through educational activities, academic excellence, language learning, program administration	sociocultural, educational
Brazil-HBCUs	2008	academic cooperation, science and technology development, racial and ethnic equality, exchange, joint research projects, scholarships	political
US India - Agreement for Financing Certain Educational Exchange Programs	2008	exchange of knowledge and professional talents, program administration and financing	educational
People's Republic of China Joint Work Plan on Education	2009	exchange, language learning	sociocultural
Joint Statement by the United States of America and India: Partnership for a Better World	2009	advancement of society, technology, collaboration, knowledge society, exchanges, scientific research, technology and development	technological, sociocultural
Joint Declaration on the Comprehensive Partnership between the United States of America and the Republic of Indonesia	2010	exchanges, capacity building, research to address global issues	political
Agreement concerning the establishment of the Malaysian-American Commission on Educational Exchange.	2010	educational exchanges, strengthening cooperation, program administration, financing	sociocultural, educational
Implementing Accord for Cultural Exchange For the Period 2010 through 2012 Under the Cultural Agreement between the Government of the United States of America and the Government of the People's Republic of China	2010	exchanges	sociocultural
Memorandum of understanding concerning the Fulbright Exchange Program (Slovenia)	2011	exchange of graduate students, postdoctoral researchers and lecturers, program administration and financing	educational
Memorandum of Understanding Between The Department of State of The United States of America and The Ministry of Education and Science of The Russian Federation on Educational Cooperation	2012	mutual understanding, cooperation, joint programs and projects to strengthen strategic stability, international security, economic well-being and the development of ties between American and Russian people, framework for cooperation	political, educational
U.S.–Mexico Bilateral Forum on Higher	2013	economic opportunities, prosperity, quality post-secondary education for traditionally underserved demographic groups, STEM fields, educational	technological, educational

Policy Document	Date	Key Themes surrounding Internationalisation	Primary Rationale
Education, Innovation and Research (FOBESII)		exchanges, joint research, best practices, partnerships, cooperation	
Agreement for cooperation in educational exchanges. (China)	2014	cooperation and exchange in educational fields based on equality, reciprocity and mutual benefit, language teaching, program administration, China's need to be open and transparent	educational
The Transatlantic Friendship and Mobility Initiative	2014	mobility, alliance, economic growth, innovation and research capacity, commitment to increased economic growth, employment, and global competitiveness	political, economic
Joint Statement by North American Leaders - 21st Century North America: Building the Most Competitive and Dynamic Region in the World	2014	innovation, quality, technology, women, world leaders, academic exchange, educational mobility	political, technological
U.S.-Egypt Higher Education Initiative	2014	economic growth and competitiveness, economic prosperity, generate the human capital, equity and access	economic
Agreement concerning the continuation of the Commission for Educational Exchange. (Portugal)	2015	mutual understanding, exchanges, program administration and financing	educational
Australia	2016	economic development, topics of mutual interest, communication	political, economic

### *United States national context*

The next level needed to understand the context of internationalisation is the national level.

Relevant American government policy documents published from 2000 onwards were identified and thematic analysis was used to explore the main themes and ideas surrounding internationalisation. After completing the thematic analysis, the primary rationales for internationalisation were determined for each document based on the rationale typology developed by Maringe et al. (2013). This analysis of the relevant policy documents from 2000 onward shows that the soft diplomacy significance of international education is emphasised and indicates that the overarching primary rationale for the internationalisation of higher education in the United States is political (Table 30). This is consistent with de Wit (2002) who also found that the rationale for internationalisation in the United States is political.

*Table 30 Rationales for United States national level international education policies from 2000-2017*

<b>Policy Document</b>	<b>Date</b>	<b>Key Themes surrounding Internationalisation</b>	<b>Primary Rationale</b>
Memorandum on International Education Policy	2000	global economy, world leader, language proficiency, cultural understanding, partnership building, attracting talent from abroad, defence/national security, understanding diversity at home, developing allies, increasing diversity of areas mobility is from/to, attracting qualified students	political
USA Patriot Act	2001	foreign student monitoring program, disclosure of educational records	political
Beyond September 11: A Comprehensive National Policy on International Education	2002	U.S. need for international and foreign-language expertise and citizen awareness	political
In America's Interest: Welcoming International Students	2003	educational exchanges as a soft power, internationalisation for national security, building allies, international education as part of the solution to terrorism, recruitment of legitimate international students, reducing costs for international students, foreign policy benefits of internationalisation, importance of international education to security, foreign policy and economy, coordinated recruitment of international students, the need to remove bureaucratic barriers for international students, US as world leader in international education, student monitoring system (for US security reasons)	political
A Call to Leadership: The Presidential Role in Internationalizing the University	2004	national security, internationalisation to develop the global critical thinking, global citizens, global competitiveness, preparing future world leaders, national and international distinction, global connectivity, need to increase attracting talent, world security, internationalisation at home, multicultural diversity, language learning, educational diplomacy, global partnerships for research, comprehensive internationalisation, advocacy for internationalisation	political
2006 National Security Language Initiative (NSLI) (US Department of State 2006)	2006	national security, language learning, Russian, Chinese, Arabic, Hindi, Farsi	political
'Education for Global Leadership: The Importance of International Studies and Foreign Language Education for U.S. Economic and National Security'	2006	Importance of international education to national security and the economy, language learning, middle east and Asia knowledge/language learning, global economy, internationalisation to maintain leadership/superpower, 'critical' languages, global competition, technology, cultural understanding, comprehensive internationalisation	political, (economic?)
Restoring U.S. Competitiveness for International Students and Scholars	2006	competition for best and brightest international students and scholars, security, immigration, streamlining visa process to make it easier to attract high quality scholars, knowledge economy, importance of international education foreign policy and international leadership, benefits domestics education, spending by international students important to domestic economy, protecting and restoring US competitiveness	political
An International Education Policy For U.S. Leadership,	2006	need for comprehensive US internationalisation policy, national security and alliances, economic security, global workforce, defence, foreign relations,	political, economic

Policy Document	Date	Key Themes surrounding Internationalisation	Primary Rationale
Competitiveness, and Security		international, foreign-language, and area studies, importance of international research collaboration, need to remove barriers and facilitate access for international scholars, promote diversification for study abroad	
International Education and Foreign Languages: Keys to Securing America's Future	2007	language learning for national security, need for national coordination and strategy for language learning and internationalisation, critical languages, linguistic shortfalls	political
Higher Education Opportunity Act, Title VI—International Education Programs	2008	foreign language and area or international studies, language centres, financing	political
The Changing Landscape of Global Higher Education	2010	educational exchanges, global environment, solving global problems, global leadership, study abroad, supporting international students	political
US Department of Education International Strategy 2012-16: Succeeding Globally Through International Education & Engagement	2012	education diplomacy, globally competent citizenry, economic competitiveness, global skills, including cultural awareness and linguistic proficiency, global challenges, national security and diplomacy, international collaboration, cross-cultural exchange, world-class education, issues of global significance, benchmarking, international education as soft diplomacy, strategic partnerships	political
Research Universities and the Future of America: Ten Breakthrough Actions Vital to Our Nation's Prosperity and Security	2012	global leadership of the united states, competitiveness, world class, intellectual capital	political
Challenges and Opportunities for the Global Engagement of Higher Education	2013	global engagement, mobility, exchanges, research partnerships, globalized environment, global labour force, revenue generation from international students for universities, competition for well-qualified faculty, national economic competitiveness, public diplomacy, solving global problems, comprehensive internationalisation	political, sociocultural

### *National Security*

Unlike the political rationale in Norway, as described in the next chapter and which focuses on collaboration, research and development, here we see international education used as diplomacy explicitly for strengthening national security and defence. For example, the Clinton *Memorandum on International Education Policy* calls for a national level international education policy and explains that,

Today, the defense of U.S. interests, the effective management of global issues, and even an understanding of our Nation's diversity require ever-greater contact with, and understanding of, people and cultures beyond our borders (Clinton, 2000, p. 1).

After the terrorist attacks of September 11, 2001, the emphasis on national security and defence becomes even stronger. For example, NAFSA's *In America's Interest: Welcoming International Students* (NAFSA, 2003, p. ii) states

But in fact, openness to these students is as much of a necessity for our safety as is greater scrutiny to identify those few who harbor harmful intentions.

This theme of national security and defence is frequent in the following years as well. In the 2006 *An International Education Policy For U.S. Leadership, Competitiveness, and Security* (NAFSA, 2006a) there is discussion about the importance of using international education for building alliances and relationships for national security purposes. For example,

At the same time, international education is more important than ever for U.S. international leadership and security. Alliances matter. International relationships matter. (NAFSA, 2006a, p. 2)

And then in 2007, the National Research Council's white paper *International Education and Foreign Languages: Keys to Securing America's Future* states

A pervasive lack of knowledge about foreign cultures and foreign languages threatens the security of the United States as well as its ability to compete in the global marketplace and produce an informed citizenry. (O'Connell & Norwood, 2007, p. 1)

Following that in 2012, this theme is seen again. The *US Department of Education International Strategy 2012-16: Succeeding Globally Through International Education & Engagement* (U.S. Department of Education, 2012, p. 2) states

Civic and global awareness are necessary to understand our nation's history and policies, as well as our relations with other countries. In addition, foreign language skills and area expertise are essential for national defense, intelligence, homeland security and law enforcement.

#### *Education as Diplomacy*

In addition to the themes of national security and defence, a theme of education as diplomacy is also present. Many of the policy documents at the national level discuss developing allies, supporting foreign policy interests and promoting American values of peace and democracy. For example, in a 2000 Clinton memo, students are referred to as a foreign policy asset.

The goodwill these students bear for our country will in the future constitute one of our greatest foreign policy assets. (Clinton, 2000, p. 1)

This is echoed again a few years later, in a 2003 NAFSA document:

At a time when efforts to counter the global threat of terrorism have highlighted the importance of building ties and friendships around the world, the United States needs a comprehensive strategy to enhance the ability of legitimate international students to pursue educational opportunities here. (NAFSA, 2003, p. ii)

In that same document from 2003, there is mention of providing financial aid for students in countries which the United States has a strong foreign policy interest.

Issues of cost must be addressed through innovative and expanded loan, tuition exchange, and scholarship programs for international students. Scholarship assistance, through the Agency for International Development, should be directed at countries or regions—such as Africa—where the United States has a strong foreign policy interest in providing higher education opportunities but where the cost of a U.S. higher education is an insurmountable barrier. A financial aid information clearinghouse should be developed to help international students understand the options available to them. (NAFSA, 2003, p. ii)

Then in the following three years, this is openly stated again. For example, that financial aid will be provided for development purposes, which may have still national interests at its foundation, here the stated justification is foreign policy interests.

The millions of international students who have studied in the United States over the years constitute a remarkable reservoir of goodwill for our country and are perhaps our most underrated foreign policy asset (NAFSA, 2006a, p. 3).

And later in the same document

...exchange relationships sustain political relationships; if one atrophies, sooner or later the other will too. Having fewer future world leaders study in the United States will inevitably translate into a loss of U.S. international influence down the road (NAFSA, 2006a, p. 2).

Another example is less blatant but shows the underlying justification of 'world security'. ...world security demands the exchange of ideas and individuals who understand the values of peace and democracy and can provide the critical global perspectives necessary for our shared future. (NASULGC Task Force on International Education, 2004, p. 2)

This trend continues; the idea of higher education as diplomacy is seen in 2012 and 2013, too. The *US Department of Education International Strategy 2012-16: Succeeding Globally Through International Education & Engagement* (U.S. Department of Education, 2012, p. 2) states

By building and fostering relationships..., providing leadership on education issues, and learning about and from other countries, the Department is helping to further global stability.... This soft diplomacy contributes to our national security, our credibility as a leader among nations, and, ultimately, our national prosperity. (U.S. Department of Education, 2012, p. 11).

And most recently, in 2013, the American Council on Education's *Challenges and Opportunities for the Global Engagement of Higher Education* again emphasises the importance of education as soft power or diplomacy:

...the personal connections and shared experiences built through teaching, learning, and conducting research across borders create mutual understanding, and may ultimately lead to a more peaceful world. (P. Peterson & Helms, 2013, p. 4)

Using higher education as 'soft power' or 'knowledge diplomacy' (Knight, 2015) is not a new idea (Gregory, 2011; Nye, 2005; Peterson, 2014; Ziguras, 2018). Nye (2005) explains that a soft power is the ability of a country to persuade others to do what it wants and shape preferences through attraction rather than coercion, military force or economic sanctions. He continues on to describe how higher education is one source of soft power, with, specifically, cultural exchange programs used as a tool. Other scholars have also described this phenomenon. Wojciuk (2018) points out that higher education and educational exchanges have been used as a soft power since the middle ages when universities first came into existence. Today, Amirbek & Ydyrys (2014) state that the number of countries that consider higher education a mechanism to advance their national interests is increasing. However, the blatant statement of the intention for using internationalisation to promote self-interest and create or maintain dominance as seen in this case is less common; a more subtle approach is more commonly seen.

#### *Global leadership/superpower status*

While ally building comes through as a priority in the US national level documents, so does maintaining global leadership and superpower status. Internationalisation is viewed as a mechanism for this. For example, in the 2000 Clinton Memorandum on International



Education Policy, it states as a reason for internationalising higher education is the need to preserve the position of the United States as a world leader.

...to compete successfully in the global economy and to maintain our role as a world leader... (Clinton, 2000, p. 1)

Four years later, this idea is still present. The National Association of State Universities and Land-Grant Colleges (NASULGC) Task Force on International Education also mentions using internationalisation to contribute to maintaining an intellectual dominance. For example,

America's most burning issues—from national security to competing in a global economy to how one might go about making peace—are all very much informed by international education, or devastatingly crippled by the lack of it. If the U.S. is to continue to exercise our leadership role in the decades ahead, we must focus responsibly on strengthening the ability of Americans to understand other cultures and nations and to speak their language, literally and figuratively. (NASULGC Task Force on International Education, 2004, p. 12)

And then the document continues on to explain that

In addition to preparing Americans to protect our national interests, internationalization also contributes positively to the “war of ideas,” (NASULGC Task Force on International Education, 2004, pp. 12–13)

Following that in 2006, the National Association of Foreign Student Advisors (NAFSA)

explains in *Restoring U.S. Competitiveness for International Students and Scholars* that educational exchanges are considered to be highly important foreign policy tools. For example,

Over the past half-century, U.S. foreign policy leaders have consistently acknowledged that educational exchange is one of our nation's most valuable foreign policy tools. (NAFSA, 2006b, p. 3)

This is important as it makes clear the national impetus for internationalisation is protecting national interests.

#### *Talent*

In order to be a world leader in intellect, a logical strategy would be to attract top talent from around the world. Robertson (2006, p. 1) points out that there is indeed a global race to attract the best brains from around the world in order to “generate the ideas that will in turn lead to innovations, patents and profits.” This practice was initially thought to be

detrimental to developing countries, however, Rapoport (2004) suggests that there are positive feedbacks for the origin country and similarly, Wildavsky (2010) argues that the benefits of the great brain race outweigh the disadvantages. Andres & Licker (2005) examined the extent of 'brain drain' from Canada to the United States and found that there were far fewer students leaving Canada than expected and women were benefiting most from being able to attend university in the United States. This idea appears often in the national level policy documents for this case. For example,

A coherent and coordinated international education strategy will help us meet the twin challenges of preparing our citizens for a global environment while continuing to attract and educate future leaders from abroad. (Clinton, 2000, p. 1)

And

...attracting international students and scholars is an important way that the United States grows its knowledge economy. (NAFSA, 2006b, p. 3)

And then later in the same document,

The United States is engaging in the global competition for the world's best and brightest international students and scholars. (NAFSA, 2006b, p. 6)

And

If America is to remain technically competitive, universities must also seek to attract the world's best minds in science, engineering, and technology. (NASULGC Task Force on International Education, 2004, p. 14)

However, while many countries seek to attract the best and the brightest students and scholars for technological and economic reasons, the United States includes national security in the list of reasons to do so. For example,

Today we urgently renew our call for a national strategy to enhance U.S. leadership, competitiveness, and security by attracting the world's most talented students and scholars to America's campuses and research institutes. (NAFSA, 2006b, p. 1)

And

Most importantly, in all of these ways, educational exchange enhances U.S. security. (NAFSA, 2006b, p. 3)

More recently, in the American Council on Education's *Challenges and Opportunities for the Global Engagement of Higher Education* Peterson & Helms (2013, p. 4) highlight the soft diplomacy benefits of attracting top talent from around the globe.

By engaging globally and bringing together top talent, higher education can contribute to the resolution of these problems on a global scale. ...the personal connections and shared experiences built through teaching, learning, and conducting research across borders create mutual understanding, and may ultimately lead to a more peaceful world.

#### *Economic competitiveness*

While not a dominant theme as it was found to be in the Australian case, the idea of economic competitiveness was present in the national level policy documents for this case.

For example,

Thus, American multinationals' success in expanding their operations and increasing their sales in overseas markets depends on their understanding of the culture, language, and customs of local markets. (Research and Policy Committee of the Committee for Economic Development, 2006, p. 6)

Also, the National Association of State Universities and Land-Grant Colleges (NASULGC) Task Force on International Education explains that while the main benefit of internationalisation is the contribution to national security, a secondary benefit is the impact on the country's economic leadership. For example,

Internationalizing the university not only contributes to America's national security, but it is also vital to our country's continuing economic leadership — a leadership that has been built on the scientific and research dominance of U.S. universities. (NASULGC Task Force on International Education, 2004, p. 13)

Despite the mention of the economy, the overarching rationale here is still interpreted to be political, as the main emphasis is still on leadership and scientific and research dominance.

This is consistent with commitments seen in the international layer of this case expressly stating that education is not to be considered a commodity (American Council on Education et al., 2001).

#### *Language learning, cultural/area studies*

One final theme that was present in the national layer of policy for this case was that of language learning and cultural/area studies. While this is a strategy that is generally associated with a sociocultural rationale (F. Maringe et al., 2013), in this case it is often coupled with a political justification. For example, the 2006 National Security Language

Initiative stresses the importance of learning foreign languages (sociocultural rationale) but explains that the reason to do so lies in the realm of national security (political rationale).

An essential component of U.S. national security in the post 11 September 2001 world is the ability to engage foreign governments and peoples, especially in critical regions, to encourage reform, promote understanding, convey respect for other cultures and provide an opportunity to learn more about our country and its citizens. To do this, we must be able to communicate in other languages, a challenge for which we are unprepared. (Office of the Spokesman, 2006, p. 115)

The document continues on to explain that a lack of foreign language learning is detrimental to the country in a variety of ways, all of which are linked to a political rationale.

Deficits in foreign language learning and teaching negatively affects our national security, diplomacy, law enforcement, intelligence communities, and cultural understanding. It prevents us from effectively communicating in foreign media environments, hurts counter-terrorism efforts, and hamstrings our capacity to work with people and governments in post-conflict zones and to promote mutual understanding. Our business competitiveness is hampered in making effective contacts and adding new markets overseas. (Office of the Spokesman, 2006, p. 115)

This is seen over and over again in a variety of documents throughout the years in the national layer of policies for this case. For example

Despite America's status as an economic, military and cultural superpower, we risk becoming narrowly confined within our own borders, lacking the understanding of the world around us that is essential to our continued leadership role in the world community. (Research and Policy Committee of the Committee for Economic Development, 2006, p. vii)

And

Few students study the less-commonly taught "critical languages" that are crucial to national security, such as Arabic, Chinese, Hindi, Japanese, Korean, Persian/Farsi, Russian, and Turkish. (Research and Policy Committee of the Committee for Economic Development, 2006, p. 1)

And

The need for foreign language skills is even more acute for our national security. (Research and Policy Committee of the Committee for Economic Development, 2006, p. 2)

And

To be successful abroad, American business leaders have to understand the minds and preferences of people and cultures very different from their own. (Research and Policy Committee of the Committee for Economic Development, 2006, p. 7)

And

Although there have been times in the country's history when foreign languages were considered as important as mathematics and science, they have re-emerged as a significant concern primarily after major events that presented immediate and direct threats to the country's future. (M. O'Connell & Norwood, 2007, p. 1)

And

Civic and global awareness are necessary to understand our nation's history and policies, as well as our relations with other countries. In addition, foreign language skills and area expertise are essential for national defense, intelligence, homeland security and law enforcement. (U.S. Department of Education, 2012, p. 2)

There is a tone of urgency and fear in the above statements. The dominant message is that it is crucial to learn foreign languages and study other cultures in order to protect our nation and remain a superpower. As such, while second language acquisition and cultural studies are often associated with a sociocultural rationale, here in this case it is interpreted as political due to the justifications specified.

The findings of an overarching political rationale for the internationalisation of higher education at the national level in the case of the United States is consistent with de Wit (2002) and Altbach & Knight (2007), who also noted strong themes of defence and national security in the United States. In this case, higher education is closely linked with foreign policy and considered an investment in future relations with other countries.

#### *Vermont state context*

Moving down one layer, state level internationalisation policy documents were examined.

Vermont is a small state in the north-eastern corner of the United States. It has a traditional prominence of rural industries such as dairy farming and forestry and more recently, manufacturing of artisan foods and beverages and tourism. The state has only recently begun to engage with internationalisation, with Canada being its primary foreign trading partner. As with the national layer, relevant policy documents were identified, and thematic analysis was used to explore the main themes and ideas surrounding internationalisation.

Once the key themes were identified for a document, they were compared to the strategies that Maringe et al. (2013) use to map six rationales for internationalisation of higher education and a primary rationale was identified for each document. There were only three

documents available at this level. Overall, the primary rationale for internationalisation at the state level was found to be economic, with a focus on economic growth for the state. For example, in the 2004 report from the Vermont Business Roundtable entitled *Becoming “The Knowledge State”*, the focus was on using higher education to help Vermont businesses be competitive globally. Similarly, in the 2009 Council for Rural Development report, *Imagining Vermont: Values and Vision for the Future*, the sole focus was on Vermont students and the importance of higher education in helping economic growth and ‘developing leaders to serve in the local, national, and global arenas’ (Sherman, 2009, p. 86). While not labelling it internationalisation, this document also addresses the need to accommodate the growing diversity in higher education in the state. This increase in diversity is not from the recruitment of international students, but rather from a growing number of immigrants.

The third document for the state level is the 2017 Vision and Mission of EducationVT. This organisation is a consortium of secondary and tertiary schools with the focus of promoting Vermont as an education destination. While the group is a non-profit organisation, its aim is to “create opportunities for Vermont students to engage with the world through study abroad, internships and service learning, and link international education to economic development for the State of Vermont” (EducationVT, 2017, p. 1). The primary goal, mobility and exchanges, is associated with a sociocultural rationale, however, at the end of the mission statement, the organisation states that it intends to link international education to the economic development of the state.

*Table 31 Rationales for Vermont state level international education policies 2000-2017*

<b>Policy Document</b>	<b>Date</b>	<b>Key Themes surrounding Internationalisation</b>	<b>Primary Rationale</b>
Becoming “The Knowledge State”	2004	skills to compete in a globalized marketplace to benefit VT’s economy, technology via universities to help VT compete globally, using higher education to help VT businesses be competitive globally	economic

Imagining Vermont: Values and Vision for the Future	2009	(no mention of internationalisation or money from international students, sole focus on Vermont students and the importance of higher education in helping growth) global marketplace, global economic crisis, global commerce, global issues/concerns/challenges, cost of education for Vermonters	economic
Vision and Mission of EducationVT	2017	student inbound and outbound mobility	sociocultural

### *University of Vermont internationalisation discourse*

In the final layer of policy, the institutional level, 11 policy documents were analysed (Table 32). The primary rationale for internationalisation at this level was found to be educational. While there was an emphasis on study abroad, which is an internationalisation strategy associated with the sociocultural rationale, the documents themselves were largely focused on setting up and administering programs, which falls under the educational category in Maringe et al.'s (2013) typology. There have been several attempts to lay the groundwork for moving forward with internationalisation, but evidence of a shift to implementation in the policy documents was limited.

At the institution level, the dominant rationale is educational. The idea of exchanges and study abroad, which is more often associated with the sociocultural rationale is present, but in the institution level policy documents, the focus is administrative with an emphasis on the planning and developing these types of programs, rather than underlining the inherent value of these programs. For example, in the 2008 report from the Committee to Review International Education, *Internationalizing the University of Vermont: The time is now*, study abroad programs are mentioned, but in the context of coordination and administration:

Without central coordination and oversight, we have seen the creation of multiple faculty-led study abroad programs in the same region or even the same country with the same or similar focus. (p. 10)

Another example of this is the UVM Generation Study Abroad document. The theme of study abroad is the focus of the entire document, but likewise, the entire context is how the

goals of increased study abroad numbers will be reached and how the program will be administered. The purpose of the document is to generate commitment to targets and to describe how to reach these targets. It indicates that the larger UVM community will need to join together to act decisively. Unlike the Norwegian case, there is little mention of cooperation, research or curricula. In *Structuring the High-Performance International Education Office*, the main theme is administrative. For example, there is discussion about how governance can be structured for better performance.

Many institutions are now finding that their relatively informal, decentralized approach is not adequate to meet the new, higher bar for performance. (Douglas & Attis, 2007)

In *Internationalizing the University of Vermont: The time is now*, a document released a year later, again, the focus is on governance.

Despite decades-long faculty commitment to international research and education, despite powerful and growing student demand for international experiences, and despite UVM's geographic location on an international frontier, collectively we have shown reluctance to systematically address the opportunities and costs of internationalization. (Committee to Review International Education, 2008, p. 7)

And later in that same document, inefficient administration is discussed in more detail under the heading of 'Unrealized Opportunities'.

Without central coordination and oversight, we have seen the creation of multiple faculty-led study abroad programs in the same region or even the same country with the same or similar focus. (Committee to Review International Education, 2008, p. 10)

Although not as prevalent as the educational rationale, a political rationale is present in some policy documents at this level. For example, the university's strategic plan, entitled *Strategic Plan 2009-1013: Sustaining the Advance*, indicates a political rationale with more emphasis placed on diversity, global awareness, talent and knowledge, all aspects associated with the political rationale. For example, the first goal listed in the plan calls for the university to "build a diverse and globally aware university community" (The University of Vermont, 2009, p. 2). While the word 'internationalisation' is not used, building a globally



aware community is associated with internationalisation efforts and a political rationale. An objective under the second goal refers to attracting top talent and interacting with world-class scholars, both strategies associated with a political rationale.

Make UVM a destination for the highest achieving undergraduate and graduate school applicants, and nurture their intellectual development by direct interactions with world-class scholars and creative artists. (The University of Vermont, 2009, p. 3)

And an objective under the fifth goal shows the university's desire to be a leader in social and economic development. This is also associated with the political rationale.

Improve and sustain the university's role as a valued leader and partner in social and economic development in the state, region, and the world. (The University of Vermont, 2009)

Finally, in a 2011 presidential memo, there is evidence of an emerging commitment to a holistic approach and thus, a move towards comprehensive internationalisation.

Internationalization is a combination of many actions that help us create a vibrant and pertinent intellectual community and that support all of our strategic goals. It includes scholarly exchanges and partnerships; research partnerships; study-abroad and student exchanges; creation of a diverse community and promotion of multicultural understanding; curriculum integration as well as international student enrollment. (Knodell, 2011)

The policy documents for the institutional level in this case use language that articulates a vision and goals for the future. The focus is largely on administrative structure, assessing existing programs or attempts at programs and the future management of envisioned programs. This focus on the creation of the learning environment and administration is indicative of the educational rationale (Maringe et al., 2013).

*Table 32 Rationales for UVM institutional level education policies 2000-2017*

Policy Document	Date	Key Themes surrounding Internationalisation	Primary Rationale
President Fogel's Vision Statement	2003	raise the selectivity, quality, and diversity of the student body, excellence, internationally distinguished research university, marketplace (in terms of excellence, value), outstanding programs in first-rate facilities with first-rate faculty, high academic aptitude, investing in students, staff, facilities	political (academic excellence)
White Paper on International Education	2005		

<b>Policy Document</b>	<b>Date</b>	<b>Key Themes surrounding Internationalisation</b>	<b>Primary Rationale</b>
President Fogel's "Signatures of Excellence"	2006	the imperative to apply research to make a positive difference in the world, diversity and global engagement as essentials of academic excellence, facilitating research to address global issues,	political
Structuring the High-Performance International Education Office	2007	structure and organisation of internationalisation at UVM, comprehensive internationalisation, setting goals, improving performance, international education as a priority, factors affecting growth of internationalisation (desire for mobility, national security,	educational
Symposium on Strengthening UVM'S International Focus	2008	comprehensive internationalisation implementation, strategy, globally aware citizens, marketing and recruitment, coordination of internationalisation, development/aid for foreign students, mobility, research, curriculum, infrastructure/support/engagement with international students, internationalisation at home, diversity,	Educational, (economic?)
Internationalizing the University of Vermont: The time is now	2008	expanding, coordinating, and synchronizing international education, overseas programs, enrollment patterns, exchange programs, faculty exchanges, efforts to recruit international students, exchange agreements, study abroad, curriculum considerations, engagement [SUMMARY OF HISTORICAL DOCUMENTS], scholarly and pedagogical interest, institutional responsibilities for internationalisation, vision, focus, opportunities, an organizational model for internationalisation at UVM, examining the necessity and state of internationalization on campus, organizational problems, institutional resources and organizational energy, funding, recommendations for action, mobility, curriculum, developing plans, policies, assign responsibilities, gaps in internationalization at UVM	educational, (sociocultural)
Strategic Plan 2009-2013	2009	globally aware, diversity, world-class scholars, leader in social and economic development in the world,	political
International Advisory Council (IAC) charge	2009	committee structure, communication, data collection	educational
Knodell Memo	2011	comprehensive internationalisation, global community, operations and functions to support internationalisation, support for Chinese students, revenue, increasing international student enrolment at both the graduate and undergraduate levels, growth model, how to support internationalisation	educational, economic
Strategic Action Plan	2013	student enrolment plan, Increases international student undergraduate enrolment, opportunities for international experience, quality and excellence, diversity	educational, political
President's Annual Report 2016/2017	2017	research, faculty mobility, academic talent, international research, student international research, international student achievement, awards received for international research, global studies, communicating research outcomes internationally, importance of research on global issues, research conducted overseas, diversity, cross-cultural art exhibits, rankings in the context of academic/programmatic excellence	political

### *Key university level themes*

While the rationale for internationalisation as seen in the policy documents was educational, several key themes that emerged at this level. As described above, the primary theme was mobility, however, developing comprehensive internationalisation, talent, aid and support for international students and diversity are also present.

### *Gaps in university discourse*

While this university is not practising comprehensive internationalisation, this university appears to be demonstrating a movement towards a more holistic approach. For a university to be considered to be practising comprehensive internationalisation, teaching, research and service should all be addressed (American Council on Education, 2019; J. Hudzik, 2011). In this case, those areas are partially addressed. For example, while the strategic plan does not include internationalisation as one of its main goals, aspects of internationalisation appear in some of the objectives listed below the main goals. This indicates an acknowledgement of the contribution that internationalisation provides to knowledge building and the start of an articulated commitment to internationalisation. In terms of administrative leadership, structure, and staffing, there is an international education office and there are champions in various faculties, however, senior leadership does not appear to be actively engaged in prioritising internationalisation efforts, so this element of internationalisation is only partially addressed. Likewise, with mobility, outbound student mobility was mentioned often by interview participants, but outbound staff mobility was mentioned less often. Curriculum is more robustly addressed with the diversity requirements and emphasis on study abroad programs, however faculty policies and practices for internationalisation and collaborations and research were not mentioned often. There is a definite commitment to internationalisation at this university, however,

there are still gaps that need to be filled before it could be said that this university is practising comprehensive internationalisation.

### *Relationship between layers of policy*

In this case, there is not continuity between layers, however, within layers, the rationales are largely consistent over time. Where there are shifts of discourse within layers, changes can often be attributed to a change in leadership, such as a new President at the national level in 2008 and 2016. Between layers, the shift between the international layer and the other layers is likely due to the translation that occurs as different institutions adapt the overarching policies to fit their unique situations, priorities and needs (Gornitzka & Langfeldt, 2008; Stensaker et al., 2008; Zapp et al., 2018). Unique to this case, the shift seen between the national, state layers, and university layers is likely due to the decentralisation of education that characterises the US educational system. As described earlier, unlike in the other two cases, there is not a national system of education in the United States; it is a decentralised system (Astiz, Wiseman, & Baker 2002). DeBoer (2012) explains that with American education policy over the last century there has been a tug-of-war between national and local policy makers. She writes that within a state, centralisation is more likely to be seen, however, each of the 50 individual states has its own approach. She describes how “when plans are not cohesive at one level, the other may intervene. When this happens, policies at each level may contradict one another” (DeBoer, 2012, p. 512). The results of the policy analysis for this case are consistent with that. Coleman (2018) looks at the unique relationship between the national government and American universities and points out that while there is a separation between the levels which can create risks, the system, overall, has been successful.

*Table 33 Summary of rationales by level and year for American case*

Year	International	National	State	Institutional
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2000	educational	political		
	educational, sociocultural			
	educational			
	educational, sociocultural			
2001	sociocultural	political		
2002		political		
2003	educational, sociocultural	political		political (academic excellence)
	educational, sociocultural			
2004	educational	political	economic	
2005	educational, sociocultural			
	educational, sociocultural			
2006	sociocultural, educational	political		political
		political, economic		
		political		
		political, economic		
2007	sociocultural, educational	political		educational
	educational			
	educational			
	educational			
2008	sociocultural, educational	political		educational, (economic)
	educational, sociocultural			
	sociocultural, educational			
	political			
	educational			educational, (sociocultural)
2009	sociocultural		economic	political
	technological, sociocultural			educational
2010	political	political		
	sociocultural, educational			
	sociocultural			
2011	educational			educational, economic
2012	political, educational	political		
		political		
2013	technological, educational	political, sociocultural		educational, political
2014	educational			
	political, economic			
	political, technological			
	economic			
2015	educational			
2016	political, economic			educational, sociocultural
2017			sociocultural	political

### *Summary of policy analysis*

The multi-layered contextual analysis in this case study has revealed a disconnect between the layers in terms of rationales. However, there is continuity over time within each layer. While the rationales do not appear to cascade through the layers, themes, such as study abroad are traceable.

As described in the previous chapter, understanding the influence of national and local/state policy settings on an institution's policy development sets the stage for a better understanding of the enablers and barriers of internationalisation practice at the institution. Additionally, from a comparative perspective, "differing rationales imply differing means to an end" (de Wit, 2001, p. x). Policy documents are powerful in that they state and set the intention of an institution (Childress, 2009; Fischer et al., 2007). In this case, there is not a clear alignment between the layers of policy with a different rationale dominating the national, county and university policy documents. It is not possible to understand whether there is alignment between policy intentions and policy implementation by examining policy documents alone in this case. To understand whether there is consistency between policy documents and action on the ground, it is necessary to look more closely at implementation through interviews and observations as described below.

### ***Institutional policy development and implementation***

Understanding the context in which a university is internationalising only provides partial insight into how decisions are being made and implemented. As in the previous case, to further understand how policy is developed and implemented at the University of Vermont, semi-structured interviews were conducted with key academic and administration staff. Through the course of semi-structured interviews several key themes emerged for this case. These themes included study abroad, outbound mobility and exchanges, concept of diversity as internationalisation, and the reliance on individuals as internationalisation (study abroad) champions. Interview participants made little mention of research, staff or curriculum at this university.

### *Processes and participation*

When asked about the development processes for UVM internationalisation policy, responses were mixed with interview participants indicating that the processes have changed over time. The university processes described by the interview participants were largely consultative in nature with some processes leaning towards involvement. Most interview participants were not aware of the overarching university internationalisation policy development processes and indicated that a central framework and/or guidance were lacking. In terms of policy development processes within the university, interview participants described a primarily top-down process that had ceased to materialise. For example, when asked how the policies were developed, one participant responded

How are policies developed? What are process and how are decisions made? Yeah, I don't know. I think they are coming top down. That's my perception. Except I am at this table that we never meet anymore... [UVM\_02]

And then continued on to explain later in the interview,

"You know, I think maybe a year, year and a half ago, I think I did see a plan that came with incentives, but it sort of came and went. I don't recall seeing...yeah, maybe I'll go do my homework now and see if we have one.

Who is involved? That would be our office of internationalisation, our vice provost for international education. The office is a staff office and the other is an academic office. Administrative vs academic office. Office of international education deals with visas and all of those kinds of ....risk management. The office of international education deals with the academic student side. I believe that's where it's coming from. " [UVM\_02]

And another replied,

How are policies developed? I don't know. I have been out for so long. I really can't answer that. [UVM\_01]

And a third participant explained,

I feel like sometimes it can be pretty scattered and not very well communicated. An example would be continuing and distance education several years ago, which is a department on campus that mostly deals with people coming back later in life for education and getting degrees, and they used to manage the travel [inaudible] given to the faculty and they started doing international internships over the summer, which we already do and then they didn't realise that we already did that. I don't know if they run those any more. They chose program providers to run it that hadn't yet been vetted. It was a little messy. And it can be messy still. .... Our team controls the process for undergraduate study abroad. So, we can make decisions about that. But everything else will have to go to whoever [our director] says it should go to.

Have you been involved?

Kind of in a background role. But I'm not ever the person to say this is what we should be doing. [UVM\_03]

Another participant explained that the focus of internationalisation was very much at the micro level. The current focus was not on developing and implementing a long-term vision, but rather focused on the minutia of daily work.

Overall policy? Overarching plan? No, no, no, no, no. That's what I'm saying. They view it like I said. What kind of vans will you be driving...it's at that level. It's at the risk management level. [UVM\_06]

A fourth interview participant described collaborating with other offices and sharing ideas.

We are generally speaking the office that supports internationalisation for the whole university. But it is shared in a sense, the deans' offices have someone designated to support international students, too. We work with them. We collaborate and share ideas. [UVM\_04]

While participants were not aware of how university level policies were developed, some participants described being involved in certain aspects of the processes or working within their own smaller sections of the university to develop and implement policies. Because of this, the level of participation in university processes can be characterised as 'consult', possibly transitioning towards 'involve' as shown in Table 34 below.

*Table 34 Levels of community participation modified from International Association for Public Participation (2018)*

<b>Level of participation</b>	Inform	Consult	Involve	Collaborate	Empower
<b>Participation goal</b>	To provide the public with balanced and objective information to assist them in understanding the problem, alternatives, opportunities and/or solutions.	To obtain public feedback on analysis, alternatives and/or decisions.	To work directly with the public throughout the process to ensure that public concerns and aspirations are consistently understood and considered.	To partner with the public in each aspect of the decision including the development of alternatives and the identification of the preferred solution.	To place final decision making in the hands of the public.
<b>Promise to university community</b>	We will keep you informed.	We will keep you informed, listen to and acknowledge concerns and aspirations, and provide feedback on how public input influenced the decision.	We will work with you to ensure that your concerns and aspirations are directly reflected in the alternatives developed and provide feedback on how public input influenced the decision.	We will look to you for advice and innovation in formulating solutions and incorporate your advice and recommendations into the decisions to the maximum extent possible.	We will implement what you decide.

Increasing level of participation and impact on decision



### *Key themes*

#### *Study abroad*

The predominant key theme that emerged from the interviews regarding internationalisation in this case was 'study abroad'. Regardless of which semi-structured interview topic was being discussed, the responses were generally focused on study abroad and exchange programs for undergraduates. Mobility is generally associated with a sociocultural rationale, so this differs from the policy discourse, where the primary rationale was found to be educational. Because the educational rationale is primarily concerned with the administration and planning of programs, this is not necessarily a direct conflict. While the university policy is focused on setting up programs, the university staff are more focused on implementing programs, despite the lack of a clear directive from the university. Study abroad, outbound mobility and exchanges were a clear priority at this university. Interview participants often referred to study abroad when describing examples of internationalisation. The term 'study abroad' was used synonymously with internationalisation in many instances. For example, when asked why UVM was internationalising or what was influencing internationalisation efforts, participants often jumped straight to study abroad programs. One participant explained,

I think definitely that, things that encourage internationalisation are the importance of having an international perspective as you look towards your future career for students. So, career goals are becoming more important in student's decisions in college and even before they come to college. So, to accommodate for those type of students who want that type of experience of having a robust set of study abroad programs for them to do and international internships, and things like that. And things that have impeded it, certainly finances. I would say student finances and institutional finances. I mean, depending on the type of study abroad that a student does, their institutional scholarships will or will not travel with them. So, that means that some students, especially that have significant financial aid or are instate students, have a limited number of options for where they can go and which programs they can do. We've been working on increasing the number of programs called 'exchanges', where a student basically trades places with another student, so there is no money exchanged, so that means that their money can go with them. And institutionally, we retain tuition dollars at UVM, which means that there's a big institutional push for students to do exchanges. [UVM\_03]

While in the Australian case, participants said that economic reasons were driving internationalisation, here, students' desire for experiences abroad were a driving factor. And where the recruitment of international students was seen as an answer to address financial barriers and raise revenue in the Australian case, here, the financial barriers were overcome by switching and expanding the types of programs students were able to participate in by increasing the number of tuition-retaining 'exchange' programs available to students.

Why occurring? I think it's ... I would love to say that we care about the globe, but I don't think that's necessarily it. I don't think that there's a collective strategy centrally, certainly for that sort of thing. There are pockets around the university of people who have actually travelled, because there are a lot of people who travel, but they don't really travel. There's a huge difference in going to Florence and going to Bhutan, for instance. So, I make the distinction in the programming that I'm interested in doing that it has to be something that is going to be something that is going to shake you out of your American-centric comfort zone. And that is not necessarily shared throughout the university. So, my motivation is to do that. But when we are receiving programs, a lot of them....by the way, I should say that UVM used to have 3 of its own internal programs, one in Belize, one in Oaxaca, Mexico and one in Costa Rica. We changed our budget model recently and the only one that remains now is Costa Rica and that is subsidised. So, we are farming all of our students out to other universities who then do semester abroad. The 20 to 30 programs that I'm talking about are called faculty-led programs abroad which are just 2- or 3-week programs. So those are the ones that we are really focused on as a university. The others, which I think is a huge mistake, are farmed out. [UVM\_06]

This same participant then went on to explain that student demand for experiences overseas was pushing the internationalisation efforts.

I think it's competition out there. I think we are getting more and more students who are coming saying, how can I have an international experience... I can go on and on about that part. I really think that if the university didn't have to do it, it wouldn't. The first-year class is all asking for that kind of experience. [UVM\_06]

Participants also spoke about why study abroad programs were an important component of student growth and development.

So, we just joined Generation Study Abroad a couple of years ago. In getting ready to do that, we thought a lot about this issue. I think for me personally, it's important for student development to have some kind of sense of like... 'the other'. That other places or cultures are not bad or scary. [UVM\_03]

It should be noted that the main emphasis surrounding study abroad and exchange programs was sending students and faculty overseas. Receiving students was secondary to this.

#### *Diversity*

A minor theme of diversity as internationalisation emerged at this institution. Interview participants spoke about the concept of diversity in conjunction with internationalisation. It should be noted that this university requires all of its undergraduates to complete two units that satisfy a diversity requirement prior to graduation. This is meant to “provide undergraduate students with the awareness, knowledge, and skills necessary to function productively in a complex global society, by fostering an understanding of and respect for differences among individuals and groups of people” (University of Vermont, 2019). This was unique to this case and came through in the interviews. Interview participants described the university’s commitment to diversity, however, while some saw a clear link to internationalisation, others did not.

There’s a lot of speakers from overseas. We are very much into the concept of diversity. We have exchange programs and we have research faculty coming here. The only reason I’m saying that is yes, we do all these things, I just don’t think it’s with an eye to internationalisation. The concept. [UVM\_06]

And

...we have distribution requirements. We have a diversity one requirement which US domestic diversity and the diversity two, which is global diversity in some way. And there’s a lot of work to be done there. We had a lot of student activism in the last year about the D1 requirement in particular around race in the US and that faculty are teaching classes about race in the US, but don’t have the skills to facilitate that. I think that there could be more richness in some of those places. And it would be exciting to see some day staff exchanges. We have a lot of people who work at this university who are from this area and haven’t spent time overseas and the more skilled people are and the more exposure to seeing that there’s different ways of being in the world. It’s different to know it intellectually than it is to feel it. So, I think a lot of the places where internationalisation blooms are where you have a diverse group of people campus wide who are committed to that work. [UVM\_05]

### *Internationalisation champions*

Reliance on individuals as internationalisation (study abroad) champions was mentioned by several interview participants. For example, one participant explained,

“No one had ownership over it, it became who had the passion for it. Which was okay enough, but if you don’t have the infrastructure behind you and a clear mission that you need to accomplish something, then it’s not going to go anywhere.” [UVM\_01]

Another interview participant spoke about how some staff members are more willing to accommodate international students.

I think [it has to do with] how willing or not people are to accommodate change. Learning styles are really different across cultures. Language learners are more demanding to teach. Full stop. And we are kidding ourselves if we say they are not. But, being flexible in how we do our work...I think a barrier to internationalisation is people not being flexible. And comfort with ambiguity. It’s those types of things. And this is a big school and it takes a lot to turn a big ship. And I think having champions all over campus.... I think a barrier to internationalisation on all campuses is ‘this is an international student, let’s call this office.’ [UVM\_05]

And a third interview participant explained that when an internationalisation champion leaves, there is not always someone available or able to fill that gap.

The only problem with study abroad programs is that they are faculty developed and run. So once a faculty leaves, the program is gone. Unless there is some way you can mentor someone into that role that would be willing to take students abroad and not everybody is. It’s a huge responsibility. And not everyone is willing to take students abroad because of that. [UVM\_02]

The reliance on champions is not unique to this case. Appa (2020) also found in a study that examined 44 universities in the United States that study abroad opportunities for students were largely motivated by the interests of individual faculty members, or champions of internationalisation.

### *Gaps*

There was little mention of research, staff, or curriculum in connection with internationalisation at this university. When any of these aspects were mentioned, it was often in conjunction with study abroad or exchange programs, which are the clear internationalisation priority at this university. As described earlier, Hudzik (2011, p. 10) describes comprehensive internationalisation as “a commitment, confirmed through action,

to infuse international and comparative perspectives throughout the teaching, research, and service missions of higher education.” Not all of these areas were addressed. For example, research, which was mentioned often in the other two cases and highlighted as a key component of internationalisation was only mentioned briefly by interview participants at this university. The focus in this case was on the teaching aspect of internationalisation, with an emphasis on study abroad and exchanges. When asked if the University of Vermont had a holistic approach to internationalisation, interview participants responded that it did not, but there were discreet areas that were moving forward. For example, one participant responded

No. I can guarantee that. I am delighted to see how much the college of medicine has changed in the last ten years though. It is a vibrant example of the potential for UVM.  
[UVM\_01]

And another said

I think it is scattered and it depends on department chairs in terms of the academic departments and what the department chair’s priorities are. I think we are always advocating for it to be more a more holistic idea in policies, but yes, I think it is more scattered sometimes. Not so much with student life and development sorts of offices, but academic departments I would say are hit or miss. [UVM\_03]

And a third explained

Yes, but in a piece-mealy type of way. It’s happening...I think that internationalisation is everyone’s business. And I think that sometimes when it’s like this is the division that does it, it means that it’s the only division that does it. And so, while there’s definitely some confusion and frustration, I do think that we have a pretty comprehensive approach to internationalisation. We are doing a lot of the different components that fall in to what one might think about when one thinks about internationalisation. But it’s happening in a funny way sometimes. [UVM-05]

While this university has not developed a thoroughly comprehensive or holistic approach to internationalisation, there is a commitment and certain areas are moving forward.

### *Barriers and enablers*

#### *Leadership*

Interview participants identified leadership as a barrier to internationalisation at this university. While there were internationalisation champions mixed amongst the faculties,

participants described the overarching leadership for internationalisation as lacking in communication and direction at the time of data collection. They also explained that this had not always been the case for this university, but the current approach to internationalisation as described by the interview participants resembles what McConnell & 't Hart (2019) refer to as inaction, or the 'do-nothing' approach. Participants indicated that strategic guidance activity from the senior level of management seems to have paused.

So, it's centralised and decentralised, we are the only unit, my department, that still runs two of those ourselves and the rest is centralized. And I am going to say that we have not ironed out all of the bugs. [UVM\_02]

And

So, in terms of policy development, I find it to be very murky between some of different leadership roles that are involved. [UVM\_05]

And then continued on later in the interview to explain

I can't speak for other people, but I think that there is murkiness sometimes. Sometimes I don't think it's structural, I think it's the skill of the individual inhabiting the position. I think you can have....we don't have a visionary who is leading international efforts here. [UVM\_05]

*Low awareness of policy outside university policy*

Interview participants had a low awareness of internationalisation policy external to the university in this case, with the exception of visa requirements for incoming students. Specific examples of policies were not used. In addition, these quotes show that most interview participants responded with how, in a general sense, study abroad programs would be affected, again illustrating the emphasis on this strategy at this university. For example,

The state, I know nothing about. At the national level, I know there are policies, like the Cleary Act, that look at what are some of the security risks. The university now has policies about risk management. So now, when we propose a program, we have to go through the State Department, do you know about SOS? The insurance? They have a whole website on all of the risks. So, when we put together a proposal, we have to fill out all of this paperwork, that we never used to have to do. So, the paperwork goes in. That has since I started in 08, quadrupled. It has become more streamlined too, though. Once you propose a program that has been accepted, you don't have to redo all of the paperwork every year.

But the paperwork starts in February, where you put in a letter of intent and you fill in all of this other paperwork and then you do your budget and that has to be approved...[UVM\_02]

And

I think the inbound students would say it's been pretty influential over the last couple of years. At least that's the sense I get from them. On the outbound side, I think, I haven't seen a real influence state-wide. Nationally, there are some very specific examples. We work with a number of students to apply for scholarships that are run by the State Department, such as the Gillman Scholarship... And you know, we hope that government support for those types of programs will continue, because it really helps lower income students study abroad. And then, I've been hearing scary things about the government cracking down on incoming exchange students, which would really impact our outbound exchange because the balance would need to stay the same. So, if we can accept inbound exchange students, then we can't send them. [UVM\_03]

And

Local layer? Does that mean the students? Or in the area? [State] Really, bottom line, every university is just afraid now. The world is a dreadful place at the moment. So, sending kids to some of these places is scary, especially when they are clueless. And have a lot of arrogance. So, I think the universities are really worried about those things, so it minimises their sense of it. So, I would say from a state perspective, no, not so much. I don't think there is any connection there. Regionally, that would probably come down to the competition. Although, we do actually do some things within the country. [UVM\_06]

And

State level policies, not at all, although I will say, you'd think Vermont, you don't really deal with those issues, we do deal with them because of dairy labour. So, it's there, it's hidden. We have many faculty [members] here at the university who are actually studying that issue of Hispanic labour in Vermont. So, the policies about drivers' licences, we have allowed driver privilege cards, but if you look at national policies, it is absolutely impacting the number of students who look at us. And our ability to travel internationally. I would say our trip to Kenya, that's right on the tip of my tongue, it's very salient to me. Those students absolutely did not understand the risk management that we put in place for this trip. And we were not back two days when the latest terrorist attack in Nairobi happened. And we were in Nairobi. So, yes, the national scene is definitely impacting us in terms of decreasing the number of international students who want to come or are able to come because there is some fear associated with it. Will I be allowed in? If I go home, will I be allowed back in? [UVM\_07]

And

Ah, this is from my perspective, to say that I cannot speak to international policies, nor what is happening in the state of Vermont. But at the national level, the way, the tone, that they US is being perceived, it makes our job critical that we support the students who are here. And that we continue to tell these students who are coming that we are an inclusive community. That we are doing our best to welcome you here. And we will support you once you are here. And this institution is going to be welcoming to international students. [UVM\_04]

And

I'm sure that ....from where I sit in the world, state level policy doesn't interact too much with the work that I am doing. Institutional policy does, but it's more like federal policy that influences the work that I do around the immigration stuff. So, certainly both in terms of the real sense of there are national policies changes around who can get visas and what kind of work authorisations are available and those types of things. That has real impact in terms of who chooses to come or not and what types of benefits they can get and those types of things. [UVM\_05]

### *Micro-dynamics of the university campus*

As in the previous case, while the analysis of the nested layers of policy provided insight into the macro-level structures and relationships in the internationalisation of higher education for this case, and the interviews allowed me to examine the meso-level policy development and implementation processes, looking more closely at how the micro-level interactions affect internationalisation is necessary to have a more complete picture. Again, I use the logic of deliberative ecologies (Mansbridge et al., 2012; Pickering, 2019) as described in the previous chapter to bridge these macro and micro levels of analysis. Extending this logic to the ecology of university campuses, as in previous chapter, it is reasonable to suggest that how a campus is physically set up will affect internationalisation on that campus. Also, as in the previous chapter, observations were used to identify policy/practice disconnects. Observations were conducted on this campus in July 2018 and are summarised in Table 35. These observations provided insight as to how the micro-dynamics of this case's campus was affecting internationalisation. This university had more visible signs of internationalisation than the case in Australia, but not as many as the case in Norway. For example,

- Minimal visible evidence of clubs, art, cultural artefacts visible on campus
- General campus signs in only one language
- Library has high amount of visible internationalisation – signs in multiple languages, journals/newspapers displayed in multiple languages



- No evidence of international partnerships/research visible on campus
- Website showcased research on important international issues
- IEO office space located on the ground floor of a residence hall

The increased visible presence of internationalisation on this campus is both reflecting the university's commitment to the practice as well as facilitating the practice. For example, the co-location of the International Education Office facilitates international student access to support as well as domestic student access to study abroad opportunities.

Campus photo observations



Figure 6 International Education offices and International Lounge located on the ground floor of a residence hall on the UVM campus

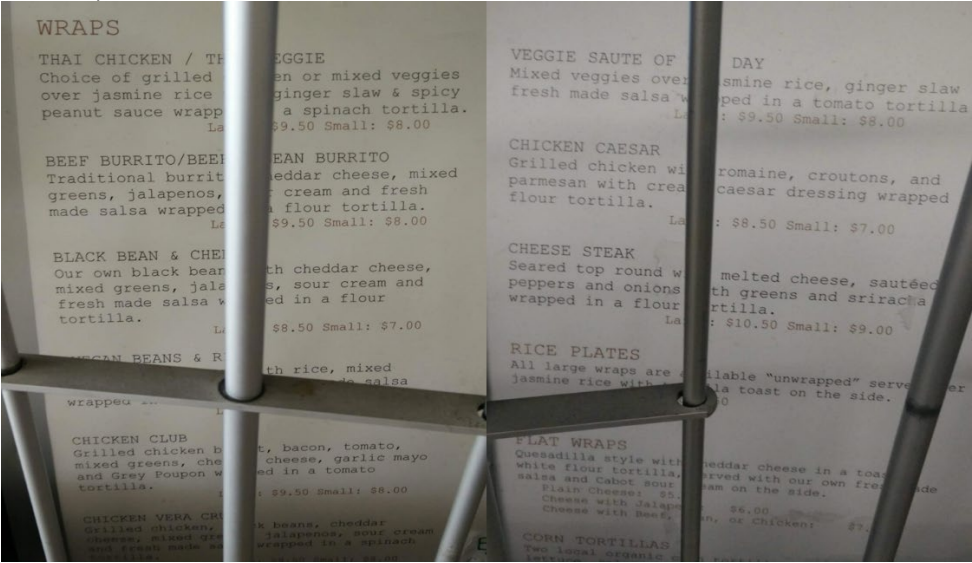




Figure 7 UVM cafe menu showing American food with international influences



Figure 8 UVM campus bulletin board with signs for activities promoting global understanding and study abroad



Figure 9 Academic journals on display in a variety of languages in the UVM library



Figure 10 Newspapers from around the world on display near the entrance to the UVM library





Figure 11 UVM campus bulletin board with sign promoting study abroad and Air National Guard



Figure 12 UVM campus information desk with 'welcome' signs in various languages



Figure 13 UVM campus bookstore with books for language learning, cultural understanding and foreign affairs





Figure 14 UVM external campus signage in English only



Figure 15 Signs posted by City of Burlington, VT near university are bilingual



Figure 16 Signage for waste only in English

While the above figures provide specific examples of visible implementation of internationalisation strategies, Table 35 below provides a summary of internationalisation strategy observations conducted on the UVM campus in Burlington, Vermont. As with the previous case, the same five strategies were sought for observation. In addition, any strategies specifically mentioned in interviews or policy documents for this campus were also sought. In some instances, these additional strategies were observed to be present, in others, they were not. For the university in this case, not all additional strategies mentioned in interviews were able to be observed. For example, it was not possible to access residence halls. Inside common areas buildings, however, it was possible to observe food options at cafes, which were primarily American with international influences, rather than international cuisine such as sushi or curries as observed at cafes in the other two cases.

Table 35 Summary of observations of implementation of internationalisation strategies for UVM campus (July 2018)

Strategies	Description of presence and frequency
<b>Campus Culture/Co-curriculum</b>  Examples: Clubs, art, languages, food, International celebrations,	Minimal visible evidence of clubs, art, cultural artefacts visible on campus, signs in only one language (except one 'no parking' sign), no international flags, no international art, only international education office had flags (in individuals offices), a globe, a "welcome" sign in



Physical/cultural artefacts (Yin 2009)	several languages, interestingly, the IEO office was located on the ground floor of a residence hall, campus map in English
<b>Admissions emphasis</b>	Study abroad opportunities to attract students
Examples: Recruit int'l students, domestic students, mobility	
<b>Research</b>	No evidence of international partnerships/research visible on campus, library has high amount of visible internationalisation – signs in multiple languages, journals/newspapers displayed in multiple languages
Examples: Evidence of int'l partnerships, Research abroad	
<b>Curricula</b>	Spotlight story featuring UVM research on major international issue on homepage of website
Examples: Visible promotion of int'l majors/courses, Website	
<b>Mobility</b>	Major emphasis on outbound exchange and study abroad for students.
Examples: Location of study abroad office, Visible promotion of mobility	
<b>Triangulation (as defined by interviews and policy analysis)</b>	
<b>Other 1:</b> Food options in residence halls	Unable to access residence halls
<b>Other 2:</b> Student body	Non-white students visible, but unable to confirm nationalities

### *University culture*

To better understand how conflicts and tensions can be addressed, it is helpful to understand the organisational culture of an institution. In summary, interviews for this case revealed

- Middle level was committed, effective and communicated well, so internationalisation moved forward to some extent
- Limited external partners involved
- Low awareness of external internationalisation policy
- Participants views on internationalisation similar and similar to institutional level policy; good alignment, no disconnects

All of these factors indicate that the university in this case sits in the first quadrant of Sporn's (1996b) typology of university culture.

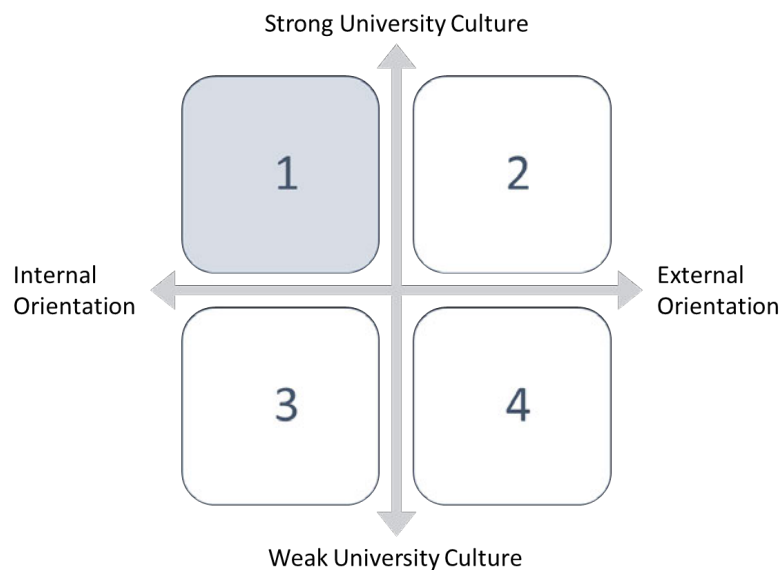


Figure 17 UVM in Sporn's (1996) typology of university culture

To briefly expand, interview participants described an approach consistent with Sporn's

(1996) internal orientation. External stakeholders did not participate in the

internationalisation policy development processes. Staff were somewhat aware of how

external factors could affect internationalisation at UVM, but this was limited to identifying

risks for study abroad programs and international students and understanding visa issues

for incoming international students. For example, one interview participant explained,

Once there are things in the news or there is legislation coming out at the national level, there is an anxiety. These students always come talk to me. We are proactive communicating with the students about anything that has impact on them. When that comes out in the news or in terms of priority, we are communicating with the students about how they are affected or how they are not affected. And what kind of support is available to them. [UVM\_04]

In addition, participants described an internal culture that was stronger than what was

found at the University of Tasmania as described in the previous chapter, but not as strong

as at the Universitetet i Agder, which is described in the next chapter. Participants were

aware of what was happening in terms of international programs in faculties other than

their own and described functional, yet unofficial and reliant on individual relationships,

communication channels between staff in different faculties as well as with the

international education office.

Most interview participants had been at the university for several years. They were not new to their roles or the institution. In addition, communication between the faculties occurred. While there was a lack of communication from the top level of administration, interview participants described good communication at the middle level of the university, which allowed internationalisation to move forward to some extent.

A disconnect was detected between the rationale found in the policy analysis and the rationale found in the interview data. Interview participants indicated that the rationale for internationalisation participants was socio-cultural. While there was a disconnect between the participants' views on rationales for internationalisation and that which was indicated in the policy documents at UVM, the participants views were similar to each other's views. This shows a good alignment among staff; however, it suggests that there may be a disconnect between policy and practice at this university.

### ***Conclusion***

The policy analysis for this case shows that each layer has a separate, distinct rationale. This is different from the other two cases and possibly due to the decentralised nature of education in the United States. However, while the rationales vary by layer, there are themes, such as study abroad, which are carried through the layers. Participants described policy development process were largely consultative, possible transitioning towards the 'involve' section of the participation spectrum. Poor communication and a do-nothing approach at the top levels of leadership were cited by participants as prime barriers for internationalisation. However, despite this, the strong internal culture and good communication amongst the middle levels have facilitated some forward momentum and progress in internationalisation. This university is moving towards sustainable internationalisation.



## **Chapter 6 Case 3: Universitetet i Agder (UiA) [University of Agder]**

### ***Case overview***

Internationalisation is not a new practice in Europe. Klemenčič (2017) argues that Europe has highly internationalised systems and that policy convergence and cooperation deepest in Europe. Norway and its higher education institutions are not exceptions and have a long histories of promoting and practising internationalisation (Birkeland et al., 2013; de Wit et al., 2015; Hüther & Krücken, 2016; Luijten-Lub, 2005; Sundet et al., 2017; Wiers-Jenssen & Sandersen, 2017). In 1971, the Nordic countries entered into a formal agreement concerning cooperation in higher education with a focus on mutual academic recognition. De Wit, Hunter, Howard, & Egron-Polak (2015) point out that the Norwegian government was advocating for the Bologna Process 10 years before it was signed. Additionally, Norwegian universities have long been encouraged by the national government to participate in international research collaborations (Aksnes et al., 2008; Beaver & Rosen, 1978; Frame & Carpenter, 1979) and joint degree programs (Marques et al., 2019). For example, by providing matching amounts of Norwegian kroner for each euro received for research through either EU Framework Programmes or the European Research Council (ERC), a strong incentive is provided to internationalise (Kyvik & Wiers-Jenssen, 2014; Zapp et al., 2018). However, despite this, Norway is relatively underrepresented in the internationalisation literature (Zapp et al., 2018).

While there is a long tradition of internationalisation in Norway, this does not mean that the higher education system has remained static. In the last 25 years, the Norwegian higher education system has undergone a period of significant restructure and reform. The current system is a result of a series of mergers where vocationally-oriented university colleges were merged with traditional universities (Elken et al., 2016; Kyvik, 2004). In 1994, 98

vocationally oriented colleges were combined into 26 new state colleges. This streamlining effort aimed to increase the quality of both academic work by creating more opportunities for collaboration, and administration by creating larger units that were broader in scope (Kyvik, 2002). Also, by merging these institutions, physical resources, such as buildings and libraries, would be used more efficiently. As part of this effort, for the institution which is the focus of this case, Universitetet i Agder, six colleges were merged into one university college in 1994.

Quality reform, which was catalysed in part by the college reform described above, has also been an important area of focus for higher education institutions in Norway more recently. Shortly after the university/college mergers took place, a push for quality reform started. The overall goal of this reform was to “increase efficiency and quality of Norwegian higher education” (Elken et al., 2016, p. 29) and was focused on “the replacement of major national characteristics of the Norwegian system of higher education with international standards and regulations” (Tjomsland, 2004, p. 7). This reform effort, closely linked to internationalisation and the Bologna Process, also sought to facilitate mobility of students, staff and researchers by ensuring the Norwegian higher education structure was compatible with and adapted to European and international systems and trends (Elken et al., 2016). Because of this push, internationalisation was brought to the forefront of university planning in the early 2000s.

One other factor that makes the context for this case distinct from the other two cases in my research is that the cost of tuition for higher education in Norway at public institutions is free. The government believes that access to higher education is an important part of Norwegian society. As such, there are no tuition fees at public universities for both Norwegian and international students alike, which has led to an increase in international

students (Sin et al., 2019b). Alongside courses in English, safety and strong, active partnerships with other institutions abroad, the lack of tuition at public universities has been an attractor and has contributed to the relatively high increase in international students coming to Norway (Wiers-Jenssen, 2019).

The institution that is at the centre of this case is the Universitetet i Agder. This university is a small, rural institution located in southern Norway with campuses in the counties of Vest Agder and Aust Agder. While the institution in its current form is relatively new, officially becoming accredited as a university in 2007, its roots go back to 1839 and the Kristiansand Teacher Training College. This university grew quickly and now has campuses in Kristiansand, Vest Agder and Grimstad, Aust Agder and offers degrees taught in Norwegian as well as degrees taught in English. Prior to becoming a university, internationalisation efforts were underway and were similar to those found at the institution today (Frølich, 2005).

Like the regions where the other cases are located, Aust-Agder and Vest-Agder have seen an increase in the number of refugees settling there. For the period of 2000 to 2017, Aust-Agder has seen the number of persons with a refugee background almost triple from 1,576 to 4,788 and Vest-Agder has more than doubled its population of persons with a refugee background from 4,024 to 9,954 (Statbank Norway, 2018). These increases are significant and must be taken into consideration when examining internationalisation efforts (Avery, Wihlborg, Almualm, Almahfali, & Christou, 2019; van der Wende, 2017).

Also similar to the other two cases, this university is relatively isolated geographically. Norway is on the fringe of northern Europe, the Norwegian language is relatively unknown outside of the Nordic countries and the physical and social climates are not known for being welcoming (Wiers-Jenssen, 2019). The isolation is underscored by extreme geographical

features including mountain ranges, fjords and valleys. This geography has contributed to the development of several mutually intelligible, yet distinct dialects (A. B. Larsen, 1906; Leon, 2014), further emphasising the isolation. That said, the city of Kristiansand, where the Universitetet i Agder is located, is an international port where cruise ships arrive, and ferries offer regular transportation to Denmark. This area has traditionally had an external orientation.

Table 36 below shows an overall profile of the Universitetet i Agder. It is similar in size to the other two universities with approximately 11,879 full time students enrolled in 2015. This university is not included in the all of same rankings lists as the other two universities, however, for the two that do include it, Webometric and UniRank, it is placed similarly to the other two institutions.

Table 36 Universitetet i Agder profile

let / Aguer profile		
Norway Case		
Overview		
Institution		UiA <sup>3</sup>
Location		
	country	Norway
	setting	Regional; Small city
Structure		public
Students and Staff (2015)		
Total students (FTE)		11,879
	PG	29%
	UG	71%
International students		3,458
	UG	45%
	PG	55%
Total faculty staff		777
	domestic	470
	international	316
Rankings		
QS World University Ranking 2018		n/a

<sup>3</sup> Data for Students and Staff from NSD to the Ministry of Education, University and Higher Education Progress Report 2016 . The file was generated on 25.05.2016.  
[http://dbh.nsd.uib.no/dbhnev/dokumenter/internasjonalsisering/tabeller\\_tilstandsrapport.html](http://dbh.nsd.uib.no/dbhnev/dokumenter/internasjonalsisering/tabeller_tilstandsrapport.html)



Webometric 2019		
	world	1046 (5%)
	country	5 (10%)
UniRank 2019		
	world	1364 (10%)
	country	7 (23%)

This chapter will first examine in detail the nested layers of rationales and motivations found in policy documents for internationalisation at the Universitetet i Agder. Then, using data collected through semi-structured interviews and observations, the policy development and implementation processes at UiA are examined. Key themes that emerged from this data are discussed along with barriers to internationalisation for this case, including risks and tensions.

### ***Rationales and context for internationalisation***

Perhaps due to a longer history of internationalisation, there is a body of literature focusing on how international level policies, in this case Europe-wide, translate to the national level in Norway. It is acknowledged by various researchers (e.g. Gornitzka & Langfeldt, 2008; Stensaker, Frølich, Gornitzka, & Maassen, 2008; Zapp et al., 2018) that these larger, overarching policies and frameworks are often translated and adapted to the needs and priorities of each individual nation. Norway is not an exception to the practice. Additionally, because it does not belong to the European Union, Norway does not necessarily adopt EU policies, but rather may create its own parallel policies better suited to its needs. For this case, policy documents from 2000 through 2017 were collected for the following geopolitical layers: international, national, county and institutional.

### *International policy context*

To understand the context for internationalisation at the Universitetet i Agder, we begin looking at the international level of policy. When looking at the international layer of context, it is important to remember that Norway is one of only a few European OECD countries not in the European Union (EU). As such, the international level analysis only contains EU policies to which Norway has specifically become party. The policies of the EU may have an influence on the Norway's political framework, but because Norway is not obligated to ratify EU policies, they are not included in this layer of analysis unless Norway has signed the agreement. The documents included in this layer of analysis are primarily multilateral agreements, along with conclusions and explanatory memorandum. In Table 37 below, the documents analysed are listed in chronological order and primary rationales determined by thematic analysis are indicated for each document. For this geopolitical layer, 16 documents, including revised and amended versions, were analysed. Two additional cornerstone internationalisation policies from 1999, immediately prior to beginning of the defined data collection period, are also included in Table 37 for the purpose of context. These policies are the Bologna Declaration and the Lisbon Convention. The overarching primary rationale for the international layer was found to be educational, with many policy documents focusing on the structures and frameworks for implementing internationalisation initiatives. At this level, the Bologna Process and Nordic Cooperation appear as areas of focus for Norway and key themes include admissions and quality assurance, mobility as a means to cooperation, and leadership.

*Table 37 Relevant international policy documents pertaining to internationalisation with year and primary rationales*

<b>Policy Document</b>	<b>Year</b>	<b>Key Themes</b>	<b>Primary Rationale</b>
<i>Bologna Declaration</i>	<i>1999</i>	<i>Europe of knowledge, mobility, development and strengthening of stable, peaceful and democratic societies, easily readable and comparable degrees, quality assurance, developing European</i>	<i>educational, sociocultural</i>

Policy Document	Year	Key Themes	Primary Rationale
		<i>cultural dimensions</i>	
<i>Convention on the Recognition of Qualifications concerning Higher Education in the European Region (Lisbon Convention)</i>	1999		<i>educational</i>
SOCRATES Phase 2	2000	learning foreign languages, encouraging mobility, promoting cooperation, knowledge, technology, equal opportunities, life-long learning, quality, employability, teaching materials	sociocultural
ERASMUS World	2002	cooperation with third countries, quality education, attractiveness of European education, knowledge, dialogue between peoples and cultures, understanding and tolerance, fostering cooperation, attracting brightest students, prepare to live and work in a global, knowledge-based society, world peace, stability, visibility of and improved accessibility to European education	political
EuroPass (Decision No 2241/2004/EC of the European Parliament and of the Council)	2004	Improved transparency of qualifications and competences, facilitate mobility, quality education, mobility for occupational purposes, framework, guidance, documents, CVs	educational
European Charter for Researchers and Code of Conduct for the Recruitment of Researchers (2005)	2006	generating, transferring, sharing and disseminating knowledge and technological development, value of all forms of mobility as a means for enhancing the professional development of researchers, rights and freedom of researchers, ethical principles, responsibilities, accountability, good practice, working conditions	educational
Life Long Learning	2006	language learning, mobility, exchange, knowledge-based society, sustainable economic development, jobs, social cohesion, interchange, cooperation, innovative content, pedagogies, respect for human rights and democracy, and encouraging tolerance and respect for other peoples and cultures	sociocultural
ERASMUS Mundus	2008	Structured cooperation, promotion of intercultural understanding through cooperation with third countries, quality education, need to step up the fight against exclusion in all its forms, including racism, xenophobia and all forms of discrimination, and to step up Community efforts to promote dialogue and understanding between cultures world-wide, Promoting the teaching and learning of languages and linguistic diversity, contribute to the mutual enrichment of societies, mobility	political
Horizon 2020 - The Framework Programme for Research and Innovation	2011	economic crisis, research, innovation, funding program, create business opportunities, excellent science, industrial leadership, societal challenges, simplification, cooperation	economic
ERASMUSPlus	2013	cooperation, mobility, simplification/end fragmentation, knowledge-based Europe, mobility, equity, study excellence, economies/recovery, help unemployment,	sociocultural, economic

Policy Document	Year	Key Themes	Primary Rationale
		Improved transparency and recognition of qualifications and competences, language learning, excellence in teaching and research, promote intercultural awareness	
Agreement concluded by Denmark, Finland, Iceland, Norway and Sweden on Admission to Higher Education	1996, 2000, 2006, 2009, 2012, 2015	higher education admissions	educational
Nordic Declaration on the Recognition of Qualifications Concerning Higher Education The Reykjavik Declaration (Revised 2016)	2004, 2016	mutual recognition of degrees, partial qualifications and other documentary evidence of educational achievement, cooperation	educational

The political rationale is also present in international level policy documents for this case and can be seen in the ERASMUS policy documents, which are key to internationalisation efforts in the European region. The ERASMUS policy documents, in general, promote mobility but are largely written with a political rationale. For example, in 2002, we see the political rationale used in ERASMUS World here:

...the proposal seeks to improve mutual understanding between peoples and cultures, thus contributing to world peace and stability, and to Europe's legitimate aspirations as a major player on the international scene. (pE29)

This purpose of this policy is to facilitate mobility, which is a strategy associated with sociocultural rationales, within Europe, however, the goal of contributing to world peace and stability, as well as becoming a 'major player', indicate that the motivation for mobility is political.

In ERASMUS Mundus (2008), the next document in the ERASMUS policy suite, we again see the political rationale becoming more central. For example, although this policy aims to promote mobility and participation of third world countries, the language used to describe these ideas largely reflects a political reasoning with a focus on cooperation and workings towards solving world problems. For example,

...promote structured cooperation between higher education institutions and to promote an offer of high quality in higher education with a distinct European added value, attractive both within the European Union and beyond its borders, with a view to creating centres of excellence. (p 340/87)

While all of the policies analysed at the international level cover various aspects of internationalisation, it is worth noting that the first time the term 'internationalisation' is specifically mentioned in this suite of documents is in ERASMUSPlus in 2013. The policy, builds on the 2006 Life Long Learning policy, states it aims to

...to foster quality improvements, innovation excellence and internationalisation at the level of education and training institutions, in particular through enhanced transnational cooperation between education and training providers and other stakeholders. (p 347/57)

In addition to the mention of internationalisation, it is worth noting the idea of 'quality' is present here. Other research has also identified 'quality' as an important theme in Norwegian internationalisation policy documents. Birkeland et al. (2013) analysed 36 internationalisation strategies from universities in Norway and found that there was a strong focus on 'quality' as well. While the defining characteristics of quality varied, the most common use was using international recognition as a stamp of quality.

Moving beyond the ERASMUS suite, Nordic cooperation is another important topic in the policy documents at this level. Official cooperation between the Nordic countries is one of the most comprehensive regional partnerships in the world; this includes working together in higher education and is evident in two different sets of policies. Upon updating the 2004 Nordic Declaration on Recognition of Qualifications Concerning Higher Education (the Reykjavik Declaration) in 2016, the Nordic Council of Ministers for Education and Research (2016, p. 1) emphasised that

The Nordic region is an open area in terms of education, training and the labour market. Nordic co-operation in these fields is broad, deep and unique, and must be maintained and extended.

This is significant as the signing of this latest version continues a long tradition of cooperation and coordination in Nordic higher education. This particular policy has its roots in the Agreement on Cultural Co-operation of 1971 and has been revisited and reaffirmed on multiple occasions over the decades. Likewise, the Agreement Concluded by Denmark, Finland, Iceland, Norway and Sweden on Admission to Higher Education, which was originally signed in 1996 with amendments adopted in 2000, 2006, 2009, 2012 and 2015 demonstrates a solid history of Nordic cooperation in higher education. This agreement allows for students in any of the Nordic countries to easily apply for admission to higher education in any of the Nordic countries (Nordic Council of Ministers for Education and Research, 2015). While both of these policies facilitate mobility, a practice associated with a sociocultural rationale, and cooperation, a concept associated with a political rationale, their main purpose is to set up frameworks for programs, giving them an educational rationale.

While the overall dominant rationale for the international level in this case is educational, as it is in the other two cases, that a political rationale can be seen is not unexpected and is, in fact, reflected in all of the following layers of policy. It is the main rationale in the national, county and institutional layers.

#### *Norwegian national policy context*

The next geopolitical layer of policy examined in order to understand internationalisation at the Universitetet i Agder is the national layer. In this layer, 11 policy documents (Table 38) were analysed and the dominant primary rationale was found to be political. Areas of focus for the documents at this level include building a knowledge society, cooperation, research, peacemaking and aid, all of which are consistent with the political rationale. These findings are similar to a Norwegian Centre for International Co-operation in Education (SIU) study

conducted by Birkeland et al. (2013), which analysed internationalisation strategies and action plans at 36 Norwegian universities and colleges. They found that prominent themes in the internationalisation strategies included cooperation, research and quality, all of which are associated with a political rationale.

The concept of internationalisation was introduced relatively early in this layer with the 1989 policy document *Unlimited learning: Reception of foreign students, student exchange and internationalization* (also included in Table 38 for context). In this policy, the value of immigrants and refugees is discussed, but in this case, the term 'value' is not used in an economic sense, but rather in a sociocultural sense as seen in this phrase, "Immigrants and refugees represent a value both socially, culturally and educationally." (p. 4).

*Table 38 Relevant national policy documents pertaining to internationalisation with year and primary rationale*

<b>Policy Document</b>	<b>Year</b>	<b>Key Themes</b>	<b>Primary Rationale</b>
Unlimited learning: Reception of foreign students, student exchange and internationalization	1989	mobility, need for structure, cooperation, awareness of values, importance of knowledge, how to attract international students, benefits of international cooperation, education as an aid policy instrument, assessing academic qualifications from abroad, use competencies from abroad, foreign students as knowledge resources, visas, support for Norwegian students abroad, administrative and economic consequences, economic support for incoming students	sociocultural, political
NOU 2000: 14 Freedom with LIABLE On higher education and research in Norway Ch 18 and 19	2000	importance of knowledge, knowledge society, global issues, intellectual resources, cultural capital, cultural value, global citizens, Education as a basis for international communication, learning and problem solving, mobility, quality assurance, research-based education, commitment to internationalisation at institutional level, exchange, cooperation, research, peacemaking, aid, current lack of focus on labour market, industry and the link between higher ed and business	political, sociocultural
Report No. 27 (2000-2001) to the Storting Do your duty - Demand your rights	2001	mobility, harmonising degree names, cooperation, helping developing countries, outbound mobility, contribution of foreign students and academics to Norwegian educational and research, peace work, humanitarian work, quality of research, higher ed contribution to building labour force, division of labour, organization of universities, academic and financial freedom, quality assurance, funding models, management models	political, educational

Policy Document	Year	Key Themes	Primary Rationale
Report No. 14 (2008–2009) to the Storting Internationalisation of Education in Norway	2008	education for everyone, better society, cooperation, internationalisation at home, mobility, exchange, quality, relevance, outbound mobility, comprehensive internationalisation, aid and development, support for and importance of Norwegian students studying abroad	political
The Research Council of Norway: Strategy for International Cooperation 2010 - 2020	2010	global challenges, cooperation, quality, mobility, infrastructure, international knowledge production, partnerships, innovation, global knowledge pool, boost competitiveness of Norway trade, world class research, administration	political
NORDPLUS Program 2012-2016	2011, 2014	cooperation, exchange, language learning, cultural understanding,	political, sociocultural
The Norwegian Qualifications Framework for Lifelong Learning (NQF)	2011	Qualifications, quality assurance, standards, life-long learning,	educational
North America Strategy for Higher Education Cooperation 2012–2015	2011	innovative knowledge, research cooperation, mobility of students and staff, recruitment, government collaboration, institutional partnerships, common challenges, research, global community of knowledge	political
Evaluation of NORDPLUS 2012-2016	2015	mobility, partnerships, projects, administration, organisation, management	educational
Panorama Strategy for cooperation on higher education and research with Brazil, China, India, Japan, Russia and South Africa (2016–2020)	2016	cooperation, research, new knowledge production, enhancing the quality and relevance of Norwegian education and research, supporting broader foreign policy, development policy and/or trade and industry policy interests, improving resource utilisation, global labour market, student exchange, financial benefits, quality, relevance, reciprocity, long term perspectives,	political, economic
Internationalisation for all SIU's strategy 2017 – 2021	2017	quality, globalised society, labour market, cooperation, Norway as a knowledge nation, global issues, intercultural competence and interpersonal understanding	political, economic

Not only is the rationale largely political, at this level, it is made quite clear that an economic rationale should not be used. For example, Part 3 of the 2001 *Report No. 27 (2000-2001) to the Storting Do your duty - Demand your rights* states, "the Ministry emphasizes that universities and colleges core business should not be considered as commercial services" (Norwegian Ministry of Education and Research, 2001, p. 12) and "educational institutions are not and should not become commercial enterprises based on economic earning capacity" (Norwegian Ministry of Education and Research, 2001, p. 10). This is consistent



with Zapp et al. (2018) who note that when translating and adapting general international level education policies that refer to a 'knowledge economy', Norwegian level policies consistently edit this to 'knowledge society', removing the economic theme.

As with the other documents at the level, in *Report No. 14 (2008–2009) to the Storting: Internationalisation of Education in Norway*, a political rationale can be seen. The idea of creating world understanding and developing global problem focused curricula, which are associated with a political rationale, is clearly described in this document. For example,

The internationalisation of education should add more relevance in terms of the needs of working life and society through developing courses and programmes. The education provided should lay the foundation for our ability to meet the challenges and opportunities that arise from globalisation and increased international interaction. (Norwegian Ministry of Education and Research, 2009, p. 3)

In this same report, we see the concept of comprehensive internationalisation emerge.

...internationalisation is not just about student and teacher mobility; it is also about integration of an international perspective in all areas of activity: in the place of study and employment, throughout the entire organisation and in the institution's management. Besides integrating international perspectives into study programmes and curricula, internationalisation also entails cooperation across national boundaries on the development of common study programmes, common grades and courses and professional development. (Norwegian Ministry of Education and Research, 2009, p. 13)

The political rationale continues to be dominant in The Research Council of Norway: Strategy for International Cooperation 2010 – 2020 (Research Council of Norway, 2010, p. 1) which states "The world community must work together to find solutions to global challenges." An emphasis is placed on cooperation and conducting research that addresses world issues.

Another example of this can be seen in the same document,

...increased international cooperation is required to enhance the quality of Norwegian research, obtain knowledge from other countries, develop the welfare society and increase value creation, as well as to ensure that Norway can contribute its part to expanding the global knowledge pool. (p3)

The document continues on with unequivocal statements in support of Norwegian leadership and development,

It is crucial for Norway to maintain a strong research sector, both as a bearer of its cultural traditions and as part of the foundation for knowledge and expertise in all segments of society. (p4)

This approach, action for the benefit of Norway and all society, is common in policy documents at the national level. It captures the essence of the Norwegian approach to education and demonstrates Norway's rationale to internationalisation.

#### *Aust/Vest-Agder county policy context*

The next level that we look to in order to understand the policy context for internationalisation at the Universitetet i Agder is the Aust-Agder county level. The county level is the closest jurisdictional equivalent to the state level in Australia and the United States. Two policy documents (Table 39) were analysed at this level and they were both found to have political primary rationales with areas of focus including cooperation, quality of life, increasing global understanding and leadership.

*Table 39 Relevant county policy documents pertaining to internationalisation with year and primary rationales*

<b>Policy Document</b>	<b>Year</b>	<b>Key Themes</b>	<b>Primary Rationale</b>
International Strategy for Agder: Creative Energy	2010	exchange, friendship cooperation, sustainability, inclusion, innovation, competition, dynamic cultural life, attractive, equipped to meet global challenges, global solidarity, cooperation, support/assistance, using skills immigrants bring, language learning, mobility, increase understanding, using internationally available knowledge to stimulate regional development, raising of competence levels and lifelong learning	Political, sociocultural
Regional Development Plan Agder 2020	2012	quality of education, improve knowledge and cooperation, perform well, education as means of increasing start-ups, companies performing well due to education, motivation, competence, innovation, knowledge development, entrepreneurship,	Political

In this case, the county developed an international strategy in 2010, International Strategy for Agder: Creative Energy, which included a section on education. As in the national level documents, there is a strong political rationale seen throughout the policy documents at

this level. While there is a focus on regional economic growth, there is a recognition that education and research, associated with a political rationale, are key in making this happen. Similar to the national level, the county sees education and research as a way to enhance cultural life. For example, the document states,

Education and research are also important pre-requisites for an internationally competitive business sector and for a dynamic cultural life - also perceived as attractive from abroad. (Aust-Agder County Council & Vest-Agder County Council, 2010, p. 8)

And then later,

The region is actively using internationally available knowledge to stimulate regional development, raising of competence levels and lifelong learning. (Aust-Agder County Council & Vest-Agder County Council, 2010, p. 9)

And again,

Through utilising the competence of foreign cooperation partners and immigrants, the region has built a more health promoting, equal, socially inclusive and participative society. (Aust-Agder County Council & Vest-Agder County Council, 2010, p. 12)

With a consistent focus on using education to improve society and promote equality and inclusivity, these statements show that the county is taking an approach to regional growth that is consistent with a political rationale.

In the follow-up document to the 2010 strategy, the *Regional Development Plan Agder 2020*, which also has a political rationale, the theme of knowledge building and using internationalisation to build local competence is present again. In a chapter titled,

“Education: Value creation based on knowledge” the document states,

...our region should actively exploit the opportunities available in EU programmes and our partner organisations in order to boost our level of competence and to exert influence. (Aust-Agder County Council, 2012, p. 17)

The county expresses its desire to boost its position as a ‘knowledge-community’ and to lead by example. The emphasis on leadership and exerting influence in this chapter is indicative of a political rationale.

### *University internationalisation discourse*

In the final layer of policy, the institutional level, six policy documents were analysed (Table 40). The primary rationale for internationalisation at this level was found to be political. This is consistent with results from Frølich (2006) who found that an economic justification was not the reason for internationalisation at higher education institutions in Norway. It is also consistent with Kristensen & Karlsen (2017, p. 1), who found that Nordic technical universities, including the Universitetet i Agder, sought to internationalise “in order to increase quality in research and education, and to establish strategic partnerships and networks”, which aligns with the political rationale in Maringe, Foskett, & Woodfield's (2013) typology.

*Table 40 Relevant institution policy documents pertaining to internationalisation with year and primary rationales*

<b>Policy Document</b>	<b>Year</b>	<b>Key Themes</b>	<b>Primary Rationale</b>
UiA Erasmus Policy Statement	2009, 2012	internationalisation at home, mobility, collaboration, improving academic quality, increasing international recognition, involvement in global challenges, partnership/cooperation with universities in low- and middle-income countries, global responsibility and contributing to sustainable societal development, innovation, entrepreneurship, knowledge alliances	political
UiA Language Policy Guidelines	2013	cultural-political responsibility, language learning, Norwegian language, English language, language of instruction/publication,	sociocultural
Erasmus Charter for Higher Education 2014-2020	2014	mobility, support for inbound/outbound students and staff	sociocultural
UiA Strategy 2016-2020	2016	cooperation, co-creation of knowledge, global issues, cooperation, dialogue and mutual cultural development, global mindset, UiA as significant actor in society at large, quality research, talented researchers, enrichment, openness, mutual cultural development, providing answers to global challenges, global south	political
UiA Faculty of Humanities and Education Action Plan 2017-2020	2017	strengthen the sense of democracy, human rights and sustainable development, student-teacher mobility (outbound), internationalisation at home, partner for challenges related to integration, immigration and diversity	political
UiA University plan for increased collaboration with African institutions in	2017	academic collaboration, cooperation, partners, student and staff mobility, promote sustainable development, contribute to strengthening	political

Policy Document	Year	Key Themes	Primary Rationale
research and higher education		capacity at UiA and Africa, research and projects to focus on societal challenges	

### *Key university level themes*

The documents at this level emphasise global problem-focused research and curricula, collaboration, and aid and development. Notably, the university in this case has elected to include internationalisation as one of the three main goals in its strategic plan, rather than having a separate, stand-alone plan. This goal is referred to as ‘Global Mindset’ and is intended to permeate all aspects of the university. In the strategic plan, the rationale for internationalisation is political. This can be seen in the statement below.

Global issues will be integrated in both study programmes and research. In both national and global cooperation UiA will present research at a high international level. This is one of the preconditions for being able to offer excellent education and for maintaining our role as a significant actor in society at large. (Universitetet i Agder, 2016, p. 3)

The emphasis on global issues, cooperation and leadership in society are consistent with the political rationale. A commitment to a comprehensive approach to internationalisation is indicated in the first sentence and then, in the following sentences, a justification is given that culminates with the university serving as a major player influencing society. The action or strategy that will be used to achieve this is ‘cooperation’, another key element of the political rationale.

In addition to the strategic plan, the University of Agder ERASMUS Policy Statement, which was first developed in 2009 and then revised in 2012, is another key policy document for the university. Here the main topic is mobility, an internationalisation strategy associated with sociocultural rationales. However, the reasons given for supporting ERASMUS and mobility are political, with a goal of excellence in research and addressing global problems as seen in the following quotes:

The main vision is to be a strong driving force in the region, possessing nationally significant and internationally respected educational programmes and research environments. (p1)

And

UiA has two major perspectives on internationalisation - a comprehensive collaboration with the best universities in various parts of the world, aiming at improving academic quality and increasing international recognition, and, second, involvement in global challenges through a long-lasting partnership and cooperation with universities in low and middle income countries (LMIC) in the South and East as well as BRIC-countries in order to contribute to building competence and capacity for development. (p1)

Finally, and most recently, UiA has developed a plan for increased collaboration with African institutions in research and higher education, *University Plan for Increased Collaboration with African Institutions in Research and Higher Education 2018-2021* (Universitetet i Agder, 2017). Again, this document indicates a political rationale for internationalisation. For example,

The University of Agder will mobilise resources including, but not limited to, local project development support in order to enhance larger research and education activities in the following six areas, reflecting general societal challenges and the research capacities and interests of the university: [innovation, education, social and economic development, health, sustainable development, and culture, arts and music]. (Universitetet i Agder, 2017, p. 3)

This plan emphasises collaboration and cooperation between UiA and several African countries with an overarching goal of strengthening capacity of both UiA and partner universities in Africa. In addition to this, the document indicates that researchers from partner institutions will be invited to participating in developing syllabi for classes taught at UiA. This demonstrates a comprehensive approach with not only teaching and curricula being considered in addition to research, but also that a collaborative approach is being used. The political rationale is reflected in these goals and strategies for action.

#### *Gaps in university discourse*

The university in this case had the most comprehensive view of internationalisation of all three universities studied. Hudzik (2011, p. 10) describes comprehensive internationalisation as “a commitment, confirmed through action, to infuse international

and comparative perspectives throughout the teaching, research, and service missions of higher education.” The institutional policy documents for this case address all three of these aspects.

Furthermore, unlike the other two universities, this university intentionally aspired to comprehensive internationalisation, electing to have one of three overarching goals in the university’s strategic plan, focus entirely on internationalisation rather than having a separate internationalisation plan. By incorporating the concept at this level, a foundation is set for the practice to be included in all aspects of university planning and development. Internationalisation, thus, becomes an institutional imperative. This is not a new idea, but it is not often implemented. Rudzki (1995) advocated for universities to be proactive and deliberately take an integrative, strategic approach to internationalisation, and Knight (1994) explained that when universities are able to include internationalisation into their strategic plans, the concept will become institutionalised and implementation will be facilitated. Almost twenty years later, (Hénard et al., 2012, p. 41) similarly suggested that in order to optimise the implementation of internationalisation, universities should take a strategic, participatory approach and clearly “articulate how internationalisation is expected to enhance the institution’s main mission(s).” By incorporating internationalisation into the strategic plan as one of the main goals, the university in this case has accomplished this.

#### *Relationship between layers of policy*

There is a strong connection of consistency between the layers of policy for this case. This may be due to strong Norwegian norms (Zapp et al., 2018). When looking at all of the geopolitical layers together (Table 41), it is possible to see that the national, county and institutional levels strongly align with the political rationale, while the policy documents in the international layer tend to have an educational rationale. Towards this end, Elken (2016)

and Zapp et al. (2018) point out that although the policies in the international layer are intended to steer practices within nations, each level that the policy passes will conduct its own translation and interpretation of that policy and tailor it to meet regional or local priorities. As such, there can be considerable variation in how a European policy is taken up at the national level and the institutional level (Stensaker et al., 2008). However, Birkeland et al. (2013) found in their examination of Norwegian university internationalisation strategies that there was a strong sense of integration between policies and that there was an emphasis on having internationalisation infuse the whole institution at the universities they studied. This suggests that what is seen in the Universitetet i Agder documents may not be unique for Norwegian universities.



Table 41 Overview of geopolitical layers of policy documents by year with primary rationale

Year	International	National	County	Institutional
1999	educational, sociocultural			
	educational			
2000	sociocultural	political, sociocultural		
	educational <sup>a</sup>			
2001		political, educational		
2002	political			
2003				
2004	educational			
	educational <sup>b</sup>			
2005				
2006	educational			
	educational <sup>a</sup>			
	sociocultural			
2007				
2008	sociocultural			
2009	educational <sup>a</sup>			political
2010		political	political, sociocultural	
2011	economic	political		
		political, sociocultural		
		educational		
2012	educational <sup>a</sup>		political	political
2013	sociocultural, economic			sociocultural
2014		political, sociocultural		sociocultural
2015	educational <sup>a</sup>	educational		
2016	educational <sup>b</sup>	political, economic		political
2017		political, economic		political

<sup>a</sup> Agreement concluded by Denmark, Finland, Iceland, Norway and Sweden on Admission to Higher Education

<sup>b</sup> Nordic Declaration on the Recognition of Qualifications Concerning Higher Education The Reykjavik Declaration

### Summary of policy analysis

The multi-layered contextual analysis developed and applied in this case study have revealed the influence of national and local/state policy settings on an institution's policy development and sets the stage for a better understanding of the enablers and barriers of internationalisation practice at the institution. Policy documents are powerful in that they state and set the intention of an institution (Childress, 2009; F. Fischer et al., 2007). In this

case, there is a clear alignment between the layers of policy with a political rationale dominating the national, county and university policy documents. However, it is not possible to understand whether there is alignment between policy intentions and policy implementation by examining policy documents alone in this case. To understand whether there is consistency between policy documents and action, it is necessary to conduct further research.

In terms of future research focused on rationales for internationalisation in Norway, it would be beneficial to further investigate the apparent strong linkages between the layers of policy. Is it due to strong Nordic norms, another cultural characteristic, governance structures or something else entirely? Within Norway, Frølich (2005, p. 25) found that it was difficult to determine whether the “justifications for the policies are a result of the national policy rhetoric or a reflection of the academic ideology of inherent, borderless communication.” This is an area that requires further investigation.

### ***Institutional policy development and implementation***

Understanding the context in which a university is internationalising only provides partial insight into how decisions are being made and implemented. As in the previous cases, to further understand how policy is developed and implemented at UiA, semi-structured interviews were conducted with key academic and administration staff. Through the course of semi-structured interviews several key themes emerged for this case. These themes were much broader in scope than in the other two cases and included mobility, the importance of best talent, research as an inherent part of internationalisation, internationalisation at home, the importance of languages, effective, enthusiastic, committed, leadership, and the reliance on individual internationalisation champions.

### *Processes and participation*

When asked about the development processes for UiA internationalisation policy, interview participants indicated that overall, the processes were participatory and that there was a shared vision for internationalisation amongst university staff. For example, one participant said

We try to be pretty bottom-up here. We have some issues that we want to raise from the central leadership position, but we try to really anchor policy decisions out in the faculties, work with the deans and institute leaders to make sure we really understand this. [UiA\_08]

And another stated,

There are multiple organisational structures (to support internationalisation). There's one at the college level and only for the ones that are really active, like the business school. There's one at the university level and then on top of that you have the Office of Internationalisation which also, includes ERASMUS... And again, college by college they make the decisions. So, we make decisions whether we want to do Asia. Where do we want to be in Asia? And that's decentralised because what would the central administration really know about the business needs in Asia, for example. There is an internationalisation plan for the whole university, but it's a very general...I was part of the committee that did that. It's a very broad stroke type of approach. For example, internationalisation at home, for example operationalising how to make it easier for international faculty or international students. [UiA\_01]

And another,

The main focus is in the faculties. The administrative support is shared... And we try, of course, to collaborate. [UiA\_03]

And a fourth explained,

There is not one person who decides this is where we are going to move or focus, and these are the countries that we will be looking at. I was part of developing the strategy and there was a strong consensus that people did not want to have a top down strategy. They want to continue working in the areas where they are good in. [UiA\_06]

One participant described the policy development process as 'top-down', but still went on to describe an inclusive, participatory effort that involved staff from various faculties and project groups that are taking action to implement internationalisation.

There has been a huge strategy process at this university since the new rectorate was selected last year. And one of the important things for them was to build a new strategy for the university for the next several years and internationalisation has been a very important part of that strategy. It has been a very top-down process, but the management has been very preoccupied with involving the organisation in developing this strategy into an action plan. So, I think that the management of the university has strived to involve the university more than the previous ones that I have witnessed anyway. We are still in the process and I

don't know how well it trickles down through the organisation, but hopefully there will be more of a feeling of ownership this time than with the previous strategies.

For the internationalization part of the strategy, it was very complex, and I don't know all of them. After several hearings, the strategy was accepted by the board. Then it was broken down into different action strains. And one of those was Global Mindset. And the development of that part has been very much broken down into different project groups. One is communication with the rest of the world, and it has to do with our communication platforms like the webpage. And different project groups on the actions connected to mobility, developing programs in English for international applicants. There are different groups working on those subsections. There has been a lot of mapping of the different activities going on. There is a project management group to keep track of all of the projects and make sure we keep up to speed and meet all of the deadlines. It is a process that involves quite a few people, both centrally and the different faculties. [UiA\_07]

A sense of teamwork was present in interview participants' responses. Rather than speaking as individuals or for their specific area of the university, participants often used the words 'we' and 'our' to describe who was involved in the planning and implementation of internationalisation, indicating an inclusive process and environment. For example, one participant described,

The vice rector is driving the process and we have a strategy in place, the Global Mindset. ... So, this will be a document that we present to the university board. But this is a long process because we have to talk to different parts of the organisation to make sure that we define the right stakeholder groups. [UiA\_02]

And another said,

With our strategy that is our current strategy, we had a very wide process where everyone, in principle, could participate. We had a lot of workshops and we had websites where you could give feedback and we had working groups, etc. [UiA\_03]

And another,

This time the difference was that we were able to get people engaged at a much wider level. So, everybody felt that this was *our* strategy, not just something that was coming from the top and we had to go in and check the box. And so, the ownership to what we were going to do, I believe, is much wider now than it was before. [UiA\_03]

And a fourth explained,

The work of our strategy was very inclusive with workshops and meetings and hearings. There were a lot of events for including everyone at the university. It was primarily internal. I think we had one workshop with external people. I think people were happy with the process. [UiA\_05]

In this case study, the university policy development processes described by the interview participants for internationalisation appear to be collaborative (Table 42). Because Norway

traditionally has traditionally been found to practice decision-making processes marked by consensualism (Bleiklie & Michelsen, 2013), this is not surprising. A range of staff are involved in the developing policies and making decisions and they all feel their voices have been heard. Participants describe an environment where various parts of the university work together. Recommendations and advice were incorporated into the overarching plan and then, certain policy decisions are decentralised and left up to the faculties.

*Table 42 Levels of community participation modified from International Association for Public Participation (2018)*

Level of participation	Inform	Consult	Involve	Collaborate	Empower
<b>Participation goal</b>	To provide the public with balanced and objective information to assist them in understanding the problem, alternatives, opportunities and/or solutions.	To obtain public feedback on analysis, alternatives and/or decisions.	To work directly with the public throughout the process to ensure that public concerns and aspirations are consistently understood and considered.	To partner with the public in each aspect of the decision including the development of alternatives and the identification of the preferred solution.	To place final decision making in the hands of the public.
<b>Promise to university community</b>	We will keep you informed.	We will keep you informed, listen to and acknowledge concerns and aspirations, and provide feedback on how public input influenced the decision.	We will work with you to ensure that your concerns and aspirations are directly reflected in the alternatives developed and provide feedback on how public input influenced the decision.	We will look to you for advice and innovation in formulating solutions and incorporate your advice and recommendations into the decisions to the maximum extent possible.	We will implement what you decide.

Increasing level of participation and impact on decision



### Key themes

There was broad range of key themes regarding internationalisation identified at this university. Unlike the other two universities, this university did not have one or two main overarching themes. Rather, participants spoke about many aspects of internationalisation including research, mobility, the importance of best talent, internationalisation at home and leadership. These themes and their significance are described below in more detail.

### Research

Most interview participants mentioned the important role research plays in internationalisation, both in terms of the inherent international nature of research and research as a means of reaching the goal of internationalisation. Participants recognised

that international research partnerships strengthened the research itself, but that research was also used as a quantitative measure of success for internationalisation. For example, one participant said,

I think research is international. There are no borders for knowledge, so you really can't be a university in good standing without being international from my perspective. It's not really a strategic choice, it's just an absolute necessity. The strategic end of it is how aggressive we are and how we achieve certain things. It's not a choice. That's one side on the research end, there are no borders. We operate in a global ecosystem. Over half of all of our research publications at this institution, and also in Norway, have co-authors from other countries. So that's a good example of the ecosystem works. We need to be active and facilitate our researchers. A great deal of the internationalisation process is bottom-up, ad-hoc. It's the scholars that find partners. We don't drive that, we support it. [UiA\_08]

And another stated,

Everything that research has to do with in its nature is international. [UiA\_05]

And a third said,

Research is very important. We want to have strong international research. We want to have grants and to collaborate with international institutions. That is number 1. Number 2 is that we want to have the best international faculty. To attract the best brains to UiA. Number 3 would be to attract the best students. [UiA\_02]

Internationalisation was also seen by interview participants as a means to reach the goal of high-quality research and education. One participant explained,

Our goal is to have research and education of high quality. And internationalisation would be part of reaching this goal. By having international collaborations, we can have good research projects, good publications, external funding, good research education. [UiA\_05]

And another described their view on the global nature of research:

...we think that the research doesn't know any country boundaries. It is global. And if we want to contribute globally, we have to think and interact globally. So that is the main argument for our institution. To enhance the education for our students and to enhance our research. [UiA\_03]

#### *Mobility*

Interview participants identified mobility as important for both staff and students. Where the University of Vermont focused primarily on outbound student mobility, the interview participants at this university considered both incoming and outgoing mobility. Participants described the value of being able to travel both for their own research and careers. In

addition, they placed a high value on both Norwegian students being able to study in other countries in order to broaden their own learning and also to bring that learning back to Norway and enrich the classroom experience for other students. The merit of having students from other countries coming to study at UiA and internationalisation at home was also described by interview participants. This was the only university studied where participants placed equal value on student and staff inbound and outbound mobility. For example, one participant said,

In the last five weeks I've been in five different countries. So, I'm still fairly mobile internationally. That makes it easy for me to be interested in the internationalisation process. [UiA\_08]

And another explained that there was funding available for students, academic staff and administrative staff to go abroad.

...we have established two sets of criteria for funding if you are a PhD student if you want to go abroad to network with other researchers, you have to stay for more than one month and up to three months and this year we have 12 people who are travelling on these funds. It's for enhancing our international networking and research collaboration. We also have another set of criteria – it's for extra funding for the ERASMUS+ program. It's for teaching and training. Teaching for academic staff and training for the administrative staff. If you want to go with ERASMUS+ then you get 4000 extra so that you don't get in loss economically. [UiA\_03]

And another participant described how they see student mobility as a strength.

We have been successful when it comes to internationalisation for student mobility. We have been doing well in that area for many, many years...Just last week we were awarded the ERASMUS award for 2017 that is run by SIU. Meaning that we have been active and succeeding in many areas of EU funded internationalisation. It means student exchange, staff exchange, EU projects for research and study, global mobility (taking exchange outside Europe). [UiA\_07]

In addition to outbound mobility, participants spoke about the benefits of inbound mobility and internationalisation at home. They described how students and faculty from other countries enriched both the classroom and research experiences on campus. For example, one interview participant explained,

It's certainly enriching for our educational mission. Bringing in students and faculty exchange is very enriching for our students. Economically, that's not the main motivation for us, but we believe it makes us a better institution. [UiA\_01]

And another said,

...it enhances our ability to give a good education, when we get students here and get staff who are international, this will have a positive impact in the research area, of course, with partners, we think that the research doesn't know any country boundaries. It is global. And if we want to contribute globally, we have to think and interact globally. So that is the main argument for our institution. To enhance the education for our students and to enhance our research. [UiA\_03]

Overall, the staff interviewed at the Universitetet i Agder articulated a broader view of what mobility encompassed than those at the other two universities in my study.

#### *Importance of best talent*

Another theme that came up in several interviews was the importance of 'best talent'. This applied to both academic staff and students. In the case of students, this theme was closely linked to free tuition, which is described later in this chapter. One participant stated,

We recruit from an international market. So therefore, we are quite motivated to be international. We have literally hundreds of cooperative partners at various levels from project to single scholars to institutional partnerships. So, internationalisation is critical for our research mission, our recruitment mission, to bring in the best possible scholars. [UiA\_08]

And another said,

So, one of the chapters of the strategy is that we make sure we get a stronger presence on the international level. That we strengthen our cooperation to partner universities and that we are an attractive institution to the right researchers, guest lecturers and administrative staff. So, we want to attract the best talent to the university. Not only on the staff level, but on the student level. [UiA\_02]

And a third participant explained that this desire to attract the best talent extended to the community outside of the university as well.

I work a lot with the Kristiansand municipality. And they have a theme that we want to attract the best talent, international talent. So now we sit, and we have a common project, The Talent Ambassador Program. What I love about this region is we know we have some hinders, we are not as big as the Oslo region, but the people want to have the best talents coming here. I think it is very positive. [UiA\_02]



### *Importance of Language*

Interview participants often mentioned the use and prevalence of English, in addition to Norwegian, at this university. Participants explained that most people on campus were likely to speak English fluently and that bilingualism was seen as a necessity in Norwegian academia.

You will see signage and English being used. Everybody probably speaks English fluently. [UiA\_01]

The prevalence of English was seen as both a positive and a negative.

In a small country like Norway, there is a certain fear that you are losing your identity. So, we have a university decision that Norwegian is still the working language. And that is kind of protectionist. Because more and more of the daily work is in English and bilingualism is a necessity that's not as clear perhaps in Australia or the United States. So that is a threat. It can be scary for some to be pushed more and more into working in a second language. So that's a negative. It's just a reality that we have to find a balance between our identity as a regional university that is in Norway and will be in Norway versus, or in addition to, being globally engaged. [UiA\_08]

And

We try to give more courses in English. Although this is not panacea, but this has been misunderstood by the management. They think that as long as we have English courses, then we will have students coming here. [UiA\_04]

This was unique to this case, possibly because it was the only case where English was not the country's primary language.

### *Holistic Approach*

Hudzik (2011, p. 6) promotes a holistic, or comprehensive, approach to internationalisation, meaning that internationalisation should be infused throughout "teaching, research, and service missions" of an institution. When asked whether they thought the Universitetet i Agder had a holistic approach to internationalisation, most participants responded affirmatively and went on to describe why they believed this. For example, one participant explained,

Yes, holistic, absolutely. Because there are so many things. There are so many moving parts. You have the students and the faculty and the curriculum. And all of those things are important for different people. [UiA\_01]

And another said,

I think it is a holistic approach. One of things we are trying to do is to link education to research. Don't let them go off on separate tangents. Where possible, try to strengthen education programs by aligning them with the research programs. It helps us in our recruitment, it helps us obviously from the budget perspective – you use your money more effectively. If we can identify partners that are for student exchange and research, then that is positive. [UiA\_8]

And a third described the intent to have a holistic approach,

I think it is the intention to have a holistic approach and to involve as many as possible to anchor it in the organization. [UiA\_07]

One participant stated that they did not think the approach was holistic as of yet, but then went on to describe a situation where the intention was there, but that the approach to internationalisation may differ, and justifiably so, for different areas of the university.

Not yet. And I'm not sure whether it would be a good thing either. When we did the reorganisation, the idea was to have internationalisation be part of everything we do. It should be integrated into education and research. I think that could be a good thing. But it means that the research path might be developed differently than the education path. [UiA\_05]

For an approach to be holistic, it does not need to be executed in the same manner across the university. Towards this end, Hudzik, (2011) explains that there are a diversity of approaches to internationalisation and an approach should be chosen that is consistent with its missions, programs and resources. Given this, it should be expected that the paths may be different for research and teaching, for example.

### *Enablers, barriers and risks*

In order to understand impediments to internationalisation and potential ways forward, participants were asked about barriers, risks and enablers for internationalisation at UiA.

The themes that appeared in this section were leadership, a traditional external orientation, reliance on individuals as internationalisation champions, free tuition, and loss of identity.

### *Leadership*

Leadership was mentioned as both an enabler and a potential risk in that the current leaders were committed and effective, but there was a small concern that this enthusiasm

had not yet permeated all aspects of the university and without the current individuals driving the practice the current momentum may slow. Having leaders who are effective, enthusiastic and committed is a key element in successful internationalisation (Knight, 1994). In this case, participants described the Universitetet i Agder leadership as being integral to internationalisation and identified the appointment of a rector and vice rector who not only had international backgrounds themselves, but who have spearheaded internationalisation efforts at UiA as a key turning point for internationalisation at this university. One characteristic that participants attributed this to was the leaderships' diverse nationalities. They described this as part of what was driving the current momentum in internationalisation this university is experiencing.

For example, one participant explained,

I think the fact that we have a president who is German and a vice president who is American and at the college level the head of internationalisation is an American, yeah, I think that new people bring new blood and new ideas and that changes things. [UiA\_01]

And another said,

We have a rector from Germany and a vice-rector from the United States, so that mindset tends to perpetuate. [UiA\_08]

And a third reiterated,

So, I think the management at this university is very international. The vice rector is American, and the rector is from Germany and the director is Norwegian, but her background is very international. And this reflects diversity. So now we have a leadership that is driving the university to be more open and international. [UiA\_02]

While interview participants recognised the strong leadership and momentum surrounding internationalisation, there was some concern that there was still too much reliance on individual champions. For example, one participant said,

We have a leadership who is very engaged. We have a good start and a higher level of confidence. We have a lot of academic staff in the faculties who are very motivated. But we have to go from working individually, to a more systematic way of working. [UiA\_03]

And another participant explained,

One of the important one is that international work is still too dependent on individuals who are interested in doing this work. It is not rooted or anchored in our institution. [UiA\_07]

*Traditional external orientation*

Another enabler that was described by the interview participants was the traditional external orientation the Agder region has traditionally had. Although the area is fairly isolated from the rest of Norway, there are international companies located within the region and international shipping and maritime businesses have always been important industries for the area. On participant explained,

We have a lot of offshore related companies in the region. Different big industries and they are all international companies and we are working together with them on projects. It is important to them that we are state of the art. For example, the biggest project we have with the oil companies is called the Centre for Research-based Innovation and Offshore Megatronics. We have a regional horizon 2020 network together with the southern Norway European office where we try to match university researchers with public or private sector researchers to do research projects with partners from other European countries. [UiA\_05]

And another said,

I think this region is known for exports, shipping and marine exports. The eyes of the region have always been directed out and so it's easy for us as a university to take that on as part of our identity. To say we look outward. In some ways it's better for us to partner with Aalborg and Maastricht, than Oslo. It's easier, it's closer. So that mentality is part of the regional identity and we need to remember that we are here on the southern edge of Norway looking out. That's part of the mindset we want to foster. [UiA\_08]

Additionally, the university in this case has made the decision to include external stakeholders in their policy development processes. This indicates that the university is aware of external factors and willing to take them into account when planning. Interview participants were aware of the participation of external stakeholders and spoke positively of their inclusion. For example,

External stakeholders are involved in internationalisation policy. We are trying to look at how can we get better results together so we can attract the best talents. [UiA\_02]

*Reliance on individual internationalisation champions*

In addition to enablers, interview participants described potential risks they saw with internationalisation. For example, while interview participants acknowledged that significant strides were being made with internationalisation within the university, there was a concern that internationalisation was not embedded in the university culture yet. There was an apprehension that perhaps the university was too reliant on individual internationalisation champions. One interview participant explained,

Of course, there are weaknesses. One of the important one is that international work is still too dependent on individuals who are interested in doing this work. It is not rooted or anchored in our institution. For example, with hiring policies, when we enrol students, when we revise or review study programs, we don't think about internationalisation. It's not embedded in our structures. [UiA\_07]

This same participant later explained,

Where we have members of staff with a heart for internationalisation and a network of their own or a research program, they are doing well. It starts there. They manage to bring some enthusiasm into their students to they start being mobile and they inspire their colleagues, so they start doing research with international partners and before you know it, there is a whole lot of stuff going on. But it starts with those people and that's a weakness, because if we don't have those inspired individuals, then it is very hard to make anything happen. [UiA\_07]

However, not all interview participants felt that internationalisation practices would necessarily dissipate without the individual champions. For example, a different participant explained,

When you have new things happening, it's not an easy path. You have ups and downs. But I feel that most of the people see the value of being global and having more international connections in the world. So, change may seem scary for some people, but I see that most people see the value of it. [UiA\_02]

This participant recognised that the current leadership was a driving force for internationalisation, however, they also recognised that while other staff may not be motivating catalysts for internationalisation themselves, the staff still were supportive and saw internationalisation as worthwhile.

### *Challenges of free tuition*

Another challenge noted by interview participants was the potential risk posed by free tuition. Because higher education tuition at public universities in Norway is free, participants explained, there are unique problems associated with this. One participant described that there was a perceived risk in marketing to international students who were not qualified to study at this university as well as attracting too many students, resulting in an increased workload for admissions staff.

We have had a lot of meeting with the faculties and one of the things they are afraid of about marketing to international students is that we will attract the wrong students, non-qualified students, which will put an extra burden on the admissions office. It will create a lot of extra work. There is a separate process for non-European applicants. This is one of the risks that the staff think is a bit difficult to deal with. They say we have to be a bit careful with how we market because we do not want applications from people who are not qualified to come here. [UiA\_02]

Other participants explained that the free tuition created a concern relating to the balance between international students and Norwegian students.

I think that some of the risks are that we have a free education system, they don't pay any school money here, so if we open all our studies here international, then we might not get any Norwegian students. [UiA\_03]

And another said,

Another challenge is that we are one of the last countries in the world that has a free education. That's free for everyone. Meaning that if you qualify and you come in, whether you come from Angola or Zimbabwe or the USA, there's no tuition. And that's paid by the Norwegian taxpayer. So how many Zimbabwe students do we put in vs Norwegians? So that's an issue. The argument is that yes, it cost money to educate these students, but number one, it contributes to our network, and number two, some of them stay. And some of them represent brainpower in that we need because like most European countries, we have a change in our demography where our birth rates don't keep up with our death rates and match our needs. With us, for example, about 50% of our PhD students end up staying here in Norway. So, there is a significant flux in the long term. [UiA\_08]

Finally, another participant suggested that free tuition did not create an economic risk by itself but explained that it could be seen as a way of providing foreign aid and attracted poorer students. This also reflects the political rationale revealed in the policy documents as described in the first part of this chapter.

Education is free here, so when we bring students here, do you know how much they pay? Zero. So, there's no real economic risk – It's basically giving away education and expanding the Nordic social model, you know, through good example. If less students came here, it would be cheaper for the government. It doesn't matter because they will get paid whether it is a foreign student or a domestic student. Differing amounts, but at the end of the day, they get paid for the students. So, you could think of education as being a soft power, if you will, of the Norwegians and internationalisation is a way of providing foreign aid, so that's why you will see a lot of foreign students here who don't have a dime to their name. You probably don't see that in Australia. In Australia, if you are a rich Chinese, you are welcome, you know. If you are a poor Nepalese, then forget it. You will see more poor Nepalese here than rich Chinese. [UiA\_01]

#### *Loss of identity*

A final risk of internationalisation described by interview participants was the loss of identity, both for the university and for Norwegians in general. One participant explained

...it's an issue of the identity loss. As an institution becomes more and more international, the local flavour, the regional anchoring, there's a fear that that dissolves. [UiA\_08]

And another described,

It is a risk if you want to please external stakeholders to the extent that we lose our own identity or stray from the track that we decided was a good track for us. And building on the resources that we do have and the visions and policies that we do have because we see that we can manage that. If we stray away from that to please others or so that we can report good enough numbers along different measurements, then there is a risk to being internationally oriented. [UiA\_07]

And a third participant identified a concern that some people held about losing Norwegian students and Norwegian language.

Some people are afraid of turning too many subjects into English. This is one of the needs that we have. We want to bring in more students, but we cannot attract more students if there are not courses in English. But then there is a worry in certain fields that this is going to turn away Norwegian students because they are worried about having to study in English. We have some subjects, social work, sociology, that tend to attract mature students. Maybe they are looking to change their career. And if they have been working and they haven't practised their English, they find it hard. But in a lot of others there is no problem. And also, there is a worry internationally that they universities are going to go too far to English and they will not use Norwegian. [UTAS\_06]

#### *Role of academic staff*

It should be noted that at this university, academic staff were actively encouraged to engage in internationalisation. This included not only participating in policy development processes as described earlier in this chapter, but also in the implementation of those policies and the practice of internationalisation itself. For example, interview participants explained that

staff were encouraged to travel internationally and develop international research

collaborations. One participant explained,

All higher education should have an international contact area in a way. We are obliged to be international. We are obliged to offer study and research at the institution that is interesting for our international partners and potential partners. We are obliged to offer our students and staff good opportunities to internationalise themselves. Meaning particularly mobility for students and support for research collaboration for our faculty staff members. [UiA\_07]

And another described how extra funding was available for both academic and administrative staff to participate in international activities.

And then we have established two sets of criteria for funding ... it's for extra funding for the ERASMUS+ program. It's for teaching and training. Teaching for academic staff and training for the administrative staff. If you want to go with ERASMUS+ then you get 4000 extra so that you don't get in a loss economically. [UiA\_03]

Other interview participants explained that a priority for UiA is recruiting and retaining international scholars. When asked about internationalisation priorities, one participant explained,

Research is very important. We want to have strong international research. We want to have grants and to collaborate with international institutions. That is number 1. Number 2 is that we want to have the best international faculty. To attract the best brains to UiA. [UiA\_02]

This sentiment was echoed by other interview participants as well and is indicative of high the value placed by the university on these international staff.

...our recruitment of academic scholars is improved by the economic downturn in the rest of Europe because there's more mobility. There are good people who are on the move and looking for a place to land. We don't make a policy saying we are going to go after and recruit these people, but we certainly recognize it and say we need to make sure when we announce positions that we make them available to that pool. [UiA\_08]

This same participant later went on to explain how the recruitment of international staff is beneficial in the long term even if they do not ultimately stay with the university.

I think that in the next years, if we succeed in recruitment, if we can find that we have good people applying for positions here from outside of the country. That if we can say oh, wow, we have this guy from Harvard that wanted to come over as a post doc. We know that we aren't a premier university, that we aren't in the upper echelon, and we won't be for the next ten years, but we can be a really strong one, one of those universities that is a great place to come a develop. And that's what we want to facilitate. We want to say, 'come to



us, young scholar with a family, come to us, come to Norway where you will have a great quality of life, a great education, your kids are safe, and you can develop as a scholar. And then yes, maybe in five years or eight years, maybe we lose you because you get the offer from the next level. And we accept that because you will be part of your network. You'll be part of who we are, and you'll strengthen us. And we'll accept that role that we have. And you'll enrich us while you're here and you'll strengthen us when you leave. [UiA\_08]

This illustrates that there is an understanding of the value of cultivating a network of international scholars and that those human connections permeate geographies. A longer time horizon is being taken into consideration in the internationalisation planning at this university.

Furthermore, participants explained that the commitment did not end at recruitment; 'on-boarding' of new international staff was also important. Interview participants from various groups within the university were well aware of this initiative. For example,

I think the highest emphasis is on the activities in global mindset, which is communication, the global hub, travel funding to build networks, on-boarding of international employees. And in the future, I hope there will be more emphasis on career development. And making us attractive for researchers to come to us...We are focusing a lot on international recruiting. And the on-boarding work is focusing on how to give them a good start. [UiA\_05]

And

We have created a web service called 'working at UiA' for internationals to help them before they get here, when the first arrive and as they transition with all the little details. You know, you need a personal number, you need to go to police station and do this. So, it links them to all of these processes. We are even offering courses on this, not just language courses, but practical courses, too. And we are working with the business region to try to facilitate the reality, that often, when we hire a highly educated person they come with a family and they come with another person who is also highly educated and needs a job. So, we are trying to look at the whole ecosystem and trying to figure out how, within Norwegian law, that we can facilitate find two jobs. [UiA\_08]

And

And we are working on establishing mentors for new staff for both administrative staff and academic staff. This will be established in the spring of 2018. And we also have worked on some courses for the new staff which give introduction to Norwegian society and culture, Norwegian language skills, and a course for administrative Norwegians for learning to speak English better, and for travelling to Europe. [UiA\_03]

And

We are working more with integrating international faculty into different networks so they can have a good life outside of the university. There are things happening downtown. We want people to move here. It's not only about work, but outside of working hours too.  
[UiA\_02]

These quotes, all from different interview participants, reveal that university is not only working to recruit international scholars, but also to retain them. They are making an effort to integrate these people and their families into life at the university and also into the broader community. Moving beyond recruitment to retention illustrates a deeper commitment to internationalisation.

#### *Micro-dynamics of the university campus*

As in the other two cases, while the analysis of the nested layers of policy provided insight into the macro-level structures and relationships in the internationalisation of higher education for this case, and the interviews allowed me to examine the meso-level policy development and implementation processes, looking more closely at how the micro-level interactions affect internationalisation is necessary to have a more complete picture. Again, I use the logic of deliberative ecologies (Mansbridge et al., 2012; Pickering, 2019) as described in previous chapters to bridge these macro and micro levels of analysis. Extending this logic to the ecology of university campuses, as in previous chapters, it is reasonable to suggest that how a campus is physically set up will affect internationalisation on that campus.

Observations were conducted on the two campuses, Kristiansand and Grimstad, for this case in late 2017 and are summarised in Table 43 (Kristiansand) and Table 44 (Grimstad). These observations provided insight as to how the micro-dynamics of this case's campuses were affecting internationalisation. Not surprisingly, this university had the most visible signs of internationalisation. For example, on both campuses there were signs in multiple languages (Figure 23 and Figure 29), advertisements for clubs and activities from different

countries (Figure 24), art displayed from other countries (Figure 27), a selection of international (Mexican and French) food in the cafés (Figure 19 and Figure 31), and textbooks in several languages available in the bookstores (Figure 18 and Figure 26). In addition, the library contained a large selection of books and journals in several languages on its shelves (Figure 20 and Figure 21). Upon entering the lobby of the main building of the Grimstad campus, a large poster promoting ERASMUS was observed to be prominently displayed (Figure 30). All of these observations reflect the level of commitment and extent of practice of internationalisation at this university.

Finally, and similar to UVM, the international offices were observed to be centrally located and easily accessible on the Kristiansand campus. However, in addition to that, this university has made a highly visible commitment to internationalisation in terms of physical infrastructure. Construction of a Global Lounge was being completed at the time observations were conducted. Opening in January of 2018, this space was envisioned to serve as a central physical hub for all aspects of internationalisation. It was also expected to be used as meeting area for international students, staff and their guests, as well as a place where domestic students and staff could seek information about outbound mobility possibilities. Acton (2017) maintains that on the university campus, infrastructure and practice are not separate, and Yanow (1995) argues that there is a connection between built space and policy, with physical buildings acting as a reflection of policies. In this case, the construction of the Global Lounge reflects the Universitetet i Agder's commitment to internationalisation.

## A photograph of a library shelf filled with books. Three books are circled in red: 'Globalisation &amp; Europeanisation in Education' by Heidi Beate Hall, 'Er pædagogik et fag?' by Ole Frithjof Norheim, and 'CHANGE' by Michael Fullan. The shelf is densely packed with books of various sizes and colors, including blue, yellow, and red covers. The books are arranged in rows, with some standing upright and others slightly tilted. The red circles highlight the specific books mentioned in the text.

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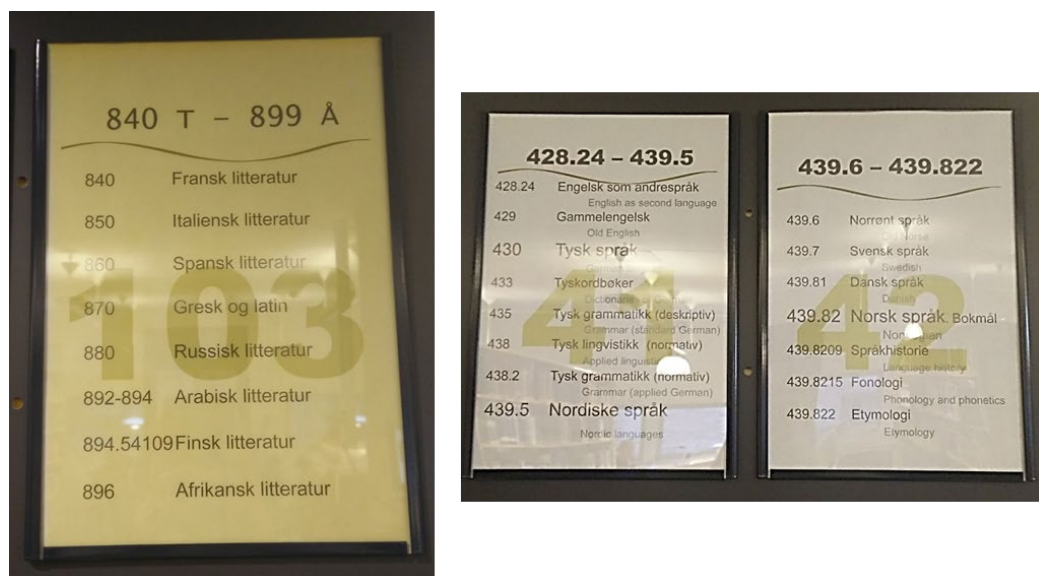


Figure 21 UiA library collection includes books in multiple languages and signs in Norwegian and English

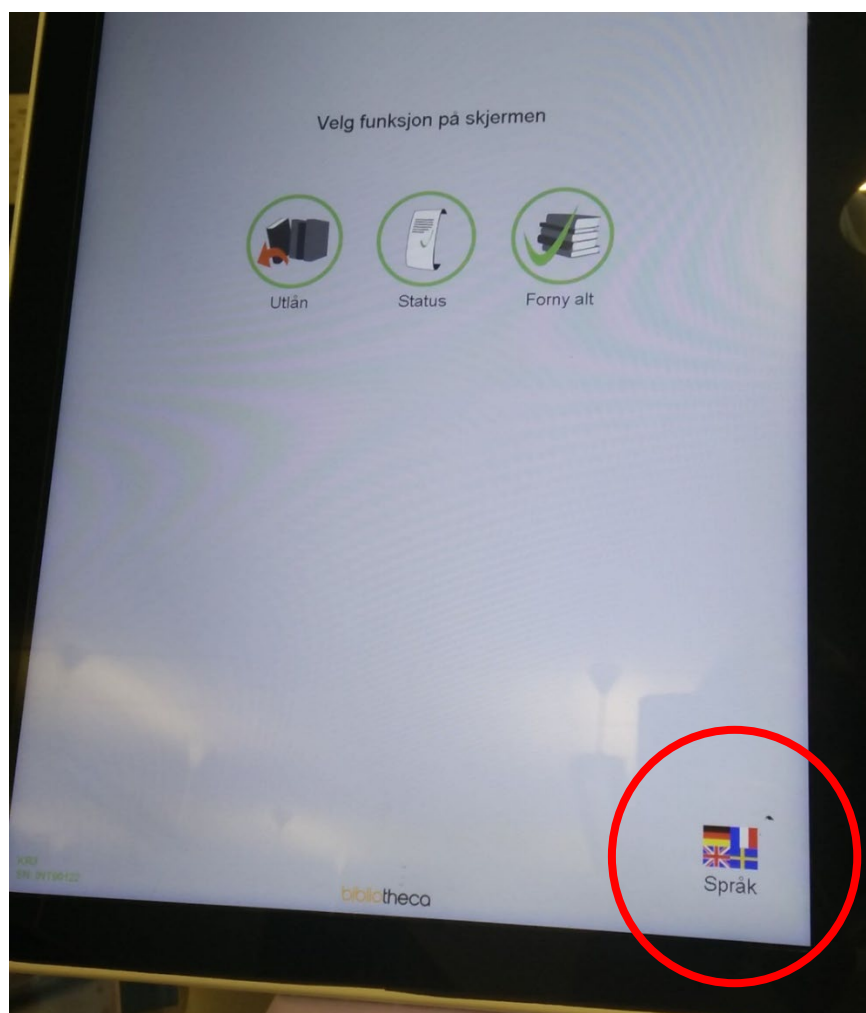




Figure 22 Electronic kiosk in UiA library on Kristiansand campus allows users to select from several languages



Figure 23 UiA library safety signage in English



Figure 24 UiA bulletin board in central location displays signs in multiple languages for international activities





Figure 25 UiA campus map only in Norwegian

Grimstad Campus photo observations





Figure 26 UiA bookstore Grimstad campus textbooks in English and Norwegian



Figure 27 Japanese Zen garden in lobby of main building on UiA Grimstad campus



Figure 28 UiA Grimstad campus map in Norwegian only





Figure 29 UiA Grimstad campus signage for trash separation in Norwegian and English



Figure 30 Large poster promoting ERASMUS on UiA Grimstad campus



*Figure 31 UiA Grimstad cafe offering international food in English*

While the above figures provide specific examples of visible implementation of internationalisation strategies, Table 43 and Table 44 below provide summaries of internationalisation strategy observations conducted on the two UiA campuses, Kristiansand (Table 43) and Grimstad (Table 44), in November and December 2017, respectively.

Although Kristiansand is the main campus for this university, the Grimstad campus had more visible signs of internationalisation present. As with the other two cases, for both UiA campuses, the same five strategies were sought for observation. In addition, for each campus, any strategies specifically mentioned in interviews or policy documents for that campus were also sought. In some instances, these additional strategies were observed to be present, in others, they were not. For the university in this case, not all additional

strategies mentioned in interviews were observed to be present. For example, campus maps and signs located external to buildings were primarily in Norwegian. Inside buildings, however, there were many signs that were on both Norwegian and English.

*Table 43 Summary of observations of implementation of internationalisation strategies for Kristiansand UiA campus (November 2017)*

<b>Strategies</b>	<b>Description of presence and frequency</b>
<b>Campus Culture/Co-curriculum</b> Examples: Clubs, art, languages, food, International celebrations, Physical/cultural artefacts (Yin, 2014)	<i>Some signs in multiple languages, clubs for activities from different countries, art displayed from other countries, Mexican food and baguettes in café, textbooks in several languages</i>
<b>Admissions emphasis</b> Examples: Recruit int'l students, domestic students, mobility	Website available in two languages, international applicants button highly visible on homepage
<b>Research</b> Examples: Evidence of int'l partnerships, Research abroad	Library – large selection of books/journals in several languages, no other visible evidence on campus
<b>Curricula</b> Examples: Visible promotion of int'l majors/courses, Website	One classroom had lecture slides in visible in English, all others in Norwegian
<b>Mobility</b> Examples: Location of study abroad office, Visible promotion of mobility	International office centrally located and easily accessible, one poster promoting ERASMUS opportunity, Global Lounge centrally located
<b>Triangulation (defined by interviews and policy analysis)</b>	
<b>Other 1:</b> all bilingual signage	This was not the case, external signage mainly in Norwegian
<b>Other 2:</b> many foreign students	Difficult to determine visually
<b>Other 3:</b> all fluent in English	Possible, but not language of choice. I did not overhear any English unless I spoke to someone first and asked if they spoke English.

*Table 44 Summary of observations of implementation of internationalisation strategies for Grimstad UiA campus (December 2017)*

<b>Strategies</b>	<b>Description of presence and frequency</b>
<b>Campus Culture/Co-curriculum</b>	Many signs in multiple languages inside, minimal signage in other languages outside buildings, clubs for activities from different countries, art prominently

Examples: Clubs, art, languages, food, International celebrations, Physical/cultural artefacts (Yin, 2014)	displayed from other countries, Asian food café with English signage, textbooks in several languages
<b>Admissions emphasis</b> Examples: Recruit int'l students, domestic students, mobility	Website available in two languages, international applicants button highly visible on homepage
<b>Research</b> Examples: Evidence of int'l partnerships, Research abroad	Research lab signage in English (indoors and outside), research program display advertisements in English
<b>Curricula</b> <b>Examples: Visible promotion of int'l majors/courses, Website</b>	N/A – no classes in session during observations
<b>Mobility</b> Examples: Location of study abroad office, Visible promotion of mobility	Large displays promoting mobility in entry foyer to main building in English and Norwegian and several study abroad program flyers on information boards, also international themed on-campus activities advertised
<b>Triangulation (to be defined by interviews and policy analysis)</b>	
<b>Other 1:</b> all bilingual signage	On Grimstad campus, there were more external signs in English than on main Kristiansand campus
<b>Other 2:</b> many foreign students	Difficult to determine visually
<b>Other 3:</b> all fluent in English	Possible, but not language of choice. I did not overhear any English unless I spoke to someone first and asked if they spoke English.
<b>Other 4:</b> Grimstad more internationalised than Kristiansand due to areas of study	Yes, smaller campus, but much more visible emphasis on mobility, multilingual signs, more textbooks in English

### *University culture*

To better understand how conflicts and tensions can be addressed, it is helpful to understand the organisational culture of an institution. In summary, interviews for this case revealed

- Supportive, committed, inclusive leaders who acted as champions for internationalization
- Participants views on internationalisation similar and similar to policy; good alignment, no disconnects

- External groups involved in planning
- Participants aware of external internationalisation policy

All of these factors indicate that the university in this case sits in the second quadrant of Sporn's (1996b) typology of university culture.

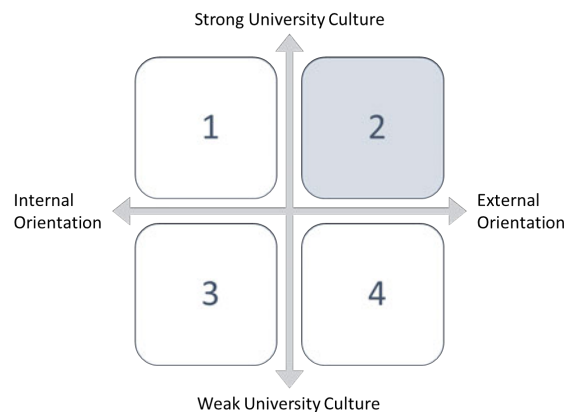


Figure 32 Universitetet i Agder in Sporn's (1996) typology of university culture

To briefly expand, interview participants described an approach consistent with Sporn's

(1996) external orientation. This included having external stakeholders participating in the internationalisation policy development processes and being aware of how external factors could affect internationalisation at UiA. For example, one interview participant explained,

Now we have lots of external people in connection to all of the strategy areas. For example, for global mindset, we have people from SIU [the Norwegian Centre for International Cooperation in Education] who are contributing actively to operationalising our plan. So, they are continuing. [UiA\_03]

This participant later described another instance of external participation.

And in the middle of that, we had a group with external people who could be our critical voice and challenge us along the way. So, we had a bottom up and a lot of top down and a critical voice in between, which we allowed to speak freely and give us as much feedback as possible. [UiA\_03]

In addition, interview participants were aware of how happenings external to the university could affect internationalisation at the Universitetet i Agder. For example, one participant described how the oil industry presents an important opportunity for international research partnerships.

We have a lot of offshore related companies in the region. Different big industries and they are all international companies and we are working together with them on projects. It is important to them that we are state of the art. For example, the biggest project we have with the oil companies is called the Center for Research-based Innovation and Offshore Megatronics. [UiA\_05]

This same interview participant also demonstrated a knowledge of how international policy is affecting internationalisation at UiA.

There are influences from the ministry. The ministry has a very strong strategy on Horizon 2020 because the ministry wants to get more money back from the European framework program. So that's influencing us a lot. Then there's also the panorama strategy, a collaboration with specific countries. I think those are the strongest influences coming from outside. [UiA\_05]

These results are again consistent with Birkeland et al. (2013), who found an external orientation was common in terms of internationalisation at Norwegian universities. Their study discovered that overall internationalisation strategy documents for Norwegian universities tended to focus outward rather than inward.

In addition to an external orientation, interview participants indicated that there was a strong university culture. They spoke of supportive, committed, inclusive leaders who acted as champions for internationalization as described above. In addition, the participants' views on rationales for internationalisation at UiA were similar to each other's views as well as being similar to the rationales stated in the policy documents. This shows a good alignment and suggests that there is not a disconnect between policy and practice at this university.

This university is placed in the second quadrant of Sporn's (1996) typology of university culture. It has a strong university culture and an external orientation, making it well-placed to respond to globalisation by developing and implementing internationalisation policies and practices. The external orientation allows the university to adopt a proactive approach to globalisation rather than operating in a reactive mode and the strong university culture is more conducive successful adaptation (Bartell, 2003; Sporn, 1996b).



## ***Conclusion***

The policy analysis for this case shows a dominant political rationale for internationalisation across the multi-layered policyscape. This is also reflected in the interview data. There was a strong consistency between the policy and practice at this institution. This may be emblematic of traditionally strong social consensualism in Norway (Bleiklie, 1998; Bleiklie & Michelsen, 2013; Dale, 1999; Telhaug & Volckmar, 1999). Strong Nordic norms may be resulting in translations and interpretations of international policies that are more congruent with local priorities.

Interviewees described participatory policy development process which were largely on the collaborative end of the participation spectrum. They spoke of both top-down and bottom-up processes being used. Enthusiastic, committed leadership was present and respected.

The approaches being used at this university are consistent with sustainable internationalisation.

## Chapter 7 Cross-Case Analysis

### *Introduction*

As globalisation accelerates and expands the pace of the exchange of knowledge and commerce across borders, universities are rapidly developing and implementing policies and programs in response. This is complex, given the variety of circumstances (De Wit, 2018; Jungblut & Woelert, 2018; Klemenčič, 2017) that affect why higher education institutions internationalise. Universities are adjusting at different rates and in different manners (Holzmann, 2017). Internationalisation policies and practices grow and change over time and most importantly, can be managed at the institutional level. It is important to understand how universities can best move forward in these changing times and translate conceptual themes of internationalisation policy into institutional practices. This chapter contains a comparison of the cases present in the previous three chapters and examines how the decisions universities make regarding internationalisation and the context in which those decisions are made can combine to ensure sustainable policies and practices. By mapping out and analysing policyscapes, we can understand the context in which decisions are being made. Equally as important is understanding how policies are being made and implemented within the universities; and what is happening at the organisation level. While there has been abundant research conducted using various internationalisation indicators such as numbers of publications with international partners, numbers of international students and staff, joint degree programs with international partners, and world university rankings (e.g de Wit, 2009; Sklad et al., 2016; Zapp & Ramirez, 2019), Marques et al. (2019) point out these studies sometimes reveal unexpected results and as such, there is a need to consider what is happening within the university level. Other researchers (Hunter, 2012; Hüther & Krücken, 2016; Krücken & Meier, 2006) also suggest

that the organisational characteristics and traditions of a university should be taken into account and that the university itself could be considered an organisational actor. Krucken & Meier (2006, p. 241) explain that “organizational actorhood, then, is closely tied to institutional management and leadership.” Following this logic, when comparing internationalisation governance across universities, in addition to comparing the policyscapes, it is necessary to also examine how policy is being developed and implemented within the university.

This chapter presents a comparison of key findings between all three cases and a concise summary of my research. The first section of this chapter compares the policyscapes and includes a paper submitted to *Educational Policy*. The abstract for this paper is included in the text below and the full text of the paper as submitted is in Appendix 1. In addition to this paper, Appendix 2 contains an abstract and presentation presented on this same topic at the 2018 Australian Association for Research in Education (AARE) conference in Sydney, Australia. The second section of this chapter compares policy development and implementation across the three cases. Appendix 3 comprises a peer-reviewed abstract and presentation presented at the 2019 European Conference for Educational Research (ECER) conference in Hamburg Germany. Next, I synthesise my findings by juxtaposing the three cases using Turner & Robson's (2008) spectrums of internationalisation and identifying possible sources for policy practice disconnects. Models of representing information flows are proposed as are considerations for using rationale typologies.

### ***Comparative policyscapes***

For the full text of this paper, see Appendix 1. The abstract is presented here.

**Abstract.** As globalisation continues to expand and allow for the rapid exchange of commerce and ideas across political boundaries,

internationalisation of education is increasingly important. Institutions are developing policies and strategies to ensure that their higher education students are fully equipped to contribute to and participate in the global circulation of knowledge. Understanding the context and rationale for internationalisation of higher education can help inform policy and decision-making processes surrounding internationalisation. In this qualitative comparative case study, a thematic analysis of policy documents at the international, national, state/county and institution levels is used for three cases in separate countries to determine rationale trends and impacts in the development of international education policies. Although universities in this study are quite similar in terms of size, location and rankings, results reveal dissimilar patterns for internationalisation. This research seeks to answer the research question: how do policyscapes affect internationalisation at the institution level?

### ***Comparing policy development and implementation***

In addition to variations in policyscapes, the level of participation by the university community in the development and implementation of internationalisation policy varied between each university as can be seen in Figure 33. The Australian university, UTAS, has a level of participation that was found to be consistent with the 'Inform' category. At this institution, policy decisions are largely made by the senior administration with little to no input from others in the university community. The community was generally informed of decisions and policy after they were made.

The American university, UVM, had a higher level of participation by the university community than the Australian institution. Here, the degree of participation fits into the 'consult' category with elements of 'involve' present. Interview participants described participating in meetings and being asked for input, but said they were not involved in making final decisions. In some instances, however, interview participants described being

empowered to design and implement smaller internationalisation projects, which indicates a greater degree of delegation and autonomy than the 'consult' level.

The level of participation at the Norwegian university, UiA, can be best described as being collaborative. At this institution, the university community was encouraged to participate in the policy development and implementation processes. In this case, the university community was looked to for "advice and innovation in formulating solutions"

(International Association for Public Participation, 2018, p. 1) and their advice and recommendations were incorporated into the decisions to the maximum extent possible.


Institution	Increasing level of participation and impact on decision 				
	Inform	Consult	Involve	Collaborate	Empower
UTAS	Inform	Consult	Involve	Collaborate	Empower
UVM	Inform	Consult	Involve	Collaborate	Empower
UiA	Inform	Consult	Involve	Collaborate	Empower

Figure 33 Comparison of levels of community participation modified from International Association for Public Participation, (2018)

In addition to having varying levels of participation by the university staff in

internationalisation policy development and implementation processes, each university sat in a different quadrant of Sporn's (1996) typology of university culture as can be seen in Figure 34a, 2b and 2c and is described in detail in the previous chapters for each case. This has implications for how well situated each university is to develop and manage responses to internationalisation. A strong university culture and an external orientation both are factors that are conducive to managing an institution for sustainable and comprehensive internationalisation practices.

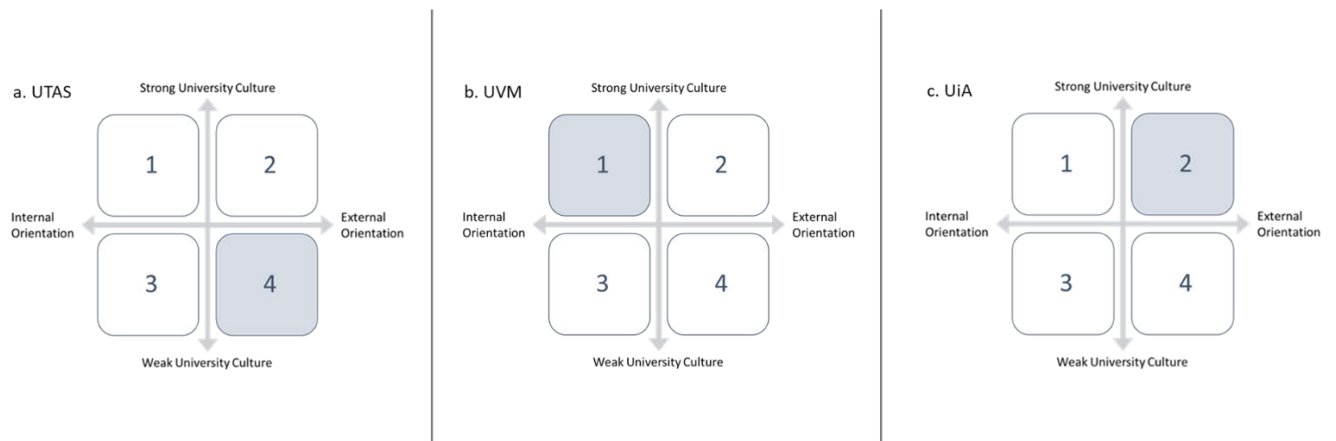


Figure 34 Comparison using Sporn's (1996) typology of university culture

### ***Spectrums of internationalisation***

Internationalisation policies and practices are not static; they grow and change and most importantly, can be managed at the institutional level. Because of the dynamic nature of internationalisation policies and practices, Turner & Robson's (2008) spectrums of internationalisation, based on Bartell's (2003) 'symbolic' to 'transformative' continuum, can be used to consider internationalisation at the institutional level. These spectrums are based on several dimensions that are used to characterise the level of engagement with internationalisation and can be used to identify areas where a university may be able to address to better align their internationalisation aspirations and their organisational dynamics. A university that would be considered to be practising symbolic internationalisation may be populated with students and staff from overseas, but the managerial action is largely prescriptive and business-led. These universities are seeking compliance with rather than a commitment to internationalisation. The benefit of looking at internationalisation through a variety of spectrums is that specific areas of input are identified and can be adjusted as needed. Furthermore, comparing three similar universities in distinct contextual settings provides a picture of what is possible for universities still

moving towards sustainable practices and highlights key areas for focus. These nine spectrums are described and summarised in Table 45 below.

Table 45 Turner and Robson's (2008) Continuum of Internationalisation

<b>Orientation</b>	<b>Symbolic</b>	<b>Transformative</b>
<b>Stimulus</b>	External  <i>Driven primarily by external commercial opportunities</i>	Internal  <i>Seeks to capture and organize outward-focused energies within university community</i>
<b>International impetus</b>	Business-led  <i>Strategic decisions business- led</i>	Internationalist  <i>Strategic decisions non-commercial led</i>
<b>Strategic management focus</b>	Markets/student recruitment  <i>Strategic focus on relates closely to students and programs and has a short planning horizon</i>	International partnerships and/or knowledge sharing  <i>Strategic focus on international knowledge development, knowledge sharing and institutional teaching mission</i>
<b>Financial focus</b>	Cost/revenue-focused  <i>Internationalisation a strategic means</i>	Investment focused  <i>Internationalisation an institutional end</i>
<b>External engagement</b>	Competitive  <i>Emphasises revenue-focused activities such as student recruitment</i>	Cooperative  <i>Emphasises knowledge sharing and development</i>
<b>Management style</b>	Designed/planned  <i>Top-down, business-led, design within traditional management planning</i>	Emergent  <i>Bottom-up, academic, knowledge-sharing led, emergent approaches</i>
<b>Institutional characterisation of internationalisation</b>	Prescriptive  <i>Tightly manage progress to achieve planned objectives</i>	Descriptive  <i>Personal and ideological commitment of university community stimulates policies</i>
<b>Style of participation</b>	Compliance  <i>University seeks compliance with stated policies</i>	Commitment  <i>Values and beliefs of university community aligned with institution policies</i>

Orientation	Symbolic	Transformative
<b>Sustainability</b>	Short-term <i>Internationalisation focus narrow and limited by specific marketplaces</i>	Long-term <i>Internationalisation part of institution's identity</i>

In my research, the University of Tasmania falls onto the symbolic end of the spectrum. On the other end of the spectrum, Turner & Robson (2007, p. 5) explain a university that is practising transformative internationalisation sees a situation “in which the personal and ideological commitment of the university community stimulates the institution’s international policies and practices.” The Norwegian university sits at this end of the spectrum. The approaches used at the transformative end of the spectrum are aligned with long-term, sustainable internationalisation. The American university, UVM, sits more in the middle of the spectrums. For some dimensions, this university has practices aligned with the symbolic end and for others, the practices are more closely aligned with the transformative end.

Despite the many similarities between the three universities in this study, there are distinct differences in where each institution lies on the spectrums of international orientation. One university falls on the symbolic, unsustainable end of the spectrum, while another’s policies and practices were found to be transformative with sustainable practices. The third university falls in between. Based on data collected through the interviews, observations and policy analysis as described in the previous chapters, Table 46 juxtaposes all three universities in this study across Turner & Robson's (2008) various spectrums of internationalisation. The differences and similarities to approaches can be seen. In addition, and consistent with findings in Hellstén (2018) and Johnstone & Proctor (2018), disconnects were seen between policy and practice. In triangulating the data collected, gaps between cited and actual implementation and rationales were also identified. For example, at a



foundational level, at the Australian university, a tension was seen between the stated rationales in policy and the rationales stated by key academic and administrative staff. This highlights the need to bring rhetoric and reality into alignment.

Table 46 Comparison of continuums of internationalisation for all universities

	UTAS	UVM	UiA
<b>Orientation</b>	symbolic	<i>transitioning to transformative</i>	transformative
<b>Stimulus</b>	external	external	internal
<b>International impetus</b>	business -led	business-led	internationalist
<b>Strategic management focus</b>	markets/student recruitment	international partnerships and/or knowledge sharing	international partnerships and/or knowledge sharing
<b>Financial focus</b>	cost/revenue-focused	investment	investment focused
<b>External engagement</b>	competitive	<i>mostly cooperative</i>	cooperative
<b>Management style</b>	designed/planned	emergent	emergent
<b>Institutional characterisation of internationalisation</b>	prescriptive	descriptive	<i>both</i>
<b>Style of participation</b>	compliance	commitment	compliance
<b>Sustainability</b>	short-term	<i>transitioning</i>	long-term

### ***Policy-practice disconnects***

Policy practice disconnects were detected in my research. This is not uncommon when it comes to the internationalisation of higher education. For example, just recently, Jin et al. (2020, p. 66) sought to understand what hindered the implementation of an internationalisation plan at a university in China and found the “diversified understanding of the goals, meaning, [and] strategies of internationalisation among different participants within the university, especially between faculty and administrative staffs involved in the initiation of the plan, caused deviation from their international practice and further hindered the implementation of the plan.” This is similar to my findings. The disconnects found in my research were stronger in the cases that were on the symbolic end of the

spectrums as described above. There are several possible explanations for these including the extent of internationalisation, leadership, communication and the use of internationalisation in marketising universities.

### *Extent of internationalisation*

The extent to which internationalisation permeates a university may partially explain the existence of any policy-practice disconnects within an institution. As described in earlier chapters, Hudzik (2011, p. 6) describes comprehensive internationalisation as “a commitment, confirmed through action, to infuse international and comparative perspectives throughout the teaching, research, and service missions of higher education. It shapes institutional ethos and values and touches the entire higher education enterprise. It is essential that it be embraced by institutional leadership, governance, faculty, students, and all academic service and support units.” The degree to which comprehensive internationalisation was present varied between the cases as evidenced by the policy analysis, interviews with key academic and administrative staff and the observations. In the case of Australia and the University of Tasmania, the term ‘comprehensive internationalisation’ was rarely used in policy documents or interviews. Furthermore, when internationalisation was being discussed in documents and interviews the scope was narrow, with an emphasis on international student recruitment. There was little mention of other key elements such as mobility for students and staff, research and curriculum. In the US case, the term ‘comprehensive internationalisation’ was used frequently at the institutional level. Here, the scope was broader, with documents and interview participants focusing largely on mobility and study abroad, but also mentioning to a lesser extent, curriculum and research. In the Norway case, the term ‘comprehensive internationalisation’ was not used as often as it was in the US case, but the policy documents and interviews

covered all key areas of comprehensive internationalisation, signalling that at this university, internationalisation was part of the institutional ethos. Rather than highlighting 'comprehensive internationalisation' by name as an intention, internationalisation was perceived as an inherent dimension of scholarship and integrated into everyday work. Closely related to the extent to which internationalisation is infused through an institution is the history and tradition of internationalisation at this institution. Stensaker et al. (2008) compare 'old' internationalisation in Nordic countries with 'new' internationalisation in Australia and US among other countries. In my research, there was split between 'old' and 'new' internationalisation as defined by Stensaker et al. (2008). The University of Tasmania was in the nascent stages of internationalisation with a scattered approach and support for the practice. There was evidence that interest in engaging with internationalisation at this institution was only recent. The University of Vermont was actively discussing how to internationalise comprehensively. Here there was evidence of historical support for internationalisation. The Universitetet i Agder was the institution closest to practicing comprehensive internationalisation and fit into the 'old' internationalisation category. In the instance of 'old' versus 'new' internationalisation, one is not better placed strategically to respond to internationalisation than the other, but the responses will be different, and policies should take this into account.

### *Leadership*

Leadership is a key element of successful policy development and implementation. In their research that sought to understand factors that hinder the implementation of internationalisation plans at a Chinese university, Jin et al. (2020, p. 67) explain that "as a process of institutional transformation, internationalisation requires the university leader to access all levels up and down the institutional hierarchy." They continue on to describe that

in their research they found that when the leader is not accessing all levels of the university hierarchy, it results in a lack of campus-wide understanding of internationalisation, which in turn, serves as an obstacle to the implementation of internationalisation plans. (Childress, 2009, p. 291) also emphasises the importance of leadership in internationalisation and asserts that “the complexities embedded in the management of institutional transformation serve as substantial barriers to internationalization.”

The leadership varied greatly across the cases in my research and ranged from internationalisation champions to uncommunicative and uncommitted. For example, UiA had supportive, committed, inclusive leaders who acted as champions for internationalisation. The leadership at this institution had made internationalisation and participatory processes priorities. In contrast to this, at the time of data collection, UVM had a person in a leadership position who did not communicate and often employed a do-nothing response to internationalisation needs. However, the level below this leader was committed, effective and communicated well, so because the system was not as bound by hierarchy as UTAS is, internationalisation moved forward to some extent. UTAS also had a leader that did not communicate, but rather than a do-nothing approach, decisions were generally made without input from the university community. This led to a divide among members of the university community in their understanding of internationalisation and the implementation of university internationalisation policies.

#### *Communication flow and structures*

Related to leadership, how internationalisation information flowed through the university system may be affecting the success of internationalisation at universities. This is another area where each university in my research differed. Figure 35 shows simplified models

representing how information and communication flowed at each of the universities in my research based on data collected through interviews and observations.

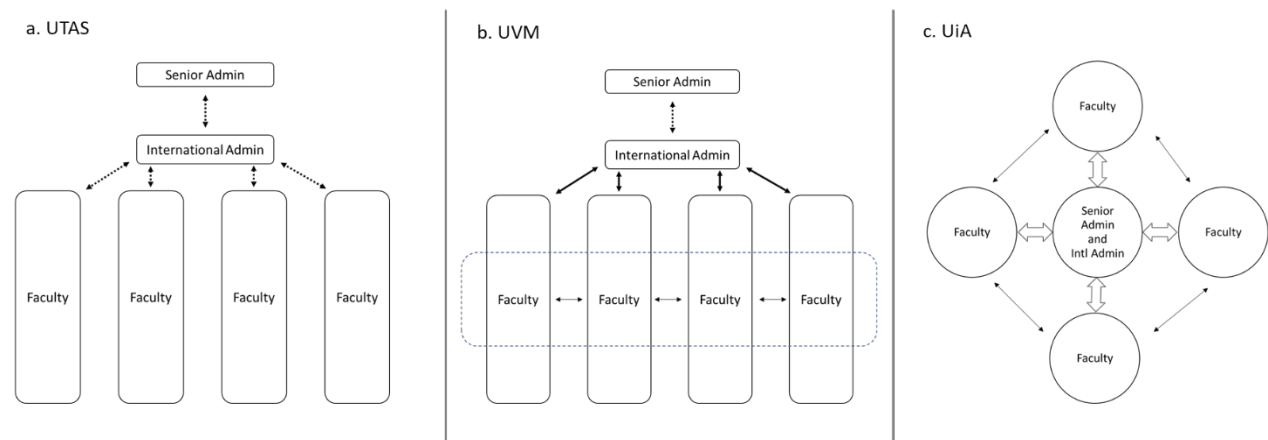


Figure 35 Simplified models of information flow and communication based on the three cases  
 Figure 35a is a hierarchical model where communication is largely siloed and sporadic. The dotted lines indicate that technically, formal channels have been created but are used infrequently. Faculties may be asked for input, but do not participate in decision-making. The second case, figure 35b, is also a hierarchical model. Here, many formal channels of communication function well. Because a lack of communication between the most senior management and the rest of the university was observed, a dotted line is used to represent that channel. In addition to that, and represented by the dotted box spanning all faculties, informal channels of communication are strong and functional. Finally, figure 35c shows a spoke and wheel model where information flows throughout the university system via formal channels of communication. In this case, the central administration still leads, but faculties are empowered. The arrows from the centre out to the faculties are wider than those between the faculties indicating that the channels are stronger and more frequently used. The smooth flow of information contributes to a strong university culture and positions an institution well for comprehensive and sustainable internationalisation.

### *Marketising universities*

Finally, it is worth noting that tensions were observed between marketisation, academisation and internationalisation. Ek et al. (2013, p. 1305) found that “demands to meet market requirements, as well as to make education more scientific, ...created tensions between and within institutional cultures” at a Swedish university. For example, discipline-oriented department staff generally saw marketisation as a threat to their academic autonomy, where professional-oriented departments viewed academisation as a threat to their focus on practical skill development. Where internationalisation is used for marketisation, similar tensions could occur (Kauko & Medvedeva, 2016). From an organisational perspective, Kuznetsova & Kuznetsov (2019) also identified marketising universities as a point of strain between managers and academics. With the shift towards using market principles, such as revenue generation and efficiency targets in their operational plans, universities are becoming “hybrid organisations combining different, often conflicting, institutional logics” (Kuznetsova & Kuznetsov, 2019, p. 1). Market responsiveness has been found to conflict with traditional academic values. When there are tensions in employee relations present, implementation of policies becomes difficult. In the Australian case where an overarching economic rationale for internationalisation was observed at the institutional level and the primary focus of internationalisation was marketisation, there were also policy-practice disconnects. In addition, a divide between academic and administrative staff in their views on internationalisation was present. This created a disconnect in how policies were interpreted and implemented. As such, there is a need to reconcile education as trade versus education as knowledge sharing. To do this, Teichler (2004) suggests that universities should raise their view above the operational aspects of internationalisation (economic, revenue generation) and focus on global learning

and understanding. Additionally, from the economic perspective, a shift towards viewing internationalisation as a long-term investment rather than a means of short-term revenue generation could lead to a more sustainable practice.

### ***Rationale considerations***

While this research has identified some implications for the governance of internationalisation within universities, there are also considerations for researchers. Looking towards the future, as researchers move forward with deepening the understanding of the internationalisation of higher education, it may be necessary to rethink how the rationales for internationalisation are considered. While it is necessary to have broad typologies of rationales in order to adequately capture the variety of contexts for internationalisation, it may be prudent to examine more closely the variations within a rationale, in particular the political rationale and the economic rationale. For example, within the political rationale there is a wide variation. In the Norwegian case, the overarching rationale for internationalisation was largely political, with a focus on solving global problems, where in the US case, at the national level the rationale for internationalisation was also political, but with a focus on national security. Do we need to further divide the political rationale?

In looking at the economic rationale, there is also variation. For example, when the economic rationale appears in the US case, the justification focuses on investing in marketing and recruitment to attract top talent, where in the Australian case, the justification is focused on investing in marketing and recruitment for short-term revenue generation. There are also differences in the reasoning at the state level in all three cases. The US and Norwegian cases mention the importance of higher education to help businesses compete internationally, where in Australia, importance of internationalisation

of higher education is connected to local economic growth. Also, the Norwegian view includes investing in higher education for improving society. These are quite different approaches.

- US view: higher education leads to higher salaries leads to better economy
- Australia view: higher education used to attract international students which leads to money from international students into the Australian/Tasmanian economy
- Norway view: higher education leads to better understanding and improved knowledge which leads to being globally competitive and relevant, which leads to better society and economy

How a university rationalises internationalisation will affect how it responds to and translates the nested layers of policy under which it sits and in turn, this will affect the strategies for response and implementation of policies (de wit, 1998). This is something that must be taken into consideration by researchers and policy makers alike.

### ***Conclusion***

This chapter has juxtaposed the three cases presented earlier in this thesis. This has shown in terms of rationales and policyscapes, there is variation over time, between layers of policy and from case to case. Once we understand how policies shift between political layers and over time and how political priorities in one layer exert influence over other layers, we can start to think about how the various policy development processes and implementation can be reshaped and how actors can move institutions towards more comprehensive and sustainable internationalisation practices. This research has shown that although institutions themselves may be similar, the larger context in which they sit may be influencing the decisions they are making.



In terms of policy development and implementation, participatory processes and a strong university culture coupled with an external orientation best strategically position a university to practice internationalisation. A university's position on spectrums of internationalisation can indicate an institution's level of engagement with internationalisation. Despite the many similarities between the three universities in this study, there are distinct differences in where each institution lies on the spectrums of international orientation, with the Universitetet i Agder best positioned for long-term sustainable internationalisation and the University of Tasmania most needing to work towards better policy/practice alignment. The policy-practice disconnects found in my research were stronger in the cases that were on the symbolic end of the spectrums as described above. There are several possible explanations for these including the extent of internationalisation, leadership, communication and the use of internationalisation in marketising universities.

## Chapter 8 Conclusion

### *Introduction*

Internationalisation is not a new concept or practice. Scholars have been exchanging ideas across political borders for centuries. However, now the pace of internationalisation is accelerating and expanding. This is due to a variety of reasons, ranging from traditional reasons such as commerce and globalisation to newer issues such as shifts in migration patterns as a result of 'wicked problems' such as climate change and war (Stein, 2019). As seen in this research, globalisation is not just affecting elite, metropolitan institutions, but smaller, regional universities as well. Universities embrace internationalisation for different reasons and in turn, react in different manners. It is important to understand how universities can move forward most effectively in this uncharted territory. This study has sought to answer the following overarching research question and sub-questions in the previous chapters. The individual case chapters, Chapters 4 through 6 primarily address the sub-questions for each university, while Chapter 7, the cross-case analysis ties the results together and addresses the overarching research question most directly.

- Why are some universities able to internationalise comprehensively and develop sustainable internationalisation policies and practices while others are not?
  - How is internationalisation constructed at each university?
    - What is the context, motivations and rationale for internationalisation at each university?
    - How do the global, national, local, and institutional layers of policy relate to each other?
    - How and why does the discourse shift about internationalisation?
  - How is internationalisation policy developed and implemented at each institution?
    - Is this effective? Why or why not?
    - What types of structures, processes, mechanisms and actors contribute to successful internationalisation? Why?
  - How is internationalisation reflected in the campus environment?

- How does the built environment reflect internationalisation efforts? Is it consistent with what is described in policy documents and interviews?

This final chapter contains a concise summary of my overall findings and the contribution to knowledge that they make, the limitations to my research and suggestions for further research. It concludes with a series of recommendations for research, policy and practice.

### ***Overall conclusions from this study***

This study has described policyscapes along with the development and implementation of internationalisation policy for three cases. It has also provided a cross-case analysis that identified factors that contribute to policy-practice disconnects. Specific conclusions relating to each case and a synthesis are provided in the previous chapters. Overarching those findings are the following conclusions regarding rationales and policyscapes.

1. Rationales vary and are complex. There is variation between and within countries, within regions, and even within institutions. It is still important to understand what the rationales for internationalisation are in a given situation because they tell us *why* internationalisation is happening. Knowing the rationales may give an indication as to how a university will respond and approach internationalisation. Different rationales imply different strategies for internationalisation will be implemented.
2. Rationales alone are not enough to predict whether a university will be successful in developing comprehensive and sustainable internationalisation policies and practices. What happens at the university level (organisational characteristics and culture) is important and may be a better indicator of whether a university will be successful in developing comprehensive and sustainable internationalisation policies and practices.

3. It is unclear whether rationales are linked to organisational culture. My research indicates this may be a possibility, however more research is needed to confirm this. A comparative analysis of internationalisation policy development and implementation at several universities with the same rationale would further the understanding of this.
4. Regardless of the rationale for internationalisation, there are still common implications on campus for universities to address. This will be discussed further in the recommendations for policies and practice section of this chapter.
5. From a policy perspective, because there is such variation in how policy is translated at each level, rather than an overarching international policy, a central international level coordination mechanism may be useful. This body could act as a hub for universities and researchers, facilitating the exchange of best practices and monitoring the pulse of rationales.
6. We have seen internationalisation accelerate and expand over the past two decades. Between changes in technology and 'wicked problems' that shift demographics such as war and climate change, we are likely to see continued increases in diversity within universities. Universities must be prepared to adapt. Specific recommendations for this are discussed later in this chapter.

In terms of policy development and implementation, there was variation between the cases. Universities that use participatory processes for internationalisation policy development and implementation have a stronger university culture and are better positioned to respond to the changes internationalisation brings about.

### ***Contributions to knowledge***

There are three main areas where this study has contributed to knowledge. First, methodologically, this research has demonstrated the merits of tracing cases through multiple dimensions (Bartlett & Vavrus, 2017a). The first part of my research focused on the 'macro' and 'meso' scales (van der Veer, 2013), the larger policy context and the policy documents themselves. This is an important step in understanding why and how internationalisation is occurring at higher education institutions and has not been done before. As Latour (2005, p. 177) explains, 'macro is neither 'above' nor 'below' the interactions but added to them as another of their connections.' My approach of looking at policy documents across time and political levels was novel. By mapping rationales this way, it is possible to clearly see that institutions are making policy decisions that are influenced by external factors which need to be taken into consideration and conversely, the decisions made by universities serve as external factors which affect policy decisions made at other political levels.

Second, to understand further how governance and the associated structures affect internationalisation at higher education institutions, the next part of my research delved into the 'micro' and considered policy development and implementation processes within each university. As described in the previous chapter, there has been abundant research assessing the success of internationalisation conducted using various indicators such as numbers of publications with international partners, numbers of international students and staff, joint degree programs with international partners, and world university rankings (e.g. de Wit, 2009; Sklad et al., 2016; Zapp & Ramirez, 2019). Marques et al. (2019) point out that these studies sometimes reveal unexpected results and as such, there is a need to consider what is happening within the university level. My research has done that and has shown

that in addition to understanding why an institution is internationalising and taking into consideration the larger policy context in which an institution is making decisions, the manner in which an institution develops and implements policies is equally as important. Organisational culture plays a significant role in determining the success of meeting internationalisation policy aspirations.

Finally, this research used observations to understand the micro-dynamics of each university campus and tied that to internationalisation efforts. To my knowledge, while this approach has been used in other fields, applying the logic of deliberative ecologies (Mansbridge et al., 2012; Pickering, 2019) as to bridge these macro and micro levels of analysis has not been used for understanding internationalisation on university campuses. Extending this logic to the ecology of university campuses, as I have done here, casts a new light on the manifestation of university culture and implementation of internationalisation. As explained in detail in the micro-dynamic sections of Chapters 4, 5 and 6, it is reasonable to suggest that how a campus is physically set up will affect internationalisation on that campus. This emergent data collection strategy should be explored further in future research.

Overarching all of these contributions to knowledge is the case selection. The institutions at the heart of each case in my research were chosen specifically because they were not prominent, elite, metropolitan universities, but rather smaller, more regionally located universities. Internationalisation at universities in peripheral/semi-peripheral areas is not commonly studied. This research has sought to contribute to filling that knowledge gap.

### ***Limitations of this study***

Although the methods chosen for my data collection and analysis were appropriate as described in the Chapter 3 (Methods Chapter), they are not without limitations. Detailed

limitations and the measures taken to mitigate are succinctly described in Chapter 3 (Methods Chapter) Table 13, however, there are limitations to this research worth mentioning again at this point.

It should be noted that the findings here are specific to the case studies presented. While there may be similar circumstances at other universities in similar contexts, it is important to remember that my findings are not necessarily generalisable to all situations. There is some disagreement about this in the literature. Flyvbjerg (2006) identifies generalisability as one of the main misunderstandings of case studies. Stake (1995) suggests that each case is a unique situation, and at the same time, common. And more recently, Bartlett & Vavrus (2017b, p. 34) explain that “cases generate rich theoretical insights that can be transferred to other times and locations.” Regardless, further research, as described below, should be conducted to verify transferability.

Finally, as described in Chapter 3 (Methods Chapter), I acknowledge that despite my best efforts, there is likely to be some element of bias in my interpretation of the findings. The conclusions of this research represent my interpretation of the various sets of data collected, including the interviews, which were constructed from the multiple realities of the participants (Norum, 2008). Each participant’s voice presented a unique perspective of internationalisation at their university based on their reality. Likewise, my interpretation of that voice is based on my reality. It is possible that my findings could be subject to other interpretations.

### ***Suggestions for further research***

There are a few areas which require further research, due to inconclusive evidence from the data collected. While my research has contributed to comparative knowledge stores, there is still a need for more comparative studies in general. Specifically, those studies that

provide “comparative institutional analysis across divides of academy, politics, and practice remain crucial” (Powell, 2020, p. 15). The proposed further research falls into two main groups: further research for polycyscape and rationale linkages and research to test findings from the study in other contexts.

1. *Compare universities with same rationales.* In this research each university was found to have a different rationale for internationalising and a different flow and structure for communication. It is unclear whether there is a link between rationales and structures. For example, will universities with economic rationales tend to implement more hierarchical structures for managing internationalisation than those with political rationales? Comparing institutions with the same rationales for internationalising will shed further light on the extent to which ideological position impacts an institution’s ability to develop structures and govern for long-term success in internationalisation.
2. *Compare universities within same polycyscape.* Will universities within the same polycyscape be influenced by the same external factors in the same way? In my research each university sat in a unique polycyscape. It is possible to see from my research that the layers of policy external to a university do indeed have an effect on how an institution responds to internationalisation. However, the extent to which these factors affect compared to the effect an institutions internal structures and culture have on this response is difficult to determine from my data. By comparing institutions within the same polycyscape, this could be examined more closely.
3. *Compare universities with same organisational culture.* In my research each university had a different organisational culture based on Sporn's (1996) typology. While it was possible to see that the university with the strong, externally-oriented



culture was better positioned for success, more research is needed to better understand whether universities with the same organisational culture will have the same degree of success in achieving sustainable internationalisation aspirations.

4. *Use student interviews to further triangulate information about implementation.* My research used data collected via policy documents and interviews with key administrative and academic staff at each university. Observations were used to triangulate data collected via policy documents and interviews. This was useful in validating findings. Interviewing students would add more depth to understanding the impact of internationalisation policies at an institution. This was outside the scope of my study but would add a useful dimension to the body of knowledge in this field. Understanding the role students play and how they are impacted by and/or involved in internationalisation policy at an institution would be beneficial in assisting institutions to govern more effectively.

### ***Recommendations for policy and practice***

Through the course of my research, I have identified recommendations for policy and practice at both the macro level and the micro level. In terms of global governance, a system or regime that could be used to link relevant actors and institutions would be useful. An umbrella organisation at the global level as described by Zapp & Ramirez (2019) could serve to connect internationalisation researchers as well as to connect internationalisation practitioners. However, moving beyond their suggestions, this regime could also serve as a research institute in and of itself and aim to track internationalisation policy, monitor ever changing policyscapes, and act as a clearinghouse for best practices for different contexts. At a local level, despite the lack of an international framework for internationalisation and despite differences in rationales, there are still common management implications at the

institutional level that universities can address. These include addressing the increased organisational and management complexity and determining how international education professionals fit in the organization. For example, structurally, is internationalisation addressed by a stand-alone office, is it embedded within various areas, or is it a combination of these two options? More specifically, institutions should:

1. *Conduct participatory processes for developing and implementing*

*internationalisation policy.* My research has shown that the more participatory policy development processes have resulted in more sustainable, transformative internationalisation practices. This is consistent with Hénard et al. (2012), Zhou (2016), and Owusu-Agyeman (2019). Although these processes may take longer to conduct, they result in a deeper infusion of and commitment to internationalisation throughout the institution and fewer policy-practice disconnects.

2. *Encourage two-way and university-wide communication flows.*

Robust communication practices contribute to a strong university culture, which is one of the factors that can ensure a university is strategically well-positioned to respond to internationalisation (Bartell, 2003; Sporn, 1996). Communication should flow multi-directionally between senior administrators and faculties as well as between faculties.

3. *Consider academics' roles in internationalisation policy development and*

*implementation.* My research has shown that where academic staff have been meaningfully involved in the development and implementation of internationalisation policies, there are fewer policy-practice disconnects. Romani et al. (2019) also found that the role of academic staff can be underestimated in developing internationalisation policy. This particular recommendation may support

reconciling the potential conflict of education as knowledge-sharing and education as trade that emerges in institutions emphasising marketisation as discussed in the previous chapter.

4. *Align policies and practices to move towards sustainability.* Universities should seek to align policies and practices in order to move towards sustainable internationalisation practices, meaning practices that are viable and beneficial for the long-term, and meet internationalisation aspirations. Turner & Robson (2008, p. 26) explain that transformative internationalisation is deeply embedded into the “routine ways of thinking and doing” at a university. In order to achieve this, policy-practice disconnects, which may be the result of a variety of factors as explained in the previous chapter, need to be resolved.

It should be noted that these recommendations are not mutually exclusive, but rather are inherently linked. For example, it may be that a university that focuses on creating participatory policy development processes or focuses on improving communication also will see fewer policy-practice disconnects. A university functions as a system. Management or behaviour adjustments to one part of the system may ultimately affect other areas of the system. The process of moving an institution towards its internationalisation aspirations is dynamic in character.

### ***Concluding remarks***

Building on academic discussions about the internationalisation of higher education, this study has sought to understand both how nested layers of context affect internationalisation at universities, as well as how organisational governance and structure determines how universities develop and implement internationalisation policies as they work to achieve internationalisation aspirations. As we understand how the many layers of

context affect universities and help to form their ideological positions towards internationalisation, we can better understand how universities will respond. Not to be overlooked, organisational culture is intimately tied to institutional response as well. Regardless of ideological position, universities need to move towards sustainable, or lasting, internationalisation policies and practices.

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Ziguras, C. (2018). Soft power projection: The political return on investment in international higher education. In B. Cantwell, H. Coates, & R. King (Eds.), *Handbook on the Politics of Higher Education* (pp. 167–186). Edward Elgar Publishing.

<http://researchbank.rmit.edu.au/view/rmit:51127>

Zmas, A. (2015). Global impacts of the Bologna Process: International perspectives, local particularities. *Compare: A Journal of Comparative and International Education*, 45(5), 727–747. <https://doi.org/10.1080/03057925.2014.899725>

## Appendix A Typology of rationales of internationalisation (Maringe et al., 2013, p14-15)

Table 1. Mapping of rationales of internationalisation.

Rationale	Meaning and focus	Key strategies	Comment and critique
Economic	Based on ambitions of becoming economically competitive, independent and increasing institutional financial revenue streams	Overseas student recruitment bringing foreign exchange and student labour	This notion of increasing financial streams is often left unstated. It is a hidden agenda in many universities. Regional policies for internationalisation such as the European Union, Southern African Development Community and Economic Community Of West African States make explicit mention of economic competitiveness
Political	Based on the idea of creating world understanding, eminence and leadership, peace and development	Development of global problem-focused curricula and research and teaching centres for poverty reduction, climate change, world conflict/peace studies and global terrorism, world religions, global financial markets, human trafficking. World-class talent identification and recruitment	Universities generally do not claim to have political ambitions and this rationale can be lost through deletion of this label in the institutional lexicon. World-class talent tends to follow economic prominence, resulting in highly skewed talent distribution across universities
Sociocultural	Based on the ambition to forge greater understanding between nations and cultures and enriching the learning experience	Student and staff academic exchange programmes. Second language learning and teaching. Cultural exchange programmes	Increasing dominance of English as a medium for learning, research and publishing depresses the emergence and strengthening of languages and cultures as integral aspects of development

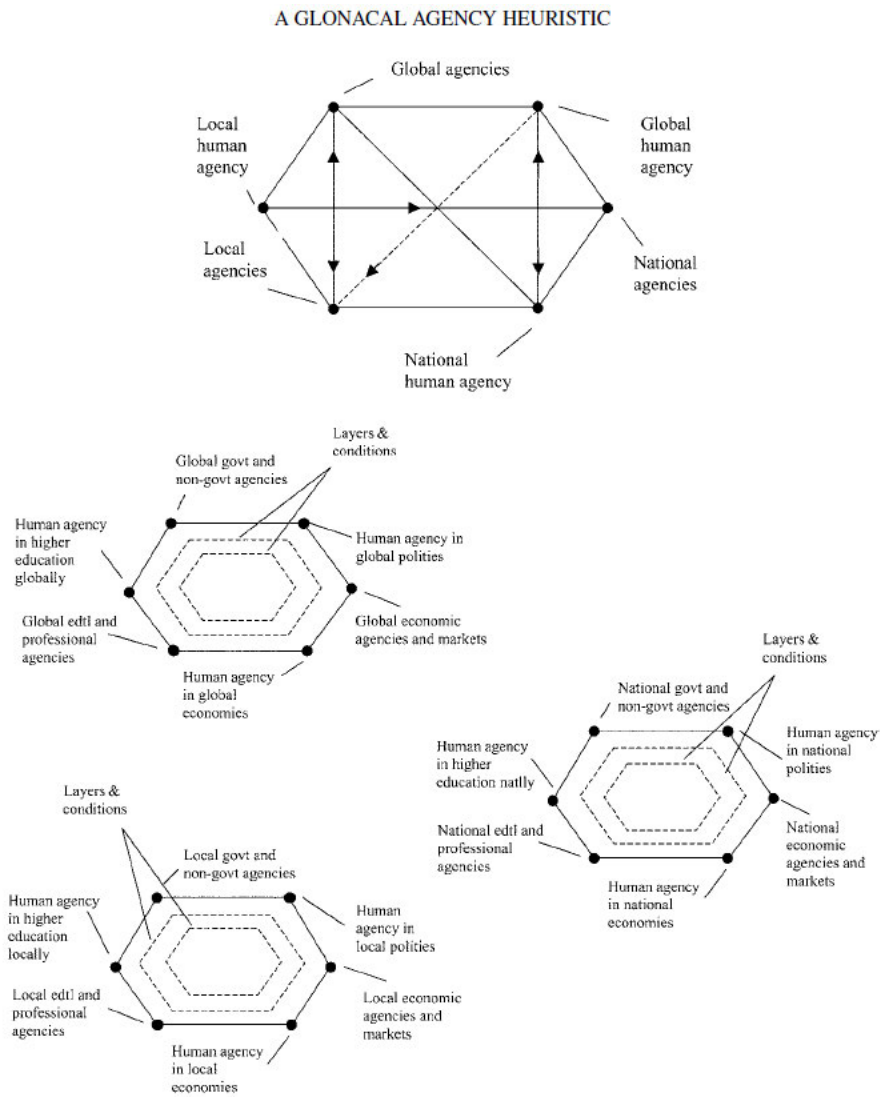
(Continued)

Table 1. (Continued).

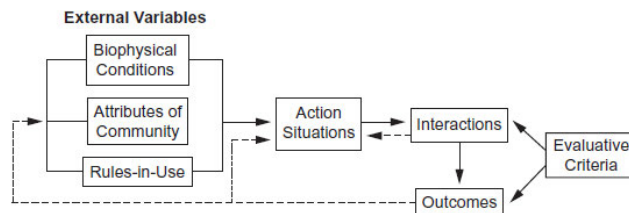
Rationale	Meaning and focus	Key strategies	Comment and critique
Technological	Development of a heightened responsiveness to current technological developments and becoming leaders in this field. Exploitation of technology to create access, social justice and equity in the sector	Huge investment in state-of-the-art technologies at various levels of the institution. Use of technology to create and widen access to education through distance/e-learning	The Global Digital Divide phenomenon constrains the equity motive behind internationalisation
Educational	Internationalisation as an educational quality marker. Motives around the creation of learning and scholarship communities. Development of partnerships for interrogating institutional and cross-institutional issues and forging progress and development links	Developing internationalisation audit frameworks. Partnerships for research, teaching (joint degree programmes) and the commercialisation of education	Partnerships tend to be led by universities in the west and so reproduce western models of wisdom, spreading these around the world
Pedagogical	Based on the idea of internationalising the university curriculum, in terms of content, teaching principles and approaches, assessment, support for learning and the student experience	Development of guidelines for preparing international curricula. Workshops for enhancing the pedagogical preparedness of staff to deal with aspects of international curricula	There is a varied and highly limited view of the curriculum in different universities which constrains their understanding and application of pedagogical principles

## Appendix B Glonacal heuristic

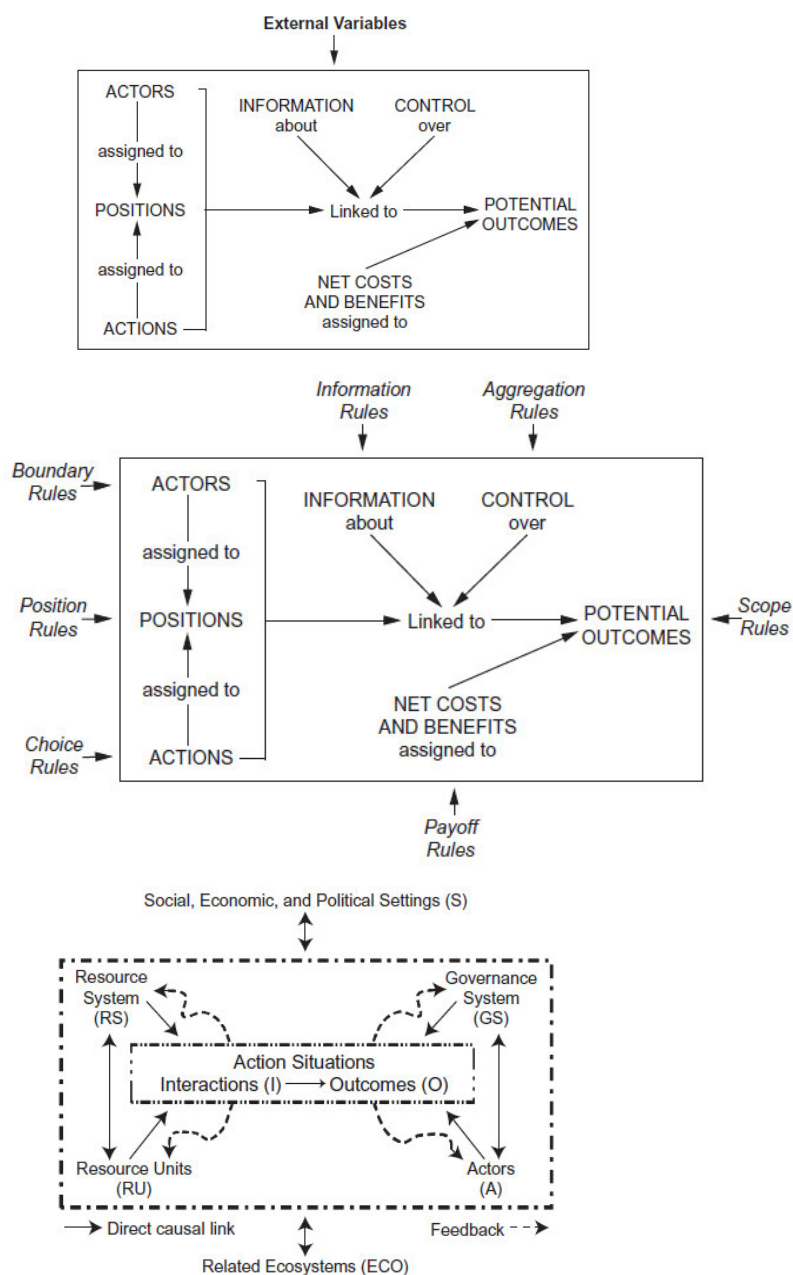
(Marginson & Rhoades, 2002)



## Appendix C Institutional Analysis and Development (IAD) model (Ostrom, 2011)



**Figure 1.** A Framework for Institutional Analysis.  
Source: Adapted from E. Ostrom (2005, p. 15).





## Appendix D Ethics: Tasmania Social Sciences Human Research Ethics Committee approval letters

Social Science Ethics Officer  
Private Bag 01 Hobart  
Tasmania 7001 Australia  
Tel: (03) 6226 2763  
Fax: (03) 6226 7148  
Katherine.Shaw@utas.edu.au



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HUMAN RESEARCH ETHICS COMMITTEE (TASMANIA) NETWORK

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01 June 2017

Professor Sue Kilpatrick  
Faculty of Education  
University of Tasmania

Student Researcher: Sarah Fischer

*Sent via email*

Dear Professor Kilpatrick

Re: MINIMAL RISK ETHICS APPLICATION APPROVAL  
Ethics Ref: H0016570 - Governance and Structures for International Education:  
Translating Policy into Practice

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We are pleased to advise that acting on a mandate from the Tasmania Social Sciences HREC, the Deputy Chair of the committee considered and approved the above project on 01 June 2017.

This approval constitutes ethical clearance by the Tasmania Social Sciences Human Research Ethics Committee. The decision and authority to commence the associated research may be dependent on factors beyond the remit of the ethics review process. For example, your research may need ethics clearance from other organisations or review by your research governance coordinator or Head of Department. It is your responsibility to find out if the approval of other bodies or authorities is required. It is recommended that the proposed research should not commence until you have satisfied these requirements.

Please note that this approval is for four years and is conditional upon receipt of an annual Progress Report. Ethics approval for this project will lapse if a Progress Report is not submitted.

The following conditions apply to this approval. Failure to abide by these conditions may result in suspension or discontinuation of approval.

1. It is the responsibility of the Chief Investigator to ensure that all investigators are aware of the terms of approval, to ensure the project is conducted as approved by the Ethics Committee, and to notify the Committee if any investigators are added to, or cease involvement with, the project.

A PARTNERSHIP PROGRAM IN CONJUNCTION WITH THE DEPARTMENT OF HEALTH AND HUMAN SERVICES



2. Complaints: If any complaints are received or ethical issues arise during the course of the project, investigators should advise the Executive Officer of the Ethics Committee on 03 6226 7479 or [human.ethics@utas.edu.au](mailto:human.ethics@utas.edu.au).
3. Incidents or adverse effects: Investigators should notify the Ethics Committee immediately of any serious or unexpected adverse effects on participants or unforeseen events affecting the ethical acceptability of the project.
4. Amendments to Project: Modifications to the project must not proceed until approval is obtained from the Ethics Committee. Please submit an Amendment Form (available on our website) to notify the Ethics Committee of the proposed modifications.
5. Annual Report: Continued approval for this project is dependent on the submission of a Progress Report by the anniversary date of your approval. You will be sent a courtesy reminder closer to this date. Failure to submit a Progress Report will mean that ethics approval for this project will lapse.
6. Final Report: A Final Report and a copy of any published material arising from the project, either in full or abstract, must be provided at the end of the project.

Yours sincerely

Katherine Shaw  
Executive Officer  
Tasmania Social Sciences HREC

A PARTNERSHIP PROGRAM IN CONJUNCTION WITH THE DEPARTMENT OF HEALTH AND HUMAN SERVICES

**From:** [Social Sciences Ethics](#)  
**To:** [Sue Kilpatrick](#)  
**Cc:** [Wendy Green](#); [Sarah Fischer](#); [Frances Fan](#)  
**Subject:** H0016570 Governance and Structures for International Education: Translating Policy into Practice  
**Date:** Tuesday, 8 May 2018 2:43:58 PM  
**Attachments:** [image001.png](#)

---

Dear Professor Kilpatrick

Ethics Ref: H0016570

Title: Governance and Structures for International Education: Translating Policy into Practice

This email is to confirm that the following amendment was approved by the Chair of the Tasmania Social Sciences Human Research Ethics Committee on 8/5/2018:

- Changes to research personal: Wendy Green is no longer employed by the university and has withdrawn from being a co-supervisor. She has been replaced by Frances (Si) Fan.
- Information Sheet Version 3

All committees operating under the Human Research Ethics Committee (Tasmania) Network are registered and required to comply with the National Statement on Ethical Conduct in Human Research (NHMRC 2007, updated May 2015).

This email constitutes official approval. If your circumstances require a formal letter of amendment approval, please let us know.

Should you have any queries please do not hesitate to contact me.

Kind regards  
Jude

[Jude Vienna-Hallam](#)  
Acting Executive Officer  
Research Integrity and Ethics Unit / Research Division  
University of Tasmania  
Building 1, 1st Floor, 301 Sandy Bay Road  
Hobart TAS 7001  
+61 3 6226 2608  
[www.utas.edu.au/research-admin/research-integrity-and-ethics-unit-rieu](http://www.utas.edu.au/research-admin/research-integrity-and-ethics-unit-rieu)



UNIVERSITY of  
TASMANIA

CRICOS 005868

## Appendix E Ethics: Norway approval letters



### Result of Notification Test: Not Subject to Notification

You have indicated that neither directly or indirectly identifiable personal data will be registered in the project.

If no personal data is to be registered, the project will not be subject to notification, and you will not have to submit a notification form.

Please note that this is a guidance based on information that you have given in the notification test and not a formal confirmation.

For your information: *In order for a project not to be subject to notification, we presuppose that all information processed using electronic equipment in the project remains anonymous.*

*Anonymous information is defined as information that cannot identify individuals in the data set in any of the following ways:*

- *directly, through uniquely identifiable characteristic (such as name, social security number, email address, etc.)*
- *indirectly, through a combination of background variables (such as residence/institution, gender, age, etc.)*
- *through a list of names referring to an encryption formula or code, or*
- *through recognizable faces on photographs or video recordings.*

*Furthermore, we presuppose that names/consent forms are not linked to sensitive personal data.*

Kind regards,  
NSD Data Protection

UDI  
P.O. Box 8108 Dep  
0032 Oslo

Date: February 14<sup>th</sup> 2017  
Your ref:  
Our ref: DY

Visiting Address: Gimlemoen 25 A  
Phone: +47 38 14 20 40  
Fax: +47 38 14 12 01

Case officer:

Dmytro.Yakovenko@uia.no

**SUPPORT LETTER – MS. SARAH FISHER – APPLICATION FOR RESIDENCE PERMIT TO CONDUCT RESEARCH –  
RESEARCHER WITH OWN FUNDS**

This letter confirms that the University of Agder, Kristiansand, Norway, will accept Ms. Sarah Fisher, who is a full-time PhD student at the Faculty of Education at the University of Tasmania, Australia, as a guest researcher in the period between August 1<sup>st</sup> 2017 and December 31<sup>st</sup> 2017.

Ms. Fisher will visit the University of Agder in order to conduct interviews, observations and policy analysis at the University of Agder as a part of her PhD project "Leadership and Structures for International Education: Translating policy into practice".

We also hereby confirm, that the University of Agder is aware of the fact, that Ms. Sarah Fisher will be fully funded with the Australian Postgraduate Award during the time of her visit to the University of Agder.

Yours sincerely,

Dmytro Yakovenko  
Head of International Affairs Unit

 **UNIVERSITY OF AGDER**

## **Appendix F Ethics: Example email invitation to participate**

Subject: Invitation to participate in research into governance and structures for international education: translating policy into practice

Dear [XXX]

I am conducting research on the governance, structures, processes, mechanisms and actors necessary for higher education institutions to effectively translate international education policies into practice and will inform the planning, practices and policy development at higher education institutions in Australia and overseas. The study is for a PhD and funded by an Australian Government Research Training Program Scholarship Please see attached information sheet for complete details.

I would like to interview you, to talk about the scope of internationalisation within your institution, and the influence of institutional processes, practices and policies, and other factors, on the internationalisation of higher education at your institution.

If you would like to participate in the study, would you please contact me (see page 2 of information sheet) by [XXX] to indicate your interest.

Kind regards,

Sarah Fischer

## Appendix G Ethics: Participant information sheets

### [UTAS Letterhead]

#### Governance and Structures for International Education: Translating Policy into Practice

This information sheet is for interview participants in the *Governance and Structures for International Education: Translating policy into practice* study.

#### Invitation

This study is being conducted in partial fulfilment of a PhD degree for Sarah Fischer under the supervision of Prof. Sue Kilpatrick and Dr. Wendy Green and is being funded by an Australian Government Research Training Program Scholarship.

#### **What is the purpose of this study?**

As the globalisation of economies and global mobility continues to expand and allow for the rapid exchange of commerce and ideas across political boundaries, internationalisation of education is becoming an increasingly important practice. So too, is understanding how universities are effectively adjusting to this changing landscape and contributing to this change. This research project will examine the governance, structures, processes, mechanisms and actors necessary for higher education institutions to effectively translate international education policies into practice and will inform the planning, practices and policy development at higher education institutions in Australia and overseas. The higher education institutions included in this study are the University of Tasmania (Australia), Middlebury College (United States) and University of Agder (Norway).

#### **Why have I been invited to participate?**

You have been invited to participate because you are a key actor in internationalisation at your institution and/or have knowledge of institutional policy and practice influencing the internationalisation of higher education in your institution.

#### **What will I be asked to do?**

You will be asked to participate in a semi-structured individual interview lasting approximately 45-60 minutes, to be conducted either in person or by Skype or similar technology. We would ask you to read and sign a statement of informed consent before participating in the interview. The interview will include questions about the scope of existing internationalization efforts, as well as open questions where you would be invited to reflect on the relative influence of institutional processes, practices and policies and other factors that affect internationalization at your institution. An audio recording will be made of the interview, with your permission.

#### **Are there any possible benefits from participation in this study?**

Your input will assist higher education institutions to develop policies and practices that contribute effective internationalisation.

#### **Are there any possible risks from participation in this study?**

There are no foreseeable risks if you participate in the study.

#### **What if I change my mind during or after the study?**

Participants are free to withdraw at any time, and that they can do so without providing an explanation. If you wish to withdraw your data from the study, you will need to advise us by 31 October 2018. After this date, it may not be possible to remove your data from the study.

#### **What will happen to the information when this study is over?**

Raw data will be kept on password-protected computers at the University of Tasmania for five years after my PhD thesis is published. Only the primary researcher and supervisors will have access to the data. After this time, your information will be permanently deleted.

Data will be treated in a confidential manner. Each institution will be identified in the study, but individual participants will remain anonymous.

#### **How will the results of the study be published?**

Results will be published in a PhD thesis in approximately October 2019 which will be available online through the University of Tasmania. It is also expected that results will be published in peer-

reviewed journal articles. Every effort will be made to ensure that individual participants will not be identifiable in the publication of results.

**What if I have questions about this study?**

If you have any questions about this study, please contact:

Sarah Fischer

Primary Researcher

University of Tasmania

[sarah.fischer@utas.edu.au](mailto:sarah.fischer@utas.edu.au)

phone +61 3 6324 3921

Prof Sue Kilpatrick

Supervisor

University of Tasmania

[sue.kilpatrick@utas.edu.au](mailto:sue.kilpatrick@utas.edu.au)

phone +61 3 6324 3632

Dr. Wendy Green

Supervisor

University of Tasmania

[w.j.green@utas.edu.au](mailto:w.j.green@utas.edu.au)

phone +61 3 6324 325

This study has been approved by the Tasmanian Social Sciences Human Research Ethics Committee. If you have concerns or complaints about the conduct of this study, please contact the Executive Officer of the HREC (Tasmania) Network on +61 3 6226 6254 or email [human.ethics@utas.edu.au](mailto:human.ethics@utas.edu.au). The Executive Officer is the person nominated to receive complaints from research participants. Please quote ethics reference number [Hxxxxx].  
**This information sheet is for you to keep.**



## Appendix H Ethics: Consent form

### Governance and Structures for International Education: Translating Policy into Practice

#### Consent form for Interview Participants

1. I agree to take part in the research study named above.
2. I have read and understood the Information Sheet for this study.
3. The nature and possible effects of the study have been explained to me.
4. I understand that the study involves participation in an individual interview in person or by Skype or similar technology that will be recorded. I will be asked to talk about the scope of existing internationalization efforts, as well as the relative influence of institutional processes, practices and policies and other factors that affect internationalization at your institution. The interview will take approximately 45 to 60 minutes.
5. I understand that participation does not involve any foreseeable risk.
6. I understand that all research data will be securely stored on the University of Tasmania premises for five years from the publication of the study results, and will then be destroyed.
7. Any questions that I have asked have been answered to my satisfaction.
8. I understand that the researcher(s) will maintain confidentiality and that any information I supply to the researcher(s) will be used only for the purposes of the research.
9. I understand that the results of the study will be published so that I cannot be identified as a participant.
10. I understand that my participation is voluntary and that I may withdraw at any time without any effect.

If I so wish, I may request that any data I have supplied be withdrawn from the research until 31 October 2018.

Participant's name: \_\_\_\_\_

Participant's signature: \_\_\_\_\_

Date: \_\_\_\_\_

**Statement by Investigator**

I have explained the project and the implications of participation in it to this volunteer and I believe that the consent is informed and that he/she understands the implications of participation.

If the Investigator has not had an opportunity to talk to participants prior to them participating, the following must be ticked.

The participant has received the Information Sheet where my details have been provided so participants have had the opportunity to contact me prior to consenting to participate in this project.

Investigator's name: \_\_\_\_\_

Investigator's signature: \_\_\_\_\_

Date: \_\_\_\_\_

[In the case of interviews via Skype or similar technology, consent forms will be emailed to participants and collected prior to the interview.]

## Appendix I Policy documents: Norwegian case

Level	Year	Policy Document Title
<b>International</b>		
	1999	<i>Bologna Declaration (1999)</i>
	1999	<i>Convention on the Recognition of Qualifications concerning Higher Education in the European Region (Lisbon Convention)</i>
	2000	SOCRATES Phase 2
	2002	ERASMUS World
	2004	EuroPass (Decision No 2241/2004/EC of the European Parliament and of the Council)
	2006	European Charter for Researchers and Code of Conduct for the Recruitment of Researchers (2005)
	2006	Life Long Learning
	2008	ERASMUS Mundus
	2011	Horizon 2020 - The Framework Programme for Research and Innovation
	2013	ERASMUSPlus
	1996, 2000, 2006, 2009, 2012, 2015	Agreement concluded by Denmark, Finland, Iceland, Norway and Sweden on Admission to Higher Education
	2004, 2016	Nordic Declaration on the Recognition of Qualifications Concerning Higher Education The Reykjavik Declaration (Revised 2016)
<b>National</b>		
	2000	NOU 2000: 14 Freedom with LIABLE On higher education and research in Norway Ch 18 and 19
	2001	Report No. 27 (2000-2001) to the Storting Do your duty - Demand your rights
	2008	Report No. 14 (2008–2009) to the Storting Internationalisation of Education in Norway
	2010	The Research Council of Norway: Strategy for International Cooperation 2010 - 2020
	2011, 2014	NORDPLUS Program 2012-2016
	2011	The Norwegian Qualifications Framework for Lifelong Learning (NQF)

<b>Level</b>	<b>Year</b>	<b>Policy Document Title</b>
	2011	North America Strategy for Higher Education Cooperation 2012–2015
	2015	Evaluation of NORDPLUS 2012-2016
	2016	Panorama Strategy for cooperation on higher education and research with Brazil, China, India, Japan, Russia and South Africa (2016–2020)
	2017	Internationalisation for all SIU's strategy 2017 – 2021
<b>County</b>		
	2010	International Strategy for Agder: Creative Energy
	2012	Regional Development Plan Agder 2020
<b>Institution</b>		
	2009, 2012	UiA Erasmus Policy Statement
	2013	HR Excellence in Research logo by the European Commission
	2014	Erasmus Charter for Higher Education 2014-2020
	2016	UiA Strategy 2016-2020
	2017	UiA Faculty of Humanities and Education Action Plan 2017-2020
	2017	UiA University plan for increased collaboration with African institutions in research and higher education
	2009, 2012	UiA Erasmus Policy Statement

## Appendix J Policy documents: Australian case

Level	Year	Title of policy document
<b>International</b>		
	2002	Memorandum of understanding between the Government of Australia and the Government of Colombia on cooperation in the field of education and training
	2003	Memorandum of understanding between the Australian Department of Education, Science and Training and the Indian Department of Science and Technology
	2003	Exchange programme between the Government of Australia and the Government of the Republic of India on cooperation in the fields of education and training
	2003	Memorandum of understanding between the Government of Australia and the Government of the Republic of Turkey on cooperation in the field for education and training
	2005	Memorandum of understanding on educational cooperation between the Australian Commerce and Industry Office in Taipei and the Bureau of International Cultural and Educational Relations, Ministry of Education in Taipei
	2006	Memorandum of understanding in biotechnology between the Australian Department of Education, Science and Training of the Government of Australia and the Department of Biotechnology of the Government of India
	2007	Joint Declaration of Mr Jan Figel Commissioner for Education, Training, Culture and Youth, European Commission and The Hon Julie Bishop MP Minister for Education, Science and Training, Government of Australia
	2007	Memorandum on cooperation in education between the Ministry of Education, Culture, Sports, Science and Technology of Japan and the Department of Education, Science and Training of Australia
	2008	Memorandum of understanding in education between the Department of Education, Employment and Workplace Relations of Australia and the Ministry of Education, Science and Technology of the Republic of Korea
	2010	Memorandum of higher education cooperation between the Ministry of Higher Education in the Kingdom of Saudi Arabia and the Department of Education, Employment and Workplace Relations of Australia

<b>Level</b>	<b>Year</b>	<b>Title of policy document</b>
	2011	Extension of memorandum of understanding in biotechnology between the Australian Department of Education, Science and Training of the Government of Australia and the Department of Biotechnology of the Government of India and variation of name
	2011	Memorandum of understanding between the Government of Australia and the Government of Malaysia on co-operation in the field of education
	2011	Memorandum of vocational education cooperation between the Department of Education, Employment and Workplace Relations of Australia and the Ministry of Education, Culture and Science of Mongolia
	2011	Memorandum of understanding on vocational education and training cooperation between the Bureau of Employment and Vocational Training of the Council of Labor Affairs, Executive Yuan of Taiwan and the Australian Commerce and Industry Office, Taipei
	2011	Memorandum of understanding on cooperation in vocational education and training between the Australian Department of Education, Employment and Workplace Relations and the Vietnamese Ministry of Labour, Invalids and Social Affairs
	2012	Memorandum of understanding on cooperation in education, training and higher education research between the Department of Industry, Innovation, Science, Research and Tertiary Education of Australia and the Department of Education, Employment and Workplace Relations and the Ministry of Education of the People's Republic of China
	2012	Memorandum of understanding (MOU) on cooperation in student mobility and welfare between the Government of the Republic of India represented by the Ministry of Human Resource Development and the Ministry of Overseas Indian Affairs and the Commonwealth of Australia represented by the Department of Industry, Innovation, Science, Research and Tertiary Education and the Department of Immigration and Citizenship
	2012	Memorandum of understanding between the Government of Malaysia and the Government of Australia on co-operation in the field of higher education
	2012	Memorandum of understanding on cooperation in education and training between the Ministry of Education of Thailand and the Australia Government Department of Industry, Innovation, Science, Research and Tertiary Education
	2013	Memorandum of understanding on cooperation in education and training between the Government of Australia and the Government of the Socialist Republic of Vietnam

<b>Level</b>	<b>Year</b>	<b>Title of policy document</b>
	2014	Arrangement on higher education qualifications recognition between the Government of Australia and the Government of the People's Republic of China
	2014	Memorandum of understanding on cooperation in student, researcher and academic mobility between the Government of Australia and the Government of the People's Republic of China
	2014	Memorandum of understanding between the Ministry of Education and Culture of the Republic of Indonesia and the Department of Education of the Commonwealth of Australia on cooperation in education and training
	2014	Memorandum of understanding on higher education, vocational education and training and research cooperation between the Government of Australia and the Government of the United Arab Emirates
	2015	Memorandum of understanding on education, research and vocational education and training between the Australian Department of Education and Training and the Brazilian Ministry of Education
	2015	Memorandum of understanding between the Department of Education and Training of Australia and the Secretariat of Public Education and the National Council of Science and Technology of the United Mexican States for cooperation on education, research and vocational education and training
	2015	Memorandum of understanding between the Ministry of Education of the Republic of Chile and the Department of Education and Training of the Commonwealth of Australia for the cooperation on education, research and vocational education and training
	2016	Memorandum of understanding between the Department of Education and Training of Australia and the Ministry of Education and Culture of the Republic of Paraguay for cooperation on education, research and vocational education and training
	2016	Memorandum of understanding between the Department of Education and Training of Australia and the Ministry of Education of the Republic of Peru on cooperation in the field of education, research and vocational education and training
	2016	Memorandum of understanding on higher education, research and vocational training between the Government of Australia and the Government of the State of Qatar
	2016	Memorandum of cooperation on education between the department of education of the United States of America and the Department of Education and Training of the Commonwealth of Australia

Level	Year	Title of policy document
	2017	Memorandum of understanding between the Department of Education and Training of Australia and the Ministry of Education and Sports of the Argentine Republic on cooperation in the field of education, research and technical and professional training
	2017	Memorandum of understanding on cooperation in vocational education and training between the Department of Education and Training of Australia and the Ministry of Education of the People's Republic of China
<b>National</b>		
	2000	Education Services for Overseas Students framework
	2008	Review of Australian Higher Education, or Bradley Review
	2009	Senate Enquiry into the Welfare of International Students
	2011	IEAA Strategic Vision for International Education in Australia
	2011	Strategic Review of the Student Visa Program, or Knight Report
	2012	Australia in the Asian Century
	2013	Review of Student Visa Assessment Level Framework
	2013	International Education Advisory Council report, Australia - Educating Globally, or Chaney Report
	2015	New Colombo Plan
	2016	Migrant Intake into Australia (Productivity Commission)
	2016	National Strategy for International Education 2025
	2016	Value of International Education to Australia
<b>State</b>		
	2013	Tasmania's Place in the Asian Century White Paper
	2015	Making the Future Partnership: education, innovation, quality of life and economic impact 2015-2025
	2016	Dept State Growth International Education Position Paper
	2017	Tasmanian Global Education Growth Strategy
<b>Institution</b>		
	2012	Open to Talent Strategic Plan
	2013	Draft Engaged Globally - Strategic Plan 2013 – 2018 – this contains Int'l student recruitment plan and curriculum plan as well
	2013	UTAS Social Inclusion Plan



<b>Level</b>	<b>Year</b>	<b>Title of policy document</b>
	2014	Strategic Research Plan 2014-2018
	2015	University of Tasmania Strategic Plan for Learning and Teaching 2012-2014 (2015 Extension)
	2015	Retention and Success Strategy 2015-2017
	2016	UTAS Student Experience Strategy
	2016	The University of Tasmania Curriculum 2025 White Paper
	2016	UTAS International Strategy 2016-2020

## Appendix K Policy documents: American case

Level	Year	Policy Document Title
<b>International</b>		
	2000 and 2010	Agreement for the establishment of the U.S.- Mexico commission for educational and cultural exchange, with memorandum of understanding.
	2000 and 2011	U.S. – Spain Plan of Joint Activities in Education
	2000 and 2015	Memorandum of understanding on the Fulbright Exchange Program (Andorra)
	2000	Agreement between the Government of the United States of America and the Government of the Argentine Republic for Financing Certain Educational Exchange Programs
	2000	Agreement concerning educational and scholarly exchanges administered by the Romanian-U.S. Fulbright Commission.
	2001	Joint Declaration on Higher Education and the General Agreement on Trade in Services
	2003	Agreement concerning the Bulgarian-American Commission for Educational Exchange
	1999, 2003, 2009	Agreement for the establishment of a binational educational exchange foundation. (Canada)
	2004	Agreement for educational, cultural and scientific cooperation. (Spain)
	2005	Agreement for the establishment of the U.S.-Polish Fulbright Commission.
	2005	Agreement concerning the J. William Fulbright Commission for Educational Exchange in the Slovak Republic
	2006	Agreement between the United States of America and the European Community Renewing a Program of Cooperation in Higher Education and Vocational Education and Training
	2007	Agreement on the equal opportunities scholarship program. (Chile)
	2007	Agreement concerning the Hungarian-American Commission for educational exchange.

<b>Level</b>	<b>Year</b>	<b>Policy Document Title</b>
	2007	Agreement for investing in people: education. (Liberia)
	2007	Brazil Memorandum of Understanding on Education
	2008	Agreement on educational cooperation (Azerbaijan)
	2008	Agreement for educational and cultural exchange programs (Brazil)
	2008	Memorandum of understanding on the Fulbright Exchange Program. (Panama)
	2008	Brazil-HBCUs
	2008	US India - Agreement for Financing Certain Educational Exchange Programs
	2009	People's Republic of China Joint Work Plan on Education
	2009	Joint Statement by the United States of America and India: Partnership for a Better World
	2010	Joint Declaration on the Comprehensive Partnership between the United States of America and the Republic of Indonesia
	2010	Agreement concerning the establishment of the Malaysian-American Commission on Educational Exchange.
	2010	Implementing Accord for Cultural Exchange for the Period 2010 through 2012 Under the Cultural Agreement between the Government of the United States of America and the Government of the People's Republic of China
	2011	Memorandum of understanding concerning the Fulbright Exchange Program (Slovenia)
	2012	Memorandum of understanding between the Department of State of The United States of America and The Ministry of Education and Science of The Russian Federation on educational cooperation
	2013	U.S.–Mexico Bilateral Forum on Higher Education, Innovation and Research (FOBESII)
	2014	Agreement for cooperation in educational exchanges. (China)
	2014	The Transatlantic Friendship and Mobility Initiative

Level	Year	Policy Document Title
	2014	Joint Statement by North American Leaders - 21st Century North America: Building the Most Competitive and Dynamic Region in the World
	2014	U.S.-Egypt Higher Education Initiative
	2015	Agreement concerning the continuation of the Commission for Educational Exchange. (Portugal)
	2016	Australia
<b>National</b>		
	2000	Memorandum on International Education Policy
	2001	USA Patriot Act
	2002	Beyond September 11: A Comprehensive National Policy on International Education
	2003	In America's Interest: Welcoming International Students
	2004	A Call to Leadership: The Presidential Role in Internationalizing the University
	2006	2006 National Security Language Initiative (NSLI) (US Department of State 2006)
	2006	'Education for Global Leadership: The Importance of International Studies and Foreign Language Education for U.S. Economic and National Security'
	2006	Restoring U.S. Competitiveness for International Students and Scholars
	2006	An International Education Policy For U.S. Leadership, Competitiveness, and Security
	2007	International Education and Foreign Languages: Keys to Securing America's Future
	2008	Higher Education Opportunity Act, Title VI—International Education Programs
	2010	The Changing Landscape of Global Higher Education
	2012	US Department of Education International Strategy 2012-16: Succeeding Globally Through International Education & Engagement
	2013	Research Universities and the Future of America: Ten Breakthrough Actions Vital to Our Nation's Prosperity and Security
<b>State</b>		


<b>Level</b>	<b>Year</b>	<b>Policy Document Title</b>
	2009	Imagining Vermont: Values and Vision for the Future
	2017	Vision and Mission of EducationVT
<b>Institution</b>		
	2003	Former President Fogel's Ten-year Vision
	2006	President Fogel's "Signatures of Excellence"
	2007	Structuring the High-Performance International Education Office
	2008	Symposium on Strengthening UVM'S International Focus
	2008	Internationalizing the University of Vermont: The time is now
	2009	Strategic Plan 2009-2013
	2009	International Advisory Council (IAC) charge
	2011	Knodell Memo

## Appendix L Interview coding examples

Below are extracts of interviews with examples of coding in NVivo. There is one example from each case. Each example was taken from the same topic in the semi-structured interviews.

### 1. University of Tasmania

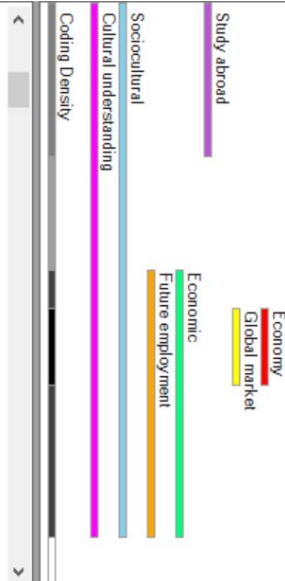
aren't necessarily their own here locally. So for instance, a Tasmanian student can actually interact with someone from China and the ideas that they get there could be far reaching and actually expand their (??). The business of the intake of international students. Domestically, we receive not as much funding from domestic students as we would from an international student. International students actually bring in more funding from that point of view. So from a business perspective, it actually helps to keep the university afloat or above the black, you could say. In terms of actually being able to keep the lights on and to actually have teachers in school to teach the domestic students and the international students themselves. So what happens here is that the recruitment team isn't supposed to focus on that business side of bringing in the dollar signs. That's actually done at a much higher level in terms of, while the DVC, the PVC and the directors, they are the ones who focus on that. The recruiters themselves are focused on getting all of the academic students here at UTAS regardless of where those students are coming from. So they basically want to get more butts in seats, but they want to make sure those butts in seats are actually – all these students are going to come out and give a positive outlook for the university as a whole.



The screenshot shows the NVivo interface with a text extract on the left and a list of codes on the right. The codes are represented by colored bars: Level of participation (blue), Income (blue), Global market (blue), China (blue), Trade (blue), Tension (blue), Immigration (blue), Student recruitment for revenue (blue), Internal-external orientation (blue), Educational Quality (red), Economic Leadership (yellow), Policy development process (yellow), Business (yellow), University culture (yellow), International students (yellow), and Coding Density (black).

### 2. University of Vermont

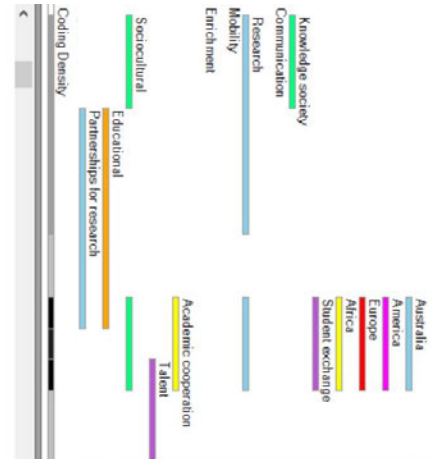
Why occurring? So we just joined Generation Study Abroad a couple of years ago. In getting ready to do that, we thought a lot about this issue. I think for me personally, it's important for student development to have some kind of sense of like... 'the other'. That other places or cultures are not bad or scary. I sort of look at it personally from a way of that's the type of work that I want to be doing. That's the type of difference that I want to make in our larger world basically. Because I think that as people realise that people from other backgrounds and other cultures they are not necessarily doing it the wrong way, that the US is not like the 'BEST' place in the world, there's not an objective reality to that, I think the better off the world will be. And institutionally, I think that all of us in the office believe that too. And just with the economy being so globalised, we really think it's important for students' careers to have an international aspect. And even if it's not studying abroad, having the ability – we do a lot of programming to connect our international students with domestic students. You probably hear about that from others. Just to get them used to working with students from other backgrounds and learning other languages, I think is beneficial to their future career goals. And just also to their academics. For example, if you are a political science student, your political science classes in Spain might be completely different to your classes here. And kind of



The screenshot shows the NVivo interface with a text extract on the left and a list of codes on the right. The codes are represented by colored bars: Study abroad (purple), Economic Leadership (yellow), Future employment (yellow), Cultural understanding (yellow), Sociocultural (yellow), Coding Density (black), and Economy Global market (blue).

### 3. Universitetet i Agder

I think research is international. There are no borders for knowledge, so you really can't be a university in good standing without being international from my perspective. It's not really a strategic choice, it's just an absolute necessity. The strategic end of it is how aggressive we are and how we achieve certain things. It's not a choice. That's one side on the research end, there are no borders. We operate in a global ecosystem. Over half of all of our research publications at this institution, and also in Norway, have co-authors from other countries. So that's a good example of the ecosystem works. We need to be active and facilitate our researchers. A great deal of the internationalisation process is bottom-up, ad-hoc. It's the scholars that find partners. We don't drive that, we support it. But some partnerships get big enough that we want to develop or facilitate that at the central level, or institutional level. We have some partners in Africa, in the US, in Europe and Australia that we combine student exchange, research cooperation. There are multiple levels, so we say this is a preferred partner. So that's our motivation. And of course, competing for scholars, the recruitment, the market. We face a significant loss of brainpower to retirement over the next couple of years. A large percentage of our professors, about 40%, are over the age of 60. Our needs in



## Appendix M Observation data collection sheet

<b>I. Institution:</b>				
<b>Campus:</b>				
<b>Date:</b>				
<b>Strategies:</b>	<b>Description of presence and frequency</b>			<b>Photo? Y/N</b>
<b>Campus Culture/Co-curriculum</b> Examples: Clubs, art, languages, food, International celebrations, Physical/cultural artefacts (Yin 2009)				
<b>Admissions emphasis</b> Examples: Recruit intl students, domestic students, mobility				
<b>Research</b> Examples: Evidence of intl partnerships, Research abroad				
<b>Curricula</b> Examples: Visible promotion of intl majors/courses, Website				
<b>Mobility</b> Examples: Location of study abroad office, Visible promotion of mobility	<b>Student</b>	inbound/outbound	university/external program	
	<b>Staff</b>	inbound/outbound	university/external program	
	<b>Funding</b>	University or external program		
	<b>Re-entry</b>	Support, intl at home		
	<b>Other</b>			
<b>Triangulation (to be defined by interviews and policy analysis)</b>				
Other 1:				
Other 2:				
Other 3:				
Other 4:				



Other 5:		
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## Appendix N Fischer and Green 2018

Article

### Understanding contextual Layers of Policy and Motivations for Internationalization: Identifying Connections and Tensions

Sarah Fischer<sup>1</sup>  and Wendy Green<sup>1</sup>

#### Abstract

Many have observed challenges in translating internationalization policy into practice in universities. When key policy documents provide inconsistent messages, a gap can emerge between vision and practice. Understanding the complexities of an institution's local, national, and global context and its rationale for internationalization can shed light on why such gaps arise. This case study demonstrates how a thematic analysis of relevant international, national, state, and institutional policies can reveal tensions between these layers, and indicate possible reasons for the failure to translate policy into practice. The main rationale driving internationalization at the university studied here is economic; however, starting in 2016, a variation in key themes and, thus, rationales is found in the documents. This indicates a shift in the university's internationalization discourse may be occurring. We argue that a more comprehensive approach to internationalization is needed to address inconsistencies in policy directions and drive practice.

#### Keywords

internationalization, higher education, policy, thematic analysis, geopolitical contextual layers

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## Introduction

The idea of the internationalization of education is not new: the movement of scholars and students can be traced back centuries (de Wit, 2002; Wildavsky, 2010). More recently, however, the concept of internationalization has been shaping policies and practices at universities around the globe (Altbach, Reisberg, & Rumbley, 2009) in response to the increasing pace of globalization (Altbach et al., 2009). Some regions and countries, such as the United States, the United Kingdom, and Australia, have been leaders in this area, while others, such as China, Singapore, and Malaysia (Byrne

& Hall, 2013), have more recently begun to purposefully consider internationalization. However, gaps between institutional policy plans and practices of internationalization have been observed in many different regions and institutional contexts (Kalvemark & van der Wende, 1997; Stensaker, Frølich, Gornitzka, & Maassen, 2008).

Policy is used by governments and institutions alike to classify and regulate the spaces and subjects they wish to govern (Berger & Luckmann, 1991; Shore & Wright, 2011). Policy-focused analysis and the use of policies as a window into understanding has become an important avenue for understanding higher education (Robertson et al., 2012; Shore & Wright, 2011). As (Hacker & Pierson, 2014) explain, among the benefits of a policy-focused analysis are “. . . a better understanding of the dynamics of policy change, and a more accurate mapping of interests, strategies, and influence” (p. 643).

At the institutional level, Knight (1994) identifies policies as one of the key elements of internationalization and explains that “internationalization must be entrenched in the culture, policy, planning and organizational processes of the institution so that it is not treated as, nor does it become, a passing fad” (p. 5). Childress (2009) asserts internationalization plans are “critical to the operationalization of institutions’ internationalization goals” (p. 307). Policies and plans act as roadmaps and provide guidance for the implementation of internationalization commitments. One potential barrier to developing a successful plan is a non-participatory process which can create a disconnect between the policies and reality. However, studies (Fleacă, 2017; Ostrom, 2007, 2009, 2011) have found that a well-developed, inclusive planning process can overcome this obstacle, and despite the potential disconnect, strategic plans and other related policy documents continue to be important in the management of and shape practices at higher education institutions. Without a clear and coherent internationalization plan in place, it is unlikely that internationalization efforts will succeed. Because of the guidance these documents provide an institution, it is important to ensure that a consistent message is conveyed when internationalization efforts are discussed in multiple documents within the same institution. This article addresses this problem by presenting a multi-layered approach to policy analysis, to highlight possible causes for this policy-practice divide. This approach is illustrated through a close analysis of policy documents at one Australian university. Our analytical method reveals historic trends in the development of international, national, state, and institutional internationalization policy documents, which have resulted in mixed policy messages at the university, thus forming potential blockers to internationalization in practice.

## Definitions

The internationalization of higher education has been defined as “the process of integrating an international, intercultural or global dimension into the purpose, functions or delivery of post-secondary education” (Knight, 2004, p. 11). A keyword in this definition is “process” indicating the ongoing nature of internationalization. In addition to the definition of internationalization as a process, the literature describes a variety of strategies for implementing the concept within educational institutions. These strategies include expanding study abroad opportunities, developing research efforts with international partners, enrolling international students, offering off-shore campuses, and developing curriculum that focuses on area studies or language studies and/or accommodates diverse learning methods (de Wit, 2013; Dobson & Hölttä, 2001; Ellingboe,

1999; Hénard, Diamond, & Roseveare, 2012; Knight, 2008). How these strategies are implemented and perceived will affect their success (Warwick & Moogan, 2013). While Knight's definition is useful for understanding organizational processes, it does not offer a description of the integration process (Sanderson, 2008).

#### Geopolitical Layers of Context and Rationales for International Education

Over the last two decades, various models and frameworks have been proposed for understanding the different paradigms of and approaches to internationalization strategies (Bartell, 2003; Clark, 1983; Sporn, 1996; van der Wende, 1997; Warner, 1992). These models are useful for understanding the underlying philosophies of universities and link to the rationales described below. Leask and Bridge (2013) argue that in addition to understanding the paradigms in which internationalization strategies are created, it is also important to understand the geopolitical "layers of context" (p. 85) that influence how decisions about internationalization are made. The institutional context is nested in the local, national, regional, and, finally, global contexts. Leask and Bridge's (2013) model informs the conceptual framework for this study, in that key policies from each geopolitical layer of our case study will be identified and analyzed thematically.

The manner in which various policies are implemented depends on a variety of factors, or rationales, which vary from country to country and institution to institution. Because internationalization extends to multiple aspects of universities, the other variant in this equation is dependent on an institution's goals concerning internationalization. Not only do the goals express institutional commitment, they also inform stakeholders' participation, and stimulate stakeholder involvement in internationalization initiatives (Childress, 2009).

Knight and de Wit (1995) have described four overarching rationales for internationalization: political, economic, educational, and cultural, while Blumenthal, Goodwin, Smith, and Teichler (1996) argued that the rationale for higher education internationalization policy can be political, economic, educational, cultural, or academic, scientific, and technological. In a 1997 study, Knight extended the possible rationales to include political, economic, academic, and cultural/social. More recently, Maringe, Foskett, and Woodfield (2013) expanded on this further with their taxonomy of rationales, which include the economic, political, educational, sociocultural, technological, and pedagogical. Maringe et al.'s study reduces overlap between types of rationales and clearly defines strategies and purposes for each rationale. For these reasons, this final and most recently published framework of rationales will be used to map one university's rationale, strategies, and purposes of internationalization.

#### Layers of Geopolitical Context

Over the past two decades, researchers have identified various approaches for looking at the development of internationalization strategies, policies, and programs. There is diversity in the approaches described in the literature, illustrating the contextualized nature of internationalization. While many studies apply Knight's (1997) four categories to the analysis of rationales, with few exceptions (Leask, 2015; Leask & Bridge, 2013), most do not take into account that there can be tension between the international, regional, national, institutional, and disciplinary rationales.

#### Methodological Approach

An empirical, qualitative study was undertaken to understand the context and rationale for internationalization at an Australian university that aspires to increase its international presence. The University of Tasmania (UTAS) represents an average Australian university. For example, it offers a comprehensive range of degree programs and falls in the middle of the spectrum in terms of Australian university rankings. With an overall 2015-2016 Australian Research Council Excellence in Research for Australia (ERA) rating of 26.67% (Australian Education Network, 2016), it is not a research-intensive university, nor does it have exceptional resources to address internationalization (Department of Education and Training, 2016). In 2016, UTAS had an equivalent full-time load of

4,277 overseas students (Department of Education and Training, 2016), which was slightly below the national average. A case study approach was chosen for this research because it involved the detailed examination of a phenomenon in a single, bounded context. Flyvbjerg (2006) argues that case study research is important for generating context-dependent knowledge, which nevertheless can reveal findings of relevance to other contexts. For this reason, case studies play a useful role in public policy settings (Stake, 2003), including the development of plans for internationalization. Thus, findings from a study of internationalization at one university can be relevant to other universities. Because the aim of this project was to seek understanding of inconsistent messages regarding a university's rationale and motivations for internationalization, the research was conducted in an interpretivist paradigm (Sandberg, 2005). The aim of the study was to look for a plausible explanation or understanding of internationalization as a social structure and to "understand motives, meanings, reasons and other subjective experiences which are time and context bound" (Hudson & Ozanne, 1988, p. 510).

#### Data Collection and Analysis Methods

For this project, policy documents, including strategies and reports, collected via an Internet search were the sources of data. First, an Internet search using Google was performed to locate relevant international, national, state, and university policy documents. Next, the websites of appropriate institutions and organizations were searched to locate any further relevant documents that were not found in the initial Google search. Then, the development of international, national, state, and institutional policy documents was mapped over time, providing an overview of the policy structure (Yanow, 2000) and context for internationalization at this university.

To gain further insight into the rationale for internationalization at this university, a thematic analysis of the documents for each geopolitical layer was conducted. This was completed using the three general phases described by Creswell (2005) and Guest, MacQueen, and Namey (2012). First, the documents were read for familiarization and initial ideas about the emerging patterns of themes were noted. Second, initial descriptive codes (Saldaña, 2009) were generated and emerging themes were grouped. Third, the themes were synthesized, relationships between the data were described, and links to existing research were considered. Finally, once the key themes were determined for a document, they were compared with the strategies that Maringe et al. (2013) use to map six rationales for internationalization of higher education and a primary rationale was identified for each document. These primary rationales were then compared over time within each geopolitical layer to identify any shifts in rationales and, ultimately, between geopolitical layers to understand how the geopolitical layers affect each other.

#### International Policy Context

We begin at the international geopolitical level, as outlined in Leask and Bridge's (2013) framework, to understand the policy context for internationalization at this university. Currently, there are no formal agreements at the international level that specifically address internationalization of education with a global scope. There are regional agreements such as the Bologna Convention, which aims to facilitate mobility in Europe by calling for common higher education policy and practice within the region, as well as the *UNESCO Dakar Framework for Action* (2000), the *UNESCO Muscat Agreement* (2014), and the 17 Sustainable Development Goals (SDGs) of the *2030 Agenda for Sustainable Development* (2015) which set global education goals and targets, but do not address internationalization. In addition, there are several international organizations that provide potential frameworks for the internationalization of higher education, including the Organisation for Economic Co-Operation and Development (OECD), the United Nations Educational, Scientific and Cultural Organization (UNESCO), and the United Nations Children's Fund (UNICEF). The documents produced by these organizations tend to focus on quality assurance, documenting global trends and best practices for internationalization. While these documents are straightforward, how they are interpreted or translated at a national level varies.

#### Australian National Policy Context

Relevant Australian government policy documents published from 2000 onward were identified and thematic analysis was used to explore the main themes and ideas surrounding internationalization. Internationalization of higher education is not a new concept in Australia; however, the policy documents from 2000 onward are limited in the aspects of internationalization covered, with many of the documents focusing on policies for incoming students such as visas and fees. It was not until 2016 that the first national-level strategy for a comprehensive approach to internationalization, the *National Strategy for International Education 2025* (2016), was released.

After completing the thematic analysis, the primary rationales for internationalization were determined for each document based on the rationale model developed by Maringe et al. (2013). This analysis of the relevant policy documents from 2000 onward shows that the economic significance of international education is emphasized and that the overarching primary rationale for the internationalization of higher education in Australia is economic. Eleven out of the 12 documents analyzed had an economic primary rationale. This is consistent with Murray and Leask (2015) who reviewed national policies and also found that the dominant models for internationalization in Australia are driven by a commercial mind-set. This study builds on their findings with a more detailed analysis of all policy documents relating to internationalization for a specific Australian university.

In the vast majority of national-level documents analyzed, even when strategies typically associated with non-economic rationale are mentioned, these are seen as playing a secondary role to the ultimate goal of improving the Australian economy. For example, *The Value of International Education to Australia* (Deloitte Access Economics 2016) states, "A number of stakeholders noted that international education can help produce a bilingual workforce that can create greater opportunities for international economic cooperation. . ." (p. 55). Second language learning is a strategy associated with sociocultural rationale for internationalization (Maringe et al., 2013); however, in this case, it is seen as a means to an economic end.

Other common themes in the policy documents pertaining to the internationalization of higher education include the export of education, policies for incoming students regarding visas and fees, the economic significance of international education, international reputation and rankings, global competition, international student recruitment, and mobility. These are all associated with a market-based approach to internationalization (Maringe et al., 2013) and aimed at increasing economic revenue. For example, the 2012 white paper, *Australia in the Asian Century*, which set out significant implications for education, had an economic rationale, that is, to develop education as an export industry for the Asian markets.

In contrast to the heavy emphasis on economic drivers in internationalization policy, the *New Colombo Plan*, piloted in 2014 followed by the release of the plan in 2015, has a primarily sociocultural rationale. It focuses largely on mobility, relationships, and collaboration, making the primary rationale sociocultural. This is the first time sociocultural aims were found to be dominant themes in the documents analysed.

for this study. Then, in 2016, in the *Value of International Education to Australia* (Deloitte Access Economics, 2016), released in 2016, a sociocultural theme is again present, albeit as a secondary rationale. However, because the presence of sociocultural aims is such a recent phenomenon, it is not possible to determine whether this sociocultural interest will significantly inform new policy development in Australia within a broader policy landscape dominated by an economic rationale. The inconsistency in discourse here may be a reflection of the frequent changes in government and political leadership that Australia has experienced over the last 10 years.

As also observed by Whitsed and Green (2016), the analysis conducted for this case study detected a silence in the national-level policy documents in relation to the internationalization of research and the curriculum. While the publication of the *National Strategy for International Education 2025* in 2016 is significant, as it is the first of its kind in Australia, this strategy lacks any specific commitment to any of the rationales outlined by Maringe et al. (2013), aside from an economic one.

Recognition of the importance of political, educational, sociocultural, and pedagogical rationales is



lacking. Although there is mention of technology in the *National Strategy*, it is simply identified as an opportunity for the future and there are no specific actions defined for responding to this opportunity.

#### Tasmanian State Policy Context

Moving down one layer, state-level internationalization policy documents were examined.

Tasmania is a small island state with a traditional prominence of rural industries and, more recently, tourism. The state has only recently begun to engage with the internationalization of higher education. In 2013, the Tasmanian Government released a white paper, *Tasmania's Place in the Asian Century White Paper* (Department of Premier and Cabinet, 2013), in response to the national level *Australia in the Asian Century* (Australian Government, 2012) published in 2012. This Tasmanian white paper is primarily focused on developing strategies to benefit economically from Asia's current economic growth. As seen in national-level documents analyzed, when non-economic strategies of internationalization are mentioned, such as those associated with the sociocultural rationale, the ultimate goal is still economic benefits, as in the following statement: "boost the socio-cultural enrichment that will allow Tasmania to achieve a demographic and cultural transformation with long-term benefits for accessing Asian investments and markets" (Department of Premier and Cabinet, 2013, p. 35).

More recently, the state of Tasmania and UTAS developed a partnership program, *Making the Future Partnership: Education, Innovation, Quality of Life and Economic Impact 2015-2025*, that touches on the internationalization of education. Like *Tasmania's Place in the Asian Century White Paper*, the primary theme identified in *Making the Future Partnership: Education, Innovation, Quality of Life and Economic Impact 2015-2025* is the potential economic value of the education sector. Where internationalization is specifically mentioned, it is in the context of the economic contribution international students will make to the Tasmanian economy, in line with the rest of Australia. The development of international partnerships with China and the Association of Southeast Asian Nations (ASEAN) is mentioned in the context of promoting economic growth. The ideas of cultural and social development are identified as a secondary theme in this document, being included less often than economic growth. These are the only documents identified at the state level that address the internationalization of higher education and the primary rationale indicated for both is economic.

#### University Internationalization Discourse

Finally, to understand university-level internationalization discourse, relevant policy documents were identified and thematic analysis was used to explore the main themes and ideas surrounding internationalization. Only internationalization documents from 2012 onward were available on the university website. The economic benefits of internationalization appear to be a key motivator and are frequently cited as the rationale for internationalization. Other common themes present, which are all subthemes of economic benefits, include marketing and international student recruitment, the global reputation, and competitive markets. International rankings are cited as being very important to the university and this appears to be entirely driven by an economic rationale. Rankings are often mentioned in the context of being a marketing tool for the university. For example, the *UTAS International Strategy 2016-2020*, released in 2016, clearly underscores the relationship between rankings and the recruitment of international students:

The University of Tasmania ranks ninth amongst Australian universities in regard to external research income to support research and research training and is in the top two percent of universities worldwide. . . Whilst these factors make us a viable destination for overseas students it is also necessary that we are internationally engaged and that our curriculum and offerings are world-class and produce globally-aware work-ready graduates—for the benefit of all of our students and in order to be attractive to international students. (UTAS International Strategy 2016-2020, 2016c, p. 4)



There is a clear focus here on the business of internationalization in the institutional policy documents. This is consistent with, and has not changed from, the results of Dobson and Hölttä (2001) who also found that the financial benefits of incoming international students are particularly significant to Australian universities.

Our analysis of university policy documents from 2012 onward revealed that there was not an overarching comprehensive university internationalization strategy document until 2016. While there are several documents addressing internationalization, they do not appear to be developed with a comprehensive, coordinated approach. For example, the documents released in 2016 do not address mobility consistently. While *The UTAS Curriculum 2025 White Paper* (2016b) and the *UTAS International Strategy 2016-2020* both mention student mobility as a priority, in *The UTAS Student Experience Strategy* (2016a), student mobility is not mentioned. Furthermore, The UTAS Curriculum 2025 White Paper emphasizes the importance of staff mobility, while the *UTAS International Strategy 2016-2020* mentions staff mobility only 3 times and only once linked with student mobility. The lack of a comprehensive, coordinated approach to internationalization is also reflected in the manner in which the rationales tend to vary from document to document. For example, looking at the 2016 documents again, the primary rationales (economic, pedagogical, and sociocultural/economic) differ for each of the three documents released this year. Thus, the suite of university strategy documents is providing an inconsistent message.

Also present in the UTAS policy documents is the conflation of the phrases “national and international” and “global” and “international.” There is a preference for using the word “global” in place of “international.” Yet, many argue that there is an important difference between the two (Centre for Educational Research and Innovation, & OCED, 2008; Knight, 2008; Altbach and Knight (2007); Scott, 1998). Globalization is viewed as a stage of world development and is associated with the compression of space and time (Welch, 2002), whereas internationalization involves relationships and agreement between nation states or entities within nation states with specific policies and practices. The internationalization of higher education concerns an academic institution’s “ability to cope with the global academic environment” (Altbach & Knight, 2007, p. 290).

Another inconsistency is with the use of the words, “national and international.” They are regularly used together; however, often only national implementation strategies are described. For example, in *Open to Talent Strategic Plan* (2012), connecting with national and international networks is mentioned; however, the more specific strategies described in this section focus on engaging with local communities and creating work and volunteering opportunities on campus. While the inclusion of the word international indicates an awareness of the concept of internationalization, the lack of description of specific international strategies indicates a lack of commitment to it.

A final point to note is that geographically, Asia and China, specifically, are points of focus for UTAS. Latin America and the Middle East are mentioned occasionally as emerging priority geographic areas; however, this is secondary and any strategies described in the documents focus on China and Asia. The focus on Asia is seen through the layers of policy, with the theme present in the state-level document *Making the Future Partnership: Education, Innovation, Quality of Life and Economic Impact 2015- 2050* and the *National Strategy for International Education 2025* and *Australia in the Asian Century*. Despite this theme being present in the multiple layers of policy documents, clear linkages between the documents are not always defined and specific, and comprehensive strategies are lacking. While the university indicates plans to expand its association with Asia, its efforts are without the benefit of overarching regional strategies, agreements, and understandings. Given the lack of connections between its various policy documents and the multiple rationales present, the institutional approach to internationalization appears to have been largely piecemeal and ad hoc.

#### Gaps in University Discourse

The layered approach to policy analysis, based on Leask and Bridge’s (2013) framework, and compared with Maringe et al.’s (2013) taxonomy of rationales, has revealed several gaps and inconsistencies in the university’s internationalization discourse. Hudzik (2011) describes the

concept of “comprehensive internationalization” as “a commitment, confirmed through action, to infuse international and comparative perspectives throughout the teaching, research, and service missions of higher education” (p. 6). Given this, one would expect to see an approach to internationalization that brings together all sections of the university, particularly teaching/learning and research. One of the more notable gaps is that internationalization as a comprehensive concept (Hudzik, 2011) is not mentioned until 2015 in UTAS Strategic Plan for Learning and Teaching 2012-2014 (2015 Extension) and there are no publicly available UTAS policy documents which focus solely on internationalization prior to 2016. A more strategic and comprehensive approach as described by Hudzik (2011) may benefit future UTAS internationalization efforts. Hudzik (2011) argues that “increasingly, the business of universities is as much across as it is within borders, and not just in the free flow of ideas but in the global flow of students and scholars who generate them” (p. 11). A more comprehensive approach to internationalization could improve the university’s ability to cope with this new reality.

In a comprehensive approach to internationalization, one would expect to see strategies present for both internationalization at home and abroad (Hudzik, 2011; Knight, 2004). There is very little mention of internationalization at home, or the enrichment onshore international students can potentially provide for domestic students in any of the university’s policy documents. Although inbound mobility is mentioned somewhat regularly, outbound mobility for students and staff is not discussed often. Furthermore, while mobility is mentioned in four of the nine documents developed by UTAS, only *The UTAS Curriculum 2025 White Paper* contains an in-depth consideration of the topic. This document presents seven specific, detailed recommendations for improving the uptake and learning outcomes for outbound mobility. The 2012 *TESQA Report of an Audit of UTAS* cites mobility as an area that needs improvement and recommends that UTAS develop an overarching strategic approach to student mobility. Overall, there is a lack of acknowledgment of the contribution that internationalization provides to knowledge building and no discussion about intercultural communication and the learning of languages. There is some mention of digital learning, mostly in the context of massive open online courses (MOOCs), but this does not appear to be a priority, despite being identified as an emerging opportunity in the national policy documents. Finally, transnational programs are discussed in the earlier policy documents, but disappear from later documents where the focus shifts to increasing international onshore student load.

In 2016, a possible shift in discourse is seen. This could be due to the national conversation surrounding the development of the *National Strategy for International Education 2025* or possibly the *New Colombo Plan*, which has become a prominent influence on Australian internationalization. Internationalization is discussed more thoroughly and holistically in the documents released this year than in previous documents. The *UTAS International Strategy 2016-2020* (2016c) is the first of its kind at the university and *The UTAS Curriculum 2025 White Paper* (2016b) includes a commitment to internationalizing the UTAS curriculum in all programs of study. However, despite the inclusion of an internationalization discussion paper with thorough attention to internationalization of curriculum at UTAS in *The UTAS Curriculum 2025 White Paper* (2016b), the concept is still not integrated with wider university policy and planning in that paper. A shift away from an economic rationale may be a positive change, as it could be argued that knowledge and education should not be considered commodities (Altbach, 2002). It remains to be seen if this shift will continue or if it is an anomaly. This could be further explored through interviews in future research.

#### Relationship Between Levels of Policy

Recently, scholars (Cho & Palmer, 2013; Liu & Metcalfe, 2016; Marginson, 2004; Marginson & Rhoades, 2002; Sklad, Friedman, Park, & Oomen, 2016) have begun to put into practice “glonacal analysis,” or develop an understanding how global, national, and local elements interact and shape higher education. Marginson and Rhoades (2002) developed a glonacal agency heuristic, which suggests that global, national, and local elements (global + national + local = glonacal) all interact

simultaneously and must be considered, along with the internal spheres of influence for each element. Knight (2004) also considers policies, approaches, and rationales for internationalization at three geopolitical levels: international, national, and institution and found that the “national/sector level has an important influence on the international dimension through policy, funding, programs, and regulatory frameworks. Yet it is usually at the institutional level that the real process of internationalization is taking place” (p. 5). Examining the multiple geopolitical layers of policy may help to understand context and explain shifts in approaches or discourse.

Some inconsistencies in the UTAS internationalization discourse may be explained by the context in which policies are developed. For example, if a key internationalization policy developed at the national level has a predominant economic rationale, then one may expect to see this trickle down through the levels of policy, with that predominant rationale echoed shortly thereafter at the state and institutional levels. It is also reasonable to assume that the reverse is true. Policies developed at the institution level may affect the discourse at the state and national level. This effect can be seen in Table 1 below where the primary rationale(s) for each key internationalization policy document are shown by level and year developed. However, this does not account for all the shifts in discourse, which indicates that other factors may be affecting the shifts. For example, in Table 1, the political rationale seen at the institutional level in 2014 and 2015 is not reflected in the national or state levels of policy. While many models consider more than one layer when determining the context for internationalization, most do not take into account that there can be tension between the international, regional, national, institutional, and disciplinary rationales.

### Conclusion and Suggestions for Future Research

The multi-layered contextual analysis developed and applied in this case study has revealed the influence of national and local/state policy settings on an institution’s policy

Table 1. Policy Context and Linkages: Predominant Rationale of Internationalization Policy Documents by Year and Level of Policy.

	National	State	Institutional
2000	Economic, educational		No documents available on website
2001			
2002			
2003			
2004			
2005			
2006			
2007			
2008	Economic		
2009	Economic		
2010			
2011	Economic		
	Economic		
2012	Economic		Economic
2013	Economic	Economic	Economic, educational, sociocultural
	Economic, political		Educational
2014			Political
2015	Sociocultural, educational	Economic	Political
2016	Economic		Sociocultural, Political, Economic
	Economic, political		Sociocultural, Economic, Pedagogical
	Economic, socio-political		Economic

development and sets the stage for a better understanding of the blockers and enablers of internationalization practice at the institution. The variety of rationales found in this case study, which generally privilege the economic over other drivers, indicate how mixed messages to a university's stakeholders can arise. As Childress (2009) points out, internationalization plans are a higher education institution's "written commitments to internationalization" (p. 291). They provide direction and the foundation for institutional support for internationalization processes. If this is not consistent, internationalization cannot be successful. The largely piecemeal approach to internationalization policy at the university in this case study raises questions about the extent to which the policy development processes could be considered participatory and whether key stakeholders have been included in the processes (Fleacă, 2017; Ostrom, 2011). While our analytical approach to policy development has revealed potential blockers to comprehensive internationalization, further research is needed to understand the process of implementation in institutions. Implementation is a key element in the internationalization process and requires future research (Sanderson, 2008; Taylor, 2004). Interviews with key academic and administrative stakeholders would be valuable to explore (a) how policy is interpreted (how do stakeholders interpret mixed messages), (b) issues of participation and ownership, and (c) how inconsistency between vision (e.g., white papers) and strategy documents arise.

Finally, future research could also define institutional measures and definitions of success in internationalization. Various elements of success have been identified and indicators have been developed (Center for Internationalization and Global Engagement, 2012; Furushiro, 2006; Green, 2012; Green & Olson, 2003; Olson, Green, & Hill, 2006), but there is not one agreed system for defining success. While results of this research point toward economic indicators and university rankings being used as ad hoc indicators of success, it is not clear from the results of this research how the institution in this case study is specifically defining success and evaluating its internationalization efforts. Further research into the impact of internationalization policy and outcomes of internationalization efforts is needed.

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## Author Biographies

Sarah Fischer is a PhD candidate in the Faculty of Education at the University of Tasmania. Her research interests are focused on the governance and processes of the internationalisation of higher education.

Wendy Green is a senior lecturer (Adjunct) in the School of Education, University of Tasmania. She is currently undertaking an Australian National Learning and Teaching Fellowship with a focus on 'engaging students as partners in global learning'.

## **Appendix O ECER 2017 peer-reviewed abstract and presentation**

### **Title**

Internationalisation of Education at a Mid-Size, Regional University in Australia:

Understanding Context and Rationales

### **Authors**

Sarah Fischer, Wendy Green

**Proposal Information** (up to 600 words with clear outline of your research question and your theoretical framework)

As the globalisation of economies and global mobility continues to expand and allow for the rapid exchange of commerce and ideas across political boundaries, the internationalisation of higher education is becoming an increasingly important practice. Because the two primary missions of university are to educate the next generation and conduct research, so too, is understanding how universities are effectively adjusting to, and shaping this changing landscape. The idea of the internationalisation of education is not new as the movement of scholars and students can be traced back centuries (de Wit, 2002; Wildavsky, 2010). Hudzik (2011, p.7) argues that “increasingly, the business of universities is as much across as it is within borders, and not just in the free flow of ideas but in the global flow of students and scholars who generate them.” Understanding the context and rationale for internationalisation can help to inform policy and decision-making processes surrounding internationalisation. Some regions and countries, such as the United States, the European Union (EU) and Australia, have been leaders in this area, while others, such as China, Singapore and Malaysia (Byrne & Hall, 2013), have begun more recently to purposefully consider internationalisation. The global south, in general, is considered to be amongst those regions that are just beginning comprehensive internationalisation processes in higher



education. Because Australia is in a unique position in this regard, being geographically located in the global south, but having some characteristics in common with the global north, the results of this research will be applicable and transferrable to regions and institutions that are just entering internationalisation, as well as those with a longer history, such as the EU. This research focuses on understanding the context and rationale for internationalisation at a mid-size, regional, multi-campus university in Australia that aspires to increase its international presence. By looking at responsiveness over time to the changing global environment brought about by geo-political shifts, this research aims to inform the planning, policy development and practices at universities in Australia and overseas.

In this study, historic trends and development of international, national and state internationalisation policy are identified in order to determine the context of internationalisation at this university. Within that context, university policy documents are then examined to identify themes surrounding internationalisation and any gaps in university internationalisation discourse.

The following research questions will be answered:

1. What is the context for internationalisation at this Australian university?
2. What are the discursive shifts about internationalisation in the relevant policy texts?
3. How do the layers of policy relate to each other in terms of tensions and responsiveness?

#### **Methodology or Methods/ Research Instruments or Sources Used** (up to 400 words)

This research is an empirical, qualitative study. Because the aim of this project is to seek understanding and provide a rationale for the motivations for internationalisation at this university, the research is conducted in an interpretivist paradigm (Sandberg, 2005). In order to answer the first research question, an internet search using Google was performed

to locate relevant international, national, state and university policy documents.

Additionally, the websites of appropriate institutions and organisations were searched to locate any further relevant documents that were not found in the initial Google search. To gain further insight into the rationale for internationalisation at this university, a thematic analysis of the documents was conducted. This was completed using the three general phases described by (Creswell, 2005) and (Guest, MacQueen, & Namey, 2012). First, the documents were read for familiarisation and initial ideas about the emerging patterns of themes were noted. Second, initial descriptive codes (Saldaña, 2009) were generated and emerging themes were grouped. Third, the themes were synthesised and relationships between the data were described and links to existing research were considered. Once the themes were synthesised, they were compared with the Maringe, Foskett and Woodfield's (2013) framework to determine within which paradigm this university sits.

### **Conclusions, Expected Outcomes or Findings** (up to 300 words)

The economic benefits of internationalisation appear to be a key motivator for internationalisation at the Australian university examined in this study and are frequently cited as the rationale in the associated policy documents. This may reflect the political context of Australian universities. The rapid changes associated with globalisation require that internationalisation policy be responsive. Looking at the suite of university policy documents from 2012 onward, it is interesting to note that there was not an overarching comprehensive university internationalisation strategy document until 2016. The university's approach to internationalisation has been largely piecemeal and opportunistic. The lack of a comprehensive, coordinated approach to internationalisation is also reflected in the manner in which the rationales tend to vary from document to document. There are several gaps in the university internationalisation discourse to note. One of the more

notable gaps is that internationalisation as a comprehensive concept (Hudzik, 2011), is not mentioned until 2015. While not ignored completely, internationalisation is not a primary focus in any of the publicly available university policy documents prior to 2016. While plans appear to have been laid for internationalisation, implementation is not yet evident. Taylor (2004) and Sanderson (2008) have pointed out that implementation is a key element in the internationalisation process and also indicate that future research should examine implementation efforts. A more strategic and comprehensive approach as described by Hudzik (2011, p6), who explains that comprehensive internationalisation is “a commitment, confirmed through action, to infuse international and comparative perspectives throughout the teaching, research, and service missions of higher education”, may benefit future university internationalisation efforts. A more comprehensive approach to internationalisation could improve the university’s ability to cope with this new reality. This study may offer lessons learned applicable to universities in Europe and beyond.

#### **References** (up to 400 words)

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# Internationalisation of Education at a Mid-Size, Regional University in Australia: Understanding Context and Rationales



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## Overview

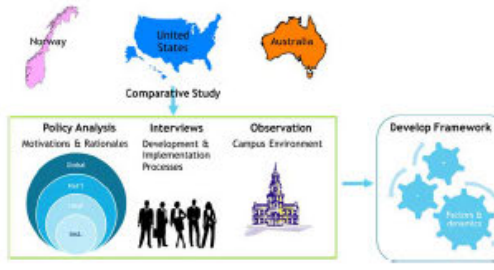
- Introduction
- Methods
- Results
- Key themes, gaps in discourse and relationship between levels of policy

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## Introduction

- Internationalisation of higher education not new
  - Globalisation (Altbach et al 2009; Maringe et al 2013, p12)  
"world-scale transformations taking place in the political and ideological, the technological and economic, and the social and cultural aspects of life."
  - Internationalisation (Knight 2004, p11)  
"the process of integrating an international, intercultural or global dimension into the purpose, functions or delivery of post-secondary education"
  - Relationship between the two (Barnett 2016)  
Internationalisation is a response to globalisation
- Reasons for internationalisation vary
- Importance of internationalisation plans (Childress 2009)
- Part of larger research effort


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## Models for understanding context

- Rationales: Market, liberal and social transformation models (Warner 1992)
- Factors affecting internationalisation: State authority, market and academic oligarchy Influence on coordination (Van der Wende 1997)
- Value-driven models for characterising internationalisation: Commercial (western), cultural (primarily Confucian and Middle East nations), and curriculum (poorer universities of the south) (Maringe et al 2013)
- Policy Influence on decisions about internationalisation (Leask and Bridge 2013)



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## Typologies for understanding rationales

Author(s)	Year	Rationales
Knight and DeWitt	1995	<ul style="list-style-type: none"> <li>• Political</li> <li>• Economic</li> <li>• Educational</li> <li>• Cultural</li> </ul>
Blumenthal et al	1996	<ul style="list-style-type: none"> <li>• Political</li> <li>• Economic</li> <li>• Educational</li> <li>• Cultural/academic</li> <li>• Scientific</li> <li>• Technological</li> </ul>
Knight	1997	<ul style="list-style-type: none"> <li>• Political</li> <li>• Economic</li> <li>• Academic</li> <li>• Cultural/social</li> </ul>
Maringe et al	2013	<ul style="list-style-type: none"> <li>• Economic</li> <li>• Political</li> <li>• Educational</li> <li>• Sociocultural</li> <li>• Technological</li> <li>• Pedagogical</li> </ul>

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### Closer look at Maringe et al.'s (2013) typology

Rationale	Meaning/focus	Strategies
Economic	Increasing economic competitiveness and \$	Overseas recruitment to bring \$
Political	Create world understanding, leadership, peace	Global problem focused curriculum/research centres, world-class talent
Educational	Internationalisation as an educational quality marker. Create learning and scholarship communities. Development of partnerships for interrogating institutional and cross-institutional issues	Developing internationalisation audit frameworks. Partnerships for research, teaching (joint degree programs)
Sociocultural	Forge greater understanding between nations/cultures, enrich learning experience	Mobility, second language learning
Technological	Response to current technological developments and becoming leaders in this field	state-of-the-art technologies at various levels of the institution, distance/e-learning
Pedagogical	Internationalising the university curriculum, in terms of content, teaching principles and approaches, assessment, support for learning and the student experience	guidelines for preparing international curricula, pedagogical preparedness of staff to deal with aspects of international curricula

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### Research Questions

1. What is the context of internationalisation at this Australian university?
2. What are the discursive shifts about internationalisation in the relevant policy texts?
3. How do the geopolitical layers of policy relate to each other in terms of tensions and responsiveness?

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### Methods and Analysis

- Key policy documents from 2000 – 2016 collected via Google Internet search and searching relevant institutions and organisations websites
- Types of documents vary by geopolitical level
- Documents mapped over time to provide overview of policy structure
- Thematic analysis of documents conducted (Guest, MacQueen and Nemy 2012)
  1. Documents read for familiarisation and initial ideas about emerging themes noted
  2. Initial descriptive codes were generated and emerging themes grouped
  3. Themes synthesised, relationships between data described and links to existing research considered
- Primary rationales determined for each document based on model developed by Maringe et al (2013)

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### At a Glance: University of Tasmania

- UTAS is a typical Australian University
- 37,500 students
- Multi-campus
- Not research intensive
- Comprehensive range of degree programs
- Middle of AUS university rankings (18)
- Does not have exceptional resources



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### International Level

- No overarching document addressing internationalisation with a global scope
- Several organisations that provide potential frameworks
  - OECD, UNESCO, UNICEF
  - Focus on quality assurance, documenting global trends and best practices
  - Interpretation varies nationally
- Regional framework: APEC (education as catalyst for economic development)
- Many bilateral agreements & MOUs (31 w/22 countries)
- Common themes: cooperation, overseas qualification recognition, exchange of info/people, language
- Primary rationale: educational, followed by sociocultural

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### Australian National Policy Context (12 documents from 2000-2016)

- Not new concept for Australia, but limited aspects covered
- Focus in policies on incoming students – visas and fees
- 2016 first national level strategy for comprehensive internationalisation released
- Common themes: the export of education, policies for incoming students regarding visas and fees, the economic significance of international education, international reputation and rankings, global competition, international student recruitment and mobility
- Overall primary rationale: Economic (11/12 documents)

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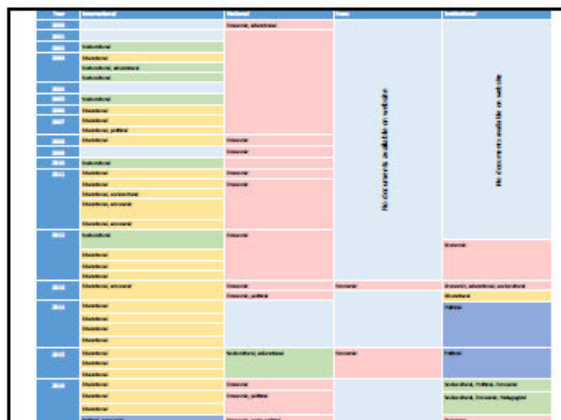
### Tasmanian State Policy Context

- Recently beginning to engage with internationalisation
- **Common Themes:** Asia, economic growth
- **Overall primary rationale:** Economic (2/2 docs)
- When non-economic strategies of internationalisation are mentioned, such as those associated with the socio-cultural rationale, the ultimate goal is still economic benefits:

"boost the socio-cultural enrichment that will allow Tasmania to achieve a demographic and cultural transformation with long-term benefits for accessing Asian investments and markets"

### UTAS Institutional Policy Context

- Only internationalisation documents from 2012 on available on website
- First overarching internationalisation document in 2016
- Piecemeal and opportunistic approach
  - 2016 rationales vary, mobility message inconsistent
  - "national and international", but only national strategies described
- **Common themes:** economic benefits, marketing, international student recruitment, the global reputation, international rankings, competitive markets and Asia/China
- **Gaps in discourse:** internationalisation at home, outbound mobility for students and staff, knowledge building, intercultural communication, languages, digital learning
- **Overall primary rationale:** Economic (4/9), on verge of shift? (2/9 sociocultural in 2016)



## Where to from here?

- Plans are 'written commitment to internationalization.'  
(Childress 2009)
- Not consistent, not successful
- How to create a more comprehensive and consistent approach?
- Need to understand process of policy development and implementation in institutions

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Questions?

For Discussion:

- How does the policy development process affect internationalisation?
- How can we measure success of internationalisation?





## Appendix P Historical University of Vermont internationalisation policy

The University of Vermont has a long, documented history of internationalisation. Adapted from a list compiled for Comprehensive Exam Submitted by: Gina M. Ippolito, M. Ed. Candidate, The University of Vermont, April 12, 2006 in (Committee to Review International Education, 2008).

Policy Document	Date	Purpose of Document
Overseas Study and Foreign Students at the University of Vermont Written by: Jeremy P. Felt (Coordinator of Overseas Programs and Professor of History)	1976	Discusses history of the Overseas Program at UVM, the role of the office, and services provided.
Contribution of the Office of International Students and Overseas Programs: A Proposal for Action Written by: David A. Shiman (Coordinator, Office of International Students and Overseas Programs) and Beverly S. Carlson (Advisor to International Students and Scholars)	1982	Focuses only on international students and scholars, the role of the OISOP in internationalizing UVM, recommendations made from OISOP perspective.
Progress Report and Budget Planning for FY 1985 Written by: David Shiman (Coordinator, Office of International Students and Overseas Programs)	1983	Status of enrolment patterns, exchange programs, faculty exchanges, and efforts to recruit international students.
Progress Report and Budget Planning for FY 1986 Written by: David Shiman (Coordinator, Office of International Students and Overseas Programs)	1984	Status of enrolment patterns, exchange programs, faculty exchanges, and efforts to recruit international students. Includes proposal for additional staff.
Office of International Students and Overseas Programs Written by Beverly S. Carlson (Coordinator, OIS/OP)	1985	Refers to difficulty in reporting to the Dean of Students Office. Gives update of responsibilities of the OIS/OP office: status of enrolment patterns, exchange programs, faculty exchanges, and efforts to recruit international students.
Office of International Services, Director's Report Written by: Bill Stone (Director, Office of International Services)	1987	
Report of the Provost's Task Force on International Education at UVM Written by: Lynne Bond (Dean, Graduate College), Ed Ducharme (Professor, College of Education and Social Services), Bill Kelly (Associate Dean, College of Agriculture), Greg Mahler (Director, International Studies Program), Bill Stone (Director, Office of International Educational Services), Hilton Hallock (Intern), and Carolyn Elliot (Chair)	1989	Defines International Education and international populations at UVM, reports the status of recruitment of international students and faculty, current curriculum considerations, faculty development, co-curricular opportunities, assessment, and recommendations.
Executive Summary and Recommendations of the Report of the Provost's Task Force on International Education at UVM	1989	
Steering Committee Report, International Education	1989	
Graduate College Report on International Education	1989	
Continuing Education, International Task Force	1989	
Internationalization Task Force	1989-1994	
Recommendations from the Director, Office of International Services and Overseas Programs Consultation with Bill Hoffa	1992	
Study Abroad Task Force, Final Report Written by: Allan Andrews, Rosalind Andreas, Lynne Bond, Deep Ford, Kathy Ford, Leslie King, Donna Kuizenga, Mikyung Kwon, Kevin McKenna, Ron Savitt, Jackie Seibert	1993	Outlines: 1) identify & prioritize study abroad issues; 2) develop targeting plan for formal exchange agreements; 3) target countries, specific departments; 4) identify two sites & first set of participants; 5) draft of agreement. The Task Force made recommendations for an Associate Provost to coordinate Internationalization efforts and a standing committee (graduate & undergraduate faculty, Director of OIES, chaired by Assoc. Provost).
"UVM's Relationship to Vermont and the World", The University of Vermont, Self-Study Report Written by: Judith Ramaley and Geoff Gamble	1999	Discusses UVM as a sense of place within the state of Vermont, the nation and the world, offers five opportunities for exploration and action: 1) develop a culture of communication and collaboration, 2) support a culture of productive engagement with the community and world, 3) expect, reward, and celebrate engagement and excellence, 4) strengthen partnerships with the Greater Burlington community, 5) enhance our connections with the State of Vermont.



## Appendix Q Fischer, Kilpatrick and Fan (submitted)

### Comparative Policyscapes: Understanding internationalisation of higher education

As globalisation continues to expand and allow for the rapid exchange of commerce and ideas across political boundaries, internationalisation of education is increasingly important. Institutions are developing policies and strategies to ensure that their higher education students are fully equipped to contribute to and participate in the global circulation of knowledge. Understanding the context and rationale for internationalisation of higher education can help inform policy and decision-making processes surrounding internationalisation. In this qualitative comparative case study, a thematic analysis of policy documents at the international, national, state/county and institution levels is used for three cases in separate countries to determine rationale trends and impacts in the development of international education policies. Although universities in this study are quite similar in terms of size, location and rankings, results reveal dissimilar patterns for internationalisation. This research seeks to answer the research question: how do policyscapes affect internationalisation at the institution level?

**Keywords:** international education; higher education; policy; comparative education; case studies

### Introduction

As the globalisation of economies and global mobility continue to expand and allow for the rapid exchange of commerce and ideas across political boundaries, internationalisation of education is becoming increasingly important. Around the world, nations are developing policies and programs to ensure that their higher education students are equipped to contribute to and participate in the global circulation of ideas and commerce.

Understanding the context and rationale for the internationalisation at a higher education institution can help to inform its policy and decision-making processes surrounding internationalisation. This, however, is complex, given the variety of circumstances that affect how and why a higher education institution internationalises (Rizvi and Lingard 2010; Leask and Bridge 2013).

Several studies (Blumenthal et al., 1996; Knight, 2004; Knight & De Wit, 1995; Maringe, et al., 2013) have defined typologies of rationales for internationalisation. Initially, Knight & De Wit (1995) described four rationales for internationalisation: political, economic, educational, and cultural. Following that, Blumenthal et al. (1996) expanded the list of rationales by adding academic, scientific, and technological. Shortly thereafter, Knight (1997) modified the original list, by adding 'academic' and changing 'cultural' to 'cultural/social'. Finally, and most recently, in 2013, Maringe et al. (2013) reduced the overlap between the different types of rationales and defined six distinct categories of rationales: economic, political, educational, sociocultural, technological and pedagogical. They also provided clear definitions, strategies and purposes for each rationale (Table 1). This typology was used to identify rationales in this research.

Table 1. Modified from Maringe et al.'s (2013) rationales for internationalisation

Rationale	Meaning/focus	Example Strategies
<b>Economic</b>	Increasing economic competitiveness and \$	Overseas recruitment to bring \$
<b>Political</b>	Create world understanding, leadership, peace	Global problem focused curriculum/research centres, world-class talent

<b>Educational</b>	Internationalisation as educational quality marker, internationalisation administration	Developing internationalisation audit frameworks, research partnerships, joint degree programs
<b>Sociocultural</b>	Forge greater understanding between nations/cultures, enrich learning experience	Mobility, second language learning
<b>Technological</b>	Response to current technological developments, becoming technology leaders	State-of-the-art technologies, distance/e-learning
<b>Pedagogical</b>	Internationalising university curriculum, support for learning/student experience	Guidelines for preparing international curricula, pedagogical preparedness of staff to deal with international curricula

Policies provide guidance for the implementation of internationalisation commitments and as such, have been identified as key elements of internationalisation (Childress 2009; Knight 1994, 2004). Since governments and higher education institutions both use policy as a means of ordering and directing issues they need to manage (Berger and Luckmann 1991), policies and policy-focused analysis can provide a window into understanding how and why higher education institutions are functioning and approaching internationalisation (Robertson et al. 2012; Shore and Wright 2011; Hong 2018). Additionally, multi-layer policy-focused analysis (Bray and Thomas 1995) can help with understanding the dynamics of change and provide ‘a more accurate mapping of interests, strategies, and influence’ (Hacker and Pierson 2014, 643). Because these policy documents act as roadmaps for institutions, a policy-practice divide can occur if a message is not consistent through the multiple relevant policy documents, not only at the institution level, but also through the layers of applicable policy, or ‘policyscape’ (Carney 2009; Larsen and Beech 2014). Finally, because this research focuses on cases internationalising in the peripheral (Sin, Antonowicz, and Wiers-Jenssen 2019), it should be noted that recent research identifies the importance of understanding internationalisation at institutions outside of major urban centres as is done in this research. Bègin-Caouette (2013) points out that rural community colleges may have a more sustainable approach to developing and implementing internationalisation policies than urban and suburban community colleges do. It could be argued that understanding internationalisation at regional universities is more important now than ever. Internationalisation policy is affected by immigration policy (Brajkovic & Helms, 2018) and the areas in which all three universities in this research are located have seen significant increases in refugee populations since 2000. This is something that universities must consider (Maringe et al., 2017).

### **Methodology and methods**

This qualitative, comparative case study research seeks to answer the overarching research question: how do policyscapes affect internationalisation at the institution level? In order to answer this question, an empirical study was undertaken with an interpretive approach to understand the context and rationale for internationalisation via policyscapes in three different cases centred in Norway, the United States and Australia.

### **Data Collection and Analysis Methods**

The sources of data for this project were relevant international, national, state in the United States and Australia, county in Norway, and institution level policy documents publicly available online. For each level, the websites of applicable institutions and organisations

were searched to locate any relevant documents. A total of 152 policy documents dated from 2000 to 2017 were analysed. The type and number of policy documents used for analysis varied by level (Table 2).

Table 2. Types of policy documents from 2000-2017 by level and case

Level	Case			Total documents:
	UTAS	UiA	UVM	
<b>International</b>	Bilateral agreements and MOUs (30)	Multilateral agreements, legislation, regulations and conclusions (17)	Multilateral agreements, bilateral agreements, MOUs, joint statements (34)	<b>81</b>
<b>National</b>	Plans, frameworks, reviews and reports (11)	Legislation, white papers, strategies, action plans (11)	legislation, white papers, strategies, memos (15)	<b>37</b>
<b>State/County</b>	White paper, understanding, position paper, strategies (4)	Strategies (2)	Council reports (2)	<b>8</b>
<b>Institution</b>	Strategies, plans (8)	Strategies, plans, charters, frameworks, policy statements (7)	strategies, annual reports, memos, presidential essays, action plans, research briefs (11)	<b>26</b>
<b>Total documents:</b>	<b>53</b>	<b>37</b>	<b>62</b>	<b>152</b>

Thematic analysis (Creswell, 2012; Guest et al., 2012) was used to identify the dominant internationalisation themes for each policy document. The documents were read through three times, first for familiarisation, next for the identification of initial ideas about emerging patterns and themes. During the third reading, initial descriptive codes (Saldaña 2009) were created and grouped into emerging themes. Next, these themes were compared to the typology of rationales developed by Maringe et al. (2013) as described above to identify the primary, and in some cases a secondary, rationale for each document. Finally, the international, national, state/county, and institution policy documents and their rationales were mapped and compared over time, providing an overview of the policy structure, or ‘policyscape’, (Bartlett and Vavrus 2017; Yanow 2000) and context for internationalisation at each university in order to identify trends, connections and tensions between the layers of policy.

For the three documents that were not available in English, Google Translate was used to translate the documents from Norwegian to English prior to analysis. While Google Translate has limitations, for the purpose of identifying broad themes, it was sufficient. Translators and linguists would argue that there is no such thing as a perfect translation, but rather that meaning is constructed from rhetoric, logic and silences (Simon 2003; Spivak 1993) and the effects of translation on data are often invisible (Squires 2009; Temple and Young 2004). Because the thematic analysis method used did not require precise semantics, this type of translation was adequate. If the data analysis method had used a Boolean model and relied upon exact string matches, for example, this translation may not have been sufficient (Baeza-Yates and Ribeiro 1999).

Because this research seeks to compare the cases on multiple axes, rather than using a traditional approach and directly comparing and contrasting specific units (Stake 1995; Yin 2014), a logic defined by Bartlett & Vavrus (2017) that seeks to compare across sites and time periods was used. This allowed for a comparison on three axes: horizontal, which contrasts one case with another, vertical, which compares influences at different levels of the polycscape, and transversal, which compares over time. So rather than specifically comparing countries or universities, the concept of 'field' as a way of thinking about context (Bourdieu and Wacquant 1992) is employed here. This assumes that context is made; it is both relational and spatial. The value of this novel approach can be seen in Carney (2009) where educational polycsapes are compared for Denmark, Nepal and China. In that study, Carney (2009, p. 63) argues that in order to compare cases in educational policy, which must 'be understood in ongoing relation to other such cases', the concept of the 'field' must be reconstructed to accommodate the multifaceted nature of policy.

Finally, a word about the value of case study research and the comparative case study approach is necessary. Case study research is widely used across disciplines and research paradigms. Flyvbjerg (2006) describes how case study research is important for generating context-dependent knowledge, which can also reveal findings of relevance to other contexts. Stake argues that case studies can play a useful role in public policy settings (Stake, 2003). Case studies allow us to compare and contrast, as well as to trace a central idea or issue, in this instance, internationalisation, across sites and scales (Bartlett and Vavrus 2017). Here, the central idea of internationalisation points towards policies and then, as the policies are analysed, we can understand how rationales for internationalisation are similar or different and ask why it matters. Comparative analysis of policies allows for the identification of policy convergence and divergence and the mechanisms and conditions affecting these phenomena (Knill 2005). Studies (Lingard and Rawolle 2011; Marginson 2004; Dale 1999; Simola et al. 2013) show that understanding the relationships between layers of policy within a country and between countries can facilitate a better understanding of the effect of and response to globalisation in internationalisation policies at higher education institutions.

### **The Cases**

The rationales and motivations for internationalisation in different contexts are compared using case studies focused on higher education institutions in Norway, the United States and Australia. The cases in this research were chosen based on their similarities. These three countries are all members of the Organisation for Economic Co-operation and Development (OECD) and considered 'knowledge societies' (Drucker 1969; UNESCO 2005) with strong education systems, universal access to information and commitments to foster knowledge-sharing. The universities, the Universitetet i Agder (UiA), the University of Vermont (UVM) and the University of Tasmania (UTAS), are all public institutions, similar in size (10,000-12,000 full time students), ranking (top 5% in world) and geographic location (regional and suburban). Norway, although geographically located in Europe, it is not part of the EU and thus, from a policy perspective operates in a more similar framework to the United States and Australia, neither of which fall under the jurisdiction of larger regional governance agreements. Geographic isolation is a common factor both for countries and institutions. Internationalisation of higher education in peripheral/semi-peripheral locations (Sin, Antonowicz, and Wiers-Jenssen 2019) represents a gap in the current knowledge. While the three cases in this study have many factors in common, the literature (de Wit 2001; Sundet, Forstorp, and Örtenblad 2017; Welch 2002) suggests that each may have a different rationale for internationalisation. The

policyscapes for each case will be described separately and then a cross-case analysis along with implications for policy research and internationalisation will be discussed.

### Closer look at each policyscape

#### Norway and Universitetet i Agder

The Nordic countries have been engaged with internationalisation for decades; Norway is not an exception. University education tuition is free in Norway, which draws students from overseas. With the exception of the international level, which includes multilateral and bilateral agreements, the internationalisation discourse consistently reveals a predominantly political rationale. There is continuity over time and between the layers of policy, with all layers below the international level showing a political rationale. Table 3 shows how the rationales for internationalisation have developed and changed over the years for each policy layer for this first case. The details for each layer are described below.

Table 3. Summary of primary rationales by year and level for Norway/UiA

Year	International	National	County	Institution
1999	educational, sociocultural			
	educational			
2000	sociocultural	political, sociocultural		
	educational			
2001		political, educational		
2002	political			
2003				
2004	educational			
	educational			
2005				
2006	educational			
	educational			
	sociocultural			
2007				
2008	sociocultural	political		
2009	educational			political
2010		political	political, sociocultural	
2011	economic	political		
		political, sociocultural		
		educational		

<b>2012</b>	educational	political	political
<b>2013</b>	sociocultural, economic		sociocultural
<b>2014</b>		political, sociocultural	sociocultural
<b>2015</b>	educational	educational	
<b>2016</b>	educational	political, economic	political
<b>2017</b>		political, economic	political
			political, educational

### International level

The first layer of policy examined is the international layer. Norway is not a member of the European Union; however, it does participate in some of the EU initiatives, often developing its own parallel efforts that are tailored to meet the need of Norwegians. The primary rationale at this level is educational, with most policy documents being agreements to set up as understandings for admissions and quality assurance with a focus on the administrative aspects of internationalisation. Examples of these types of agreements include the Agreement concluded by Denmark, Finland, Iceland, Norway and Sweden on Admission to Higher Education (1996, 2000, 2006, 2009, 2012, 2015) and the Nordic Declaration on the Recognition of Qualifications Concerning Higher Education (The Reykjavik Declaration) (2004, 2016).

A strong secondary rationale at this level is sociocultural as seen in the European Commission's SOCRATES II program and the suite of ERASMUS agreements over the years. The theme of mobility, which is usually associated with a sociocultural rationale, is prominent. However, the context is occasionally political, with mobility seen as a means to cooperation and creating world understanding, leadership and peace (Table 4).

Table 4. ERASMUS policy documents

Year	Document	Example
2002	ERASMUS World (European Commission, 2002, p. E29)	'the proposal seeks to improve mutual understanding between peoples and cultures, thus contributing to world peace and stability, and to Europe's legitimate aspirations as a major player on the international scene.'
2008	ERASMUS MUNDUS (European Parliament and the Council of the European Union, 2008, p. 340/87)	'contribute to the mutual enrichment of societies'
2013	ERASMUS PLUS (European Parliament and European Council, 2013, p. 347/57)	'to foster quality improvements, innovation excellence and internationalisation at the level of education and training institutions, in particular through enhanced transnational cooperation between education and training providers and other stakeholders'

In 2011, an economic rationale begins to emerge such as in Horizon 2020 - The Framework Programme for Research and Innovation (European Commission 2011), which is focused on research funding for Europe 2020. It can also be seen in parts of the 2013 ERASMUS PLUS legislation (European Parliament and European Council 2013, 347/52): 'to maximise the contribution that higher education and research can make to helping Member States' economies and societies emerge stronger from the global economic crisis.'

#### **National level: Norway**

Moving down to the national level, the dominate rationale becomes political. The purpose of the documents is no longer administrative. Instead, they describe the vision for internationalisation in Norway. We see a shift to themes that include building a knowledge society, cooperation, research, peace-making, and aid. For example, the Report No. 14 (2008–2009) to the Storting: Internationalisation of Education in Norway (Norwegian Ministry of Education and Research 2009, 3) states

The internationalisation of education should add more relevance in terms of the needs of working life and society through developing courses and programmes. The education provided should lay the foundation for our ability to meet the challenges and opportunities that arise from globalisation and increased international interaction.

And finally, in the Norwegian Centre for International Cooperation in Education's (SIU) 2017-2021 strategy, Internationalisation for all (Norwegian Centre for International Cooperation (SIU) in Education, 2017, p. 2), the third goal is 'SIU shall promote Norway as a knowledge nation'. This goal falls in the political rational.

#### **County level: Aust/Vest Agder**

The next layer of analysis looks at policies at the county level, which is the closest equivalent to the state level in the other two cases. UiA has campuses in the counties of Aust-Agder and Vest-Agder, which are both experiencing changes in demographics and are becoming more diverse. For example, the number of refugees has tripled in the county of Aust-Agder from 1,576 in 2000 to 4,788 in 2017 and has more than doubled in Vest-Agder from 4,024 in 2000 to 9,954 in 2017 (Statbank Norway 2018).

The primary rationale is, again, political at this level. The policy documents describe plans to benefit from the newcomers and improve the quality of life for all. For example, the International Strategy for Agder: Creative Energy (Aust-Agder County Council and Vest-Agder County Council 2010, 12) states 'Through utilising the competence of foreign cooperation partners and immigrants, the region has built a more health promoting, equal, socially inclusive and participative society.' The Regional Development Plan Agder 2020 (Aust-Agder County Council 2012, 17) states 'Our region should actively exploit the opportunities available in EU programmes and our partner organisations in order to boost our level of competence and to exert influence.' Both of these quotes show the counties' desire to increase global understanding and leadership.

#### **Institution level: Universitetet i Agder**

At the UiA level, the primary rationale remains political, which is a shift from the findings in Frølich's (2006) study of rationales for internationalisation in Norwegian higher education institutions over a decade prior to this study. The university has made internationalisation a priority in recent years and this is reflected in their policies with 'Global Mindset' named as one of three priority areas in its 2016-2021 strategic plan (Universitetet i Agder 2016). In



describing the priority (Universitetet i Agder 2016, 3), we see an emphasis on cooperation and leadership, characteristics of the political rationale:

Global issues will be integrated in both study programmes and research. In both national and global cooperation, UiA will present research at a high international level. This is one of the preconditions for being able to offer excellent education and for maintaining our role as a significant actor in society at large.

This is similar to the university's 2009 UiA ERASMUS Policy Statement (Universitetet i Agder 2009, 1) which states,

UiA has two major perspectives on internationalisation - a comprehensive collaboration with the best universities in various parts of the world, aiming at improving academic quality and increasing international recognition, and, second, involvement in global challenges through a long-lasting partnership and cooperation with universities in low and middle income countries (LMIC) in the South and East as well as BRIC-countries in order to contribute to building competence and capacity for development.

And also, the 2017 UiA University Plan for Increased Collaboration with African Institutions in Research and Higher Education, states

The University of Agder will mobilise resources including, but not limited to, local project development support in order to enhance larger research and education activities in the following six areas, reflecting general societal challenges and the research capacities and interests of the university (Universitetet i Agder 2017, 3).

The development of global-problem focused research and curricula is indicative of the political rationale.

### **The United States and University of Vermont**

The second case in this study is in the United States. Like the Norway case, there is a long history of internationalisation of higher education here. After World War II, the United States began laying the foundation for the internationalisation of higher education with the Fulbright Act of 1946, which is aimed at supporting mobility and the National Defense Education Act of 1958, which promotes language learning and area studies to support national defence. Table 5 shows how the rationales for internationalisation have developed and changed over the years for each policy layer for the US/UVM case. In this case, unlike Norway, there is not continuity between layers, however, within layers, the rationales are largely consistent over time. Where there are shifts of discourse within layers, changes can often be attributed to a change in leadership, such as a new President.

Table 5. Summary of primary rationales by year and level for United States/UVM

Year	International	National	State	Institution
2000	educational	political		
	educational, sociocultural			
	educational			
	educational, sociocultural			
2001	sociocultural	political		
2002		political		

2003	educational, sociocultural	political	political
	educational, sociocultural		
2004	educational	political	economic
2005	educational, sociocultural		
	educational, sociocultural		
2006	sociocultural, educational	political	political
		political, economic	
		political	
		political, economic	
2007	sociocultural, educational	political	educational
	educational		
	educational		
	educational		
2008	sociocultural, educational	political	educational
	educational, sociocultural		educational, sociocultural
	sociocultural, educational		
	political		
	educational		
2009	sociocultural		economic political
	technological, sociocultural		educational
2010	political	political	
	sociocultural, educational		
	sociocultural		
2011	educational		educational, economic
2012	political, educational	political	
		political	

2013	technological, educational	political, sociocultural	educational, political
2014	educational		
	political, economic		
	political, technological		
	economic		
2015	educational		
2016	political, economic		educational, sociocultural
2017		sociocultural	political

### International level

The majority of the policy documents at this level are bilateral agreements between the United States and other countries with roots in the Fulbright program. Unlike the documents at this level in Norway, these are aimed at developing exchange and study abroad opportunities. For example, the Memorandum of Understanding Between The Department of State of The United States of America and The Ministry of Education and Science of The Russian Federation on Educational Cooperation (United States Department of State 2009, 1–2) states the intent ‘to pursue joint projects and activities that strengthen strategic stability, international security, economic well-being and the development of ties between American and Russian people...’ There is similar language in many of the other bilateral agreements through the years such as the 2005 Agreement for the establishment of the U.S.-Polish Fulbright Commission (United States Department of State 2005) and the 2014 Agreement for cooperation in educational exchanges with China (United States Department of State 2014).

Also visible in the international layer is a shift in discourse after the 2008 and 2016 U.S. presidential elections. Prior to 2008, the rationales seen were educational and sociocultural. After 2008, there is more variety in rationales; we see the political, technological and economic rationales appear. After the 2016 elections, we see an end to the creation of new bilateral or multilateral policy documents pertaining to international education.

### National Level: United States

A political rational dominates the national level internationalisation policies of the United States. Unlike the political rationale in Norway, here we see international education used as diplomacy explicitly for strengthening national security and defence. For example, the Clinton Memorandum on International Education Policy calls for a national level international education policy and explains that, ‘Today, the defense of U.S. interests, the effective management of global issues, and even an understanding of our Nation's diversity require ever-greater contact with, and understanding of, people and cultures beyond our borders’ (Clinton 2000, 1). And continues, ‘The goodwill these students bear for our country will in the future constitute one of our greatest foreign policy assets’ (Clinton 2000, 1). After the terrorist attacks of September 11, 2001, the emphasis on national security and defence becomes even stronger. For example, NAFSA’s *In America's Interest: Welcoming*

International Students (NAFSA 2003, ii) states 'But in fact, openness to these students is as much of a necessity for our safety as is greater scrutiny to identify those few who harbor harmful intentions.' This theme of national security and defence is frequent in the following years as well. In 2007, the National Research Council's white paper International Education and Foreign Languages: Keys to Securing America's Future states 'A pervasive lack of knowledge about foreign cultures and foreign languages threatens the security of the United States as well as its ability to compete in the global marketplace and produce an informed citizenry' (O'Connell and Norwood 2007, 1).

The US Department of Education International Strategy 2012-16: Succeeding Globally Through International Education & Engagement (U.S. Department of Education 2012, 2) states

Civic and global awareness are necessary to understand our nation's history and policies, as well as our relations with other countries. In addition, foreign language skills and area expertise are essential for national defense, intelligence, homeland security and law enforcement.

And also,

By building and fostering relationships..., providing leadership on education issues, and learning about and from other countries, the Department is helping to further global stability.... This soft diplomacy contributes to our national security, our credibility as a leader among nations, and, ultimately, our national prosperity. (U.S. Department of Education 2012, 11).

And most recently, in 2013, the American Council on Education's Challenges and Opportunities for the Global Engagement of Higher Education again emphasizes the importance of education as soft diplomacy: 'the personal connections and shared experiences built through teaching, learning, and conducting research across borders create mutual understanding, and may ultimately lead to a more peaceful world (Peterson and Helms 2013, 4).'

#### **State Level: Vermont**

Vermont is a small state with only three documents available at the state level. Those documents showed an economic rationale for internationalisation, with a focus on economic growth for the state. For example, in the 2004 report from the Vermont Business Roundtable entitled Becoming "The Knowledge State", the focus was on using higher education to help Vermont businesses be competitive globally. Similarly, in the 2009 Council for Rural Development report, Imagining Vermont: Values and Vision for the Future, the sole focus was on Vermont students and the importance of higher education in helping economic growth and 'developing leaders to serve in the local, national, and global arenas (p.86)'. Although the state provides the university an annual appropriation, this amount only makes up 6% of the university's budget (University of Vermont 2018) and does not appear to influence the university level internationalisation policies.

#### **Institution Level: University of Vermont**

At the institution level, the dominant theme is educational. The idea of exchanges and study abroad, which is more often associated with the sociocultural rationale is present, but in the institution level policy documents, the focus is administrative with an emphasis on the planning and developing these types of programs, rather than underlining the inherent value of these programs. For example, in the 2008 report from the Committee to Review International Education, Internationalizing the University of Vermont: The time is now, study abroad programs are mentioned, but in the context of coordination and

administration: ‘Without central coordination and oversight, we have seen the creation of multiple faculty-led study abroad programs in the same region or even the same country with the same or similar focus.’

Another example of this is the UVM Generation Study Abroad document. The theme of study abroad is the focus of the entire document, but likewise, the entire context is how the goals of increased study abroad numbers will be reached and how the program will be administered. The purpose of the document is to generate commitment to targets and to describe how ‘to reach this target, the larger UVM community will need to join together to act decisively. Unlike the Norwegian case, there is little mention of cooperation, research or curricula.

### Australia and University of Tasmania

The final case in this research is in Australia. Here, similar to the Norwegian case, the rationales are consistent between layers, however, in this case, the rationale is predominantly economic. At the institutional level, there is less continuity with the layer over time. (Author) identified economic rationales and motivations for the national, state and institutional context of this case. This study expands on that and offers a closer look at the international level. Table 6 provides a modified version of (Author) description of rationales by year and policy layer. For the purposes of comparison here, each layer will be briefly summarised. The international layer has been added for a more complete view of the polycscape for this case.

Table 6. Summary of primary rationales by year and level for Australia/UTAS modified from (Author)

Year	International	National	State	Institution
2000		Economic, educational		
2001				
2002	Sociocultural			
2003	Educational			
	Sociocultural, educational			
	Sociocultural			
2004				
2005	Sociocultural			
2006	Educational			
2007	Educational			
	Educational, political			
2008	Educational	Economic		
2009		Economic		
2010	Sociocultural			
2011	Educational	Economic		
	Educational	Economic		
	Educational, sociocultural			
	Educational, economic			
	Educational, economic			
2012	Sociocultural	Economic		Economic
	Educational			
	Educational			
	Educational			
2013	Educational, economic	Economic	Economic	Economic, educational, sociocultural

No documents available on website

No documents available on website

		Economic, political		Educational
2014	Educational			Political
	Educational			
	Educational			
	Educational			
2015	Educational	Sociocultural, educational	Economic	Political
	Educational			
	Educational			
2016	Educational	Economic	Economic	Sociocultural, Political, Economic
	Educational	Economic, political		Sociocultural, Economic, Pedagogical
	Educational	Economic, socio-political		Economic
	Political, economic			
2017			Economic	

### International level

Australia belongs to two regional organisations, the East Asia Summit (EAS) and the Asia-Pacific Economic Cooperation (APEC), that could develop regional international education policies, but to date, have not. These two organisations may be venues in which Australia could negotiate international education policies in the future. While Australia is not party to any multilateral agreements for international education, it has signed numerous bilateral agreements. The primary rationale of these documents is educational, and the majority are Memorandums of Understanding describing commitments to cooperation, joint research, overseas skills recognition and language learning. This is more similar to the Norwegian case than the US case. The text for most of these documents is similar, with language such as

This Memorandum intends to set up the general principles of education exchange and cooperation, according to which both sides may jointly identify fields of mutual interest and create opportunities to develop dialogue or other cooperation in education on the basis of reciprocity and mutual benefit (Department of Education, Science and Training of Australia and Ministry of Education, Culture, Sports, Science and Technology of Japan 2007).

Like both of the other cases, the documents then continue to describe administrative aspects of frameworks for cooperation and implementation.

#### National level: Australia

Internationalisation is not a new concept for Australia, but limited aspects of internationalisation are covered in the policy documents at this level. Unlike either of the other two cases, the focus in policies here is on incoming students; specifically, visas and fees. In 2016, the first national level strategy for comprehensive internationalisation, Value of International Education to Australia (Deloitte Access Economics 2016), was released. The 'value' in the title refers to economic value and as such, the primary rationale of this document is economic. Common themes at this level include the export of education, policies for incoming students regarding visas and fees, the economic significance of international education, international reputation and rankings, global competition, international student recruitment and mobility.

#### State level: Tasmania

The state of Tasmania is just recently beginning to engage with internationalisation. The primary rationale for this level is economic, with the common themes including the

geographic area of Asia and economic growth. Even when non-economic strategies of internationalisation are mentioned, such as those associated with the socio-cultural rationale, the ultimate goal is still economic benefits. For example, in Tasmania's Place in the Asian Century White Paper (Department of Premier and Cabinet 2013, 35) socio-cultural enrichment is justified in terms of economic benefits: 'boost the socio-cultural enrichment that will allow Tasmania to achieve a demographic and cultural transformation with long-term benefits for accessing Asian investments and markets'. The economic focus at this level is more similar to the US case, however the Asia focus is unique to Tasmania.

#### **Institution level: University of Tasmania**

Like at the state level, it is only recently that UTAS has begun to engage in developing formal internationalisation policies. Only internationalisation documents from 2012 onwards are publicly available with the first overarching internationalisation document published in 2016. In looking at the number of changes in rationales over time and even within the same year, it is evident that the approach to internationalisation may be piecemeal and opportunistic at this institution. In strategy documents (University of Tasmania 2015), the terms 'national and international' are often used, but only national strategies are described. The common themes found in documents at this level include economic benefits, marketing, international student recruitment, the global reputation, international rankings, competitive markets and, as seen in the state level, a focus on Asia/China.

#### **Cross-case analysis**

Although the universities in this study are quite similar in terms of size, location and rankings, the cases above reveal dissimilar patterns for internationalisation at each institution (Table 7). In all three cases, a distinct separation is seen between the international level policies and those for the other three levels. As there is no single, overarching global policy for internationalisation, the majority of policies at this level are, for the United States and Australia, bilateral agreements with other countries, which outline intent to develop opportunities for exchange and/or research partnerships. In the case of Norway, multilateral agreements were more common, but these still had a dominant educational rationale and focused on intent to develop programs and plans for internationalisation. While a global approach to internationalisation would not be a simple undertaking, as higher education institutions adjust to the rapidly changing landscape resulting from globalisation, such an approach may be necessary.

Table 7. Primary rationales for policy documents from 2000-2017 by geopolitical level and case

Level	Case		
	UTAS	UiA	UVM
<b>International</b>	Educational	Educational	Educational
<b>National</b>	Economic	Political	Political
<b>State/County</b>	Economic	Political	Economic
<b>Institution</b>	Economic	Political	Educational

At the levels below international, in the United States, the decentralisation of higher education governance is reflected in the variation of rationales through the national, state and institutional layers. Norway and Australia, which both have national level entities that focus specifically on the internationalisation of higher education, show consistent rationales

below the international level, whereas in the United States, education is decentralised, and the states have more autonomy, leading to less homogeneity between policy layers. If we look within the institutional layer, we can see that the rationales shift more often, and in the case of UTAS, rationales shift from document to document within the same year. This indicates that there are disconnects and tensions present. To determine which factors are affecting the dynamics, it would be necessary to look more closely at the 'micro' and examine the actors and processes involved in developing the policies. Contributing factors could include inconsistency in actors involved in the policy processes, disagreement among actors, frequent turnover of staff or restructures.

In addition to providing insight into understanding how policyscapes affect internationalisation at the institutional level, this comparative research also identifies implications for internationalisation policy research. One implication that emerges from this research is a need to rethink or further define the spectrum of each rationale. Norway rationales are largely political, but focus on solving global problems, where US national level internationalisation themes also fall under the political rationale, but at a different section of the spectrum. Here the focus is on academic excellence and talent for national security reasons. We can see this in the 2012 Memorandum of Understanding Between The Department of State of The United States of America and The Ministry of Education and Science of The Russian Federation on Educational Cooperation (United States Department of State 2009, 1–2), where international security is given as a reason to pursue international research partnerships: 'to pursue joint projects and activities that strengthen strategic stability, international security, economic well-being and the development of ties between American and Russian people...' In Norway, on the other hand, solving global problems is offered as a reason for developing international research partnerships in The Research Council of Norway: Strategy for International Cooperation 2010 – 2020 (Research Council of Norway 2010, 1): 'The world community must work together to find solutions to global challenges.' These are two quite different ends of the spectrum. As the body of knowledge surrounding rationales for internationalisation becomes more robust, it may be necessary to adjust the typologies used to describe and understand the rationales.

Finally, policy researchers should choose their methods carefully in order to avoid identifying false rationales. For example, themes that are primarily associated with one rationale are sometimes presented and justified in the context of other rationales. In the Australia case, themes associated with the sociocultural rationale, such as mobility, are justified with an economic rationale and in the American case, themes associated with the sociocultural rationale such as language learning and cultural understanding are explained as being necessary with a political logic. For this reason, identifying keywords associated with themes alone may be not sufficient for identifying rationales.

## **Conclusion**

This research has described how the rationales for internationalisation vary over time, between layers of policy and from case to case. In order to understand how universities are internationalising, it is necessary to understand why universities are internationalising. Once we understand how policies shift between political layers and over time and how political priorities in one layer exert influence over other layers, we can start to think about how the various policy development processes and implementation can be reshaped and how actors can move institutions towards more comprehensive and sustainable internationalisation practices. This research has provided a base for that and shown that although institutions



themselves may be similar, the larger context in which they sit may be influencing the decisions they are making.

Finally, this research has also demonstrated the merits of tracing cases through multiple dimensions (Bartlett and Vavrus 2017). It focused primarily on the 'macro' and 'meso' scales (van der Veer 2013), the larger policy context and the policy documents themselves. This is an important step in understanding why and how internationalisation is occurring at higher education institutions. As Latour (2005, p. 177) explains, 'macro is neither 'above' nor 'below' the interactions, but added to them as another of their connections.' However, to understand further how governance and the associated structures affect internationalisation at higher education institutions, future research could delve into the 'micro' and consider policy development and implementation processes.

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## Appendix R AARE 2018 abstract and presentation

**Title:** Internationalisation of Higher Education: Understanding Layers of Policy Context in Australia, Norway and the United States

**Author(s):** Sarah Fischer, Faculty of Education, College of Arts, Law and Education, University of Tasmania

**Abstract:** (400 words Max.)

As the globalisation of economies and global mobility continue to expand and allow for the rapid exchange of commerce and ideas across political boundaries, internationalisation of education is becoming increasingly important. Around the world, nations are developing strategies, policies and programs to ensure that their higher education students are fully equipped to contribute to and participate in the global circulation of ideas and commerce.

Understanding the context and rationale for the internationalisation of higher education can help to inform policy and decision-making processes surrounding internationalisation. This, however, is complex, given the variety of circumstances that affect how and why a higher education institution internationalises. Australia, Norway and the United States are all members of the Organisation for Economic Co-operation and Development (OECD), but each has different approaches and rationales for internationalising. In this study, policy documents from nested geopolitical layers are analysed to determine how rationales have changed and shifted not only over time, but also between political layers. The development of internationalisation policy and practices in different national contexts is compared using case studies focused on higher education institutions in Australia, Norway and the United States. In this qualitative study, a thematic analysis of policy documents at the international, national, state/county and institutional levels is used to determine rationale trends and impacts in the development of international education policies. Although the universities in this study are quite similar in terms of size, location and rankings, the results reveal dissimilar patterns for internationalisation at each institution. The comparative case study seeks to answer the overarching research question: Why are some universities able to internationalise comprehensively, or develop “a commitment, confirmed through action, to infuse international and comparative perspectives throughout the teaching, research, and service missions” (Hudzik 2011 p. 10), while others are not?



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## Comparative Polyscapes: Understanding Internationalisation of Higher Education in Australia, Norway and the United States

Sarah Richter  
Professor Sue Kilpatrick  
Dr Frances Ren



AARF December 2018



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## Overview

- Why do we care?
- Methods
- The cases
- Results
- Implications for future

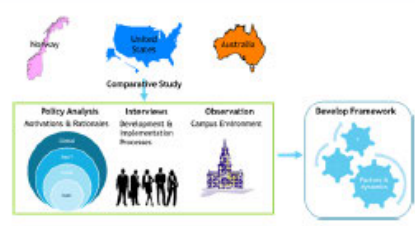
AARF December 2018

### Why do we care?

- Pace of internationalisation *accelerating and expanding*
- Universities embrace internationalisation for *different reasons*
- Need to understand *'why'* before we can address *'how'* to move forward most effectively in uncharted territory
- How do *polyscapes* affect internationalisation at the institution level?

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### Part of larger project



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### Methods and Analysis

- Qualitative, empirical study with an interpretivist approach
- Policy analysis to understand the context and rationale for internationalisation via polyscapes in three different cases
- Data sources
- Documents mapped over time and level to provide overview of polyscape
- Thematic analysis of documents conducted (Guest, MacQueen and Namey, 2012)
- Maringe et al (2013) rationale framework
- Concept of field as way of thinking about context, rather than traditional approach to case studies (Bourdieu and Wacquant, 1992)
- Comparing on multiple axis (Bartlett and Vavrus 2017)
  - Horizontal – contrast one case with another
  - Vertical – compares influences at different levels of the polyscape
  - Transversal – compares over time

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### The cases at a glance

- OECD members/ knowledge societies
  - strong education systems,
  - universal access to information
  - commitments to foster knowledge-sharing
- Public institutions
- Similar in size (10,000-12,000 full time students)
- Ranking (top 2% in world)
- Geographic location (regional and suburban)



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## Norway

Level	Themes
International (Nordic/EU)	admissions and quality assurance, mobility (as a means to cooperation, leadership in political)
National	building a knowledge society, cooperation, research, peacemaking, aid
County	Cooperation, quality of life, increase global understanding and leadership
Institution	Global problem-focused research and curricula, collaboration, aid and development

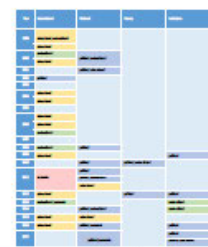


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## Norway

Key:

- Economic
- Educational
- Political
- Sociocultural



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## United States

Level	Themes
International	Fulbright, agreements to set up programs aimed at developing exchange and study abroad opportunities
National	International education as diplomacy, national security, defence, foreign language skills for defence, intelligence, homeland security, law enforcement
State	Economic growth
Institution	Administering exchange and study abroad programs



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## United States

Key:

- Economic
- Educational
- Political
- Sociocultural
- Technological



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## Australia

Level	Themes
International	Agreements to set up programs in mobility
National	Recruitment of international students, visas and fees, overseas skill recognition, export of education, economic value of education, international reputation and rankings
State	Economic growth, Asia
Institution	Economic benefits, marketing, international student recruitment, the global reputation, international rankings, competitive markets and Asia/China



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## Australia

Key:

- Economic
- Educational
- Political
- Sociocultural



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## Cross case comparison

Primary Rationale for Policy Documents from 2000-2017 by Geopolitical Level and Case			
Geopolitical Level	Case		
	UTAS	UQA	UVM
International	Educational	Educational	Educational
National	Economic	Political	Political
State/County	Economic	Political	Economic
Institution	Economic	Political	Educational



## Implications for future

### For institutions

Broadly, focus on institutional structure and practice

- Increasing management complexity
- Increasing diversity
- Need to reconcile education-as-trade and education-as-knowledge sharing

### For research

- False rationales
- Rethink rationales
- Merits of multidimensional case study research – macro and meso

### Bottom line

- Once we understand 'why', we can begin to address 'how' and move towards more comprehensive and sustainable internationalisation practices



## Thank you

### Acknowledgements

- Support through Australian Government Research Training Program Scholarship

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## **Appendix S ECER 2019 peer-reviewed abstract and presentation**

**ECER 3 – 6 Sept 2019, Universität Hamburg**

### **Title:**

Understanding Higher Education Internationalisation Governance: Comparing policy development and implementation across three cases

**Authors:** Sarah Fischer, Sue Kilpatrick, Frances Si Fan, Faculty of Education, University of Tasmania

### **General description/overview (600 words)**

The practice of internationalisation is not new; scholars have been exchanging ideas across political borders for centuries. However, globalisation is causing a rapid increase in the pace and expansion of the practice. This is shaping the policies and programs higher education institutions are developing in response. Because of this, it is more important than ever to understand how universities can adjust to and move forward in this new normal.

Universities must be innovative and flexible to be able to respond to the fast moving pace and dynamic nature of internationalisation (Khan & Noam, 2018). Over the past two decades, researchers have identified various approaches for looking at the development of these strategies, policies and programs and the various factors affecting them (Carley, Cheurprakobkit, & Paracka, 2010; Dale, 1999; Garwe, 2014; Sporn, 1996). There is no disagreement in the literature about these approaches, but rather diversity, illustrating the complexity of the concept of internationalisation. As Hudzik (2011) describes, even how an institution defines effective international education will vary significantly. As such, the governance of internationalisation can vary as well.

The process of how a policy is developed, implemented, and evaluated, is an important aspect of governance and often crucial to the success of policy (Ostrom, 2009, 2011; Rizvi & Lingard, 2010; Sabatier, 1991). While this is well documented in the field of political science, there is a relative gap in the education literature about internationalisation governance and the development of internationalisation policies. Because of the relative dearth in internationalisation governance literature about policy processes, it will be necessary to look more broadly to the field of political science for appropriate models and apply them to internationalisation. Ostrom's (2009, 2011) policy process models are particularly relevant to this research. Her framework for institutional analysis and development (IAD), which was designed for use in a wide variety of fields of study, shows how external variables, such as rules-in-use and attributes of communities, set the context and affect an action situation which leads to outcomes. This same framework also emphasises the link actors have to potential outcomes. Ostrom (2011, pp. 12–13) explains that for each actor, whether an individual or a group, one must consider “how and what participants value; what resources, information, and beliefs they have; what their information-processing capabilities are; and what internal mechanisms they use to decide upon strategies.”

In addition to understanding how policies are developed, it is helpful to understand why these policy development processes are employed. Understanding the institutional culture of a university and the subsequent implementation of internationalisation efforts makes the analysis of policy development processes more attainable and thus, aids in the identification of management challenges (Sporn, 1996). Bartell (2003, p. 56) developed a university culture framework to help with understanding internationalisation processes at universities. This framework relates the strength of a university's culture (strong/weak) and the

orientation of the university (internal/external) to examine a university's "capacity to support strategic management."

In this study, policy development processes and implementation are examined at three similar universities and compared to determine whether certain types of processes are more conducive to sustainable internationalisation practices and thus, meeting policy aspirations. The study also fills a research gap by looking at successful policy implementation (Salazar-Morales, 2018).

The following research questions are asked:

- How are internationalisation policies developed and implemented at each university?
- What factors and dynamics are influencing internationalisation in either a positive or a negative direction? What are the common barriers and facilitators for internationalisation governance?
- How do policy development processes affect internationalisation?

### **Methods (400 words)**

This qualitative, empirical study was conducted with an interpretivist approach. Three similar universities, one each in Norway, the United States and Australia, were chosen as case studies. The universities are all public institutions, similar in size (10,000-12,000 full time students), ranking (top 5% in world) and geographic location (regional and suburban). Although each of these universities is in an Organisation for Economic Co-operation and Development (OECD) member country, and is considered a 'knowledge society' (Drucker, 1969; UNESCO, 2005) with a strong education system, universal access to information and commitments to foster knowledge-sharing, their rationales for internationalisation differ. This may cause responses to internationalisation to vary.

To obtain an in-depth understanding of internationalisation policy development and implementation at each university, semi-structured interviews were conducted with a total of 22 key administrative and academic stakeholders involved in their university's internationalisation process. Topics covered included rationales for internationalisation, internationalisation policy development process, internationalisation implementation and internationalisation evaluation. The interviews were conducted in English and lasted from 35 to 50 minutes. Interviews were recorded and transcribed by the researcher to provide a deep familiarisation with the data. Using Ostrom's (2011) institutional analysis and development framework as a guide, and the three general phases of thematic analysis described by Guest, MacQueen, & Namey (2012), common themes were identified for each interview topic. Next, Bartell's (2003) framework of university culture was used to understand the process of internationalisation at each university. Finally, the three cases are juxtaposed to illustrate the range of contexts in which internationalisation is occurring and each university's responses to internationalisation.

### **Conclusions/Expected outcomes (300 words)**

Although the universities in this study are similar in many ways, their policy development processes differed. The policy development processes ranged from coordinated, inclusive and participatory to piecemeal and exclusive and may be explained by university culture. In turn, this has affected the implementation of internationalisation within the university. In some cases, for example, a gap can be seen between policy rationales (Fischer & Green, 2018) and rationales cited by university staff. In order to establish longer term sustainability in internationalisation practices, this is an area that universities could consider bringing into alignment.

This study identified several factors related to policy processes that are barriers or enablers for internationalisation. Several common themes emerged from the interview data. For example, interview participants often indicated that leadership is key. This is consistent with Knight (1994), who describes the importance of effective, enthusiastic, committed leadership. In addition, the theme of communication was emphasised, with university staff emphasising the importance of transparent, clear, consistent communication. A third area is the role of academic staff in internationalisation. Some processes included academics in planning and policy development, while others did not. Romani et al. (2018) found that the role academic staff can be underestimated in internationalisation efforts.

Regardless of ideological position, certain policy development processes are more conducive to sustainable internationalisation practices (Turner & Robson, 2008) and thus, meeting internationalisation policy aspirations. As universities move towards sustainability, understanding and identifying the different approaches can be useful from both a research and administrative perspective.

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## Understanding Higher Education Internationalisation Governance: Comparing policy development and implementation across three cases

Sarah Hatcher  
Professor Sue Kilpatrick  
Dr. Francois Ren

utas.edu.au

ECER September 2019





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## Overview

- Why do we care?
- Methods
- Results
- Implications for future

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## Why do we care?

- Pace of internationalisation *accelerating and expanding*
- Need to understand 'how' to move forward most effectively in uncharted territory



## Research questions

- (What policies are being developed and why?)
- How are university internationalisation policies developed and implemented?
- How do policy development processes affect internationalisation?
- What factors and dynamics are influencing internationalisation in either a positive or a negative direction?



## Data collection

### 3 Cases

- UTAS, UVM and UIA

### Semi-structured interviews


- 22 key administrative and academic staff
- Four topics


### Observations

- Photos and observation forms
- Characteristics drawn from literature, policies and interviews
- Displays and physical layout
- Libraries, bookshops, student centres, bulletin boards, art displays and signage


## The cases at a glance

- Public institutions
- Similar in size (10,000-12,000 full time students)
- Ranking (top 5% in world)
- Geographic location
  - OECD countries
  - regional and suburban







### Data analysis



- Ostrom's (2011) institutional analysis and development framework as guide
  - Rules and policies
  - External factors set context and affect outcomes
  - Actors linked to outcomes
- Spectrum of participation (International Association for Public Participation 2018)
- Thematic analysis (Guest, MacQueen, & Namey 2012) for each interview topic
- Micro-dynamics of the university campus (Pickering 2019)
- University culture (Sporn 1996, Bartell 2003)

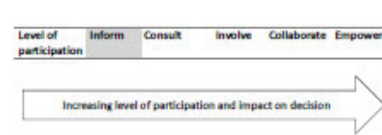
### Views on Internationalisation: UTAS

- Internationalisation as a business
- Importance of international students
  - recruitment
  - revenue
- Little mention of languages, internationalisation at home, research, mobility

"...we receive not as much funding from domestic students as we would from an international student. International students actually bring in more funding from that point of view. So, from a business perspective, it actually helps to keep the university afloat or above the black, you could say. In terms of actually being able to keep the lights on and to actually have teachers in school to teach the domestic students and the international students themselves." (UTAS01)

### Participation: UTAS





Level of participation: Inform, Consult, Involve, Collaborate, Empower

Increasing level of participation and impact on decision

"No one has got a clue. It's a complete dog's breakfast... They just don't know sometimes who is meant to be included in the decision-making process or the secrets involved in the decision-making processes." (UTAS\_04)


"I've been involved in the university's internationalisation committee, but I haven't... I think the plan was developed by the DAC Global, but there wasn't much interaction with other people how that happened." (UTAS\_04)

### Campus micro-dynamics: UTAS



- Signs for international clubs/celebrations present, but minimal and primarily located in student lounge area, few not in English
- Only English for emergency, academic help signs
- International students' payments
- Food options primarily Australian
- Textbooks in bookstore only in English
- Int'l Student help centre location

### University Culture: UTAS



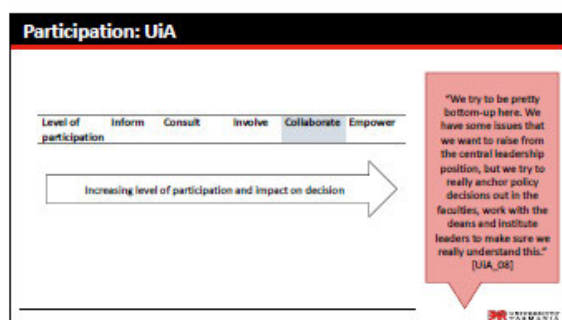
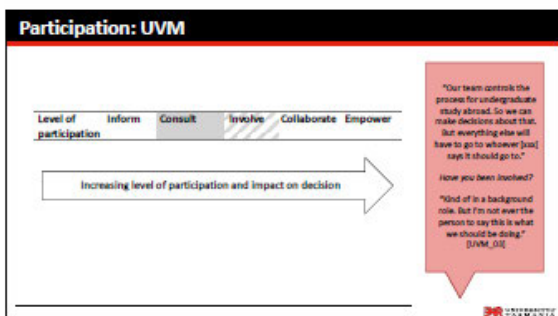
- Many staff new to their positions
- Constant change, confusion, piecemeal approach
- Low awareness of university policy processes and policy documents
- An unwillingness to speak about UTAS as a whole, just their specific area
- A divide between academic and administrative staff regarding rationales and implementation
- Top-down processes, hierarchy very important
- Limited response set to changing conditions

### Views on Internationalisation: UVM

- Study abroad, outbound mobility and exchanges are clear priority
- Concept of diversity as internationalisation
- Little mention of research, staff, curriculum
- Reliance on individuals as internationalisation (study abroad) champions
- Policy development processes varied over time







## University Culture: UIA

- Supportive, committed, inclusive leaders who acted as champions for internationalisation
- Participants' views on internationalisation similar and similar to policy good alignment, no disconnect
- External groups involved in planning
- Participants aware of external int'l policy



## Summary

### For Administration

- Similar universities, different approaches
- Leadership and communication are important
- Certain policy development processes are more conducive to sustainable internationalisation practices
- Understanding university culture aids in identifying management challenges and understanding of university's capacity to support strategic management

### Bottom line

- Many layers to internationalisation, parsing through the relationships between them is key to long-term, sustainable and effective internationalisation practices

## Thank you

### Acknowledgements

- Support through Australian Government Research Training Program Scholarship

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## Vermont



Source: Vermont Department of Tourism



Source: University of Vermont

## Vest-Adger and Aust-Adger



Source: Vest-Adger Department of Tourism



Source: University of Vest-Adger

## Tasmania



Source: Tasmania Department of Tourism



Source: University of Tasmania