

*Internationalisation and the pursuit of a  
developmental settlement:*

*The case of a South African university*

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**Dedicated to Jean Carlton Springer:  
A strong black woman who sacrificed and  
gave so much to me.**

**I love you mom.**

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## A. ABSTRACT

**Key Words: Agency, collective individualism, dual development, internationalisation, globalisation, global competitiveness, global integration, individual agents, national development, national needs, transformation**

This study analyses the manner in which a higher education institution (HEI) – namely, the University of Pretoria – is internationalising, while taking into account the dual imperatives of national development needs and of competing and integrating with an increasingly interdependent and globalised world. These dual imperatives and the challenges they pose are referred to in this study as the “dual development challenge”. By focusing on the responses of one university, the study provides useful insights into how other HEIs might understand their role and ability to internationalise and address both national needs and global issues. The study thus has several key findings relative to HEIs and how they might address the “dual development challenge”, as well as findings regarding the internationalisation of higher education (HE).

In terms of addressing the “dual development challenge”, the study demonstrates how one university’s ambitious and enthusiastic pursuit of its international research agenda and its focus on individual agents and collective individual agents as facilitators of that research agenda, allows it to pursue a “developmental settlement” while internationalising. Although it is marked by contestations and contradictions, the pursuit of this developmental settlement consists of a communal ambition that the university’s international activities and actions provide key catalysts to its contributions to both national development and global competitiveness and integration. With regard to internationalisation of HE, the study challenges notions that individualism is negative and that holistic, campus-wide and/or comprehensive internationalisation must be confined to a specific set of criteria. These two findings are linked, and thus the study’s key finding and argument is that a primary method of engaging with internationalisation within the context of the dual development challenge is through the pursuit of a developmental settlement, which can depend greatly on the development of individuals, their research and the building of their individual capacities. As such, the participation in international research activities and networks by individual and collective individual agents at an HEI can build their capacity both in terms of their professional abilities and their influence on other individuals, institutions and the nation, while at the same time allowing them to contribute to the global competitiveness and integration status of the HEI. Ultimately, the central thesis of this study is that internationalisation, via the support and activities of individual and collective individual agents, is a primary facilitator of a university’s abilities to address and contribute to both national and global developmental imperatives.

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Carlton Eugene McLellan, PhD

### C. LIST OF ABBREVIATIONS

ASSA	Academy of Science of South Africa
CAAC	Centre for Augmentative and Alternative Communication
CIR	Corporate International Relations
DOE	Department of Education
DRS	Department of Research Support
EDU	Education (Faculty of)
HE	Higher Education
HEI(s)	Higher Education Institution(s)
HESA	Higher Education South Africa
HOD	Head of department
IEASA	International Education Association of South Africa
IRO	International Relations Office
ISI	Institute for Scientific Information
MOC	Memorandum of cooperation
MOU	Memorandum of understanding
NAS	Natural and Agricultural Sciences (Faculty of)
NEPAD	New Partnership for Africa's Development
NCHE	National Commission on Higher Education
NRF	National Research Foundation
NSI	National system of innovation
PITs	Pressures, influences and trends
S & T	Science and Technology
SADC	Southern African Development Community
SAG	South African Government
SERA	Southern Education and Research Alliance
UN	United Nations
UNESCO	United Nations Educational, Scientific and Cultural Organisation
UP	University of Pretoria
US	United States
YSDP	Young Scholars Development Programme



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## CHAPTER 1

### THE STUDY AND ITS CONTEXT

*Of particular importance will be...to overcome the prevailing mismatch between higher education and the demands of (both the developing and high-tech) economy, and...the reduction of the severe race, gender, geographic and institutional inequalities which are the legacy of apartheid (Subotzky, 1999b, p. 8).*

#### 1.0 Introduction to the research problem and purpose

In response to the pressures and promises of globalisation, higher education institutions (HEIs) increasingly regard the process of internationalisation as a strategy for enhancing institutional stature, accessing new resources, developing human resources and improving their international competitiveness. This internationalisation is expressing itself as a process whereby HEIs are more intensively and/or strategically engaging in international activities to help their constituents and institutions prepare for participation in an increasingly interdependent global environment, while also contributing to national developmental needs. A marked characteristic of this global environment is that it encourages change in higher education (HE) through complex interactions between global pressures, national level agendas, institutional behaviours, and social and market influences. Given such interactions and their impetus for change in HE, internationalisation can be viewed both as a mechanism to address such changes, as well as a process resulting from those changes.

Owing to the roles and many objectives of internationalisation, it is clear that this process has implications for HE which must be considered by HE stakeholders and scholars as the process unfolds. However, despite the roles and objectives of internationalisation and the dramatic increase in engagements with the process by HEIs around the world, existing studies concerned with analysing the internationalisation of HE hold several limitations.<sup>1</sup> One of the key limitations is the dearth of intellectual studies that seek to explain and analyse *how* HEIs are engaging with internationalisation given the dual and simultaneous imperatives of national developmental needs and the often unavoidable pressures for global integration and competitiveness. I refer to this challenge of addressing the national and the global as the “dual development challenge”. To address the dearth of studies, this study sets out to unscramble the puzzle of how HEIs engage with internationalisation given the dual development challenge, and what can be understood from the meanings and motivations behind their responses.

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<sup>1</sup> A more detailed discussion on several of these limitations can be found in Chapter 2 of this study.

## 1.1 Research questions

This study uses a South African HEI, the University of Pretoria (UP), as a case study to understand the meanings and motivations behind HEIs' engagements with internationalisation within the context of the dual challenges posed by national development and relevance, and global integration and competitiveness. The case study addresses the following two central research questions:

- *How does an HEI respond to internationalisation given its dual imperatives to address national development and relevance, and global competition and integration?*
- *What can be understood from the motivations and meanings behind an HEI's responses (or lack thereof) to this challenge?*

In order to address the central role of internationalisation of HE within these key research questions, I must also address key issues, theories and conceptualisations of internationalisation. In laying the foundation for understanding internationalisation of HE and placing it in an appropriate framework for my study, I therefore in this first chapter, examine existing scholarship vis-à-vis the following:

- How is internationalisation defined and conceptualised?
- What are the motivations and rationales for internationalisation?
- What are the major theories and debates concerning internationalisation at a higher education institutional level (e.g. institutional internationalisation)?

## 1.2 Rationale for this study

My decision to pursue a doctoral study on the internationalisation of HE stemmed from professional and personal interests and an intellectual curiosity about internationalisation of HE in general. These motivations were also supported by a dearth of intellectual studies addressing the process's interactions with both national and global development. I have worked for some time in the international education and exchanges field, and have been involved with the development and writing of programmes and literature (mainly conceptual) designed to engage and promote interactions between, and thus mutual understanding among, different peoples of the world, which prepare citizens for participation in the "global village". I have also read much of the limited empirical and more populous anecdotal literature on the issue of internationalisation of HE and how it can and should be utilised as a proactive

response to the positive and negative aspects of globalisation. Through these professional and scholarly engagements it has become clear that the need for mutual understanding and for preparing global citizens, which is one of the key motivations and policy goals of internationalisation in HE, often presents challenges to systems and institutions involved in the internationalisation process.

One challenge presented by this process of internationalisation is that HE systems (and thus HEIs) that engage in the process can often be caught between the pulls of an endogenous agenda (which seeks to address national needs) and an exogenous agenda (which seeks integration and competition with the global knowledge economy and thus global integration). This dual challenge is evident in South African HE policy where the needs of the state and HEIs to address national transformational issues (e.g. redress, access, equity and unemployment) exist alongside the needs or desires of HEIs to create opportunities for individuals and institutions to be integrated into and competitive with the global community.

This study is thus concerned with understanding how HEIs engage with internationalisation given these dual imperatives of national development and relevance, and global integration and competitiveness – and the limited body of internationalisation scholarship on the matter. More importantly, embedded in this concern with understanding how HEIs respond to and manage this challenge is an attempt to understand why they respond in the way they do, and what can be understood and theorised from those responses.

This study, which is the first to empirically examine this issue of dual development from the HEI and internationalisation perspectives, particularly in a developing country context, therefore makes one key assumption, namely: HEIs can internationalise in ways that allow them to address national developmental needs while also engaging with the rest of the world and preparing their staff and learners for global participation. Analysing how this occurred at one university, and with what motivations and meanings, is the primary puzzle that this study sets out to unscramble. However, prior to engaging further with this intellectual puzzle, it is necessary to provide some background to the theories of internationalisation of HE, including some of its definitions, expressions and rationales, all of which play a role in this study.

### 1.3 Conceptualising and defining internationalisation of HE

In offering a conceptualisation and definition of internationalisation of HE it is useful first to look at the term in its descriptive form – international education. In doing this, I refer back to early debates on international education as they relate to the field of comparative and international education (Wilson, 1994; Anweiler, 1977; Epstein, 1968), paying particular attention to the “international education” dimension of the field.

The central focus of this early debate, which took shape in the late 1960s, centred on a potential name change for the Comparative Education Society (CES) which published the *Comparative Education Review*. Some argued that the CES should be renamed the Comparative and International Education Society to reflect the broadening of the field. Although the intricacies of this debate are not central to my study, a major component of it that is relevant comprises conceptualising “international education” and the scholarly debates around that issue. For instance, in a letter to the editor of the *Comparative Education Review* in 1968, Epstein reiterates David Scanlon’s definition which states that:

*[i]nternational education is a term used to describe the various types of educational and cultural relations among nations. While originally applied merely to formal education, the concept has now broadened to include governmental relations programs, the promotion of mutual understanding among nations, educational assistance to underdeveloped regions, cross-cultural education and international communications (p. 376).*

Arum and Van de Water (1992) offer another definition of international education as being “...the social experience and the learning process through which individuals acquire and change their images of the world...” (p. 195). Regardless of which definition one chooses to use for international education, there must be a process and/or set of activities that denote an engagement with this type of education. I suggest that this process of seeking and/or acquiring an international education can be called internationalising or internationalisation. Thus, as an HEI seeks to engage in international education activities to, for instance, promote mutual understanding among the nations, the process of that engagement would be considered part of the HEI internationalising. Although that is a surface level link between international education as early scholars define it and internationalisation as I shall use it, a deeper exploration of how scholars theorise, conceptualise and define internationalisation will help clarify it within the context of my study.

The majority of the scholarly definitions of internationalisation of HE conceptualise it as a process and not as a one-off occurrence or specific activity. For instance, early definitions of

internationalisation of HE, such as Knight and de Wit's (1997), describe it as "...the process of integrating an international perspective into the teaching/learning, research and service functions of higher education institutions" (p. 8). Ellingboe (1998) pays particular attention to internationalisation as a multidimensional process when she conceptualises it as "...the process of integrating an international perspective into a college or university system" (p. 199). She goes on to argue that "[i]t is an ongoing, future-oriented, multidimensional, interdisciplinary, leadership-driven vision that involves many stakeholders working to change the internal dynamics of an institution to respond and adapt appropriately to an increasingly diverse, globally focused, ever-changing external environment" (ibid). Later, she goes further by offering a useful metaphor when she states that "[i]nternationalisation as a process could be described as a colourful ribbon that weaves throughout college cultures, from the individual faculty of one discipline to a college's deans' office" (p. 199). Knight (2003b) later expands on these early definitions when she writes that "internationalization at the national, sector and institutional levels is defined as the process of integrating an international, intercultural, or global dimension into the purpose, functions or delivery of postsecondary education" (pp. 1–2). Finally, Bartell (2003), similar to Ellingboe, argues that "internationalization conveys a variety of understandings, interpretations and applications...to a view of internationalization as a complex, all-encompassing and policy-driven process, integral to and permeating the life, culture, curriculum and instruction as well as research activities of the university and its members" (p. 46).

Most recently, Knight (2006) and de Wit (2006) have been at the forefront of arguments which state that although there are varying definitions used for internationalisation of HE, defining the international dimensions of HE as international education or internationalisation are not new. Knight (2006), for instance, offers a useful table of the "evolution of international education terminology" (see Table 1). I do not dispute the validity of this argument, and concede that internationalisation of HE has existed throughout history in some form or another. However, even given all of the above, I follow the argument of scholars such as de Wit (2002). He argues that although there are these varying conceptions and understandings of internationalisation, one must not focus attention on definitions at the expense of the nuances of the process itself. However, at minimum, a working understanding of the process is important when discussing and/or analysing internationalisation. In verbalising this argument de Wit (2002) writes that:

*...it is not helpful for internationalisation to become a catch-all phrase for everything and anything international. A more focused definition is necessary if it is to be understood and treated with the importance that it deserves. Even if there is not agreement on a precise definition, internationalisation needs to have parameters if it is to be assessed and to advance higher education. This is why the use of a working definition in combination with a conceptual framework for internationalisation of higher education is relevant (p. 114).*

<b>Table 1: Evolution of international education terminology</b>		
<b>New terms Last 15 years</b>	<b>Existing terms Last 25 years</b>	<b>Traditional terms Last 40 years</b>
<b>Generic terms</b>		
<ul style="list-style-type: none"> <li>• Globalisation</li> <li>• Borderless education</li> <li>• Cross-border education</li> <li>• Transnational-education</li> <li>• Virtual education</li> <li>• Internationalisation ‘abroad’</li> <li>• Internationalisation ‘at home’</li> </ul>	<ul style="list-style-type: none"> <li>• Internationalisation</li> <li>• Multi-cultural education</li> <li>• International education</li> <li>• Global education</li> <li>• Distance education</li> <li>• Off-shore or overseas education</li> </ul>	<ul style="list-style-type: none"> <li>• International education</li> <li>• International development cooperation</li> <li>• Comparative education</li> <li>• Correspondence education</li> </ul>
<b>Specific elements</b>		
<ul style="list-style-type: none"> <li>• Education providers</li> <li>• Corporate universities</li> <li>• Liberalisation of educational services</li> <li>• Virtual universities</li> <li>• Branch campus</li> <li>• Twinning programmes</li> <li>• Franchising programmes</li> <li>• Networks</li> <li>• Global Education Index</li> </ul>	<ul style="list-style-type: none"> <li>• International students</li> <li>• Study abroad</li> <li>• Institution agreements</li> <li>• Partnership projects</li> <li>• Area studies</li> <li>• Double or joint degrees</li> </ul>	<ul style="list-style-type: none"> <li>• Foreign students</li> <li>• Student exchange</li> <li>• Development projects</li> <li>• Cultural agreements</li> <li>• Language study</li> </ul>

Source: Knight, 2006, p. 42

In the light of de Wit’s argument, the varying conceptualisations of internationalisation of HE and the changing terminologies used to refer to it over time (see Table 1), it is important for me to construct a working definition of the process. This is also important so that my study has a guiding framework and understanding of internationalisation of HE to place the research questions within a consistent and proper context for analysis.

Thus, in developing my working definition of internationalisation of HE I find that each of the conceptions discussed herein (Epstein, 1968; Wilson, 1994; Anweiler, 1997; Ellingboe, 1998; Bartell, 2003; Knight, 2003b and 2006; de Wit, 2006), although useful as points of departure, are limited specifically in that they do not properly lend agency to the process of internationalisation. In referring to agency, I follow the lead of Marginson and Rhoades (2002) who emphasise two meanings of “agency”, one of which is particularly relevant here. These two scholars partially utilise a meaning of agency as “...the ability of people

individually and collectively to take action...at the global, national, and local levels” (ibid, p. 289). In following this understanding of agency and applying it to the definition of internationalisation, the above mentioned scholars’ definitions of internationalisation fail to lend agency to the process. This is so because, while defining internationalisation in the manners in which they do, they fail to foreground that HEIs involved in internationalisation are actually engaging in actions that result from, or lead to, specific activities, policies or strategies.

For example, all the definitions of internationalisation above discuss it as being integrated into various aspects of the university including its purpose, functions, etc. However, in these definitions this integration of an international dimension does not make it evident that specific actions, policies and/or strategies are necessary by HEIs to drive that process. I find this to be a major shortcoming of these definitions of internationalisation. Knight (2006) attempts to justify this lack of agency within her definitions of internationalisation when she argues that a definition of the process must be “generic enough to apply to many different countries, cultures and education systems” (p. 44). While her argument does have merit, my counter-argument is that although a generic definition of internationalisation may be useful in a practical sense as it allows for easier comparisons across different contexts, it may not be a valid intellectual way to approach a concept that is so contested and has so many intricate and complex elements. Knight (ibid) herself recognises this when she argues that “[t]he complexities involved in working in the field of internationalization require additional sets of knowledge, attitudes, skills and understandings about the inter-cultural and global dimensions of higher education” (p. 54). She adds that “...the picture of internationalization that is emerging is one of complexity, diversity and differentiation” (p. 55). Yet in the same article, the use of a “generic” definition for internationalisation of HE is advocated, which may be seen as a contradiction.

If internationalisation is indeed the complex and diverse process that it has been described to be by Knight and others, then reducing it to a generic definition does not seem to match with that complexity. Therefore, in taking note of these complexities I approach the defining of internationalisation from a different perspective by suggesting that the definition of the process should reflect its complexities and its new characteristics and specific contexts. It should also reflect what I have argued for above, which is that agency must be lent to the process when defining it. In this way it becomes more evident that internationalisation does



not occur on its own but as a result of actions, policies and/or strategies of an international nature.

Altbach (2002) is one scholar who does attempt to define internationalisation in a way that lends agency to it, and which incorporates into the definition the newness of contemporary internationalisation. He argues that “[i]nternationalization refers to the specific policies and initiatives of countries and individual academic institutions or systems to deal with global trends” (ibid, p. 1). Although he does not acknowledge that internationalisation is a process, as many others have done, Altbach deals with the changing characteristics of internationalisation and also makes it clear that there needs to be some specific initiatives or policies to drive it. This separates his definition of internationalisation from those discussed above. Another conceptualisation of internationalisation of HE that can be found to lend agency to the process is that developed by Cross et. al. (2004). They define it as follows:

*...internationalisation of the university involved the development of programs that improve the ability of its students, faculty, and other staff; alumni and other constituencies, to work and develop effectively in an increasingly globalised environment (p. 8).*

In addressing the limitations of the above conceptualisations of internationalisation of HE and building upon Altbach’s (2002) and Cross et. al.’s (2004) definitions, I offer my version of a working definition: I view internationalisation of HE from a system, sector and/or institutional standpoint, as the process of more intensively and/or strategically engaging in international activities to help prepare individuals and institutions for participation and survival in an increasingly interconnected global environment. It is my argument that by using this definition of internationalisation of HE, agency is lent to the process in that it is a form of actions involving institutional and/or individual actors, thus justifying it as worthy of further scholarly, practical and policy attention and analysis. With this as my supporting argument, I utilise this definition of internationalisation of HE throughout this study.

#### **1.4 Expressions of internationalisation of HE**

Given the above conceptualisation of internationalisation of HE that I will utilise for my study, the next question I move on to is: what approaches are being utilised by HEIs across the globe to internationalise? In other words, in keeping with the definition of internationalisation settled upon above, what are the international activities that HEIs engage in to prepare individuals and institutions for their participation in this increasingly interdependent and interconnected global environment? Mthembu et. al. (2004) mention

several ways that internationalisation (which they refer to as transnational education) is expressed in HE. According to these scholars, internationalisation is expressed: as faculty exchange/development; student exchange and study abroad programmes; collaborative research; collaborative teaching; and joint conferences (ibid, p. 113). Van Damme (2001) adds: internationalisation of curricula; branch campuses; international institutional partnerships and collaborative agreements; transnational university mergers; and transnational virtual delivery of HE (pp. 418–428). Finally, Altbach (2002) lists specific examples of internationalisation as “policies relating to recruiting of foreign students, collaboration with academic institutions or systems in other countries, and the establishment of branch campuses abroad” (p. 1).

These expressions of internationalisation are utilised at different times and with varying degrees usually, as previously discussed, in response to changing global trends and pressures. Such expressions of internationalisation occur within various HE systems and institutions and in various social, political and economic contexts depending on the needs of individual systems or institutions. What this means is that internationalisation – although it has general characteristics and components, which I have tried to shed light on here – can occur differently from one system of HEI to the next. Likewise, internationalisation can also occur with varying degrees and in varying expressions within a single HEI. These inter-institutional variations in internationalisation are something that I have addressed in this study and will be discussed further and analysed in later chapters.

### **1.5 Motivations and rationales for internationalisation of HE**

Given these many expressions of internationalisation of HE, why does the process unfold? Knight (2004a, 2004b and 2006) and de Wit (Knight and de Wit, 1999) have paid close attention to the motivations for internationalisation of HE. Knight (2004a) particularly argues that the many challenges that face the international dimension of HE in an increasingly global world, warrant clearly articulated rationales for the process of internationalisation of HE. According to Knight (2004b), it is important to have clearly articulated rationales for internationalisation of HE because these rationales are linked to and reflected in the objectives, policies and programmes that are eventually implemented in HE (p. 1). In these arguments by Knight, rationales for internationalisation of HE are summarised into four categories: social/cultural, political, academic and economic. These are broad, overarching categories of rationales for internationalisation of HE, but Knight (ibid) also describes other rationales for internationalisation (which I term sub-rationales), which she discusses in terms

of national and institutional level rationales. These varying rationales and sub-rationales for internationalisation are highlighted in Table 2.

<b>Table 2: Global rationales driving internationalisation</b>	
<b>Broad rationales</b>	<b>Sub-rationales (National and institutional combined)</b>
Social-cultural	<ul style="list-style-type: none"> <li>• National cultural identify</li> <li>• Intercultural and mutual understanding</li> <li>• Citizenship, student and staff development</li> <li>• Social and community development</li> <li>• Human resources development</li> <li>• Nation building</li> <li>• Contribute to solving “global” problems</li> </ul>
Political	<ul style="list-style-type: none"> <li>• Foreign policy</li> <li>• National security</li> <li>• Technical assistance</li> <li>• Global peace and security</li> <li>• National identity</li> <li>• Regional identity</li> </ul>
Economic	<ul style="list-style-type: none"> <li>• Economic growth and competitiveness</li> <li>• Labour market</li> <li>• Financial incentive</li> <li>• Additional source of revenue</li> <li>• Commercial trade</li> <li>• Income generation</li> </ul>
Academic	<ul style="list-style-type: none"> <li>• Adding an international dimension to research, teaching and learning</li> <li>• Extension of academic horizon</li> <li>• Institution building</li> <li>• Enhancement of quality</li> <li>• International academic standards, norms and best practices</li> <li>• International branding, profile and status</li> <li>• Knowledge production</li> </ul>

Source: Adapted from Knight 2004a, taken from Knight, 2006, p. 49

Although the four broad categories of rationales for internationalisation of HE that Knight (ibid) describes are relevant and useful, I have adjusted her table<sup>2</sup> of rationales to reflect different sub-rationales, because I suggest that some of her rationales are slightly misplaced and others may not necessarily be rationales but instead expressions of internationalisation. For instance, intercultural understanding and mutual understanding in Knight’s argument are separated. I would argue that intercultural understanding and mutual understanding are two sides of the same coin. To understand differences and similarities within and between cultures (intercultural) and for individuals from different cultures to have an understanding one another’s cultures would signify that they have some sense of “mutual” understanding of each another. This, I argue, demonstrates that “inter” and “mutual” as forms of understanding

<sup>2</sup> This table can be found in Knight, 2006, p. 49.

are intricately linked and almost synonymous with one another. Utilising this argument, I place both in the category of social-cultural rationales for internationalisation.

Another area where I found it necessary to make an adjustment to Knight's table was with regard to strategic alliances as a rationale for internationalisation. I do not see strategic alliances as a rationale for internationalisation, but rather as an expression of the process. As outlined in the previous section, my argument is that HEIs do not engage with internationalisation because they wish to enter into international strategic alliances, but instead, they enter into international strategic alliances for many of the rationales found in Tables 2, such as to contribute to addressing global problems that cross borders.

Another issue that I have with Knight's table is that it does not seem to acknowledge that national and institutional level rationales, although they can and often do differ, are also intimately linked. This is especially the case in a country such as South Africa, where the national policies have a significant influence on activities and policies at the institutional levels. This may not be the case in decentralised educational systems such as the United States (US); however, in systems where the government seeks to have a coordinated national system of HE, the national and institutional level rationales are strongly linked and overlapping. These categories from Table 2 will later be set against the case study HEI in my study, to show why internationalisation is occurring at that institution.

Finally with respect to rationales for internationalisation of HE, Taylor (2004) expands on those covered by Knight (2004) by also including several others such as: the international nature of knowledge itself; economic and financial realities; the importance of enhancing relations with countries of strategic importance; training and development of students; the need to prepare students and staff; the need to familiarise the wider community with living and working in a broader context of global interdependence; association with quality as measured by international standards; and the need for some universities not to be left off the proverbial gravy train (p. 154). In supporting these motivations, Taylor quotes a 1999 report from the University of Western Australia which seems to sum up succinctly all the justifications for internationalisation: "Knowledge is international in its essence. It knows no borders, no boundaries. It is timeless and is the universal language of all who would seek wisdom. Universities are therefore international in their core function" (Taylor, 2004, p. 154 taken from UWA, 1999, p. 3). However, even though universities as Taylor suggests are "international in their core function", this does not take away from nor negate their

responsibilities and roles as national level institutions. This again highlights the dual development challenge of national and global developmental needs, which was suggested in the introduction to this study as something that HEIs must confront as imperatives. However, I shall address this in greater detail shortly.

### **1.6 South African motivations and rationales for internationalisation of HE**

Even though many of the rationales for internationalisation that I have discussed above do apply to the South African case, there are several others argued for by South African scholars that are particularly relevant in its context. Mavhungu (2003) for instance argues that “[t]he need for South Africa’s higher education institutions to internationalise was partly due to the post-1994 education crisis during which universities shrank as they competed for a diminishing number of qualified school-leavers” (p. 68). South African HEIs partially addressed this problem of student numbers by opening up their doors to higher numbers of students from abroad, especially those from other African countries.

Another motivation for the internationalisation of HE in South Africa has been the need for the country, and thus its institutions, to break from the years of international academic boycott and isolation resulting from the legalised apartheid<sup>3</sup> years. Welch et. al. (2004) argue that this need to internationalise comes as a result of the “fears that globalisation will by-pass Africa and thus aggravate the marginalisation (economically, intellectually and otherwise)...”, and from South Africa still feeling the effects of “...an international academic boycott waged against the country for approximately three decades from 1960 to 1990” (p. 320).

One issue that the internationalisation of HE scholars just discussed seem silent on when discussing motivations for internationalisation at South African institutions, is that of regional and continental internationalisation. Some such as Ellis (2004) have begun to integrate this discussion into their arguments. However, it still remains that much of the existing South African internationalisation literature has not broadly explored regional and continental internationalisation as a separate motivation from that of international interactions with institutions and individuals outside of the geographic borders of the African continent. In this instance, I refer to both regional and continental internationalisation as “African internationalisation”.

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<sup>3</sup> Apartheid, which means “separateness” or “apart-ness” in Afrikaans, was a system of state-sanctioned racial segregation that officially operated in South Africa from 1948 to 1990. Under apartheid, the races were separated and black people were denied voting rights within so-called “white” South Africa.

African internationalisation then refers to interactions and exchanges with other African countries, while internationalisation by itself refers to the policies and strategies that lead to increased interactions and integrations with the world outside of Africa (although it might also include interactions with African institutions and individuals). Although at first glance this issue of African internationalisation may seem distant from the central purpose of my study, its importance will become evident in subsequent chapters as it is a growing issue of concern for HEIs, scholars and policy makers in South Africa. For instance, Ellis (2004) argues that as South African HEIs internationalise, they must pay particular attention to doing so across the African continent, and thus engage in African internationalisation.

The notion of African internationalisation argued for by scholars like Ellis is also supported by the large amount of policy attention given to such regional networks as the New Partnership for Africa's Development (NEPAD) and the Southern African Development Community (SADC). These policies call for increased African development, and South Africa is a signatory and leading force in both of them. As such, South Africa has committed itself to increased engagement with its African counterparts to address such issues as HIV/AIDS, poverty, economic development and Africa-wide self reliance. For instance, Maserumele (2000) argues that "NEPAD therefore engages the world, including the industrialized countries and the multilateral organizations to assist Africa in its quest for development according to the 'agenda' set by African peoples through their own initiatives and of their own volition, to shape their own destiny" (pp. 47–48).

At the same time that this regional development is being touted, internationalisation with traditional partners in North America, Europe and other parts of the world is still deemed as critical for issues such as global competitiveness, prestige and institutional status. The question that this raises – and an issue that seems scarce in existing literature on internationalisation of HE in the South African and broader African contexts – is: what are the motivations for African internationalisation and those for broader internationalisation outside of the continent, and how can these motivations, and thus their outcomes, be explained and understood?

This issue of African internationalisation is one that arose as my study progressed and it is thus explored further in different sections herein. In addition to its importance at my case study university, I also found that this issue of African internationalisation added depth to my analysis of internationalisation within the context of national development and global

integration in the South African case. As such, some of my observations might also be extended to other countries where regional and continental developments have become important policy and higher education issues.

### **1.7 Institutional, campus-wide and comprehensive internationalisation**

Owing to my use of one particular HEI as a case study<sup>4</sup> in which to address my research puzzle, it is also necessary to discuss approaches to internationalisation at an HE institutional level. In doing so, this examination of how a university might approach internationalisation will allow me later to place my case study university, and its approaches to internationalisation, within these debates on institutional approaches and strategies. Many scholars have written about university strategies for internationalisation, how a university can institutionalise its internationalisation, and how the process can be comprehensively weaved across and throughout the various aspects of the institution (Davies, 1992; Johnston and Edelstein, 1993; Ellingboe, 1998; Hamrick, 1999; Van der Wende, 1999; Knight, 2003a; Taylor, 2004; Welch et. al., 2004; Lutabingwa, 2006).

Davies (1992) provides a useful conceptual framework in which to understand the approaches taken by universities in adopting particular strategies for internationalisation. His primary argument is that the "...pace and ferocity of the imperatives" of internationalisation "...necessitate the adoption of more proactive modes of policy formation and institutionalization of these policies" by universities (p. 187). He identifies the two broad factors influencing university internationalisation as internal and external, and he argues that each contains three key elements. Davies lists the internal factors as:

- a university's mission
- its strengths and weaknesses, particularly in terms of programmes, personnel and finances
- the university's organisational leadership structure

He describes the three external factors influencing university internationalisation as:

- perceptions of image and identity
- trends and opportunities in the international marketplace

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<sup>4</sup> See Chapter 3 for detailed reasons as to why the case study and specific case are being chosen.

- assessment of competitive situation

An illustration of Davies's (1992) conceptual framework is found below as Figure 1. A discussion of each element as it relates to internationalisation follows.



Source: Davies, 1997, p. 190

First, in terms of the internal factors in the development of a university's international strategies, Davies (1992) discusses a university's mission as a key factor. In his argument, "...a university espousing internationalism should have clear statements of where it stands in this respect, since [the] mission should inform planning processes and agendas, resources allocation criteria; serve as a rallying standard internally; and indicate to external constituencies a basic and stable set of beliefs and values" (ibid, p. 178). In other words, the university's mission, either explicit or implicit, needs to accommodate internationalisation if that university intends to reap the benefits from an international agenda. As Davies argues, this accommodation for internationalisation within a university's mission plays a role in signalling its commitment to internationalisation, and what that commitment should entail in terms of practices, resources and support.

The placement of internationalisation within a university's mission connects to Davies's second internal factor influencing internationalisation, namely strengths and weaknesses, particularly of programmes, personnel and finances. Programmes, as Davies (1992) describes them in relation to university internationalisation, include such areas as the curriculum and other activities to provide exposure to international dimensions and issues for a university's



constituencies. Within the arena of programmes fall the specific activities that incorporate international and domestic students, and the appropriateness of a university's curriculum and other research and learning activities to its international agenda and to expose students to international issues. It is such internal activities of an international dimension, and with international exposure intentions, that characterise the programmes element of Davies's framework for understanding internal factors influencing a university's internationalisation.

Personnel issues as they relate to the influencing of internationalisation at a university refer to the need to have staff and researchers that can effectively deliver the programmes and activities of an international nature. As Davies (*ibid*) argues, "effective delivery of internally oriented programs qualitatively depends on faculty members and non-academic colleagues, in terms of attitudes, skills and knowledge" (p. 180). Thus, in order to ensure effective development and integration of international programmes and activities, a university must have the faculty and staff that are appropriately equipped with international experiences and expertise.

Finances, as a strength and/or weakness of a university's internationalisation efforts, refer to the financial management of the institution's international activities and the overall influence of these on the university's (and its constituents') financial well-being – and ultimately on its ability to fulfil its ambitions as an international university of merit. The strength of a university's international financial systems and management thus has an impact on the institution's ability to achieve its international objectives. Without the proper financial management of its international resources, a university's internationalisation may not live up to its potential. Additionally, without proper mechanisms in place to report and track its international activities, it may be difficult for a university to gauge effectively those activities and what resources are used and/or needed to pursue them.

The third and final internal factor in the development of a university's internationalisation, according to Davies (1992), is that of organisational structure and leadership. In this regard, the author speaks in terms of the ability of the university to deliver international services. The delivery of such services is usually done through the institution's normal organisational units (i.e. academic or administrative departments and/or faculties) or through specialist organs created for the purpose (i.e. centres and/or institutes). Of particular importance, argues Davies, are the tensions that may arise while determining the potential organisational structures in place to deal with international activities and strategies at a university. These

tensions include “difficulties of long range control of franchise operations; problems created by central marketing units developing business at a rate beyond which those responsible for delivery can cope; fragmentation of efforts between central organs and departments; staff overload; and equitable sharing of costs and revenues” (p. 184). Additionally, owing to the diverse nature of academic and managerial staff that often possess different aims and objectives depending on their disciplines and places of reference within the institution, the tension around organisational structures and strategies for internationalisation will also play a critical role. I will return to the issue of internal tension within an institution and how this might impact its internationalisation efforts later in the study.

Externally, Davies (1992) argues that there are also three broad factors that influence the development of a university’s internationalisation. As Figure 1 shows, these are: externally perceived image and identity; trends and opportunities in the market place; and assessment of competitive situations. Davies argues that the externally perceived image and identity of a university with regard to its international efforts must be in line with the role that the university’s mission sets out in terms of internationalisation. External constituencies much know of the university’s international mission, subscribe to that mission, and believe in the ability and credibility of the institution to deliver on that mission.

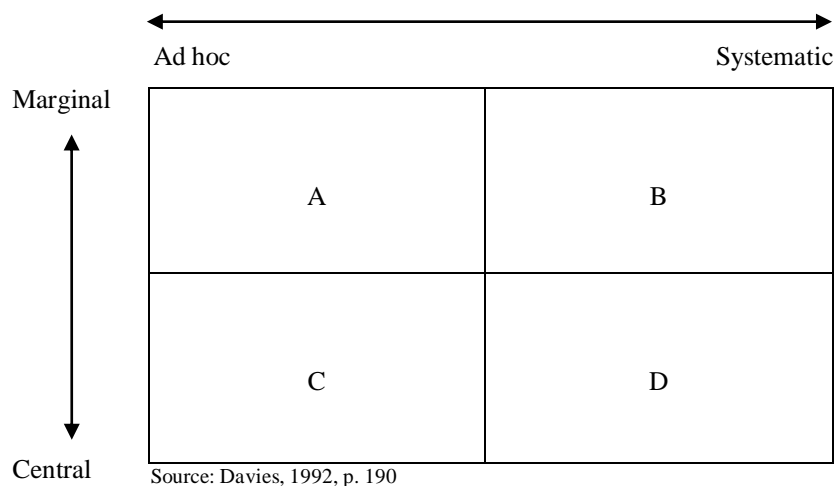
With regard to trends and opportunities in the market place, Davies (1992) concludes that a university has to “reconcile itself to the fact that it will have to segment its international market focus on particular opportunities” (p. 184). In other words, as a university stays abreast of changing trends and opportunities in the global marketplace, it will need to know where its international strengths and weaknesses lie as well as what it wants to achieve in this global market place. As a result, a university’s internationalisation should unfold according to those trends and opportunities that it sees as relevant to its role and consistent with its capabilities.

Once a university determines the segments of the international market that it can play a role in, it must assess the competitive situation around these segments in terms of the different types of activities that it will engage in internationally (Davies, 1992). This assessment of the competitive international situation is the third and final factor that Davies argues plays a role in a university’s international strategies. He argues that assessing the competitive international situation through a detailed assessment “...appears to be necessary before too

much effort and expenditure is committed”, and is a crucial exercise for a university as it develops its international strategies (ibid, p. 186).

The results of a university’s approaches to internationalisation within the framework of these two broad developmental factors (internal and external) and the sub-factors falling within each category, leads to the particular institutional approach to internationalisation that unfolds. In furthering his discussions around institutional internationalisation and focusing on implementation, Davies (1992) provides a useful matrix (illustrated as Figure 2 below). This matrix allows for a university to be placed within one of four quadrants (A, B, C or D), representing its levels of and commitments to institutionalisation of internationalisation. A university’s placement within one of the four quadrants in this matrix would be based on its location along two interrelated continuums, each of which is characterised by the factors discussed earlier that play a role in the development of institutional internationalisation strategies at a university. The two continuums, according to Davies, are from marginality to centrality and from ad hoc to systematic.

**Figure 2: Institutionalisation approaches to internationalisation in universities**



In describing the two spectrums that comprise the matrix and its four quadrants, and thus the institutionalisation of internationalisation at a university level, Davies provides the following:

- *Some universities will take aboard international elements in a sporadic, irregular, often knee-jerk way, which many loose ends in terms of procedure and structure. Others will develop precise explicit procedures in an ordered and systematic manner. There is thus a spectrum from the ad hoc to the highly systematic.*
- *Some universities, view internationalisation as essentially a relatively marginal activity and as an interesting and stimulating addendum to a predominately regional or national focus. For others, internationalism is highly central to their work and permeates every aspect of*

*institutional life. Thus, there is another spectrum from marginality to centrality (pp. 187–188).*

Following these two continuums in essence demonstrates the strength of the institutionalisation and internalisation of internationalisation for a university. Owing to the detailed nature of Davies's characterisations, I have provided a verbatim description of each quadrant in Box 1.

### **Box 1**

#### **Descriptions of Davies's matrix on institutional approaches to internationalisation in universities**

##### **Quadrant A: Ad hoc–Marginal**

The amount of international business is relatively small: some overseas students; a small amount of consultancy or continuing education. Research linkages will largely be confined to motivated individuals and arrangements for changing and financing are variable and unsystematic. A weak data base exists on opportunities, competitions and trends in the international market place and little systematic assessment of opportunities occurs.

##### **Quadrant B: Systematic–Marginal**

The amount of [international] business is still relatively small, but is well organized. Areas of international activity are precisely identified, and correspond with fields of internal strength and market opportunity. Projects and efforts are focused on particular market segments in which the university will endeavor to become expert and niche marketing is usual. Costing and pricing are accurate and realistic. A small number of institutional agreements are meaningful and work. MIS [Management Information Systems] and supporting procedures are clear and relevant. Staff training is limited but related.

##### **Quadrant C: Ad hoc–Central**

The amount of international business is considerable across a number of different categories and a wide range of market segments and client groups. Whereas there may be some strong areas, marketing is usually ill-focused. Curriculum may not be particularly geared to international issues in any coordinated way. Acceptance of projects is usually on a knee-jerked basis. Costing and pricing are eccentric. There is a tendency for a sizeable number of institutional agreements, many of which are not operational but largely rhetorical. Central marketers, often financial imperative is strong. Tensions are rife. Support services are often not geared to considerable international effort, and ground rules change with bewildering rapidity.

##### **Quadrant D: Central–Systematic**

There is a large volume of international work in many categories, which reinforce each other and have intellectual coherence. The international mission is explicit and followed through with specific policies and supporting procedures. The data base is extensive and regularly updated. Agency arrangements exist in overseas countries, as do partner institutions for the delivery of programs, with clear and effective operating procedures. Personnel and curriculum policies are continually appraised and readjusted to support the international effort. Financial management is highly systematic, as are inter-institutional linkages. Substantial financial commitment to international projects is apparent. A dedicated organizational structure to support a range of international efforts is in place, and the tension [that] exists between these organs and mainstream faculties is usually constructive. Reward and incentive mechanisms are properly used.

Source: Davies, 1997, pp. 188–189.

In summarising his argument about institutional approaches to internationalisation, Davies writes that “[i]nstitutions have followed different lines of internationalism. Some have espoused it in grand strategic terms, and it assumes the status of a central institutional priority pursued with vigour in all domains... Other universities may prefer a more collegial approach, relying on the intrinsic professionalism and self interest of staff to carry the institution forward” (p. 182). Davies infers in his argument that universities should hope to move to a position in the matrix (particularly quadrant D) where internationalisation is central to the university’s mission and where there are appropriate systems in place to guide the process. In later chapters, when I present descriptions, evidence and an analysis of internationalisation at the case study university chosen for my study, I will elaborate more on its placement within Davies’s matrix, and within his arguments about centrality versus self interest of staff as the driving force behind a university’s internationalisation.

Davies is not the only scholar who has theorised about institutional approaches to and strategies for internationalisation of HE. Others have discussed institutional internationalisation and particularly some of the barriers to this process for HEIs (Lutabingwa, 2006; Welch, 2004; Knight, 2003a; Hamrick, 1999; Ellingboe, 1998; Johnston and Edelstein, 1993). Such arguments about the barriers to institutional internationalisation have taken the form of reporting and analysing how these barriers can be overcome to improve an HEI’s chances of “campus-wide internationalisation”, or what many might term “comprehensive internationalisation”. In its report on “Internationalizing the Campus”, the American Council on Education defines comprehensive internationalisation as the “broad, deep, and integrative practice that enables campuses to become fully internationalised” (ACE, 2003, p. v). This campus-wide or comprehensive internationalisation, as scholars theorise about it, and Davies’s (1992) conceptualisation of institutionalising internationalisation have similar characteristics. Davies’s argument that universities should be moving along his continuum from ad hoc to systematic internationalisation, and placing internationalisation from marginally important to centrally important to its function, is characterised by the same types of factors as the arguments for campus-wide or comprehensive internationalisation.

For instance, three of the factors that scholars argue influence campus-wide or comprehensive internationalisation at universities are: buy-in, support and participation from top administration; the inclusion of internationalisation as part of an institution’s mission, strategies and policies; and a central office for administering, coordinating and/or supporting

internationalisation functions. These are also factors that Davies (1992) focuses on, as shown above in the discussion on his theory of “institutional internationalisation”.

On the issue of university leadership at the very top to guide the institutionalisation of internationalisation, Johnston and Edelstein (1993) argued that institutions need campus champions who possess the appropriate institutional prestige and rank to coordinate campus coalitions and engage actions toward internationalisation. Ellingboe (1998) later found that one of the key recommendations of those surveyed as part of her comprehensive research on university-wide internationalisation at a US campus, was that the central administration, deans and faculty should make internationalisation a top administrative agenda item for discussion among vice presidents, deans, provosts and other top administrators (p. 225). Hamrick (1999) weighs in on the argument for top administration participation in internationalisation when he writes that “institutional leaders often turn to or create an ‘international office’ in order to internationalize their institutions. While organizational structure may enhance an institution’s ability to deal with internationalization, it is far more important that the leaders themselves become involved in promoting the institution’s international functions and capacity” (pp. 7–8).

In terms of internationalisation as part of an institution’s strategic policy, a survey report of the member institutions of the International Association of Universities (Knight, 2003a, p. 13) found that the lack of a policy/strategy to facilitate internationalisation was listed by respondents as one of the top barriers to comprehensive internationalisation at the institutional level. In that study, the first major barrier as listed by respondents was, not surprisingly, finances. However, the next largest and most significant barriers were lack of an international policy/strategy and competing priorities with regard to an institution’s international activities. This demonstrates that the majority of those participating in this study (and responding) believed that their institution needed a policy or strategy for internationalisation on their respective campuses. This is also a belief held by some scholars writing on internationalisation of HE in South Africa. For instance, Welch et. al. (2004, p. 328) in discussing internationalisation at the University of Zululand say that:

*The major lacuna appears to be the lack of an institutional policy and plan for internationalisation. It is recommended that such a policy and plan is drafted. Such a plan and policy should include briefing staff as to the exact and full meaning of internationalisation, especially in their immediate working places. The plan and policy should be drafted in collaboration with staff. Such a plan and policy should be informed by comparative education research (p. 328).*

On the issue of a central international office, Lutabingwa (2006) discusses this in the South African context and offers more insights. After discussing and highlighting the pros and cons of a centralised international office on campuses versus a decentralised model for the carrying out of international activities, he argues that:

*...current challenges demand that African institutions of higher education respond to globalization by becoming more proactive in their internationalization efforts. Instead of being reactive to the demands of foreign universities outside the continent, African universities would be well advised to develop their own comprehensive internationalization strategic plans. A component of these plans should be the establishment of an international education and development office. This paper recommends that African universities consider establishing central offices of international education. This makes good sense, especially considering that many of the universities in Africa have scarce financial, human, and material resources. Additionally, a centralized office would enable African institutions of higher education to develop internationalization strategic plans that are university-wide to enable the institutions to be proactive (p. 12).*

In their study of a specific aspect of internationalisation (international student mobility) at the University of the Witwatersrand, Cross et. al. (2004) listed as one of their key findings the following:

*...scattered, fragmented and uncoordinated initiatives championed by dedicated individuals in schools are begging for an integrated, broader, programmatic and institution-wide internationalisation strategy. In this regard, we cannot overestimate the need for synergy with the mission of the institution and its strategic planning instruments. The conditions for the paradigm shift already exist and are embedded in some innovative practices, particularly at the level of teaching and research (p. 65).*

Likewise, in the summation of the findings of their study the authors conclude that:

*The missing link is a university-wide strategy that integrates the new thinking at all levels of the university's policy and operation. If this was achieved, the energy emerging from individual schools would be multiplied (p. vi).*

All of the arguments here are that universities should internalise and thus institutionalise internationalisation for the many reasons that I discussed in section 1.5, which highlighted different rationales for internationalisation. In order to institutionalise internationalisation, and thus for the process to be campus-wide and/or comprehensive at a university, the scholars highlighted certain barriers should be addressed by the institution. These barriers include:

- lack of top management buy in and action
- lack of internationalisation as a specific policy leading to actions

- an ineffective or non-existent central office to coordinate activities

These barriers – as Davies argues through his theories of “institutional internationalisation” – are factors that influence a university’s internationalisation. Even given these arguments, I question what happens to an institution’s internationalisation process when one or more of these barriers exist. In other words, can internationalisation still be institutionalised at a university, or can the process still be campus-wide or comprehensive, when some of these barriers exist? If so, what might that institutionalised internationalisation look like in the presence of some of these barriers? These questions play a part in the analysis of my research puzzle, and will be discussed and analysed further in the final chapter of this study.

### **1.8 Organising the study**

This study is organised in seven distinct yet interrelated chapters. Chapter 1 introduced the study and described its genesis, rationales and some parameters. In doing so, it was important to establish immediately an understanding of the process of internationalisation of HE so that during the remainder of the study, there would be a clear understanding of its definition, conceptualisations, expressions and rationales. For the remainder of the study the use of internationalisation of HE as a process should therefore be placed against the backdrop of the understandings presented in this first chapter. Likewise, the approaches to institutional internationalisation highlighted in this chapter should be considered as important to my overall description and analysis of internationalisation in this study.

Chapter 2 is a review and critical analysis of existing scholarship relevant to my broad topic – internationalisation of HE. In my literature review I have chosen to utilise a topical format rather than a chronological one concerning existing scholarship. As such, the literature reviewed presents a set of overarching themes that arose from my readings around internationalisation of HE and related topics. From the literature review stems the discussion of the theoretical framework that will be utilised to understand and make sense of the empirical data that I gathered through the various methods.

The methodology of this study is discussed in Chapter 3. This will include my theoretical positioning as a researcher as well as the rationales and justifications behind the type of study I have chosen to address my research puzzle. Based on my positioning and the type of research it has lead me to engage in, I also outline the methods and instruments used to collect and organise my data, and such issues as the ethical considerations of my study and



the credibility of my research study and findings. Lastly, I discuss in this chapter some of the lessons learned and my personal observations and developments during the course of this doctoral study that influenced me as a researcher, as well as any potential and/or actual implications they may have had for the study.

Chapter 4 provides the historical and contemporary contexts of the University of Pretoria (my case study HEI as described in Chapter 3), as well as the two faculties (Education, and Natural and Agricultural Sciences) that are utilised to understand my research puzzle. This helps to put the case study university in context for understanding its internationalisation rationales and expressions.

In Chapter 5 I present data gathered that is concerned with why internationalisation is occurring at UP. I link discussions from the previous chapter to show that internationalisation is indeed an imperative of UP and what this means for the university.

Chapter 6 is a continuation of the discussion on internationalisation at UP, which occurred in Chapter 5. It particularly highlights my findings with regard to how the process is intended to unfold at UP and whether or not it is indeed unfolding in the intended manner. Areas highlighted here are strategic expressions of internationalisation at UP, and what those expressions and the pursuit of them reveal about the university.

Finally, in Chapter 7, I analyse and present findings and key arguments. In doing so, I feed the data gathered throughout my field work, and which is presented in the previous chapters, into the existing literature (described in Chapters 1 and 2) and then expand on that literature and place my data within the chosen theoretical framework (described in Chapter 2). As such, I analyse and present my theory of how the case study university responds to internationalisation given the “dual development challenge”. It is here where I will also draw conclusions from my data and discuss in greater detail the significance and contributions of this particular doctoral study.

## CHAPTER 2

### LITERATURE REVIEW, THEORETICAL FRAMEWORK AND POSITIONING

*Clearly, South Africa must seek a mediating settlement...and follow a complementary developmental path which accommodates both global and reconstructive concerns (Subotzky 1999a, p. 514).*

#### 2.0 Introduction

In this chapter I analyse existing scholarship covering the internationalisation of HE and related HE issues. Given that my study utilises a South African HEI (for reasons outlined in Chapter 4) as a specific case in which to analyse, understand and unscramble the puzzle for which it is concerned, the framework of this critical analysis of existing scholarship is such that I examine both the international and the South African literature. Specifically, I critically analyse the existing body of knowledge that has bearing on the central themes of my study, which are internationalisation of HE and issues of national and global development. The literature reviewed is taken from a variety of sources that are primarily empirical, but also including some conceptual and anecdotal literature, which offers valuable insights into scholarly and professional debates on the process of internationalisation of HE. These sources include comprehensive Internet and database searches for peer reviewed journal articles and empirical studies on internationalisation of HE, as well as physical library searches, collections of HEI documents on the subject, reviews of papers and reports from conferences on the subject, and some analysis of HE policy documents relevant to my study. By combining arguments from these various sources, I suggest that this literature review offers fuller and more comprehensive arguments and counter-arguments on internationalisation of HE that will be crucial to my overall study, and to the analysis at the end of my study.

The review of literature in this chapter gives way to the theoretical framework that I will utilise to make sense of the data gathered for this study. In doing so, I suggest not only that the framework I use is appropriate, but that my study has advanced and extended the parameters of the chosen framework, making it more useful for further scholarly debates on internationalisation of HE.

## 2.1 Organising the literature

As argued in Chapter 1, internationalisation has recently attracted considerable scholarly attention in empirical and conceptual studies on HE. In response to the pressures and promises of globalisation, HEIs increasingly regard the process of internationalisation as a strategy for developing students, faculty members and departments, increasing institutional stature, accessing new resources, integrating with and contributing to global research and knowledge production, and enhancing international competitiveness. However, despite a dramatic increase in studies concerned with the process of internationalisation of HE especially in the past two decades, the available literature on the subject holds several limitations. One of the key shortcomings in this body of knowledge is the dearth of empirical studies explaining *how* HEIs respond to internationalisation given the imperatives for them to contribute to national developmental needs, while at the same time integrating into and competing with the rest of the world (what I term the “dual development challenge”). This study addresses this research puzzle through an empirical analysis of how one HEI responds to and manages this dual challenge.

In reviewing the existing literature on internationalisation of HE and related topics, I found that several overarching themes seem to find prominence. Three themes in particular that offer valuable points of departure for my study emerged from the literature. These themes are the:

- globalisation and internationalisation of HE
- internationalisation of HE as an agent of, and for, HE transformation/change
- internationalisation of HE as an agent of national and global development

These three themes are interrelated in many ways, which will become more evident. This review seeks to unravel these themes within the literature and suggests that there are several shortcomings and/or contradictions within this literature that need to be addressed. A summary of four of the major shortcomings and/or contradictions which have particular bearing on my study are:

- a dearth of studies that problematise internationalisation of HE
- a contentious relationship between internationalisation of HE and globalisation of HE

- lack of a strong theoretical basis for understanding internationalisation as an agent of/for HE change/transformation
- lack of internationalisation of HE studies that theorise its role as an agent of/for national and global development, and how HEIs respond to internationalisation within the context of these dual imperatives

In proceeding with this literature review, I critically analyse existing works on internationalisation of HE and related topics through the lenses of the emergent themes stated above, and demonstrate why the shortcomings and contradictions evident in the existing body of knowledge need to be addressed. The evidence gathered through this critical analysis of the literature – especially with regard to internationalisation of HE and the issues of national and global development – forms the framework and support for the intellectual puzzle on which my overall research study is based. By following a thematic rather than a chronological framework in my literature review, the emergent themes within the literature facilitated an understanding the key research questions, and provided a more concrete foundation from which I ultimately chose the broad conceptual/theoretical framework for my study (outlined in Chapter 3).

In the literature review that follows, I acknowledge that some conceptual and descriptive literature is left out. That body of literature mainly focuses on conceptualising the process of internationalisation, describing its many expressions and outlining the motivations behind its implementation and thus its importance. Much of this literature I referred to in Chapter 1 as background to my study. I have chosen not to include much of the conceptual literature in this chapter because, for me, I found that a lot it fails to problematise internationalisation and thus does not adequately and critically engage with the issue and its major challenges for HE. The limitation in the literature that I have excluded from this particular chapter is seconded by de Wit (2006) who is aware that “...scholars who see their role as describers and analysts of the process [of internationalisation] are sometimes criticised as being too positive about...” the process “...and for ignoring or minimising its negative consequences” (p. 36). He adds that “[a] critical overview of developments in international higher education has to address their potential negative and positive consequences” (ibid). Although de Wit recognises this, as do several other scholars who do at minimum make mention of some of the challenges of internationalisation of HE (Altbach and Bassett, 2004; Van der Vyver, 2003; Chitnis, 2002; James, 2000), there is a dearth of critical and focused engagement with how these challenges are being addressed and what they mean for HE. In this Chapter, I do address some of these

challenges and also acknowledge that there may be some areas where the conceptual and anecdotal literature is relevant to my discussions below. Therefore, in some places I include it for depth of analysis, but much of it is left for background information on internationalisation of HE only (see Chapter 1).

## **2.2 Globalisation of HE and internationalisation of HE**

As we progress through a period in time that is fast becoming known as the age of globalisation, HE scholars attempt to analyse the many effects that globalisation has for HE and thus how it has encouraged change. These effects include: the changing role of knowledge (Scott, 2003; Moja and Cloete, 2001; Carnoy and Rhoten, 2000; Orr, 1997); the organisational restructuring of HEIs to be more business oriented in order to meet changing global and market trends and needs (Akooje and McGrath, 2004; Vaira, 2004; Deem, 2001; Moja and Cloete, 2001); pushes for HE “to be more efficient, self-sufficient, and accountable” (Marginson and Rhoades, 2002); increased use of information and technology (Scott, 2003; Carnoy and Rhoten, 2002); transformation of cultures and increased multiculturalism (Power, 2000); and pushes toward market-driven policies, liberalisation, privatisation and decentralisation (Akooje and McGrath, 2004; Carnoy and Rhoten, 2002; Cloete, et. al., 2002; Moja and Cloete, 2001; Carnoy, 2000; Future Project, 2000; Gough, 2000; Rust, 2000; Stromquist and Monkman, 2000; Orr, 1997).

Likewise, scholars also outline the many ways in which HEIs can and do respond to the forces of globalisation, and they theorise at length about the reasons for the varying responses. These responses by HEIs have ranged from adopting entrepreneurial or new managerial tactics to remain competitive in a globalised environment and increase efficiency (Deem, 2001; Levin, 2001; Subotzky, 1999a and b; Clark, 1998), to adopting internationalisation strategies aimed at preparing institutions and individuals to compete and exist in the increasingly globalised world (Knight, 2004; Teichler, 2004; Altbach, 2003; Bartell, 2003; de Wit, 1999). As this responsive internationalisation of HE is relevant to my study, the remainder of this review looks critically at literature on HE with a particular focus on internationalisation of HE, and sets out to unravel some of the shortcomings and contradictions in this existing body of knowledge.

One of the major trends emerging from the literature on the international dimension of HE is its relation to globalisation. In analysing this literature, it is useful first to offer an understanding of what the two concepts mean. There are many scholarly conceptualisations

of globalisation that describe it as a process by which the interconnectedness of global structures, policies, institutions, cultures and people is changing and becoming more intense (Clayton, 2004; Gibson-Graham cited in Stromquist and Monkman, 2000; Green and Baer, 2000; Held and McGrew, 1999; UNDP, 1999). On the other hand, scholars writing on the internationalisation of HE see it as systems and institutions more intensively and strategically setting goals, creating policies and engaging in more international activities to help learners, faculty, staff and the institutions themselves to be more competitive in the increasingly interdependent global environment (Bartell, 2003; Knight 2003; de Wit, 1999; Ellingboe, 1998).

What the above conceptualisations demonstrate is that both globalisation and internationalisation are processes. What these conceptualisations do not tell us is what, if any, are the relationships and overlaps between the characteristics of these two phenomena. Given the frequency with which these two are referred to in scholarly works, it is important that their relationship be adequately defined and illuminated. As such, the relationship between the two is one theme that emerged during my literature review.

There are four major schools of thought concerning internationalisation of HE and its relationship to globalisation of HE, namely:

- globalisation and internationalisation are the same and thus used interchangeably
- globalisation and internationalisation are degrees of one another
- globalisation and internationalisation are two completely different and even opposing phenomena
- globalisation and internationalisation are different yet related phenomena

Although well argued by scholars and each has its own level of validity, these arguments also have their shortcomings.

Concerning the first of these arguments – globalisation and internationalisation as the same and can be used interchangeably – Dobbert (1998) and Mestenhauser (1998) both make reference to this issue when describing internationalisation issues as they relate to curriculum in education. In their argument, a globalised curriculum is equated with an internationalised curriculum. Dobbert (*ibid*, p. 65) particularly, discusses the need for a “formal definition of globalization/internationalization...” making no clear distinction between the two. She later

adds that “[t]o achieve a level of globalization for their students, universities will need to create opportunities for internationalized residents. To make internationalization and globalization a normal experience, every student and faculty member should be required to do internships in at least two target cultures and live in each for 9 to 12 months or more” (ibid, p. 65). The entire discussion taking place at this point in Dobbert’s article, signals that she is making no distinction between the two terms. The limitation of such an argument that presents globalisation and internationalisation as the same phenomenon, is that it fails to take into account potentially differing or contrasting characteristics of the two (e.g. controllability or the role of the state). By failing to address issues such as the level of controllability of the two independently of one another, this argument also limits the ability to discuss positive and negative characteristics of the two separately. This then might lead to confusion concerning how the positives of one might affect the negatives of the other, and vice versa.

Regarding the second argument – globalisation and internationalisation as degrees of one another – Bartell (2003) makes the claim that globalisation can be seen as “an advanced phase in the evolving process of internationalization” (p. 46). Those who follow this argument place globalisation and internationalisation on a continuum, with the latter eventually “morphing” into the former in its most advanced state. Although this argument seems to allow for some distinguishing characteristics between the two, it is limited in that by placing the two on a continuum – with internationalisation eventually leading to globalisation – a positive flow would seem to be uni-directional from basic (internationalisation) to advanced (globalisation). This uni-directional flow, and thus a flow from positive to negative, would suggest that globalisation is a positive phenomenon. This would be strongly challenged by those arguing that globalisation further marginalises the already marginalised, or that it is driven by capitalist powers with little regard for the poor and disadvantaged. Although this argument (as is the case with the argument that they are interchangeable) might lead one to discuss a degree of potential mutual dependence between globalisation and internationalisation, neither argument seems to offer a broad enough understanding of the two phenomena that takes into consideration their varying overlapping features, while also addressing how they may differ. Addressing the similarities and differences between globalisation and internationalisation might be significant for understanding how both impact upon, and are impacted by, HE.

Scott (2000) is placed firmly within the third argument concerning the relationship between globalisation and internationalisation; he makes a case that the two are different and

completely opposed phenomena. In differentiating between the two, Scott argues that internationalisation reflects “a world-order dominated by nation states. As a result it has been deeply influenced by the retreat from Empire, and the persistence of neo-colonial patterns of association, and by the geo-politics of Great Power rivalry (notably the Cold War). In the context of internationalisation the inequalities between rich North and poor South remain prominent – whether the intention is to ameliorate these inequalities through aid or exploit them by trade. The emphasis continues to be on strategic relationships. And higher education is not an exception” (ibid, p. 2). Globalisation on the other hand, according to Scott, “is a very different phenomenon. It reflects not only the processes of global competitiveness...It also involves intensified collaboration, as a global division of labour between low-cost mass manufacture and services provision (largely, but not exclusively, centred in the poorer South) and high-value technology and innovation (located mainly in the rich North, but with some intriguing deviations)...Instead globalisation implies a radical re-ordering of this world-order as new regional blocs emerge as old enemies become new allies (and vice versa); and as national boundaries are rendered obsolete by the transgressive tendencies of high technology and world culture” (ibid, p. 1–2).

In continuing with the discussion concerning the opposition between globalisation and internationalisation, Scott (2000 and 1998) further argues that there are three main reasons why the two are not the same, and why the latter is not just an intensified version of the former (thus disputing the first and second arguments discussed earlier). In discussing these three reasons, the author states that “the first is that internationalisation presupposes the existence of established nation states: globalisation is either agnostic about, or positively hostile to, nation states. The second is that internationalisation is most strongly expressed through the ‘high’ worlds of diplomacy and culture; globalisation in the ‘low’ worlds of mass consumerism and global capitalism. The third reason is that internationalisation, because of its dependence on the existing (and unequal) pattern of nation states, tends to reproduce, even legitimise – hierarchy and hegemony; globalisation, in contrast, because it is not tied to the past, because it is a restless, even subversive, force can address new agendas – of global climate change, world-wide pollution, sustainable technologies and (most important of all) the inequalities between North and South (and also within nations)” (2000, p. 2).

What I find most limiting about Scott’s argument in his contention concerning internationalisation as reinforcing inequalities between rich countries and poor countries, which seems to assume that globalisation does not do the same. He does attempt to deal with



this issue by stating that globalisation “implies a radical re-ordering of...world-order” but this seems to be an unconvincing attempt to differentiate it from internationalisation, not taking into consideration the many arguments concerning the role of globalisation in reinforcing marginalisation in poor countries around the world.

The final major argument I found in the literature that was concerned with the relationship between globalisation and internationalisation followed the contention that they are different yet related phenomena, with the latter as a response to the former. For instance, de Wit (1999) discusses internationalisation and globalisation by first emphasising the ongoing nature of internationalisation “as a process”, then further explaining it as “a response to globalization (not to be confused with the globalization process itself)...” (p. 1). Altbach (2002) states that “in broad terms, globalization refers to trends in higher education that have cross-national implications...Internationalization refers to the specific policies and initiatives of countries and individual academic institutions or systems to deal with global trends” (p.1). He later (ibid, 2004) adds to this by defining and distinguishing internationalisation from globalisation by contending that the former is “the voluntary and perhaps creative way of coping” with the latter and that “internationalization accommodates a significant degree of autonomy”, while “globalization cannot be completely avoided” (pp. 3–4). Teichler (2004) adds that “internationalisation tends to address an increase of border-crossing activities amidst a more or less persistence of national systems of higher education”, while globalisation tends “to assume that borders and national systems as such get blurred or even might disappear” (p. 7). These three scholars’ arguments place globalisation and internationalisation within an action-response paradigm.

These are all useful arguments that present internationalisation as a response to globalisation. However, one marked limitation in the argument as presented by these scholars is the preoccupation with the national system. Here it seems that the major disparity posited concerning the difference between the two is that globalisation occurs with a great deal of friction with the nation state, while internationalisation seems to occur with little or no interactions with the nation state. I find this argument limited in that it fails to recognise those HE systems where the nation state is highly involved in all aspects of HE (including internationalisation) versus those where it has limited interactions with the nation state. This argument also fails to take into consideration that within HEIs themselves, globalisation’s impacts might have different effects and thus different responses among the varying faculties. This signifies that internationalisation as a response to globalisation, as these authors argue it

is, might not only be occurring differently among HEIs but also within the various faculties of individual HEIs, and with different motivations as well.

Another limitation of this argument is the focus on the inevitability of globalisation versus the controlled nature of internationalisation. This argument does not take into consideration instances where HEIs feel an unrelenting pressure to adopt internationalisation strategies that are not conducive to their social, political or economic contexts, in order to survive in a rapidly changing global context. By arguing that globalisation on the one hand is inevitable and uncontrollable, and internationalisation on the other hand is controllable, one fails to recognise the possibilities of internationalisation creating and reinforcing inequalities (as Scott's argument discussed earlier posits), or of there being an uncontrollable pressure on HEIs to internationalise, possibly against their will.

The element of the argument that internationalisation reflects "a world-order dominated by nation states" fails to recognise that in many countries where internationalisation of HE is taking shape, the nation state is not particularly involved in that process. This is especially evident in the absence of national policies on internationalisation of HE where national governments, while possibly supporting various aspects of internationalisation (e.g. international mobility of students), are not necessarily backing up this support with concrete policies and strategies. This seems to put a dent in the arguments that the nation state has a significant involvement with internationalisation of HE.

However, even given its limitations, the argument that globalisation and internationalisation are different yet related phenomena within an action-response paradigm seems to offer the most grounded argument. This argument, I believe, allows for a distinction between the two while also recognising the commonalities that exist between them. In doing so, the reactive nature of internationalisation to globalisation emerges and allows for better analysis on how this reactive process can interact with globalisation and its challenges. I also suggest that this line of theorising provides a more useful understanding of the two. It describes how internationalisation is a more voluntary process seeking to prepare people and institutions to address globalisation's negatives and take advantage of its positives – in other words, it describes an action-response paradigm where globalisation is the action and internationalisation the response. Given these possibilities, it is this distinction that I find most useful for my study as it will help develop a framework for understanding how and why HEIs internationalise, both at the institutional and faculty/departmental levels, in order to

address the pressures of globalisation. The other three arguments presented here seem to discuss the two in terms of extremes, leaving little room for scholarly or conceptual manoeuvring concerning the interactions and relations between the two.

### **2.3 Internationalisation of HE as an agent of and for HE transformation/change**

Many theories of change that have been discussed studied and expanded upon throughout educational literature. Ball (1990) speaks of change occurring through shifting ideologies and changing patterns of influence. Hess (1999) argues that change occurs as a political exercise in which the authority simply creates policies that they deem necessary to create the illusion of activity that is to result in change. Jansen's (2001) argument that change happens (or does not happen) when policies are developed through the power of symbolism of some joining factors of society also adds to this debate of shifting ideologies. The symbolism at the root of the policies that are created entails values that are shared among the general population, and these values can and do shift. Although all these theories of change have their strengths and weaknesses, each offers a valuable platform for understanding how change in education can occur.

Given the value of such theories of change it is useful to position internationalisation of HE as one of the responses to the many challenges faced by HE in a globalised world. In support of my notion of internationalisation of HE as a change theory, Enders (2004) and Johnston and Rowena (2004) offer useful arguments. Enders (2004) finds that “internationalization is contributing to, if not leading the process of rethinking the social, cultural and economic roles of higher education and their configuration in national systems of higher education” (p. 362). Likewise, although they do not use the term “internationalization”, Johnston and Rowena (2004) argue that “[u]niversities around the world have been undergoing significant reconceptualization and reorganization in response to pressures from national governments to position nations for greater global competitiveness” (p. 1). These pressures are not only coming from national governments but also from financial markets, technological advances, people and cultural mobility (traits of globalisation), and from HEIs themselves. As two separate arguments, Enders's argument pays attention to the contribution of internationalisation to national systems of HE, while Johnston and Rowena's argument addresses global competitiveness. Separately, these arguments fail to address either the global or the national respectively; however, together they offer a powerful look into the overall theme of my study – internationalisation of HE – as an agent of/for HE change, which is a point that I will focus on shortly.

In the case of South African HEIs, change has been encouraged both as a result of the emergence of democracy in 1994 and by global pressures. However, in South Africa, this change seems to be referred to mainly as transformation. Maassen and Cloete (2002), for instance, write of transformation resulting from global pressures and changes in the following manner: “Towards the end of the 1980s the contours of a ‘new world order’ became more visible. Its rise was marked by the collapse of communist regimes and the increasing political hegemony of neo-liberal market ideologies. These established an environment for socio-economic and political change during the 1990s that would assert considerable reform pressures on all sectors of society, higher education included” (p.13). These changes in the broader society are what these scholars have used to explain change and transformation in HE. Examples of each of these pressures can be found in cases such as South Africa (change from apartheid to democratic society) and the former Soviet Union countries (change from communism to liberalisation and market-driven economies). In each of these instances, shifts in the country’s/regions’ social order resulted in pressure on HE systems to change and transform.

Referring again to South Africa, Rouhani and Kishun (2004) argue the case that the transformation of HE resulted from “... the transition to democracy as well as in response to shifts in the global knowledge economy. In addition to issues of access, redress, and equity, the system has been undergoing rightsizing, rationalization, and mergers” (p. 239). This definition of transformation contains two of the main reasons why HE systems worldwide might be engaged in some form of transformation. These two reasons include (as mentioned in the case of countries like South Africa) redressing past inequalities in a system or (as in the case of countries of the former Soviet Union) the change from communism to liberalisation and market-based societies, partially as a response to the pressures of globalisation. In most cases, however, both reasons apply.

A final argument following the same line of thought as the previous two can be found in an earlier analysis by Orr (1997) concerning the issue of HE transformation in the South African context, in terms of HE being both a catalyst for and an agent of transformation. Her argument is that “[t]he key challenge for South African higher education in the context of extreme poverty, unemployment and homelessness is to contribute to meaningful and sustainable development...The education system is both a target of transformation and a force for transformation” (p. 62). What seems to be lacking in the above arguments is an analysis of how these national pressures (e.g. poverty, unemployment, homelessness) can be

addressed while also giving due attention to the changing global pressures that are encouraging transformation. Although these authors might acknowledge that HEIs must address both sides of this national–global challenge, none of them analyse in-depth *how* HEIs are to do this, or why they must (or do) address this dilemma in the manners that they do.

The quest for HE transformation in the South African case, which the scholars mentioned here argue for and about, becomes evident in a review of the country’s major educational policy documents. In these documents HE transformation is spoken of as a change in the system to better address the issues that the above scholars discuss, as well as quality, development, effectiveness and efficiency. Two of the early policy documents of the new democratic South Africa emphasise that the need for HE transformation resulted from the limited ability of the past system to meet the needs of the country. This left a historical legacy of inequity and inefficiency that inhibited the HE system’s ability to meet the moral, social and economic demands of the new South Africa, while at the same time addressing these needs within a context of “unprecedented” national and global opportunities and challenges (Green Paper, 1996; White Paper, 1997). In addition, in 2001, the South African Department of Education unveiled a new National Plan for Higher Education (2001), which sought to put in place the framework for this transformation. This is a clear indication that in terms of policy there was (and still is) a strong push toward change and transformation of the HE system in South Africa. Each of these policy documents provides evidence of the need for transformation and change in South African HE, which are relevant for analysis and understanding of these issues for the broader HE community.

Having outlined some of the demands that globalisation places on HE which lead to change or transformation, it follows that the interactions between transformation and internationalisation as a response to globalisation deserve attention. With regard to globalisation, given the many points made by the South African HE policy documents mentioned above (e.g. the need for the system to respond to global pressures), one can see that a major concern for the South African policy-makers seems to be that their system (and thus their citizens) is adequately equipped to deal with changing global pressures, influences and trends.

As I have already discussed this phenomenon as globalisation, it follows that the response to globalisation discussed earlier – namely, internationalisation – has a place in HE transformation in South Africa (and globally). This is an important issue as transformation in

South African HE is expected to play a significant role in overall societal transformation as well (Maassen and Cloete, 2002). What seems to be lacking in intellectual discussions of internationalisation of HE is how this interaction between it and transformation unfolds and what can be learned from it. In other words, how does internationalisation fit into South Africa's transformation agenda? This is another question that I address later in the study, particularly in terms of how it relates to my research and my HEI case study.

To offer a deeper illustration of the relationship between HE transformation and internationalisation – which I posit reveals itself when one pieces together the various arguments presented by the scholars discussed above – it is useful to utilise the example of international institutional contracts as representative of the internationalisation process, and to discuss their potential interactions with HE transformation. My focus here is to understand what scholars argue regarding these contracts and their role in transformation and development, and to look at some of the emergent findings and gaps in these arguments.

In seeking to address the question concerning the role of international institutional contracts and development, a conference was held in 1998 at Michigan State University entitled “Academic partnerships with South Africans for mutual capacity building”. The conference brought together a variety of stakeholders and experts on HE in South Africa and the US. The purpose of the gathering was to provide a platform for experts in HE from the two countries to discuss both anecdotal and empirical evidence concerning the importance of academic partnerships (i.e. international institutional contracts) for capacity building, transformation and development of HE in and between the two countries.

Several reasons for these partnerships and their value to transformation and development emerged in the various papers and presentations given at this conference. These reasons are in line with the rationales discussed in Chapter 2 for internationalisation of HE, and included: partnerships for research and graduate programmes; partnerships for academic and staff development; partnerships for curriculum reform; and partnerships for student support services. Given the level of scholars and experts in attendance, the nature of the discussions and the report produced, this conference provides useful insights into the issue of international institutional contracts (and thus internationalisation of HE) and their interactions with the issues of development and HE transformation and change.

Ann Austin of Michigan State University states in the Conference Report (1998) that “when partners are working together to explore and address common concerns, power and responsibility are equally shared. Furthermore, framing partnerships within the context of questions of mutual interest illustrates that staff development directly pertains to the central issues relevant to the quality, role, and impact of higher education within society” (p. 7). In the same report, Brian Figaji, then vice chancellor of Peninsula Technikon and chair of the Committee of Technikon Principals, offers another argument for the importance of international institutional contracts for transformation when he states that international institutional contracts can help South African HEIs “...establish a partnership with an institution external to South Africa, and [they] can also help South African institutions partner with each other. Internal partnership is as complicated as external partnership, but we need both. There also can be better use made of resources by partnerships between institutions outside of South Africa and consortia of institutions within South Africa” (p. 10).

However, these partnerships are not always as mutually beneficial as they should be, and thus when being negotiated the danger of benefits accruing to only one of the partners needs to be acknowledged. Several scholars discuss the “foreign aid” model of partnerships whereby knowledge is given by the Northern (or Western) institutions and received by the institutions in the South. In the conference mentioned above, Jonathan Jansen, then dean of the University of Durban-Westville’s Faculty of Education, spoke of these dangers when he stated that “the present models of partnerships that have operated within the framework of internationalisation of education clearly need to be revised. A fair amount of internationalisation has occurred, but now we need to move to the next phase that takes into account elements of mutuality and empowerment. I think this could be a first step toward making a paradigm shift in partnerships” (Conference Report, 1998, p. 12).

These scholars are arguing that international partnerships, which I refer to as international institutional contracts, have the potential to contribute to development on varying levels for participating countries. This development includes many of the motivations for and pressures to transform HE as already discussed herein, including issues such as redress and equity. When managed correctly, international institutional contracts can provide opportunities for capacity building and can address common problems that are increasingly global in scale (i.e. HIV/AIDS and economic development). These contracts thus give the HE institutions that engage in them opportunities to put on the table ideas and potential solutions to transformational goals, for critique and critical analysis with international partners who may

be, or have been, attempting to address similar issues. It is my argument, then, based on their mutual and common rationales, that this shows a relationship between internationalisation of HE and HE transformation, and also demonstrates how this form of internationalisation (international institutional contracts) is sometimes entered into as a response to changing global pressures, influences and trends. Likewise, these arguments demonstrate a relationship between internationalisation and development, which is where this review now turns.

#### 2.4 Internationalisation of HE as an agent of national and global development

As has been discussed earlier in this review, internationalisation of HE has increasingly become an integral part of HE itself, and thus the challenges that HE faces would also seem to be challenges for internationalisation of HE. Many such challenges have been discussed and theorised in existing scholarship, as highlighted in Table 3.

<b>Table 3: Challenges for internationalisation of HE</b>	
<b>Challenges</b>	<b>References</b>
How can internationalisation occur without re-emphasising existing inequalities among institutions and individuals, which I refer to as the “inequality reinforcement challenge”?	OECD, 2004; Altbach, 2002 and 2004; Van der Vyver, 2003
How can internationalisation be implemented without detracting from the perceived societal goals of HE, which I refer to as the “detraction from higher educational goals challenge”?	Altbach, 2004; Singh, 2001; Moses, 1999; Orr, 1997
How can HEs address what some scholars call a new form of “cultural imperialism” created by internationalisation of HE, as well as the challenge facing those countries where English is the dominant language, or what I would term “language imperialism”? I place these two related challenges together and term them the “cultural/language imperialism challenge”?	Altbach, 2004; Ziguas, 2003; Turner, 2001; James, 2000
How can the issue of academic and intellectual flight (brain drain) be dealt with?	Altbach and Bassett, 2004; Saravia and Miranda, 2004; Teferra and Altbach, 2004
How will the issue of quality be dealt with throughout the process of internationalisation of HE, which I refer to in short hand as the “quality assurance challenge”?	OECD, 2004; Coleman, 2003; Van Damme, 2001
How will institutional management, structure and organisation be affected by internationalisation, which I refer to as the “institutional management challenge”?	Taylor 2004; Barrows, 2000
How can internationalisation of HE affect, contribute to, and/or account for, the development needs of countries – both national developmental needs and pressures for global integration and competition, which I refer to as the “dual development challenge”?	Kishun and Rouhani, 2004; OECD, 2004; Chitnis, 2002; Deem, 2001; Subotzky, 1997a and b, 1999a and b

Although understanding the challenges outlined in Table 3 is important for HE and has implication for the internationalisation of HE, given the particular focus and limitations of my study, I am most concerned with the challenge caused by the dual imperatives (national and global) that an HEI must address. Several scholars writing on the internationalisation of HE



have argued that as the world continues to globalise rapidly, HEIs must cope increasingly with both global developments and integration while also addressing their nation's developmental needs (Yang, 2000; Cross et. al., 2004; Enders, 2004; Oduro and Senadza, 2005). With regard to internationalisation of HE, this challenge brings up a question: how can this process affect and/or contribute to the developmental or transformational needs of countries, while also allowing the countries (and thus their institutions) to be incorporated into, and successfully competitive with, the global community? The challenge posed by this question (between the national and global imperatives of HEIs) is what I term the “dual development challenge”. Some scholars discuss this dual imperative in terms of HE systems as a whole, while others discuss it from an institutional perspective.

Among HE scholars discussing the “dual development challenge” from an HE system perspective, Subotzky (1997a and b, 1999a and b) provides useful insights and arguments concerning the dual development challenge for HE broadly, in describing how countries are faced with dealing with national issues, while also ensuring that they are able to compete on a global scale. He argues that these dual imperatives “...manifest in the aspirations to pursue two developmental paths...” (1997a, p. 105). The two developmental paths in which he speaks are what he terms “redistribution” and “global competition” (Subotzky, 1997a and b). In terms of global development competition he is referring to the “...export led high-tech competitive engagement in global informational economy” (ibid, p. 105). In terms of redistribution he speaks of South Africa's imperatives to meet the basic needs of South Africans who have been traditionally disadvantaged. In his analysis of the paths suggested by South Africa's major HE policy documents, Subotzky suggests that “these policy documents call for a unified, equitable, well planned, programme-based system, the final shape and size of which will ultimately be determined by the nation's emerging dual development path and by equity considerations. Of particular importance will be, firstly, to overcome the prevailing mismatch between HE and the demands of (both the developing and high-tech) economy, and secondly, the reduction of the severe race, gender, geographic and institutional inequalities which are the legacy of apartheid” (ibid, 1999b, p. 8). Higher education is, he argues, operating in an environment where it must be cognisant of these dual imperatives.

Muthayan (2005) also addresses the issue of dual development from the South African HE perspective. She refers to the dual development challenge as the “forces of globalisation (neoliberal economic reforms and new technologies) and democratisation (redress and equity)” (p. 2). In her conceptualisation of this dual challenge and thus the problem that her

research sought to address, Muthayan (ibid) states the purpose of her research as examining the responses "...at three South African universities to the forces of globalisation (neoliberal economic reforms and new technologies) and democratisation (redress and equity), with a particular focus on how the changes resulting from these forces relate to their research programs and knowledge producing processes" (p. 2). She further argues that "South Africa exemplifies the tension between the local and the global as it simultaneously carves out its role as, on the one hand, a new democratic nation and, on the other, a global player" (ibid, p. 11).

Yang (2000) argues in the Chinese case, that although there is a recognition that keeping in line with global trends is an HE imperative, the local (national) conditions of the country provide "a firm foothold" for the system to respond to globalisation (p. 333). In other words, there is recognition of the dual imperatives of HE not to consider just global trends but also to consider local/national issues. This, the author argues, might provide some form of positive response to the global trends.

When writing about the challenges of internationalisation of HE confronting developing countries, Enders (2004) argues that developing countries are faced with a multi-part burden that consists of a need to "...support the further expansion and 'nationalisation' of their higher education system...and to struggle with the impact of global forces confronting it" (p. 365). This is the case for developing countries in regions such as Latin America. For instance, while discussing regional and international HE challenges of the Latin American region, Holm-Nielsen et. al. (2005) recognise that HE systems in that region must be equipped and prepared to play dual roles in terms of national developmental needs and global integration and knowledge production. They argue that "...internationalisation of higher education provides new opportunities for Latin America to access new knowledge, attract talented individuals, and learn from practices in higher education abroad. International connectivity in advanced education and research also holds considerable potential for strengthening national innovation systems in Latin America" (p. 61). In fact, a significant portion of their chapter is dedicated to attempting to explain how HE in Latin America can take advantage of global developments (i.e. increased competition for the best and brightest students and intensifying ease of mobility of individuals) while also addressing the national needs (i.e. labour market demands or improving national technology and innovation) of individual countries, thus impacting the entire Latin American region positively. This is recognition by Latin American HE scholars and educators of the dual development potential of internationalisation to

address global demands, while also allowing an institution in the region to affect change in the form of innovation in its respective national context.

Another example of the acknowledgement of the dual development challenge as it relates to HE systems specifically in a developing country context can be found in an Oduro and Senadza's (2005) article on cross-border provision and higher education in Ghana. In this article the authors acknowledge that "...no education system exists in isolation", and thus "...Ghana needs to evaluate the global changes occurring in the delivery of higher education within the context of its national economic and social development goals" (p. 268). In other words, the national goals and needs of Ghanaian HE cannot be separated from the global trends and issues going on around it (and vice versa). In the same article they refer to Asmal (2004) as relevant to the Ghanaian case when they quote him saying that "...an appropriate balance must be struck between global and national imperatives" (ibid, p. 269).

Likewise, in writing about Indian HE, Chitnis (2002) argues that HE in that country is grappling with the same sort of national and global development issues. In doing so, the author writes that "[h]igher education in India is seriously challenged. It is confronted with globalisation even as it struggles to overcome the inadequacies created by colonial rule and to meet the demands of development" (ibid, p. 1).

Those HE scholars writing specifically about the internationalisation of HE at an institutional level (Cross et. al., 2004; Ellis, 2004; Enders, 2004; Ahola, 2005) also add their voices to the global-national debate that the scholars above discuss from a broader HE system perspective. Those analysing institutional internationalisation centre their arguments on the increasingly globalised environment in which HEIs are operating, whereby any national developmental issues must be seen in the light of a wider globally competitive and integrated world. Within this context, they argue, internationalisation must play a role in addressing these dual imperatives. In other words, at an institutional level the dual development challenge is manifested in the dual responsibilities of HEIs to play a role in national development, while at the same time contributing to the global integration and competitiveness of itself and its constituents.

For instance, Cross et. al. (2004) in their study on internationalisation at the University of the Witwatersrand argue that "South Africa...needs to take cognizance of the fact that although universities are international, they are also integrated into a given society and region and

social, political and economic system” (p. iv). They also highlight that “the challenge for South African institutions is to balance...international imperatives with the demands imposed on them by local social, economic and political conditions” (ibid). Ellis (2004) adds to this argument by stating that “[h]igher education institutions are by necessity, rooted in a particular place and society. Yet, they must constantly seek to forge links across cultures, to broaden knowledge, and to meet varied responsibilities to society. South African Higher Education Institutions...must respond to these demands by connecting to diverse cultures, societies and landscapes, and meeting responsibilities inherent in serving the needs of a varied constituency” (Ellis, 2004, p. 2). Ahola (2005) adds to this that “institutions of higher education should interact together and with their local environment...all activities should pursue high international quality because in the global world markets they are also global” (p. 46).

Thus, for those scholars and practitioners concerned with the developmental responsibilities of HEIs, and for those interested in studying HE more broadly, it is clear that national issues cannot be addressed in isolation from global trends (and vice versa). As such, countries and HEIs are challenged to mediate both the national and the global – the dual development challenge.

In terms of HEIs in South Africa specifically, Libhaber and Greene (2006) sum up the dual development challenge in the following manner: “Probably the hardest challenge for South African institutions in this complex context of globalization, where different economic and social forces overlap, will have to do with...trying to be globally competitive, while at the same time retaining their local identity and commitment to social development...” (p. 2). However, although this dual development challenge does exist, what is less prominent in HE and internationalisation scholarship are presentations of empirical evidence, theories and descriptions concerning how HEIs are and/or can address that challenge. Further empirical studies should be conducted to determine how HEIs view this challenge, as well as what can be learned both from their views of it and from their actual responses (if any) to it.

#### **2.4.1. The “dual development challenge” and HE policy in South Africa**

Subotzky (1999b) argues that the imperatives of “...South Africa’s macro-economic policy are manifest in its dual development imperative of simultaneously seeking hi-tech global competitiveness and the redistributive task of addressing the basic needs of its impoverished majority (p.6). This places HE as a policy issue, in the South African case as well as around

the world in direct line with other socio-economic policies on national and system-wide agendas. This policy relationship necessitates some exploration in terms of what South African HE policies state about the dual development challenge. This dual development challenge, and the need to address it, becomes evident when one scans the South African HE policy documents from the past several years. For instance, one of the early policy documents, a report by the National Commission on Higher Education (NCHE, 1996), states that a transformed HE system in South Africa “should contribute, in keeping with internationally recognised standards and academic quality and be sensitive to the specific problems of the African and South African context, to the advancement of all forms of knowledge and scholarship that can make a difference to the social, cultural and economic development of all its people” (p. 70).

Another of the early South African HE policy documents, the Education White Paper (1997), while discussing the purposes of HE, states that “[i]n the context of present-day South Africa, they [the purposes of HE] must contribute to and support global competitiveness and basic reconstruction...” (section 1.3). Finally, in the National Plan for Higher Education (2001), which outlines the actual framework and mechanisms of the South African government to achieve the goals set forth in the previously mentioned policy documents, the issue of the dual development challenge, although not explicitly discussed, is addressed. The plan makes repeated reference to the need for the South African HE system to address the issues of redress and equity. Within the same document, various statements are made about competing globally both as a system, and preparing individual citizens to be globally competitive. Policy statements such as these clearly indicate recognition within HE policy of the dual imperatives of global competition and integration, as well as those for national level developmental needs. This places the issue of dual development, as outlined through the review of literature above, within an HE policy context at both national and institutional level.

Finally, it should be noted that even given the language of these South African HE policy documents which seems to highlight the importance of the dual development challenge, and the scholars quoted herein who posit the dual imperatives of HEIs, some scholars (Orr, 1997; Subotzky, 1997a; Moja, 2004) are concerned that in the South African case, more weight is being given to the global side of this dual challenge over the national side. For instance, Orr contends that “[d]espite the enormity of the need for redress, the latest policy proposals, including the NCHE Report and the Government Green Paper, tend to give more emphasis to the ‘demands’ of ‘international competitiveness’, conceptualising human resource

development in a narrow ‘economic’ way” (p. 62). Also, Moja (2004, p. 5) argues that in order for South Africa to position itself to be able to operate successfully in the global economy, it is necessary to transform the HE system in ways that make it responsive to the realities of globalisation. She further argues that this responsiveness has often been wrongly interpreted in debates on Africanisation to mean meeting global needs at the expense of local ones. Although she does not believe that serving global needs means that an institution (or system) is neglecting local needs, this belief echoes what Orr (ibid) highlighted concerning the potential unequal attention paid to global needs over national ones. In the light of this potential and/or realistic unevenness between the global and national/local, one of the key challenges of the South African HE system – especially in terms of internationalisation as it seeks to address global pressures and thus a gap in existing scholarship – seems to be how it can, or should, respond to this challenge in a way that places the two sides of this challenge on a more equal footing.

## **2.5 Gaps and contradictions in existing internationalisation of HE literature**

The preceding critical review of existing scholarship on internationalisation of HE makes it clear that globalisation forces have implications for HE change and transformation, and that these pressures are often catalysts for this change or transformation in HE. The review has also highlighted how the process of internationalisation has become an imperative of HEIs as one of their responses to globalisation, and that there are thus many challenges that internationalisation poses for HE. Given these relationships, it follows then that the challenges which are either faced or caused by internationalisation, HE transformation or global pressures are therefore linked as well. I am suggesting here that there is an intimate relationship between globalisation, internationalisation and HE transformation, which needs to be further conceptualised and developed in scholarly works.

In keeping with the above argument, at least four major shortcomings emerged from the literature. These, in short, are:

- a paucity of studies that problematise internationalisation of HE
- a contentious relationship between internationalisation of HE and globalisation of HE
- lack of a strong theoretical basis for understanding internationalisation as an agent of/for HE change and transformation

- a dearth of empirical evidence concerning internationalisation of HE as an agent of/for both national and global development and how these two imperatives are being met and managed by HEIs

First, the literature focuses a great deal on conceptualising, rationalising and describing the process of internationalisation of HE and its uses, and little attention is given to problematising the process. In failing to do so, this body of literature seems to speak mainly of the process as a positive occurrence and focuses little effort on the problems and challenges of it. Although literature that problematises internationalisation of HE does exist (Altbach and Bassett, 2004; Van der Vyver, 2003; Chitnis, 2002; James, 2000), this literature seems to mention only in passing the challenges that internationalisation poses for HE, thus failing to unlock what can be learned from, and how HEIs respond to, these challenges, and how we can understand these responses. The dearth of empirical studies that problematise internationalisation of HE is striking, given that most internationalisation of HE scholars and practitioners would argue that internationalisation should be a key component of any 21<sup>st</sup> century HEI's planning and function.

Second, there is a body of literature on the subject that confuses globalisation of HE with internationalisation of HE. As has been discussed, there seems to be varying contradictions concerning this relationship, especially when dealing with the issue of defining the two phenomena. It has become clear that the process of globalisation and internationalisation are not the same process, yet they have an intricate relationship that often causes many to confuse them and use them interchangeably, or as opposing phenomena altogether. This contradiction of the use of these two terms – and thus the phenomena themselves – is sometimes portrayed in existing scholarship in a pressure-change paradigm, other times in an opposing-forces paradigm, other times on a continuum paradigm, and then, sometimes, in an action-response paradigm. The challenge for future research is to provide a more adequate conceptual framework for discussing these two phenomena.

The third major shortcoming in the existing literature is a dearth of empirical studies on internationalisation of HE as an agent of/for change or transformation, as it is most often referred to in the South African case given the country's history and socio-economic and political situation. As was discussed throughout the review, globalisation has significant implications for HE, and thus creates a space in which HE systems often seek to engage in transformational activities, such as internationalisation, to address globalisation challenges.

Existing literature does pay attention to the issue of global pressures challenging HE transformation. However, the literature is lacking in providing an adequate framework for understanding why HE systems might respond to these global pressures in certain ways, and specifically with regard to the role played by internationalisation in their transformation process.

The fourth shortcoming found in the literature is the dearth of internationalisation of HE studies that theorise its role as an agent of/for national and global development, and how HEIs respond to internationalisation within the context of these dual imperatives. This absence of intellectual engagement concerning HEIs and their management of the national and global imperative of HEIs is especially striking given the body of knowledge and studies seeking to understand how – especially in the case of so-called emerging and developing countries (in this case South Africa) – HEIs can play a larger role in national development, and possibly an equally prominent amount of literature on how HEIs are faced with global pressures. Likewise, the body of knowledge on internationalisation of HE, while attempting to demonstrate the role of this process in HE development and change, is surprisingly silent on its role with respect to this dual development challenge. The South African HE literature specifically is conspicuously silent on providing specific empirical examples of the potential and/or actual role that internationalisation might be playing in the country's HE transformation. My argument is that by understanding how this dual development challenge is being mediated from an institutional standpoint, HEIs engaging in internationalisation might better be able to understand their role as agents of both national and global development.

## **2.6 Conclusions on existing scholarship**

As I have attempted to demonstrate through this literature review, internationalisation of HE often serves as a reaction to global forces that can encourage change and transformation in HE. In South African HE, this transformation is taking place at both an institutional and system-wide level, as an imperative for HE to address and consider both national development and global integration. Mediating this dual imperative is where HE systems and institutions around the world, including in South Africa, are being challenged.

In terms of internationalisation of HE, HEIs that choose to engage actively with the process make a conscious or unconscious decision also to engage with this imperative, which comprises their national and global roles and contributions. These institutions face this same



dual development challenge in that their internationalisation process must occur so that the institutions themselves, as well as their stakeholders, are equipped to address national transformational and developmental needs such as equity and redress, while at the same time providing the tools for institutional and individual integration and competitiveness with the rest of the world. One problem that this dual development challenge brings up for South African HEIs and HEIs globally during their internationalisation process is: how do institutions respond and, more specifically, what can be learned from the meanings and motivations behind these responses – or lack thereof?

Given the dearth of empirical studies and data on how this dual development challenge is being mediated by HEIs within the process of internationalisation, my study will engage with this issue. In doing so, through my analysis of empirical data gathered during the course of this study, I offer in Chapter 7 a conceptual framework for understanding better how one HEI is responding to internationalisation within the context of this dual development challenge, and the broader theoretical and conceptual implications of its responses. Through the presentation of the data I also offer insights into the role that internationalisation is playing in HE transformation in a South African HEI and, thus, what that might illuminate for other HEIs and HE systems in transformation. To reach these goals, I utilise the University of Pretoria as a case study (for reasons which I address in Chapter 3). For now, I turn to a discussion of the theoretical framework that will serve as the prism for analysing and illuminating my data and findings.

## **2.7 Giving meaning to the data: Theoretical framework**

In choosing a theoretical framework in which to analyse and understand the case study HEI's responses to this dual development challenge within the context of its internationalisation process, I find Subotzky's (1997a and b) conceptualisation of Smyth's (1995) notion of "settlement" appropriate and useful. The primary intellectual thrust of this notion of a settlement is its definition as "an unstable truce between social forces which defines a historically specific relationship..." (taken from Smyth in Subotzky, 1997a, p. 106). This discussion on the historical and politicised relationship between social forces is what Subotzky argues characterises a settlement. He further says that "[s]ettlements are contested and contradictory..." (p. 106). The use of words such as unstable, contested, and contradictory, suggests that the settlements which Subotzky speaks of are not linear processes that occur in any particular order. This is important in any attempt to understand the pursuit of a settlement by HEIs during, or in the absence of, their internationalisation process; it

cannot be expected that there will be easy and straightforward inputs or outcomes during the pursuit.

Subotzky's (1997a and b, 1998) notion of a settlement is defined and analysed in terms of HE systems and HE policy. He suggests two clear paths for South African HE that might assist the system in its pursuit of a settlement between global and national imperatives. His first suggestion is "...to review critically the neo-liberal orthodoxy" which he believes will "...provide an important historical opportunity to conceptualise and consolidate complementary alternatives which will facilitate simultaneous pursuit of..." global and national imperatives (ibid, 1998, p. 8). His second suggestion as to how the South African HE system can pursue its settlement is through "...state intervention and regulation, not only towards redistribution, equity, and redress, but also to ensure growth and development" (ibid).

In HE policy terms, Subotzky's conceptualisation of settlements is often expressed, albeit not always explicitly, in HE policy and is particularly relevant to my discussion of the dual development challenge in that in addressing this challenge, the optimal path for HE policy (e.g. systems and institutions) to follow would seem to be a settlement between the national and the global. In doing this, however, it is important for policies to consider the unstable, contested and contradictory nature of the destination toward this needed settlement. The questions that must be addressed arise when discerning how this settlement is to be mediated, or, even more intriguingly, if a settlement is even possible.

Even given my agreement with aspects of Subotzky's argument, his discussions of a "settlement" do hold some limitations, which I will seek to overcome through my utilisation of the notion. The primary limitation is that Subotzky's analysis and discussion of settlement is centred on HE systems as opposed to HEIs. Thus, I extend the use of the notion of a settlement to suggest that it is useful to look at it as it relates to individual HEIs primarily. As Marginson and Rhoades (2002) have argued: "Today, higher education in every corner of the globe is being influenced by global economic, cultural, and educational forces, and higher education institutions themselves (as well as units and constituencies within them), are increasingly global actors, extending their influence across the world" (p. 282). Owing to this potential or actual influence on global developments that HEIs and their constituencies can or do have, it is useful to explore my research puzzle in terms of HEIs as opposed to HE systems broadly.

Another area that needs further exploration in terms of Subotzky's argument, which I will address in my study, is his entire notion that a settlement is even possible or preferable for HEIs. He makes it clear that there is a need for South Africa (and other developing countries) to seek a settlement and follow complementary paths that accommodate both global and reconstructive developmental concerns (ibid). However, I entered my study questioning whether a settlement, as Subotzky uses it, is a goal that HEIs even believe they need to pursue? In other words, do HEIs want to place the pursuit of national and global development on a more equal footing and address them both, or do they believe that it is inevitable that one side will be given more weight than the other? This is one of the areas that I address in my data analysis in the final chapter of this study, as it became important for my theoretical framework.

Another shortcoming of Subotzky's argument that is linked to the above issue is the lack of clarity on whether this settlement should translate into actual equal level policies and actions, or if it is more important that an institution simply recognises that the national and global forces exist. A settlement, as I understand it, does not mean that "social forces" struggling to find the settlement must ultimately give equal weight to both sides of the settlement, but that recognition of both sides should be apparent. If HEIs have this recognition of both the national and the global, is it inevitable that they must choose which to put more policy energy into, or is the recognition enough, in and of itself, to push policies toward both?

In the light of the above discussion and questions in my study, I utilise this notion of a settlement, as argued by Subotzky and Smyth, as my theoretical framework. I expand upon it, however, by addressing some of its shortcomings, particularly regarding the authors' utilisation of settlement in terms of HE systems and nation states. I will employ the notion of settlement specifically in terms of HEIs. In my extension of this notion of a settlement I also adjust the name to fit the developmental goals of the settlement which I suggest should be considered by HEIs, and thus term the process a "developmental settlement".

My understanding, then, of a developmental settlement in terms of HEIs is when HEIs seek to address through specific activities, actions and policies both sides of the developmental challenge – that is, national developmental needs at the same time as global integration and competition ambitions. Specifically, my research seeks to understand exactly how this developmental settlement might work in the case of one HEI, which should provide useful insights for scholars and practitioners alike. It is thus a useful theory for understanding and

analysing internationalisation and its interactions with the dual development challenge as it “tells an enlightening story” about the phenomenon” and “...is a story that gives...new insights and broadens...understanding of the phenomenon” (Anfara Jr. Mertz, 2006, p. xvii).

In addressing some of the shortcomings of the theory of a settlement as it is argued for by Subotzky and Smyth, and placing my data within this expanded framework, I will create a “developmental settlement theory for internationalisation”. As such, I follow the argument that “a theoretical framework positions one’s research within the discipline or subject in which one is working and allows one to theorise about one’s research and findings” (Henning, 2004, p. 25). In looking at the above issues and by placing my data within the framework of this theory of a developmental settlement for internationalisation I am suggesting that my study will be placed within the scholarly literature on internationalisation of HE, that my key research problem will be addressed, and that new knowledge with regard to internationalisation of HE will be generated. This new knowledge will offer useful points of analysis for scholars and HEIs as they study and engage with the process of internationalisation. In particular, it will allow them to place that process in a framework for understanding how HEIs internationalise in a context where there are national, global and, as we shall see in subsequent chapters, regional concerns that must be addressed.

## CHAPTER 3

### ASSEMBLING, ORGANISING AND INTEGRATING THE DATA

*...researchers who acknowledge the educative nature of carrying out research are likely to adopt more participatory methods and may place less emphasis on seeking objective data and more on feeding back preliminary findings to enable practitioners to learn from research knowledge as it is generated. Constructing research as 'educative' has ethical implications and has effects in terms of the quality of outcomes, for example through its ability to fine-tune findings to the field of study and increase their impact on practice, perhaps with less emphasis on producing generalisable findings (Somekh and Lewin, 2005, p. 8).*

#### 3.0 Introduction

In this chapter I discuss and outline my theoretical positioning as a researcher as well as the design and methods employed to carry out this study. In addition, I discuss the various research instruments used and substantiate my reasons for doing so. I also outline the methods utilised to organise and analyse the many pieces of data collected for my study. I discuss issues such as the credibility of my study, its limitations and the ethical considerations of the study. Finally, I discuss the path that my research took and some of the unforeseen developments (some good, some not so good) during the course of my study.

#### 3.1 Positioning the research

Given that my study sought to better understand underlying meanings to HEIs' responses to the imperative of internationalisation, and given the "dual development challenge" that they are faced with, I approached my research from an interpretivist paradigm and a constructivist approach to knowledge generation. The interpretivist paradigm is relevant because of my belief that individuals and groups are interpretive beings who are in a "constant state of reconstruction of their worlds" and consequently that "individuals and groups define knowledge not merely through an objectively situated context such as research projects but also through the historical and social situations in which individuals find themselves" (Tierney, 1996, p. 15). Denzin and Lincoln (2000) argue that "all research is interpretative..." and "...guided by a set of beliefs about the world and how it should be understood and studied" (p. 19). My stance as a researcher is such that in this research I sought to locate the research respondents within the context of their own environments in order to comprehend how they understand and interpret this environment.

In terms of my constructivist positioning, I follow the belief that there are multiple realities, that the researcher and respondents co-create and construct understandings, and that a

naturalistic set of methodological procedures are needed as individuals seek to make sense of their experiences (Denzin and Lincoln, 2000, p. 21). As such, one must seek the meanings (Charmaz, 2000, p. 255) behind individual actions and beliefs. It is through the seeking and interpreting of such meanings that knowledge is produced (ibid). In this sense, I focused on meanings in context and within the natural world of the research respondents (Charmaz, 2000, p. 525). Hence my data collection instruments sought to understand meanings that respondents ascribed to the imperative of internationalisation in the HE context.

Overall, I followed Merriam's (1998) contention concerning the understanding of meanings in context in a natural world. In this regard, she (ibid) argued that "[h]umans are best-suited for this task (as opposed to numbers) – and best when using methods that make use of human sensibilities such as interviewing, observing, and analyzing" (p. 3). This positioning thus informed my research design, methodology and system of data interpretation, as I describe them below.

### **3.2 Research design**

My chosen research design follows that of a qualitative case study research method. My particular case was the University of Pretoria. I chose a single case study because I wanted to analyse how individual agents (i.e. HEIs, their functioning parts and individuals within them) construct the realities of internationalisation, as well as to examine their roles in global and national development. I thus set out to explore and analyse how UP manages its internationalisation within the context of the dual development challenge according to the multiple realities and beliefs of its constituents. Also, as Stark and Torrance (2005) suggest, the particular, descriptive, inductive and ultimately heuristic value of case studies also makes them a valuable tool in qualitative research. In addition, by utilising a case study method I follow Bryman's (2001) argument concerning the focused and intensive nature of case studies, and thus suggest that my study was a more focused and intensive examination of the interactions between internationalisation of HE and the dual development challenge at the single case institution, than it may have been if it were a multiple case study.

Also, in choosing one HEI to analyse, this relationship has allowed for more focus on discovery, insight and understanding from the perspectives of those involved in the process of internationalisation at UP. This has offered a greater promise that the research findings will make a significant and new contribution to the existing knowledge base and practice within the field of international education overall (Merriam, 1988, p. 3). I also follow the argument

that “an important purpose of case studies is to arrive at a comprehensive understanding of the group or individual being observed” (Rothe, 2000, p. 82), and argue that this has been done in this case.

Finally, supporting my argument that an individual case study is valuable, and specifically speaking in terms of the South African context, no comprehensive internationalisation strategy or policy governing or directing the internationalisation process exists at South African universities. As such, each university is engaging in the process differently. Thus, given the unevenness of the HE terrain in terms of economic viability and academic credibility, and the absence of the possible evenness afforded by a guiding policy document on internationalisation, the value of a multiple comparative study is limited. I argue that an in-depth study of a single institution is likely to offer an in-depth understanding of internationalisation of HE. This might in turn offer some guidance to the policy development process and might also assist with cross-comparison and analysis across the spectrum of universities in the future, while allowing for a more focused and in-depth exploration of individual institutions and their engagement with internationalisation. It is also useful to look at an individual university as a case study because it allows for an exploration of inter-institutional similarities and differences with respect to how internationalisation is conceptualised, engaged with and addressed within one institution.

I was therefore not concerned with making or claiming to make my case study generalisable to other HEIs in South Africa or abroad. However, I do expect and suggest that the study will deepen understanding of and assist with explaining the interactions between internationalisation of HE and the dual development challenge elsewhere, and not just at the case study institution. In the light of the above I chose one specific public South African university, the University of Pretoria (UP), as a basis for researching the responses to the dual development challenge.

UP was chosen as my case study university for at least four major reasons, which also validate it as a viable and useful case to analyse my research questions. First, as a historically Afrikaans-medium university, UP has been a major site of institutional transformation since the advent of the new democratic South Africa. As a largely Afrikaans-medium institution – and one that has been historically perceived as being politically conservative and simultaneously powerful in the context of apartheid South Africa – the challenges facing UP, and particularly its international endeavours, in the democratic dispensation of a post-

apartheid South Africa would be unique. I therefore suggest it is useful to examine how internationalisation plays a part in the institution's transformation agenda, and its particular responses to the dual development challenge.

The second primary justification for UP as a valuable case study for my research is linked to the previous justification in terms of UP's historical legacy and reputation. As the institution seeks to distance itself from the negative aspects of its history, and thus to present a new public image, it has been guided by a written and verbalised motto that it seeks to develop "international competitiveness and local relevance". The transition from its historical positioning of being politically conservative and powerful within the context of the apartheid South Africa, to where it now seeks to position itself publicly as an internationally competitive and locally relevant university, therefore offers useful insights into internationalisation of HE scholarship. Thus, this widely proclaimed mission of transformation positions UP as a viable case to understand the role of internationalisation in that mission.

Third, UP is a viable and valuable case study because the process of internationalisation, as I have defined it herein, was in the midst of unfolding as I commenced this study. This offered me an excellent opportunity to observe how the process was unfolding and to present questions to those involved in the process as it was happening. The combination of observations and interactions (through interviews and document analysis) with UP stakeholders helped to develop and support the richness and depth of my findings around the process at the institution. Thus, since the ambitions of internationalisation were present at UP, it offered an opportunity to engage with those ambitions and to attempt to analyse if those ambitions were being realised.

Finally, although I fully recognise and acknowledge the limitations of choosing a case based on convenience, I chose UP partially because I was situated at UP as a post-graduate student and thus had access to its people, documents and offices directly involved in and related to the internationalisation process. Even give this limitation of choosing UP because of my physical situation within it, it is the combination of these four major rationales for utilising UP as a case study that together strengthen and support my decision to study internationalisation within the context of my research questions at this particular university.



I was concerned with how internationalisation was unfolding within this case study university at an institutional level as well as within the faculties/departments, and how the process at this institution was interacting with the dual development challenge. In choosing the faculties with which to focus my investigation, I utilised the Faculty of Education (EDU) and the Faculty of Natural and Agricultural Sciences (NAS), because they are two of the larger faculties at the university (in terms of student enrolment), as well as two of the faculties that engage in a measurable and visible amount of international activities (which I discuss in greater detail in Chapter 6). Also, these two faculties are found on two different sides of the academic discipline spectrum – namely, social sciences and natural sciences.

By utilising one faculty in the social sciences and one in the natural sciences, I suggest that my study has yielded some interesting comparisons in terms of how and why internationalisation is unfolding in the two areas of discipline. These comparisons have added to the overall contribution of my study and may help to open doors for broader research and discussion on internationalisation of HE, particularly at an institutional level. By utilising UP (and its faculties) as a case study, and analysing its responses to the dual development challenge, I make the argument that my analysis has a heuristic value in that it should illuminate the reader's general understanding of internationalisation at the HE institutional level, and what can be understood from its interactions with the dual development challenge (Merriam, 1998, pp. 13–14).

### **3.3 Data collection**

The data in my qualitative case study was collected by combining the use of several research instruments that are useful given my theoretical positioning described in section 3.1. As such, the research instruments used to collect data for my study include: in-depth document reviews of both primary and secondary data; semi-structured and unstructured interviews with stakeholders, including HE policy-makers and university leaders, managers and practitioners; and participant observations which were recorded and collected in a research log book and journal which I kept. By utilising this combination of data collection instruments I was able to produce raw data that came from a variety of sources and with a variety of interpretations, viewpoints and perceptions, and ultimately to triangulate the data, which led to richer findings and conclusions. The triangulation of the various data has allowed me to produce a more comprehensive list of notions and perceptions, which has generated new knowledge about individual and collective meanings and motivations concerning internationalisation, and its actual and potential interactions with the challenges

posed by the national developmental needs and global integration ambitions of HEIs. Given the research design and these data collection methods, the following is a closer look at the various data collection instruments that were utilised in this study.

### **3.3.1 Document review**

Documents reviewed and analysed included key South African HE policy documents from 1994 to present, international and regional documents and reports that discuss global developments and strategies relevant to internationalisation of HE, as well as UP institutional policy documents, speeches, conference presentations and statements from its stakeholders. The document review also comprised my reviewing some of UP's international institutional contracts that have taken the form of memoranda of cooperation or memoranda of understanding. Although convenience sampling is not the most reliable form of sampling and runs counter to the normally expected rigours of scientific inquiry (Denscombe, 1998, p. 17), I had access to these contracts at UP. A scan of what they actually stated was therefore useful in my overall analysis and provided me with some further points of reference on how those involved with the drafting of these contracts viewed the role of such contracts in addressing the dual development challenge.

In my review of documents (specifically at UP), approximately 14 strategic UP documents, including annual reports and strategic plans, were thoroughly reviewed and analysed for their relevance to my study. A list of questions used to summarise these documents can be found in Appendix 6. This review allowed me to gain insight into the development of ideas, values, policies and strategies of UP that related directly and sometimes indirectly to its internationalisation process. As such, reviewing these documents also allowed me to cross-compare what is written in policy and strategic texts at UP, with what its leaders and stakeholders say about internationalisation. This in and of itself was a useful and insightful process, which I suggest lent itself to a deeper analysis and understanding of my research findings discussed in the final chapter of this study.

### **3.3.2 Interviews**

Thirty individuals were part of my interviewee pool. In interviewing these individuals, a combination of semi-structured and unstructured interviews (May, 1997, pp. 112–113; Rothe 2000, pp. 95–96) was conducted with each from the first interview in October 2005 to the

final interview in November 2006.<sup>5</sup> Interview respondents were chosen based one or more of the following two criteria: their roles as drivers of national and/or institutional policies related to internationalisation; and/or their having been referred to me by previous interview respondents. The interviews lasted from 35 to 90 minutes, depending on the time permitted according to the interview participants' schedules. In many instances more time was needed than the interviewees had available and/or additional questions came to mind after the interviews ended. In these instances I was given permission by most interviewees to follow up with additional questions electronically – which I did on numerous occasions. The combination of my face-to-face interviews and the question and answer sessions conducted via email after those interviews, produced a rich collection of stakeholder insights and observations. A list of the interview respondents along with the dates and times of the initial interviews can be found in Appendix 1.

Interview respondents were asked permission to be quoted verbatim and to use their names and professional designations in the study as I was concerned with confidentiality issues. If they agreed to the use of their names they were requested to sign a letter of informed consent, a copy of which is found in Appendix 3. Each interviewee was also given a chance to review the sections of my thesis in which they were quoted and to offer clarifications and/or revisions to their comments.

A sample of my interview questions is found in Appendix 4. This list is not exhaustive given that I was able to add additional questions and take away others depending on the individual interviewee and the varying trajectories that our conversations took. In interviewing individuals, I had differing purposes according to their professional positions and relationships to UP and its internationalisation process, and/or internationalisation and HE in South Africa broadly. The goal was to include a wide spectrum of UP stakeholders and others with potential insights into HE in South Africa, and particularly HE and internationalisation at UP and broadly.

As stated, I used a combination of semi-structured and unstructured interviews. First, to ensure that I was given responses to specific questions that were critical to my study, semi-structured interviews were conducted in which I had a prepared list of questions that I asked the respondents (Rothe, 2000, p. 96). In addition, this use of semi-structured interviews

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<sup>5</sup> Two interviews were conducted in 2005. However, the majority of the interviews were conducted in 2006. See Appendix 1 for a list of interview respondents and dates of interviews.

wherein I asked specified questions to specific individuals, also allowed for contrasting and comparing answers from other interviewees as well as from documents reviewed for my study. In order to allow me to have more freedom to probe between and beyond the answers given by interviewees to my prepared questions and to allow me to enter into more of a dialogue with them (May, 1997, p. 111), ample opportunity and time was given for follow-up questions and for the conversations to veer off in other directions.

As my study sought to proceed further than simply the stated responses to the dual development challenge of HE and to discuss meanings and motivations behind them, on a few occasions the interviews were unstructured. I allowed the interviewee to begin to speak on the general subject of internationalisation and asked questions as they emerged and when they were needed to keep the respondent on track. According to May (1998) this method of unstructured interviews also lends itself to "...flexibility and discovery of meanings, rather than standardisation, or a concern to compare through constraining replies by a set of interview schedules" (p. 113). Also, I followed the argument that as the unstructured interviews would unfold, I would be able to negotiate my way through the interview while developing a picture of the meanings that emerge from the participants, which would reflect their interpretations of the events and/or phenomenon being studied (Rothe, 2000, p. 95). Finally, in using unstructured interviews, the interviewees had more opportunity/freedom to talk about the subject in terms of their own frames of reference. It also assisted me in attaching meanings to their responses, but in the interviewees' own words and understandings of the issues being discussed (May, 1998, p. 113).

Utilising these two types of interviews allowed for a more comprehensive set of data for analysis. The varying answers to the same questions (semi-structured interviews) and the unstructured conversations and dialogue with other respondents produced a wide spectrum of insights, perceptions and opinions that were crucial to my analysis.

In conducting interviews at UP, careful attention was paid to including a wide spectrum of individuals at the university and in the two faculties utilised. As such, the following members of the UP community were interviewed: two members of the university council; four members of the university executive management; the director of the Research Support and Development office (significant for reasons which will be shown in subsequent chapters); two university deans; three members of the international relations staff; and 13 heads of

department (HODs) across two faculties, who also teach and conduct research in their various individual and collective disciplines.

In order to help place my case study HEI within a proper national context – and thus to solicit input from national level HE stakeholders that were particularly relevant to internationalisation of HE – interviews were also conducted with representatives of several national agencies. The agencies represented by these interview respondents are policy-making, statutory and/or research-based agencies influencing HE policy and practice in South Africa. Interviews were specifically conducted with two individuals working in areas of international relations and HE at the South African Department of Education, two individuals at the National Research Foundation (NRF) and one individual at Higher Education South Africa (HESA). There are other national level agencies that may have had an impact on my study; however, in speaking to stakeholders and from my document review and analysis, it was obvious to me that these three national agencies had significant impact on internationalisation of HE in South Africa, and that there was some relationship between their policies and actions and those of UP in terms of internationalisation.

One other national agency which I was unsuccessful in interviewing was the South African Department of Science and Technology (DST). However, the NRF is largely funded through the DST, and its internationally oriented programmes stem from DST guidelines and policies. This allowed me indirectly to note some of the relationships between the DST and the case study university, through the insights and evidence gathered from the NRF. In addition, I reviewed one of the major DST policy documents which, at least from a policy text standpoint, provided some useful insights and data from this department and which assisted me in this study.

### **3.3.3 Participant observation**

Rothe (2000) states that “case studies typically make use of participant observation in one form or another...” (p. 82). The participant observation in my study primarily took place during much of the first two years of my doctoral work as I assisted in UP’s Corporate International Relations (CIR) office. The main purpose of the participant observations were to help me better understand internationalisation “on the ground” at UP and to help support and/or refute information that I read or which was told to me during formal interviews. I was often able to attend meetings as well as to interact with the CIR staff and with members of the university’s executive while they were discussing issues of internationalisation. In these

interactions, I observed conversations and meetings as well as reviewed and even assisted with the development of pertinent documents which provided insight into the university's motivations for making decisions relevant to my research. The information gathered was recorded and noted in my research diary, discussed in section 3.3.4 below.

I recognise and acknowledge that my work in the CIR might have put me in a situation where it was sometimes difficult to separate my practical work from my research. However, by utilising the various research instruments and triangulating the findings from such instruments, the research findings do speak for themselves. As such, my contention is that some of my personal beliefs only contributed to the analysis of the data in terms of my theoretical positioning highlighted in section 3.1. There are also ethical considerations of this type of data collection, which I discuss in section 3.6 below.

### **3.3.4 Research diary**

Throughout the course of this study, I kept a diary to record personal observations, impromptu discussions and notes from other interactions with stakeholders. In this diary I also recorded thoughts that came to me at unconventional times, such as late at night, at the dinner table, in the shower and at other moments when I was not particularly thinking about my research. Many of these moments were captured on the nearest notebook, post-it note or scrap of paper that was lying around. I later recorded these thoughts in my research diary and used them when appropriate in my analysis. In addition, I recorded moments when I had shifts in thinking, made decisions to change or adjust interview questions, made decisions to change parts of my data collection or methodology and other significant moments of change in the research process. Many of these changes and thoughts are mentioned in the next section where I discuss developments in my research that happened along the way.

My diary entries provided important notes and insights as I proceeded through my data collection and analysis, and helped me to recall important details of interviews and other situations that were relevant to my study, which I may have not recalled otherwise. In following Altrichter and Holly's (2005, p. 25) arguments concerning the value of research diaries, my inclusion of these reflections, ideas and raw pieces of data into a research diary enabled me to undertake ongoing analysis and to fill in gaps in crucial areas of my study.

### **3.4 Data organisation and analysis**

One of the most challenging parts of developing this doctoral thesis was deciding how best to organise the data. As outlined in Chapter 2.7, the primary framework which I chose to utilise was the developmental settlement theory. In terms of a systematic approach to analysing my data as I collected it and ultimately when the last piece of data was collected, I followed what May (1997) suggested in terms of the need for the research to “...focus upon the data in order to understand how people go about their daily lives and compare each interview in this way to see if there are similarities” (p. 125). In focusing upon my data, as I described in the previous chapter, I utilised the developmental settlement theory as an expansion on Subotzky’s (1997a and b and 1999a and b) and Smythe’s (1995) notions of a settlement.

The entire approach to my data analysis was done interactively, concurrently and cyclically or, as Hatch (2002) describes, I took an iterative, recursive and interactional approach to my data analysis. By doing so – particularly during the period that encompassed the various stakeholder interviews – specific incidents, thoughts and emerging themes were documented and categorised in an ongoing manner, while compiling data using the various instruments described herein. The following is indicative of the procedures I utilised for analysing the data gathered from the various instruments used in this study.

#### **3.4.1 Organising and analysing documents**

Aside from the background and scholarly literature that I read in preparation for my study, which can be found in Chapters 1 and 2, once my research questions were finalised and my theoretical framework developed, I began to comb through documents relevant to UP and particularly to its internationalisation process. In reviewing these documents I was specifically looking for information on goals of UP’s internationalisation, the role of internationalisation at UP and the expressions of internationalisation at the university that were intended to help it meet its goals. In doing so, I was also looking for such things as the context in which the document was written, as I expected that to play a role in better understanding UP’s internationalisation ambitions and practices. A summary of the questions I used to assist me with the analysis of each of the documents reviewed is included here as Appendix 6. The information gathered from my search and analysis of these documents helped to inform and shape some of my interview questions and prepared me for discussions with UP stakeholders on issues of internationalisation at the university. Additionally, this information was useful in terms of cross-referencing and triangulating data, which I discuss further shortly.

### 3.4.2 Organising and analysing interviews

In terms of organising the information from my stakeholder interviews, the first step was to transcribe the interviews which were recorded during each session. I chose to take up the task of transcribing my own interview tapes as opposed to having a professional transcriber do so. In personally transcribing the interviews, I follow Bong's (2002) argument concerning the benefits of transcribing one's own transcripts as allowing one to become more familiar with the content of each interview (p. 6). It is the resultant familiarisation with the content of the interviews that best allowed me to link the stakeholders' responses to literature and strategic documents and other materials that I reviewed as part of the study. Transcriptions of interviews were done after every five interviews conducted. This allowed me to highlight recurrent themes, similar statements and contradictory statements made in the stakeholders' interviews and to list them according to categories.

Once the final interviews were all transcribed and I had my initial list of recurrent themes from the stakeholder interviews, I read articles and instructions from various sources about the process of coding and utilising complex data analysis software to help organise the information I had placed into the various themes. I considered for a time using such software, but in the end I made the decision that I would become even more intimately familiar with my data and some of the subtleties within the data by continuing to organise it manually and further developing the original categories into sub-categories on my own. I thus engaged in what Bong (2002) terms as the "slicing" (segmenting), "splitting" and "splicing" (categorising and subcategorising) of my data (p. 8). This meant that after identifying initial themes which emerged from my interview transcripts, I listed those themes and then began to develop sub-themes. These sub-themes were tabulated and recorded. For instance, when seeking to understand the factors influencing UP's internationalisation, I developed lists of external and internal factors (which I called PITs or pressures, trends and influences) according to the data I gathered. In developing my lists of PITs as initial themes, I came up with approximately 41 PITs. Afterwards, I broke these down into sub-themes based on the similarities and differences among them. Once this was done, the data was then able to be categorised into smaller and analysable units, ultimately culminating in the data concerning UP's internationalisation, which I have presented in this study. This process of listing and tabulating themes and sub-themes also allowed me to go back through each interview and to break down the resultant themes further, which ultimately facilitated my analysis of the interviews in my mind (and on paper) in a way that lent itself to a more thorough analysis and



understanding of the trends in my data. It also assisted me in the end to be able to present my data in a way that was coherent and readable and which spoke to my theoretical framework.

### **3.4.3 Organising and analysing participant observations and research diary**

Information from the participant observations that were recorded in my research diary was not subject to detailed analysis, nor included as definitive categories in my analysis. This was primarily because much of the information gleaned from these observations was gained during meetings and conversations in which I did not formally request an interview or request that I be able to use individuals' words or actions in my research, as I had done with my formal interviews. Thus, as stated elsewhere in this chapter, the main purpose of the participant observations was to help me to better understand internationalisation "on the ground" at UP and to help to support or refute information that I read or which was told to me during formal interviews, thus triangulating data from the various sources. The information gained from these observations was therefore very useful to me as I analysed my data, since it added richness and depth to the context of internationalisation at UP.

### **3.4.4 Integrating the organisation and analysis of data**

After completing the steps above to organise and analyse the data produced from the various collection instruments, the data was organised according to the prominent themes and sub-themes that emerged. Through intensive and multiple readings of the various data sources and information gathered, I was able to cross-reference emerging themes with one another and was ultimately able to develop the broad themes into a coherent presentation of the case based on the trends that emerged. Once the cross-referencing of the data was completed I placed the broad themes and emergent themes first within the context of existing literature, and second within the chosen theoretical framework (developmental settlement theory). It is this intensive, multi-phase analytical process that allowed for the analysis presented in the final chapter.

## **3.5 Credibility**

In following with the tenants of the interpretive research methodology, I utilised data from a variety of different sources and employed a number of analytical methods (outlined above) in order to strive for credibility. I also solicited data and input from as many of the key stakeholders as possible who were directly relevant to my study, but who represented various departments and responsibilities at the case study university and within South African HE. These additional stakeholders are clearly outlined in the "Research plan of action" section.

The use of varying data collection instruments including the document reviews, interviews, participant observation and research diary also allowed me to better analyse the relationships between actors, documents and situations, and created an opportunity for the triangulation of my data (Barbour and Schostak, 2005, p. 44). This triangulation contributed to the credibility of my study and its findings, as well as to the theoretical understanding of the research topic.

However, since it was not feasible to include *all* stakeholders, some voices that may have impacted on my study were not heard. In addressing this shortcoming, I suggest that the breadth and depth of the interviews and data collected through other means, as well as the resultant triangulation described above, have allowed for the presentation of a deep enough pool of data to validate appropriately the various data streams and allows my study to present a significant, credible and viable case study, which will assist with a better theoretical understanding of the topics of this study. Finally, I followed Patton's (2001) advice that qualitative researchers are obliged to monitor and report on their analytical processes and procedures as truthfully and fully as possible (p. 440). I have attempted to do this throughout the study and argue that this has also contributed to the credibility of my study.

### **3.6 Limitations of the study**

There are many ways that one can approach a study on internationalisation of HE. However, since I have described in this document what my study goals and objectives are and how they differ from existing studies on the topic, it is equally important that I make clear what my study does not seek to do, and thus its limitations (Vithal and Jansen, 2003). Given this, I would like to be clear that my study is *not* intended to:

- provide an in-depth analysis of what globalisation is and how it impacts HE. Globalisation is a complex phenomenon with economic, political, social and cultural implications. As argued elsewhere in this document, globalisation has numerous implications on HE as well. Given this complexity, and that the aims of my study are to discuss the process of internationalisation of HE (which I have conceptualised as a response to globalisation), my study will not focus on globalisation. Instead, globalisation will be referred to only when analysing it in terms of how internationalisation of HE is being utilised as a response to its implications for HE.
- provide recommendations on how internationalisation of HE should occur at an institutional or national level. As I have argued, one of the marked limitations of much of the internationalisation of HE literature is that it focuses too much attention

on the contextualisation, rationalisation and expressions of internationalisation, and not enough empirical evidence is offered on aspects such as its relation to the challenges faced by HEIs in a globalised society.

In addition to the above statements concerning what my study does not aim to do, there are also three major limitations that I would like to highlight concerning my study, namely, development, regional and African development and generalisability.

- *Development:* Although the issue of “development” is often equated with so-called developing countries, it is important to note that development can also have implications for so-called developed countries. For example, challenges like equity between women and men or between people of different races are as much an issue in so-called developed countries such as the US, albeit with varying outcomes, as in South Africa. While my study will focus on South Africa, a mid-developed country, it is important to acknowledge that development is needed in so-called developed countries as well.
- *Regional and African development:* Although my study does discuss and highlight issues around increased regional and continental engagement on the part of my case study of an HEI, the focus of the study is not on this aspect of development. My study, as I have highlighted elsewhere, is concerned with two areas of development, namely the global and the national. I do speak in one section about the regional and continental engagements of my case study institution, as one of its motivations for internationalisation. However, this is the limit of my discussion on regional and continental engagement, and I will leave the further and more in-depth analysis of the increasing regional and continental engagements of the case study institution, and institutions in South Africa and in other parts of Africa, to future researchers. While I acknowledge this limitation of my study, I believe it does not detract from the depth of the analysis that I present concerning global and national development as two sides of the “dual development challenge”.
- *Generalisability:* The issue of generalisability is ever present in social research, especially when one university is chosen in lieu of 23 others, as is the case with my study. Henning (2004) notes that “...readers will be able to extract from a well-written report those elements of the findings that they find to be transferable and that

may be extended to other settings” (p. 4). In other words, although my study sought to be as inclusive as possible when selecting interviewees, reviewing documents and other exercises of analysis, I acknowledge that I am not arguing that my findings are generalisable across all of the HE landscape. Instead, I sought to gather data and insights, and thus analyse, so that I could interpret and report them in a way that the readers of the study will be able to draw conclusions from my analysis and findings and “extend them to other settings”. In addition, my study did bring in voices from outside the case study university through my document analysis of non-UP documents, as well as my interviews with national level stakeholders. As such, while I am not claiming generalisability of my study, I do suggest that the depth of the data gathered and the theoretical analysis of it will provide a broad conceptual framework that will be useful to others in furthering understanding of internationalisation of HE in general, and its interaction with national development and global integration specifically.

### **3.7 Ethical considerations**

Given the nature of this qualitative research study and that I utilised interviews and participant observations that might divulge individuals’ names and organisational affiliations, there were certain ethical issues that I needed to consider carefully. In considering these and other ethical issues of my research inquiry, I attempted to inform interviewees properly of the intended uses of the data captured. I also gained written consent from interviewees and respondents where names and organisational affiliations might have been used to add strength to statements and responses given (Henning, 2004). In addition, I provided interviewees with an opportunity to verify their statements when names and organisational affiliations were used in the study. Although not all interview respondents took this opportunity, my ethical duty as the researcher was fulfilled by making this offer.

However, to ensure further that I did not implicate any one person who may have made what could be considered as “controversial” remarks, and in keeping with the request of some of my interview respondents, there are some instances in my presentation of the responses in this text where I did not use a person’s name. In these instances, I may have simply stated that a member of the university leadership, or a member of the faculty leadership, stated or argued the following, and then I proceeded with inserting that statement. This is not to say that one may not be able to figure out through the context in which an interview response is given, what position or whom a person might be. However, it makes some of the interview

respondents more comfortable if I do not use their name in my text, and I do not believe that this takes away from the depth and credibility of the data presented and analysed herein. Finally, in keeping with these ethical considerations with regard to the interview participants and the use of their names and so forth, I asked each participant to read and sign an informed letter of consent prior to the interviews. A draft of this letter can be found as Appendix 3.

In terms of the ethical considerations concerning my participant observations, I was keenly aware that while observing I might hear and see things that people would expect would remain in confidence. As such, in my study I have refrained from directly quoting people when information was gleaned from my participant observations. The information that stemmed from my participant observation and “corridor speak” was therefore used mainly for background and for assisting me in better understanding aspects of the workings and rationales of UP’s internationalisation process.

### **3.8 Personal observations and developments during my research journey**

As with any study where human respondents are involved, there were many developments that occurred over the course of my data collection and analysis that in some way or another impacted on the direction of my study and/or helped me mature as a researcher, and thus played a role in my ongoing intellectual quest. Many of these developments are methodological and have been well documented, but just as many, particularly when conducting qualitative research, are personal and specific to the researcher and to his or her research. Likewise, my positioning as the researcher in relation to those with whom I interacted in the collection and attempted collection of my data also produced developments that may have impacted on my study and its resultant findings. The fact that these various developments impacted on my study sometimes in ways that are visible and sometimes in ways that influenced how I approached the study, makes it useful for me to reflect on those developments.

The research diary that I used to keep track of such developments as well as to record my participant observations was extremely useful in monitoring any changing developments. I began writing down and tracking my observations and thoughts prior to actually beginning my research field work and before developing and defending my research proposal. As such, many of the thoughts recorded in the diary were useful not only as I collected and analysed my data, but also as I developed my research proposal and even began thinking about what ultimately became my PhD thesis topic. Although I did not keep track of every thought and

observation that I had along the way that related to my thesis, I did record about 20 journal entries. The first observation/journal entry was made on 25 May 2005 and the last was dated 25 November 2006. The following is not an exhaustive list/discussion of my personal observations and/or changes during the course of my research, but they are some of the observations that most impacted on my research process and on me as a researcher as I progressed through the study.

### **3.8.1 My relation as an international student to the respondents**

During the course of my data collection I began to wonder if the fact that I was an international student conducting this research in South Africa was playing a role in the types of answers I was receiving from my mostly South African respondents (a few foreign nationals who are faculty and staff at UP were also part of my interviewees). I often walked into interviews and after hearing my accent the respondent would ask me “are you an American?” I would answer “yes, I am from the United States”. After this, I would wonder how that question was going to impact the rest of the discussion.

As the interviews progressed and there would be “praises” for internationalisation, I would wonder whether they were praising internationalisation and talking mainly about its benefits as opposed to its shortcomings, because I was a product of internationalisation myself. I am still not positive whether or not this question on my part can be answered, but I did decide to deal with it by adjusting some of my interview questions to attempt to solicit some not so positive answers about internationalisation and its role for South African HEIs. For instance, instead of asking respondents simply to talk to me about the positives and negatives of internationalisation, I would separate the question and ask them first about positives and then about negatives. I would also specifically bring up a criticism of internationalisation; for example, when South African researchers go abroad for sabbaticals and/or to spend time at an international university they often do not come back (i.e. brain drain), and would ask them to speak specifically about such issues.

### **3.8.2 Interviewing skills**

Another interesting personal development during the course of my study was my evolution as a more efficient interviewer (e.g. getting to the questions and discussions that I needed to address my researcher questions), and my comfort level with being an interviewer. At the beginning I was often nervous when entering interview sessions. It took me about 15 minutes to warm up to the personality of the interview respondent as well as the varying environments

in which I found myself (such as in an outdoor setting where an interview respondent was chain smoking and there were people constantly walking by). This taught me how to be ready for any physical and/or environmental situation and prepared me for instances when the interview recordings were not always clear or sometimes even completely inaudible.

Also, when I began my interviews I had my set of structured interview questions and I got frustrated once or twice when I was not able to ask all the questions and/or the interviews wandered into topics that seemed unrelated to what I was asking in a specific question. I also often asked what I later thought were leading questions and many more closed ended (yes or no) questions than I wanted to ask. However, as I began to interview more people and to transcribe the interview tapes, I realised many things. For instance, I realised that I was asking leading questions, and corrected this by asking more broad questions. For example, when talking about internationalisation with UP (my case study HEI) stakeholders, I was interested in knowing the role that African international engagements played for the university. Thus, at the beginning, I asked specific questions about the role of African engagements, and how important individuals at UP thought they were. I soon realised that perhaps this was a leading question and if I wanted to know how important African engagements really were, I should let the interviewees bring up the subject themselves. If people actually brought it up, this would give me a sense of how important it really was for them. This would turn out to be a useful approach when I was analysing discussions about African engagements by UP researchers and engagements with researchers and institutions outside of Africa, which I discuss in Chapters 5, 6 and 7.

### **3.8.3 Synthesising personal observations**

Each of the developments and/or observations discussed above played a part in my study; some affected my ability to collect data while others affected by ability to analyse the data and to present it in a coherent and readable manner. These developments affected me personally and strategically along the journey to completing this thesis and to presenting a scholarly work that addressed my intellectual puzzle. These developments have also positively affected my understanding as a researcher. I have come to learn that there are numerous ways that one's perceptions and approaches can, and most often do, change during the course of an intensive research study such as a doctoral thesis. Although I was often frustrated as I thought about some of these developments as they were happening and/or once they had happened, I soon realised that they were just an inevitable part of the research process. In all, the developments discussed in this section helped shape my views as a

researcher, and particularly what I could expect and should not expect from my respondents and even myself as I gathered and analysed my data. I believe that these, and other unmentioned developments, affected me both positively and negatively as I conducted this qualitative research study. Most importantly, I believe that I made steps toward truly understanding that qualitative research is not a linear process and that the process of conducting qualitative research is a continuous learning experience. I also came to understand that no matter how hard we try to remain objective, qualitative research is personal and we as researchers will inevitably have to make decisions based on personal beliefs and perceptions. Finally, I found peace in the realisation that a researcher finds not only answers as he or she conducts research but, probably most importantly, even more questions.



## CHAPTER 4

### UNIVERSITY OF PRETORIA: SOME PERSPECTIVE

*The University of Pretoria has embarked upon a remarkable path of transformation. The journey is by no means complete but continuing and determined progress is being made. The university has transformed itself from a predominantly White Afrikaans university to a truly South African university in the sense that it is accessible to all South Africans, reflects the rich diversity of South African academic talent on its campuses, and supports and promotes national goals and priorities, including those of equity, access, equal opportunities, redress and diversity (UP, 2002b, p. 3).*

#### 4.0 Introduction

In this chapter I provide a historical and contemporary context in which to better understand the case study HEI (namely, UP) as I proceed toward analysing my research puzzle. Here, a presentation of UP in its historical context gives way to an exploration of specific manifestations of the institution's current transformational agenda which stems from that history. This is relevant to my study because, as will be seen, several aspects of UP's transformation agenda are tightly linked with (and even include) the central themes of my study, which is the internationalisation of HE.

#### 4.1 UP past and present

UP is one of South Africa's 23 public universities. Originally part of the Transvaal Technical Institution in 1904, it became the Transvaal University College in 1906. The *Private Act on the University of Pretoria* (Act No. 13 of 1930) officially established UP as an independent university with the official opening date of the university following on 10 October 1930. During these early years, specifically in 1932, it was officially decided that the university should become a predominantly Afrikaans language medium institution, serving the needs of the Afrikaner community.<sup>6</sup> From this point until the early 1990s UP served almost exclusively as a home for educating the Afrikaner community. This translated directly into the demographics of students who were admitted to the university prior to 1990. Table 4, which presents data on the makeup of UP's student body from 1989 to 1993, shows the white population of UP at above 90%. This indicates that the university catered almost exclusively to a white population, and owing to its language policy of being an Afrikaans-medium university during this time, it can also be assumed that the majority of these white students

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<sup>6</sup> Afrikaans is one of the 11 official languages of South Africa. It is a West Germanic language primarily spoken in South Africa and Namibia. The name *Afrikaans* comes from the Dutch word for "African". It was originally used by the Dutch settlers and indentured workers brought to the Cape area in southwestern South Africa by the Dutch East India Company in the 17<sup>th</sup> century. For a more thorough history on Afrikaans and Afrikaners, a useful resource is *The Mind of South Africa*, by Allister Sparks (1990).

were from the Afrikaner community. In keeping with and supporting this notion, one finds in UP's comprehensive history, *Ad Destinatum IV 1993–2000*, that:

*At the beginning of the 1990s the general perception of the university, seen externally, was that it was an extremely conservative, mainly white and Afrikaans-medium institution, largely oriented toward tuition with less emphasis on research, fairly introverted and, in its community service, oriented mainly towards the needs of white and more specifically Afrikaans-speaking people. Seen internally, there was a large measure of self-satisfaction that the university's size in student numbers and sustained growth automatically presupposed a high academic status (Van der Watt, 2002, p. 7).*

As part of its early history, and keeping with its service of a predominantly Afrikaans clientele, UP's medium of instruction was Afrikaans. This policy of Afrikaans as the official language at UP continued until it came under review in 1997 when the university began the process of shifting to a joint medium of language (Afrikaans and English) for conducting business and for in-class instruction. The current language policy was approved by the Council of UP on 7 October 1997 as an interim language policy. It was revisited in February 2001, as a result of which the guideline document entitled *Medium of Instruction: Practical Implementation of Existing UP Language Policy* was approved at the Senate meeting of 17 July 2001. The policy was eventually reaffirmed as part of the *Statutes of the University of Pretoria*, which was published in *Government Gazette* 25852 on 24 December 2003, making it the official language policy of UP. This new language policy sets Afrikaans and English as the official languages of business and instruction at the university.

As Table 4 shows, UP accommodates over 38,000 residential students. In addition it recently had over 13,000 distance education students and over 16,000 participants in its non-subsidised continuing education programmes (UP, 2006c, p. 21). This means that more than 675,000 individuals are being educated and/or trained in some capacity annually by UP. Since its inception it has graduated over 160,000 students at the undergraduate and postgraduate levels (UP, 2002b, pp. 21–22). Given the number of residential students, the number of black students (over 13,700) and the number of students preferring Afrikaans as their medium of instruction (over 50% of its residential student population), UP is the largest residential university in South Africa as well as one of the largest black residential universities, and the largest residential Afrikaans university (with more courses being offered in Afrikaans than at any other university) in South Africa (UP, 2005, p. 19; UP, 2002b, p. 30). In addition to the domestic students, UP also accommodates approximately 2,241 international students as part of its student body (UP, 2006a, p. 5).

**Table 4: Total number of enrolments (contact) by population group from 1989 to 2006**

Year	Whites		Indians		Coloureds		Blacks*		Total students
	Number	% of total	Number	% of total	Number	% of total	Number	% of total	
1989	23 205	98.67	28	0.12	86	0.37	199	0.85	<b>23 518</b>
1990	22 905	98.21	33	0.14	92	0.39	293	1.26	<b>23 323</b>
1991	22 865	97.82	45	0.19	106	0.45	359	1.54	<b>23 375</b>
1992	22 607	96.71	59	0.25	132	0.56	577	2.47	<b>23 375</b>
1993	21 916	94.42	94	0.41	176	0.76	1023	4.41	<b>23 209</b>
1994	21 500	88.94	161	0.67	220	0.91	2293	9.49	<b>24 174</b>
1995	21 119	81.49	321	1.24	236	0.91	4239	16.36	<b>25 915</b>
1996	20 041	77.20	397	1.53	256	0.99	5266	20.29	<b>25 960</b>
1997	19 494	74.97	547	2.10	246	0.95	5717	21.99	<b>26 004</b>
1998	19 370	72.59	684	2.56	274	1.03	6356	23.82	<b>26 684</b>
1999	19 145	71.64	866	3.24	270	1.01	6442	24.11	<b>26 723</b>
2000	20 032	71.31	1031	3.67	325	1.16	6705	23.87	<b>28 093</b>
2001	20 862	68.92	1235	4.08	408	1.35	7767	25.66	<b>30 272</b>
2002	21 848	67.93	1395	4.34	472	1.47	8448	26.27	<b>32 163</b>
2003	22 464	65.69	1625	4.75	502	1.47	9605	28.09	<b>34 196</b>
2004	22 977	58.97	1683	4.32	589	1.51	13 714	35.20	<b>38 963</b>
2005	22 960	59.64	1708	4.44	646	1.68	13 185	34.25	<b>38 499</b>
2006	23 060	60.07	1684	4.39	684	1.78	12 961	33.76	<b>38 389</b>

\* Listed as African in Van der Watt, 2002 and BINEB

Sources: UP, 1994 Annual Report, p. 6 (1989–94 stats); Van der Watt, 2002, p. 356 (1995–96 stats); Office of (BINEB) (1997–2006).

In 2005 UP awarded over 11,000 degrees and diplomas, which included 2,911 undergraduate diplomas, 188 postgraduate diplomas, 5,002 undergraduate degrees and 3,378 postgraduate degrees (UP, 2006a, p. 7). In addition, a total of 12,500 certificates were awarded by UP's Continuing Education department (ibid). Table 6 below shows the number of degrees and diplomas awarded from UP, broken down into its nine faculties.

**Table 5: Number of contact students registered by faculty in 2006**

<b>Faculty</b>	<b>Undergraduate</b>	<b>Postgraduate</b>	<b>Total</b>
Humanities	3591	1264	4855
Natural and Agricultural Sciences	3438	1427	4865
Law	1539	315	1854
Theology	212	505	717
Economics and Management Sciences	6119	2056	8175
Veterinary Science	503	199	702
Education	2340	855	3195
Health Sciences	3296	1093	4389
Engineering, Built Environment and Information Technology	5 57	2443	7800
<b>TOTAL</b>	<b>26 395</b>	<b>10 157</b>	<b>36 355</b>

Source: Adapted from UP, 2006a, p. 5.

**Table 6: Number of degrees and diplomas awarded by each faculty in 2005**

<b>Faculty</b>	<b>Undergraduate</b>	<b>Postgraduate</b>	<b>Total</b>
Humanities	781	416	1197
Natural and Agricultural Sciences	646	416	1062
Law	379	107	486
Theology	33	183	216
Economics and Management Sciences	1456	903	2359
Veterinary Science	126	41	167
Education	3134	627	3761
Health Sciences	551	225	776
Engineering, Built Environment and Information Technology	808	782	1590
<b>TOTAL</b>	<b>7914</b>	<b>3700</b>	<b>11 614</b>

Source: UP, 2006a, p. 5.

With respect to academics and research, UP houses nine faculties and two business schools in which there are approximately 132 departments and 43 centres and institutes. These together offer 371 undergraduate and 1,522 postgraduate study programmes (UP, 2006a, p. 4), which lead to over 1,804 approved academic qualifications (UP, 2005, p. 115). As of 2004 UP employed over 1,250 academic staff and 2,380 support staff (UP, 2002b). In 2005, compared with other South African universities, UP produced 12% of all bachelor's degrees, 13% of all

professional bachelor degrees, 16% of all masters degrees and 18% of all doctoral degrees in the country (UP, 2006a, p. 4). As a major research university, UP has significant research output that contributes to the solving of problems and addressing of social, political and economic issues in South Africa and abroad. As I will demonstrate and discuss shortly, this research output is of major importance to UP's ambitions as a university both domestically and internationally.

In terms of the governance, leadership and management of UP, the university follows the principle that "modern business principles should underpin the management practices of the university. They must be driven by a quest for innovation and a constant drive to be better, cheaper, and faster. There must be a sharp focus on increased efficiency, effectiveness and productivity in academic as well as the business function of the university" (UP, 2002b, p. 6). To this end, UP's governance structure currently includes its council, senate, faculty boards, institutional forum, executive management, senior management, and the Office of the Registrar. The highest in the governance structure is the UP Council, which comprises 30 members, 18 of which are external members (persons not employed by UP) and 12 of which are staff members and students of UP (UP, 2005a, p. 5). The UP Council is responsible for the overall corporate management and guidance of the institution. "This responsibility entails *inter alia* that the university should account for and report on all assets, liabilities, income, expenditure and other financial transactions on an ongoing basis" (UP, 2000, p. 6). The next governance artery is the Senate which is responsible for UP's focus on academic planning and for regulating the core business of teaching, research and community service at UP (UP, 2005a, p. 10). It comprises two categories of members: those who are members by virtue of their position at UP, which mainly include those holding various management positions; and appointed or elected members. Of the latter category, four are appointed by the Student Representative Council, two are employee representatives from the permanent academic staff, two are employee representatives from the permanent non-academic staff or support service staff, and two are representatives of other educational organisations (*ibid*). In addition, with the incorporation of the Vista University campus in Mamelodi, the Senate appointed two Mamelodi academic staff members as full members of the UP Senate in 2004 (*ibid*).

The faculty boards advise the UP Senate on issues of teaching, research and community service relevant to the respective UP faculties. They therefore serve as a place from which UP's basic academic programmes are developed (UP, 2005a, p. 10). The Institutional Forum

is an inclusive and representative structure that provides the UP Council with advice on HE policy and issues pertaining to employment, equity, mediation, procedures for the resolution of disputes and the fostering of a culture of tolerance and respect for basic human rights at UP (UP, 2005a, p. 10).

The senior management at UP comprises the academic deans, heads of departments, and those with similar status. Their responsibilities include the leadership and direction of their respective faculties and departments in accordance with UP's strategic guidelines, mission and vision.

The responsibilities of the Office of the Registrar, the final leg of UP's governance structure, include general institutional supervision with a view to compliance with the provisions of the *Higher Education Act, 101 of 1997*.

The part of UP's governance structure most relevant to, and impacting upon, the central theme of this study, internationalisation, is UP's executive management. The executive management comprises ten individuals including the vice chancellor and principal, the vice principals, the executive directors, the registrar and the advisor to the principal. In the past the executive was made up of only white males, but currently there are two black males and one black female in the ranks of the UP executive management. The executive is charged with oversight, management and carrying out the strategic direction of the university, and in essence the day-to-day functioning and running of UP. As such, it is the governance body that mostly carries out the university's strategic objectives and activities, and the responsibilities of the various members of the executive are thus divided accordingly. In terms of the central theme of this study – internationalisation – the responsibility for the process at an institutional level falls mainly under the executive management, with the overall guidance and monitoring of it coming from one particular member of the executive.

When I began this study the member of the executive management who had been directly charged with overseeing UP's internationalisation process from a management and strategic perspective was an executive director, Prof. Sibusiso Vil-Nkomo. As executive director he was responsible for institutional advancement, which included fundraising, marketing, internationalisation and the NEPAD initiative. However, as alluded to earlier in this chapter, as of 2007, the internationalisation responsibilities shifted from the executive director to the vice principal in charge of overseeing UP's research activities, Prof. Robin Crewe. This move

to Prof. Crewe underscores the emphasis put on research by UP and signals the new emphasis of research on the majority of UP's activities, including its international activities (an issue which I will elaborate on shortly). However, even though Prof. Crewe is now charged with overseeing the internationalisation process, the entire executive shares the responsibility for how the process of internationalisation unfolds at UP, as each member is responsible for varying portfolios representing UP constituencies, which will ultimately impact on the grass roots expression of internationalisation at the university. As such, the role of the executive in driving UP's internationalisation process, as expressed to me by several members, is to set the broad agenda with respect to how the institution should engage with internationalisation via international linkages and international research.

In the governance structure of UP described above, the strategic management of the day-to-day activities of the university is primarily in the hands of the UP executive management, with the other organs playing guiding, oversight, advisory and/or support roles. Additionally, as of April 2007, there was a new head of the International Relations Office at UP, which was a position vacant for more than a year after the previous head's departure. The head is now called the director; however, given that there is a new person in this position as I was writing this dissertation, it is yet to be seen what type of influence, if any, the new director will have in UP's internationalisation efforts and/or if that person will lead the direction of UP's internationalisation or only carry out the mandates from the UP executive management. Thus, in its current state, internationalisation at UP is under the broad and direct authority of the executive, and they exercise tremendous authority with respect to the direction of the institution's overall internationalisation process.

#### **4.2 UP's Faculty of Education**

The Faculty of Education (EDU), one of the two faculties at UP that I engaged with for my study, claims the distinction of being the largest such faculty in South Africa (UP, 2006c and UP, 2005a). This claim is supported by its 13,000 plus registered contact and distance education students in 2005 (UP, 2006c). As Table 7 shows, the EDU faculty accommodated over 3,400 contact students in 2005. In addition, its distance education programmes educate close to 10,000 practicing educators (UP, 2006c, p. 42) from South Africa and other African countries.

The Faculty of EDU is led by a dean, who during most of my study was Prof. Jonathan Jansen.<sup>7</sup> In addition to providing overall leadership and guidance of the faculty, Prof. Jansen also served as a member of the UP Senate's representative on the UP Council and held other UP leadership positions. The faculty itself comprises two schools: the School of Teacher Training and the School of Education Studies (see Table 8). Within these two schools are four and three departments respectively. Each school is overseen by a chair and each department by an HOD. In addition, the faculty houses five research and development centres and/or institutes. A major distinction between the two schools in the faculty is that the School for Teacher Training serves mainly an undergraduate student population, while the School of Education Studies serves mainly the postgraduate student community (although there are undergraduates and postgraduates enrolled in both schools). This difference has a significant impact on the topic of this study (internationalisation) for reason which will be discussed in Chapter 5.

**Table 7: Faculty of Education (contact) enrolments by race (2001–2005)**

YEAR		Black	% of total	Coloured	% of total	Indian	% of total	White	% of total		Total
2005											
	UG	1182	45.9	34	1.32	37	1.4	1320	51.3		2573
	PG	496	54.5	38	4.18	30	3.3	346	38.0		910
	Total	1678	48.2	72	2.07	67	1.9	1666	47.8		3483
2004											
	UG	1376	45.2	33	1.08	35	1.2	1598	52.5		3042
	PG	594	56.8	26	2.49	32	3.1	394	37.7		1046
	Total	1970	48.2	59	1.44	67	1.6	1992	48.7		4088
2003											
	UG	730	32.5	7	0.31	27	1.2	1482	66.0		2246
	PG	596	60.0	19	1.91	32	3.2	347	34.9		994
	Total	1326	40.9	26	0.80	59	1.8	1829	56.5		3240
2002											
	UG	747	34.0	10	0.45	18	0.8	1425	64.8		2200
	PG	553	58.6	15	1.59	32	3.4	344	36.4		944
	Total	1300	41.4	25	0.80	50	1.6	1769	56.3		3144
2001											
	UG	412	24.0	6	0.35	9	0.5	1291	75.2		1718
	PG	451	57.9	12	1.54	18	2.3	298	38.3		779
	Total	863	34.6	18	0.72	27	1.2	1589	63.6		2497

Source: UP, 2006c, p. 43; UP, 2005a, p. 42; UP, 2004a, p. 27

<sup>7</sup> Prof. Jansen resigned his post as dean as of April 2007 and an interim dean was appointed until the university completed its search for a permanent new dean.



<b>Table 8: Faculty of Education’s schools, departments, centres and institutes</b>	
<p><b>SCHOOL OF TEACHER TRAINING</b></p> <p><b>Departments:</b></p> <ul style="list-style-type: none"> <li>• Science, Mathematics and Technology Education</li> <li>• Social Studies Education</li> <li>• Arts, Languages and Human Movement Studies in Education</li> <li>• Early Childhood Education</li> </ul>	<p><b>SCHOOL OF EDUCATION STUDIES</b></p> <p><b>Departments:</b></p> <ul style="list-style-type: none"> <li>• Curriculum Studies</li> <li>• Education Management and Policy Studies</li> <li>• Educational Psychology</li> </ul>
<p><b>FACULTY-WIDE CENTRES, INSTITUTES AND UNITS</b></p> <ul style="list-style-type: none"> <li>• Centre for Evaluation and Assessment (CEA)</li> <li>• Centre for Education Law and Policy (CELP)</li> <li>• Joint Centre for Maths, Science and Technology Education (JCMSTE)</li> <li>• International Institute for Capacity Building in Africa, United Nations Educational, Scientific and Cultural Organisation (UNESCO)</li> <li>• Centre for Augmentative and Alternative Communication (CAAC)</li> <li>• Unit for Distance Education</li> </ul>	

Source: Adapted from UP, 2006c, p. 41

As Table 6 shows (see earlier in this section), the Faculty of EDU also awarded the highest number of degrees (3,761) of any of UP’s faculties in 2005. Part of this distinction of degrees awarded includes the fact that in 2004, it produced 27 doctoral graduates, which was the highest produced by a single faculty at UP in one academic year (UP, 2005a, p. 42). It also has become a significant contributor of research output. According to one UP document “published research outputs in scholarly journals increased yet again by a margin of 25% in one year (49 units) and by 78% (28 units) against the 2001 baseline” (UP, 2006c, p. 44). As such, the Faculty of EDU is one of the leading producers of both educators and education policy contributors in South Africa, as well as one of the major producers of new knowledge via educational research outputs throughout South Africa and beyond. However, as I will show later, the support for its research (and particularly international research activities) is not as strong as it is for the second faculty that my study uses as part of my case study.

### **4.3 UP’s Faculty of Natural and Agricultural Sciences**

The other faculty with which I engaged for this study was the Faculty of Natural and Agricultural Sciences (NAS). This faculty is also managed by a dean (Prof. Anton Ströh at the time of writing). It is managed according to a decentralised system, whereby the faculty is divided into four schools that house various departmental programmes and approximately 24 centres and institutes. Included in these are four inter-faculty centres/institutes (see Table 10)

that work with other faculties and departments at UP on various research and development issues.

In terms of its research, the Faculty of NAS boasts many researchers and scientists that have received high-level research recognition both nationally and internationally. Its significant interaction with research and new knowledge production – which is partially evident by the inclusion of many of the faculty’s research work that is highlighted in UP’s 2005 Research Report – makes it similar to that of the university as a whole as well as to the other faculty (Education) discussed in this chapter. As an example, of the 14 academics who received UP’s Outstanding Academic Achievers Award, as reported in this Research Report, half (seven) were from the Faculty of NAS (UP, 2006b, p. 12).

**Table 9: Faculty of Natural and Agricultural Sciences enrolments by race (2003–2005)\***

YEAR		Black	% of total	Coloured	% of total	Indian	% of total	White	% of total		Total
2005	UG	1328	35.85	34	0.92	151	4.08	2191	59.15		3704
	PG	479	35.25	22	1.62	48	3.53	810	59.60		1359
	Total	1807	35.69	56	1.11	199	3.93	3001	59.27		5063
2004	UG	1343	37.26	28	0.78	134	3.72	2099	58.24		3604
	PG	529	38.70	23	1.68	53	3.88	762	55.74		1367
	Total	1872	37.66	51	1.03	187	3.76	2861	57.55		4971
2003	UG	688	25.80	19	0.71	110	4.12	1850	69.37		2667
	PG	530	39.23	28	2.07	50	3.70	743	55.00		1351
	Total	1218	30.31	47	1.17	160	3.98	2593	64.53		4018

\*It was my intention to include figures for 2002 and 2001 in this table for better comparison with the Faculty of Education figures presented in Table 8, however, the figures from those two years were conflicting in UP annual reviews from which this information was taken.

Source: UP, 2006c, p. 77; UP, 2005a, p. 84

**Table 10: Faculty of Natural and Agricultural Sciences' schools, departments, centres and institutes**

<b>Table 10: Faculty of Natural and Agricultural Sciences' schools, departments, centres and institutes</b>			
<p><b>SCHOOL OF AGRICULTURE AND FOOD SCIENCES</b></p> <p><b>Departments:</b></p> <ul style="list-style-type: none"> <li>• Agricultural Economics, Extension and Rural Development</li> <li>• Animal and Wildlife Science</li> <li>• Consumer Science</li> <li>• Food Science</li> <li>• Plant Production and Soil Science</li> </ul> <p><b>Centres and institutes:</b></p> <ul style="list-style-type: none"> <li>• Postgraduate School of Agricultural and Rural Development</li> <li>• Centre for Wildlife Management</li> <li>• South African Institute of Agricultural Extension</li> <li>• Hatfield Experimental Farm</li> <li>• Centre for Environmental Economics and Policy in Africa</li> <li>• Centre for Nutrition</li> <li>• SADCV Centre for Land Related, Regional and Development Policy</li> </ul>	<p><b>SCHOOL OF BIOLOGICAL SCIENCES</b></p> <p><b>Departments:</b></p> <ul style="list-style-type: none"> <li>• Biochemistry</li> <li>• Botany</li> <li>• Genetics</li> <li>• Microbiology and Plant Pathology</li> <li>• Zoology and Entomology</li> </ul> <p><b>Centres and institutes:</b></p> <ul style="list-style-type: none"> <li>• African Vegetation Plant</li> <li>• Diversity Research Centre</li> <li>• Centre for Environmental Biology and Biological Control</li> <li>• Conservation Ecology Research Unit (CERU)</li> <li>• Forestry and Agricultural Biotechnology Institute (FABI)</li> <li>• Mammal Research Unit</li> <li>• Nitrogen Fixation Unit</li> <li>• Centre for Water Biotechnology</li> <li>• Bioinformatics Unit</li> <li>• African Centre for Gene Technology (ACGT)</li> <li>• Centre for Applied Mycological Studies</li> <li>• Centre for Environmental Studies (CFES)</li> </ul>	<p><b>SCHOOL OF MATHEMATICAL SCIENCES</b></p> <p><b>Departments:</b></p> <ul style="list-style-type: none"> <li>• Insurance and Actuarial Science</li> <li>• Mathematics and Applied Mathematics</li> <li>• Statistics</li> </ul> <p><b>Centres and institutes:</b></p> <ul style="list-style-type: none"> <li>• STATOMET (Bureau of Statistical and Survey Methodology)</li> </ul>	<p><b>SCHOOL OF PHYSICAL SCIENCES</b></p> <p><b>Departments:</b></p> <ul style="list-style-type: none"> <li>• Geology</li> <li>• Chemistry</li> <li>• Physics</li> <li>• Geography, Geoinformatics and Meteorology</li> </ul> <p><b>Centres and institutes:</b></p> <ul style="list-style-type: none"> <li>• Centre for Geoinformation Science</li> <li>• Centre for Research on Magmatic Ore Deposits</li> <li>• Institute for Applied Materials</li> <li>• Laboratory for Microscopy and Micro Analysis</li> <li>• Sci-enza</li> <li>• UP Foundation Year</li> <li>• Joint Centre for Science Mathematics and Technology Education</li> </ul>
<p><b>INTER-FACULTY CENTRES AND INSTITUTES (and faculties involved)*</b></p> <ul style="list-style-type: none"> <li>• Centre for Nutrition (Faculties of Natural and Agricultural Sciences, Health Sciences and Veterinary Sciences)</li> <li>• Centre for Environmental Studies (Faculties of Natural and Agricultural Sciences, Law, Humanities and Education)</li> <li>• Centre for Science, Mathematics and Technology Education (Faculties of Natural and Agricultural Sciences and Education)</li> <li>• Centre for Wildlife Studies (Faculties of Natural and Agricultural Sciences and Veterinary Sciences)</li> </ul> <p>* Some are a repeat of the centres associated with the various schools of this faculty as they are associated with specific schools within the faculty.</p>			

Source: UP, 2006c, p. 75

#### 4.4 UP and the transformation agenda

Since 1994, the buzzword among South African institutions, including its universities, has been transformation. This is also the case for UP, which during the same period began a systematic process of transformation. This transformation is taking place as a result of the transformation which is occurring in the broader South African society, and also because of UP's desire to "address the real needs of the community by means of the graduates which it produces, the research it undertakes and the community service it renders" (UP, 1995, p. 4). According to its 2002–2006 Strategic Plan, UP's transformation is stated as follows:

*The university's vision of becoming the premier national university has...driven it to transform from a historically predominantly white Afrikaans university to a truly South African university – truly South African in the sense that it is accessible to all South Africans, reflects diversity of South African academic talent on its campuses, and actively supports and promotes national goals and priorities, including those of equity, access, equal opportunities, redress, transformation and diversity (UP, 2002b, p. 29).*

As highlighted earlier in the chapter and supported by the above statement, UP's history follows a path of serving the Afrikaans community in South Africa almost exclusively. This catering to the Afrikaans community was reflected in its language policy, discussed earlier, as well as in the racial makeup of its student body, which was predominantly white (see Table 5 above) and Afrikaans speaking. During my field work, one UP executive member stated that:

*...the history of this university [was]...white, male dominated, apartheid, right wing, and the only black people you saw here were the cleaners, and garden boys and messengers and things; the garden people, what we call garden boys. And now suddenly, we are in this era, the post-Mandela era, the post-apartheid era and our people have not forgotten, and neither have I forgotten. We've not forgotten. And, there is a serious wish in the university to address those deficiencies (I: Mogotlane).*

This statement epitomises the historical culture of UP as one that catered to a specific clientele and was directed by a specific group – white males, particularly Afrikaners – to the exclusion of a significant portion of the South African population, which consisted of black South Africans and other non-whites. These feelings are also supported by other members of the UP leadership and its constituents, illustrated by the following:

*Coming back into the university as vice chancellor I was really amazed at how slow it was. Totally left off in a major way from the major realities in South Africa. And not connected with anything international at all. It was created by white Afrikaans-speaking people for themselves and for an apartheid state, cutting off what is happening in the rest of the country and living within themselves, and being the best, but really extremely outrageous (I: Van Zyl).*

Owing to these issues, one obvious and visible manifestation of UP's transformation agenda was the need for changing the demographic of the student body to reflect a "truly South African university". The university thus set about doing just that. For instance, in 1990 the total student population at UP was recorded at 23,323, of which 98.2% (22,904) were white students (Van der Watt, 2002, p. 8). However, these numbers and demographics of students have changed significantly since the early 1990s. During 2005, 38,499 residential students were registered for contact teaching at UP. This number included 28,252 undergraduate and 10,247 postgraduate students. It also included a gender composition comprising 47% male and 53% female students. Sixty per cent were white students and 40% black students. Regarding language preference, 60% of undergraduate and almost 70% of postgraduate students preferred to take their courses in English ([http://www.up.ac.za/up/web/en/up/about/student\\_profile.html](http://www.up.ac.za/up/web/en/up/about/student_profile.html)).

As has already been mentioned in this chapter, in addition to the over 36,000 residential students, UP also boasts an enrolment of over 10,000 distance education students – of whom 95% are black – who are mainly registered in the Faculty of EDU (ibid). In 2005 there were more than 2,200 international students on campus representing 60 countries, up from a reported more than 700 international students, as reported in the 1996 Annual Review (p. 13). More than 1,000 of these international students in 2005 came from SADC countries and approximately 500 were from other African countries ([http://www.up.ac.za/up/web/en/up/about/student\\_profile.html](http://www.up.ac.za/up/web/en/up/about/student_profile.html)). This is a far cry from the demographic of students prior to 1994, as demonstrated earlier (see Table 5 above). This change in the types of students enrolled at UP is a significant manifestation of the university's transformation process.

UP's transformation agenda is also being undertaken by the two faculties of interest to my study – EDU and NAS. In terms of the changing demographic of students as a manifestation of transformation in the two faculties, tables 7 and 9 show that there have been increases in the real numbers as well as percentages of non-white contact students in both faculties at the undergraduate and graduate levels. This is because of the concerted effort on the part of both faculties to increase the diversity of their student population at these levels.

In addition to the manifestation of UP's (and the EDU and NAS faculties') transformation agenda discussed here – namely, the changing student demographics and the changing language policy – the transformation process also manifested itself in several other ways. These include the integration of facilities, staff diversity, development and labour relations,

cultural activities, community involvement, organisational culture and internationalisation (UP, 2002b, pp. 29–31). As the purpose of my study is not transformation itself, I will not discuss each of these varying manifestations of transformation at UP in any further detail, although those that have been highlighted in this chapter do help to provide a better historical picture of UP.<sup>8</sup> It is, however, also important to see the link between internationalisation of HE and HE transformation, given that the former is the central theme of this study. As demonstrated in Chapter 2.3, scholars (Enders, 2004; Johnston and Rowena, 2004) argue that internationalisation is an agent of and for HE transformation. This argument is supported in the case of UP, as internationalisation is a manifestation and method of addressing its transformation agenda.

In keeping with the above argument, three of the manifestations or imperatives of UP's transformation that its leadership and stakeholders seem to believe will transform it into the modern university that it seeks to be, are: its strategic motto of being an “internationally/globally competitive and nationally/locally relevant” institution of HE; its new strategic vision of being an “internationally recognised research university”; and, finally, internationalisation. Each of these strategic drivers has played and will continue to play a part in UP's transformation agenda, as is obvious by their inclusion in the “Strategic Intent and Strategy Drivers” section (1.6) of UP's Strategic Plan (UP, 2002b, p. 27–36), as well as in UP's newest strategic plan (UP, 2007a). These strategic drivers are also tightly linked to one another and play a role in UP's following of a path of transformation that includes the internationalisation of the institution. I discuss the first of these two strategic drivers below and the third (internationalisation at UP specifically) in the chapter to follow.

#### **4.5 Internationally competitive and nationally relevant**

One of the primary areas of UP's transformational agenda that has bearing on this study is the university's strategic motto and vision of being a university that is “internationally/globally competitive and nationally/locally relevant”. This strategic motto underpins UP's desire for international recognition, the achievement of international standards, and ensuring that its institutions and individuals are competitive with, and can integrate into, the rest of the world, while at the same time addressing the national and local community needs of its constituents and the broader South African society. Evidence of the importance of the motto to UP's strategic drive (and to South Africa in general), which also demonstrates its relationship to

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<sup>8</sup> For more discussion on higher education transformation in South Africa refer to such readings at *Towards a New Higher Education Landscape*, a report of the Size and Shape Team, Council in Higher Education, 2000.

the transformation agenda, can be found in an open letter by Prof. Calie Pistorius, vice chancellor and principal of UP at the time of writing this study, who says:

*The effect of the political transformation was not limited to the local level. The changed positioning of South Africa in the international community led to a normalized participation of South African universities in the international academic discourse. It is therefore understandable that the University during this time made concerted efforts to achieve two outcomes in all it endeavoured, namely being internationally competitive and remaining locally relevant (Van der Watt, 2002, p. i).*

Prof. Pistorius also tells us that:

*The University's core business is its academic endeavours – excellent teaching and training of students and relevant research of the highest standards. The pursuit of excellence, quality, international competitiveness and local relevance is the prevailing hallmark of these primary tasks (UP, 2002a, p. 5).*

Further evidence of the importance of this strategic motto to UP's transformation agenda is found in the following statement:

*The University of Pretoria's transformation process is an ongoing one, and spans a wide spectrum of aspects, which includes changing student and staff demographics, a changing organisational culture, the evolution of its language policy, equity and access, governance structures, as well as community engagement. Local relevance and international competitiveness play an important part in this process (UP, 2005a, p. 12).*

Finally, according to an earlier strategic document “the University of Pretoria strives to achieve its vision and mission within the context of international competitiveness and local relevance” (UP 1999, p. 1). On the very next page of the same review, Prof. Johan van Zyl, then serving as vice chancellor and principal, states that “to be internationally competitive and locally relevant will be the crux of the University of Pretoria's strategic focus and direction for the next few years” (ibid, p. 2).

All of these statements speak of the importance of these two strategic thrusts – international/global competitiveness and local/national relevance – to UP and specifically to its transformation agenda. However, what exactly do each of these two sides of UP's strategic vision mean for the university?

#### **4.5.1 International/global competition and UP**

In terms of international/global competitiveness from UP's perspective, its meaning to the university is best summed up in the following statement:

*In order to survive and prosper it is necessary to be competitive, whether at national or institutional level. Many factors contribute towards the nation's competitiveness including the economy, government, infrastructure, the science and technology base and management ability as well as the "people" factor, where health and education are important issues...International competitiveness does not only imply that we must be able to compete with the world's best abroad – that too, of course – but it also implies that the world's best are coming into the country to compete with us right here. If we are to be competitive, we must be able to take on the world's best at any time and anywhere, whether inside South Africa or outside (UP, 2002, p. 32–33).*

UP's need to be internationally/globally competitive cuts across its various disciplines and activities within the university. It is such that the university attempts to ensure that its faculties, staff and students are abreast of international issues and can contribute to the global production of new knowledge, which they seek to do primarily through research (which I discuss further in section 4.6). The need for this type of competitiveness can be seen in a statement made to me by one of UP's executive members:

*...we are branding ourselves as an institution that has to be locally relevant and yet, internationally competitive. And when we say internationally competitive, we are saying that we need to be competitive so that we can be known for what we are doing best, and we need to attract some of the best people and attract some of the international resources because of our competitiveness. Now every university will tell you that that's what they want to do. I mean, that's what globalisation has done, and I think that it varies in the details (I: Vil-Nkomo).*

Regarding its students, international competitiveness can best be summed up with respect to UP's desire to produce "world-class" students. What this means is best captured in the following statement:

*If we talk about being world class, or you say you want to produce world class people, how do you measure that? One way in which we could effectively measure that, is to determine what happens with our alumni in relation their jobs and how many end up working with top people around the globe and are viewed by such people as being world class (I: Ströh).*

International competitiveness from the UP perspective also includes the desire to be considered as one of the top HEIs in the world. This is specifically relevant in terms of the various international ranking systems that exist, such as Shanghai Tao Jiang University's Top 500 World Universities ranking. In terms of this specific ranking system, several members of the executive expressed to me that UP hopes to enter the top 100 universities as well as to move up in the ranking in other systems that rank global universities. For instance:



*Well, one of the desirables of the executive is to be an international player. We had a conference two days ago, where we were fashioning a new management model for the university and one of the designed principles for it is an aim that in another 10 years, this university will be among the top 100 universities, according to the Shanghai report...And we're trying toward that end, we're trying to focus very much and encourage very much and attract funds for research. And we're trying to encourage EVERYBODY here to do research and to be rated in research and to travel. To interact with lots and lots of people on the international stage (I: Mogotlane).*

Owing to this evidence, international competitiveness at UP takes the form of the desire of the university to be seen as one of the top university's in the world, where it will attract the top personnel, researchers and students, and contribute to knowledge production. As an earlier quote states, the desire to be internationally competitive in this nature is not unique to UP, as most universities around the world have similar visions. However, the variation that differentiates UP from other universities is in the details of how it chooses to pursue this international competitiveness. I will discuss my findings concerning this pursuit of international competitiveness (through UP's various international activities and particularly international research activities, as noted in the quote immediately above) in greater detail shortly. For now, I turn to a discussion of the other side of this strategic coin, which is UP's desire to be a nationally/locally relevant university.

#### **4.5.2 National/local relevance and UP**

In conceptualising national/local relevance and national/local needs, my study utilises "national" to refer to both national and local. This is done for two primary reasons. First, due to the use of the theoretical framework outlined in Chapter 3 which will be used to analyse and understand my data, as I have already explained, "local" in terms of how it is used for that framework refers to the case study HEIs, in this case UP. In order to avoid confusion between local utilised in this sense (as an HEI and its functioning parts) and local in terms of its traditionally thought of reference to localities, municipalities, communities, provinces, etc., I place the latter in South Africa within their national context.

Second, in South Africa, given the structure of its government, the national policies and priorities are the guidelines from which all community (i.e. local and provincial) policies flow. This is unlike a country such as the US, where a federalist system is in place. Each of the 50 US states determines its individual policies, and there are 50 state constitutions drawn up by each individual state. In South Africa, provinces and municipalities depend on the national government for much of their policy guidance and direction, and must adhere to those policies of the national government.

Given these two primary reasons with regard to the use of the term “local”, I will utilise the term “national” to signify both national and local when referring to the relevance, transformational and developmental needs and priorities of South Africa. In addition, when quoting documents and individuals that state “local relevance”, “local priorities”, “local needs”, etc., unless that individual or document specifically differentiates national and local, their statements will be understood and utilised by me in this study in the same context as “national relevance”, “national priorities” and “national needs”.

Thus, having established that in this study “national” and “local” needs of South Africa are equated to one another, in terms of what South Africa’s national needs are, and specifically how they are viewed by UP, one finds that:

*Important national issues that need to be addressed include rural and economic development, crime prevention, job creation and urban renewal. The provision of housing, telecommunications and other infrastructure is important, and combating poverty is a high priority. The country faces many challenges with regard to health issues. The HIV/AIDS pandemic is a national crisis in its own right even though there are many other health-related problems that are of equal importance. Social and economic transformation is high on the national agenda, and is manifested in the emphasis of equity, access, redress and diversity. South Africa faces many challenges with regard to its international competitiveness...Still, there can be few national needs with as high a priority as that of education, be it at the primary, secondary or tertiary level (UP, 2002, p. 15).*

The document also explains that UP is nationally relevant through:

*...its contributions to the prosperity, competitiveness and quality of life in South Africa, and its active and constructive involvement in community development and service. The University must necessarily be sensitive to national needs and the societal contexts of the country as well as the demands of the time (ibid, p. 2).*

What these quotes say about UP’s role in national and local developmental issues is quite important. They tell us that even given the previous section’s discussion that UP wants to be globally competitive, its leadership and constituency recognises that there are specific issues of national development that must also be addressed, and that UP has a role to play in addressing them.

However, even given the evidence presented in this section and the previous one (4.5.1) that UP recognises that it must play a role in national development while also having a desire to be globally competitive, the question regarding how these two desires can be balanced (or if they even can be) still remains to be answered. But before exploring that question further I find it useful to link UP’s strategic motto to what I have already described earlier as the “dual

development challenge”. I will take up the question of how these priorities are mediated and with what motivations and meanings in Chapter 8.

#### **4.6 An internationally recognised research university**

The second aspect of UP’s transformation agenda that is especially relevant to my study is its research agenda, which has led to a strong research ethos at the institution and within its functioning parts. As such, the university has made it a priority to become “an internationally recognised research university”:

*...the emphasis is very much on being internationally recognised and particularly in the field of research...The university has come through various phases...previously the university was very much a regional university, serving mainly the Afrikaans-speaking population in this area. And it’s moved over the last couple of years to being a research university in the first place, and obviously serving the community much more broadly than it had done previously. And now the next step is getting international recognition. International recognition in academic spheres comes primarily through research activities and so that’s where the emphasis is going to fall in the next period (I: Melck).*

In “selling” its research capacity, UP boasts that “the number of articles published in 2005 was 1,230. This is the highest output per annum ever recorded by the Department of Education for any university in South Africa” (UP, 2006C, p. 101). Although this is a significant achievement on the part of UP, the institution continues to have even higher research aspirations, which it hopes will lead it to its international recognition goals. These high research aspirations are evident on at least two fronts: first, the role of research in UP’s strategic planning and initiatives; and second the funding put into research activities.

The role of research in UP’s strategic planning as the first piece of evidence demonstrating the strong research ethos at the institution, can be seen in the attention given to it in UP’s strategic planning and initiatives, particularly in its newest strategic plan (UP, 2007a). The plan itself is centred around the ideal that UP will be an “internationally recognised research university” and, as such, it dedicates a considerable amount of time and energy to explaining the rationales behind this dedication to research, which are tightly linked to national development issues. These national development rationales for a research focus are mainly summarised in the belief that new knowledge produced through research and development will lead to innovation and to social and economic development, which is needed for South Africa and within the so-called “developing world”. In fact, UP believes that “the future of any country depends on its willingness to invest in basic scientific research as well as the people who dedicate their lives to the pursuit of knowledge” (UP, 2006b, p. 16).

In addition, UP links its research agenda to its role as a national contributor, and specifically to the new Accelerated Shared Growth Initiative – South Africa, which is an initiative of the South African government to halve poverty and unemployment in the country by the year 2014.<sup>9</sup> UP's new Strategic Plan states that:

*...it is clear not only that the national scarcity of skills must be addressed, but also that the national effort with regard to research and development must be enhanced significantly. The Gross Expenditure on Research and Development (GERD) must be increased in order to enhance the country's competitiveness. As the university in the country with the largest number of research outputs, the University of Pretoria has a major part to play in the national research effort. Within the context of its vision of becoming a world-class, research university, the University of Pretoria will develop and implement its strategic plan in the coming period to support these national imperatives (UP, 2007a, p. 8).*

This statement demonstrates that UP has chosen to focus its attention on research as its contribution to national development, continental development and the “greater good” of the developing world. This commitment to national development via the national imperatives of research and knowledge production are key aspects of UP's research agenda and contribute to its strong research ethos. In the next two chapters, I will offer more concrete examples of UP's research and its contribution to national development as well as its global contributions.

Another significant sign of UP's commitment to becoming a university with a heavy research focus is its financial commitments to research and development. For instance, UP operates with a research budget of about R300 million made available to its staff for research activities, and in 2005 UP spent approximately R18 million on upgrading its equipment and maintenance of its research infrastructure (UP, 2006c, p. 101). According to the same document, UP has “for the past ten years had the highest research output amongst universities in the country as determined by the Department of Education's (DoE) subsidy for research publications” (UP, 2006b, p. 16). In continuing to support this commitment to research and research output, the postdoctoral programmes have received R3.4 million to support the participation of researchers from outside the university (many of whom are international) in research projects at the university (ibid). UP receives approximately R60 million from the South African Department of Education and more than R53 million from the National Research Foundation (ibid), which gets a significant amount of its funding from the South African Department of Science and Technology. These funds are utilised to further the

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<sup>9</sup> More detailed information on this initiative can be found in the *Accelerated and Shared Growth Initiative – South Africa (ASGI-SA), Summary Document*, Government Communications on behalf of The Presidency of the Republic of South Africa, March 2006. Available at: <http://www.info.gov.za/asgisa/asgisa.htm>.

university's research ambitions and to contribute to research projects and the development of individual researchers.

The attention given to research in the strategic planning process of UP, as well as the finances backing up this desire, demonstrate that UP places a high premium on its research production and output. This is because, as alluded to above, UP follows the premise that the future of the country (and even the region and the continent) depends heavily on its investment in basic scientific research, and the people who pursue this and other avenues of knowledge production. How this research orientation of UP relates to a study concerned with the process of internationalisation of HE, will be explored later in this study. What is important to note, though, is that increased emphasis on research has filtered throughout the institution and, as such, drives a significant amount of the university's actions relevant to my study, and serves as a significant portion of the university's financial well-being and stability.

As highlighted earlier in this chapter, UP is composed of nine academic faculties. The two faculties that I have chosen to utilise as part of my case study of the university, for reasons described in Chapter 3, are the Faculty of EDU and the Faculty of NAS. Both of these faculties seem to have bought in to and are contributing to the university's research ethos and thus its output. However, there are some differences between the two faculties in terms of research. These differences are mainly due to the perceptions that science and technology are the keys to national development, and thus government agencies and their subsidiaries are prioritising "hard" sciences. Education, on the other hand, does not receive the same policy attention and financial support as does the areas of science in the natural and agricultural sciences. This is despite the rhetoric surrounding education, which holds that there must be quality education for all citizens to help alleviate poverty, underdevelopment and so forth. Supporting this notion, one of UP's senior managers stated that:

*At the moment, the majority of the attention has gone into the hard sciences as you call them. That also is because of the priorities in the country. So, at the moment, government is prioritising natural sciences and engineering. And that is reflected in the planning [at UP] also, so there is some emphasis given to those. But not exclusively (I: Melck).*

This is even recognised within the social sciences, as this statement by the dean of the Faculty of EDU indicates:

*Yes, because somewhere in the logic of politicians, the discourse of science and technology is associated more strongly with national development and international competitiveness, than*

*the discourse around the social sciences. So, people talk math, they talk science, they talk IT, that stuff, because they believe that their return on investment is much higher than if you talk philosophy, etc. Which, by the way I think is true. But the question is, what type of investments are we talking about? Are we simply talking about hard core economic investments? If so, then that might be true. But investment is a much broader concept and it also involves social development, citizenship, international justice, etc. And I think for that, you can't depend only on one side of the disciplinary spectrum (I: Jansen).*

In terms of specific differences between the two faculties, several examples concerning research were uncovered during the course of my study. One such example can be seen in the awarding of UP's internal awards to researchers.

While both the Faculty of NAS and the Faculty of EDU have received numerous awards and recognition for their research, individuals in the Faculty of NAS seem to have recently collected more such awards. For instance, of the 14 academics who received UP's Outstanding Academic Achievers Award, seven were from the Faculty of NAS while none were from the Faculty of EDU (UP, 2006b, p. 12). Likewise in 2004, of the 13 winners of the same award, five were from the Faculty of NAS and none from the Faculty of EDU (UP, 2005b, p. 8). In terms of the 2005 Established Researchers Award, of the nine Established Researchers, four were from the Faculty of NAS and only one from the Faculty of EDU (UP, 2006b).

Another area where there is an obvious difference between the two faculties in terms of research is in the rating of researchers by the National Research Foundation (NRF). The NRF rates researchers based on a peer review system whereby there are six categories of ratings (A, B, C, P, Y, L), which ratings committees use to assess the person applying for rating among his/her peers. These ratings are used for several things, including funding allocated by the NRF to researchers, promotions and the standing of researchers at their respective institutions and elsewhere. As such, a significant amount of stock is put into highly rated researchers. Many academics and researchers seek to be rated by the NRF and to gradually improve their rating, as it says a great deal about the respect and standing they have within their respective research fields.<sup>10</sup> UP researchers are no different. In 2005, of the 175 UP researchers that were rated by the NRF, 87 were from the Faculty of NAS and five from the Faculty of EDU.

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<sup>10</sup> For more information and a description of the NRF rating system refer to <http://www.nrf.ac.za/evaluation/>.

None of this comparison and contrasting between the two faculties is to suggest that the Faculty of EDU is not involved in research at the same level as the Faculty of NAS. I do agree, however, with the comments above that a premium (whether internally or externally) is placed on research in the natural and hard sciences. As such, the type of research being done in the Faculty of NAS seems to overshadow the social science research being done in the Faculty of EDU. However, even given these stark differences between research indicators at the two faculties, there are common factors between them that relate to research.

Although I quoted quantities of research awards and award winners in the two faculties as being skewed somewhat toward the Faculty of NAS, the Faculty of EDU has also collected its share of international and national awards with regard to research. Several members of both faculties have received prestigious international awards and prizes, such as the BMW Group Award for Intercultural Learning (a member of the Faculty of EDU staff), and the Fulbright New Century Scholarship Programme (another member of the Faculty of EDU staff). The receiving of such prestigious awards, fellowships and scholarships by members of both faculties speaks to their commonality in terms of a drive toward excellence, specifically in research.

Likewise, both faculties are keen on research as a means of contributing to national development in South Africa as well as to the university being an “internationally recognised research university”. Both faculties also have strong leadership with extensive research credentials themselves, as well as with strong international backgrounds and connections that assist their respective faculties’ international profiles and national contributions<sup>11</sup> (evidence of which I will present in subsequent chapters). The importance given to research can also be seen in the fact that of the eight Established Researchers in the 2004 Research Report, three were from the Faculty of NAS and three from the Faculty of EDU (UP, 2005b, p. 5).

Finally, to demonstrate some areas of commonality between the two faculties one can look at the establishment of the Joint Centre for Science, Mathematics and Technology Education, which has been involved in a number of outreach, research and community projects between the Faculty of EDU and the Faculty of NAS. In addition, as I will demonstrate later in this

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<sup>11</sup> A review of the curriculum vitas of both deans (Prof. Ströh and Prof. Jansen) will support the claims that I am making here with regard to their research credentials as well as their international involvements. In addition, in support of my claim here that both faculties are making progress in the areas of global competitiveness and national development (i.e. making a national contribution), evidence is presented in subsequent chapters and particularly in Chapters 5 and 6.

study, both faculties seem to be engaging with international activities for similar reasons (intimately tied to research), which is another area where they have similarities.

In the light of these differences and similarities between the NAS and EDU faculties, the most significant commonality is the importance placed on research by both. Regarding research as a prime motivator and in further demonstrating its importance to the Faculty of NAS, its dean stated that:

*It is very important that partnerships shouldn't just be relationships on paper. It should be a relationship where there are active research activities...and our faculty is known for being very strong in this regard (I: Ströh).*

One of the HODs in the Faculty of NAS seconds this notion of the importance of research. When we discussed the significance of his department's slogan "simply the best", he clearly stated that one of the measurements of successfully being "simply the best" is research productivity:

*... if you are simply the best you must be world class. It's equivalent...what I have done is I have identified the areas of huge potential, and I said, why don't we strive to become simply the best initially in the country and then possibly internationally. Now, how do you measure this? It's very simple, you measure this by your output, not what you put in. And what are the outputs? There are two outputs in principle, significant outputs. There is the published work in the various journals and the graduates. So this is what we try to do. We want to increase our research productivity and increase the number of students and graduates (I: Cukrowski).*

The commitment of the Faculty of EDU to research can be seen in this abstraction from the dean's message in the 2005 Research Report (UP, 2006b):

*In 2005 the Faculty of Education firmly established itself as the leading faculty for educational research and scholarship in South Africa. First, published research outputs in scholarly journals increased yet again by a margin of 25% in one year (49 units) and by 76% (28 units) against the 2001 baseline. Second, a record number of scholarly books appeared, produced by both international and national publishing houses. Third, a record income of external research funding from international sources was secured in partnership with institutions such as Yale University...Fourth, the number of competitive grants won by postgraduate students increased sharply...Fifth, leading academics in the faculty won major research awards...The establishment of such a highly productive research culture was achieved by recruiting some of the most talented young scholars in education from around the world, by investing major funds in the development of new academics, by focusing research support on four high priority areas, and by setting high and uncompromising standards for performance for every scholar in the Faculty of Education (p. 97).*

In further support of the Faculty of EDU's strong stance on research, the faculty's acting dean, during my interview with her, argued that:



*I think by doing essentially what we are supposed to do, which is research. There will always be this symbiosis between research and teaching in universities, but I think our primary function should be on research and knowledge creation... (I: Eloff).*

As can be seen, both faculties clearly possess a desire, in line with the university's broader objectives and desires, to continually increase research capacity and research output. There is a belief that research is the path toward reaching the country's and the university's developmental goals. It is this desire to be an "internationally recognised research university" that drives both the university and its faculties, and leads them to engage in various international activities. These international activities are primarily on an individual agency basis, but also occur institutionally, and take on various expressions ranging from individual researchers travelling abroad to international organisational collaborations. It seems that all of the international activities that are being emphasised at UP are designed to strengthen and further UP's research agenda, and I will speak further on these expressions of UP's internationalisation in the next chapter.

#### **4.7 Synthesis**

What is important to note from this chapter is that UP, and its functional parts such as its faculties, are engaged in an ongoing process of transformation that is also related to transformation in the broader context of the country. This transformation, as has been discussed above, has characteristics unique to South Africa as a result of its recent apartheid past. UP's response to this transformation agenda is to try and create an environment where its researchers, students and the institution itself will become internationally recognised (and thus competitive), while also contributing to continental and national development. The method that UP has chosen to pursue this international recognition and continental and national development is through a focus on research and research output, which would increase its international renown and at the same time address its, and the country's, transformational needs.

Although I have not analysed all of the various manifestations and imperatives of this transformation in South Africa and more specifically at UP, I said at the outset of this chapter that three particular manifestations of its transformation agenda relate directly to the central theme of this study. In this chapter, I have discussed only two of these manifestations of UP's transformation agenda, namely its strategic drive to be "internationally competitive and nationally relevant" and its newest strategic drive to be an "internationally recognised research university".

It is crucial to understand that in pursuing its transformation agenda in terms of the manifestations discussed herein, UP and its researchers are actively engaging in international activities that are designed not only to strengthen the university itself, but also to have global, continental and national impacts via capacity building, training and knowledge production. As the primary motivations behind UP's internationalisation, these ambitions are explored in greater depth in the next two chapters. The chapters expand on the third manifestation of UP's transformational agenda, which is central to my study – namely, internationalisation – through a presentation of my findings on the rationales for UP's internationalisation, followed by data on the expressions of this internationalisation imperative at UP.

## CHAPTER 5

### UP AND THE INTERNATIONALISATION IMPERATIVE

*...the best universities in the world recognise that they don't become good by dwelling simply on their national aspects and people. You just don't become a university of substance...like that. So, it's very very clear to me that unless I draw on the best brains in North America, Western Europe, North Africa, wherever, that I'm dead in the water. It's as simple as that. (I: Jansen).*

#### 5.0 Introduction

The previous chapter discussed two of UP's strategic and transformational imperatives that relate to my study, namely: becoming an internationally competitive and nationally relevant university, as well as an internationally recognised research university. The aim of this chapter, then, is to present data concerning the third transformational imperative at UP that is relative to my study, namely, internationalisation. This chapter therefore presents data that addresses the internationalisation imperative at UP, and specifically such questions as: why is internationalisation a strategic imperative at UP and why is it occurring at the institution? In addressing these questions, the connections between the three transformational imperatives become clearer and provide the next building block toward my analysis of the key research questions. Additionally, through this exploration of UP's internationalisation imperative, and particularly its rationales behind internationalisation, light is shed on the pressures, influences and trends (PITs) that are impacting on UP's decisions with regard to internationalisation. All of this will play a major role in my analysis in the final chapter.

#### 5.1 UP and the imperative of internationalisation

Earlier in this study I analysed arguments concerning the various conceptualisations of internationalisation and, based on the shortcomings in those arguments, presented the following working definition for the purposes of my study: internationalisation, at the institutional level in this case, is the process of more intensively and/or strategically engaging in international activities to prepare individuals and institutions to participate and survive in an increasingly interdependent and interconnected global environment (see Chapter 1). Several questions arise here, including: is internationalisation an imperative of UP (which as I will show, it is); and, how and why is UP more intensively and/or strategically engaging in international activities?

Regarding the first question – is internationalisation an imperative of UP? – it is easy to answer in the affirmative, at least in terms of my reading and analysis of strategic texts and in

the responses given to me by interview respondents. In addition, other non-textual and non-oral signals of the importance of internationalisation for UP include directives from its leadership to engage in specific international activities, and the reorganisation of its organisational structure to handle international activities at the “corporate” and management levels. These all signal that there is at least a serious ambition for internationalisation to play a major role at the university.

The ambitions of internationalisation as an imperative for UP are linked to the scholarly arguments which contend that the process is a method utilised by HEIs to engage with intensifying and changing global pressures and trends. Thus, UP, as I will shortly demonstrate, recognises that this process of internationalisation is an imperative within the global environment and wishes to engage actively with that process. Additionally, internationalisation is a process that UP’s leadership believes will assist with its transformation from the legacy of apartheid, into the modern internationally recognised university that it seeks to be. Even given that the ambitions of internationalisation are an imperative at UP, this does not, however, mean that the practices of the process follow those ambitions completely. As will be shown at several points in this study as I present the evidence of internationalisation at UP, there are several contradictions that characterise internationalisation at the university.

With respect to strategic and policy texts at UP, we can for instance look at its 2002–2006 Strategic Plan, where the institution’s internationalisation is listed as one of six transformations (UP, 2002, pp. 29–31). In addition, proof that internationalisation is to play a role as one of the strategic drivers in UP’s transformational agenda can be found by its inclusion in the “Strategic intent and strategy drivers” section (1.6) of UP’s Strategic Plan (ibid, p. 27–36). In addition, the university’s various faculties and functioning parts stress the importance of internationalisation. For instance, UP’s 2004 annual review features sections dedicated to outlining the nine faculties’ internationalisation activities. These references to internationalisation in UP’s policy text lend validity to the importance of internationalisation (at least in policy terms) as a current strategic focus of both UP as an institution, as well as of its various faculties and departments as part of the overall institution.

It is important to note that UP is not only “preaching” that internationalisation is a strategic objective through the drafting of policy and strategic texts; there is also evidence which demonstrates that the institution is at least attempting to engage in the process. For instance,

there have been several directives from the UP executive to staff of the Department of International Relations, which have included requests for them to perform specific tasks that underscore UP's drive toward internationalisation. These tasks include: the drafting of a written institutional policy on internationalisation; surveying structures of existing international offices both domestically and internationally; the creation of a database to track more efficiently UP's institutional and faculty international agreements; and an ongoing audit of UP's international institutional contracts.<sup>12</sup>

Earlier, in 2003, UP began an attempt to establish an organisational framework to spearhead its internationalisation process. In doing so, it realigned its international affairs office into two new divisions: one to facilitate international student movements and needs; and a second to focus on its strategic process of internationalisation. According to its 2003 annual review the "...new alignment of the University's strategic initiatives on the international affairs front is linked to the University's stated vision of becoming an internationally competitive institution firmly rooted on the African continent" (UP, 2002, p. 105). The strategic texts and management's actions demonstrate some commitment to internationalisation by the UP management. However, one must further question the reasons behind these types of directives and ask why UP feels a need to internationalise, especially within the globalising world discussed earlier.

Statements by a UP council member, who is also its former vice chancellor, and by one of the faculty deans, highlight the imperative of internationalisation at UP:

*...to my mind one of the key cornerstones of what has to be done is the whole issue around internationalisation being part of our wider international framework. Even though we have to address, very much local issues, it has to be within a sort of framework that is acceptable and that is the norm and that is not insular or secluded (I: Van Zyl).*

*...the best universities in the world recognise that they don't become good by dwelling simply on their national aspects and people. You just don't become a university of substance...like that. So, it's very very clear to me that unless I draw on the best brains in North America, Western Europe, North Africa, wherever, that I'm dead in the water. It's as simple as that. (I: Jansen).*

Although there is an ambition for internationalisation as an imperative at UP, as outlined above, it is useful to delve deeper into the rationales for the engagement with the process that are specific to UP, over and above that of addressing globalisation's pressures and trends,

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<sup>12</sup> As a postgraduate student assistant in the Department of International Relations, particularly in 2005, I was involved with much of the research and some of the drafting for many of these documents.

which are given as a broad rationale. This will help to better understand and discuss in later chapters how UP is internationalising to address challenges that it sees as critical to its development and contribution, and will also later point to some of the contradictions that characterise its internationalisation process.

## **5.2 Rationales for internationalisation at UP**

Rationales for internationalisation of HE that have been argued for and expanded upon in existing scholarship were outlined in Chapter 1.6. Broad rationales in terms of HEIs around the world were discussed, as well as some that have been argued for specifically in the case of South African HEIs. Rationales in terms of the latter included: to undo past imbalances and insularity in the system created by years of apartheid and to break from the resultant academic boycotts and isolation; fears that globalisation will by-pass it; the international nature of knowledge; economic and financial realities; the importance placed on enhancing relations with countries of strategic importance; human resources development; quality as measured by international standards; and research and knowledge production (Mavhungu, 2003; Hall, 2004; Rouhani and Kishun, 2004; Welch, et. al, 2004).

Indeed, UP has been engaging with internationalisation for many of these reasons, but some with more intensity and vigour. In addition, the rationales for internationalisation at UP seem to have changed over the past ten years from social-cultural rationales to more political, economic and academic rationales. As such, the social and cultural development rationales for internationalisation do not seem as strong at UP. The term “internationalisation” first began appearing in UP’s strategic and policy documents in the mid 1990s. Its 1995 Annual Review, for example, states that:

*[i]nternationalisation ensures that the universal nature of teaching and training is continuously taken into account. Economic and political integration are increasing worldwide. This requires greater intercultural understanding and knowledge...With South Africa’s return to the international community there is a greater need and more opportunities for international scientific cooperation (UP, 1996, p. 19).*

This statement clearly demonstrates that once the shackles of apartheid were broken, this historically Afrikaans-serving university immediately recognised the importance of engaging with the rest of the world outside of its traditional partners. What I also take from the above statement is that the reasons for UP’s internationalisation in those early days were mainly due to social and cultural development rationales, such as “intercultural understanding and knowledge” and the “universal nature of teaching and training”. While these rationales for

internationalisation are still relevant at UP, they are less important. Even so, I see an acknowledgement of these social and cultural development rationales for internationalisation in some statements made to me by UP stakeholders.

[UP's rationales for internationalisation include]...*to broaden and diversify the sources [of income], create an international profile and reputation, strengthen research and knowledge capacity and production, promote curriculum development and innovation, increase students' international knowledge and intercultural understanding, and contribute to academic quality...*(I: Vil-Nkomo).

*...there is an issue about expanding peoples' views. And having a group of international students actually creates a set of relationships at home. That they understand that there's actually an international dimension* (I: Crewe).

In addition, the Faculty of EDU's dean expressed something that demonstrates awareness that these social and cultural motivations for internationalisation are still important. While we were discussing the potential dangers of not instilling an international mindset into students at both the undergraduate and graduate levels, the dean argued that:

*...it does mean that there will be large numbers of students...who never understand how to think comparatively, how to value people from different cultures, how to think ethically in a global context, how to understand the international basis for social justice, etc. etc. That really worries me* (I: Jansen).

Even given these statements by UP constituents, which demonstrate a recognition of the importance of internationalisation for reasons related to social and cultural development, UP's current rationales for internationalisation have lost their focus on these issues. According to my findings there are three broad and primary motivations for internationalisation at UP, namely:

- global integration
- continental and regional integration and development
- national development

I discuss each in turn below.

### **5.2.1 Global integration as a rationale for internationalisation at UP**

One of the most visible rationales for internationalisation which I found is what I term "global integration". Global integration in this instance as a rationale for internationalisation at UP refers specifically to UP's desire to undo past imbalances and insularity in the system

created by years of apartheid, to break with the resultant historically created incapacities of that system (Mavhungu, 2003; Rouhani and Kishun, 2004), and thus to incorporate itself into the global knowledge economy as “a member of the international community of scholarly institutions” (UP, 2007a, p. 2).<sup>13</sup> As such, UP has found it necessary to reconnect with the global village, and in many instances to connect for the first time with “non-traditional” partners outside of Europe. HEIs in Belgium and The Netherlands, particularly in the latter, often partnered with UP primarily due to language links because of similarities between Afrikaans and Dutch. These partnerships still exist and are being pursued, but added attention is being paid to diversifying away from just these traditional partnerships to connect with the rest of the academic world. This need to reconnect, and in other instances to connect for the first time, with the global village as a rationale for internationalisation at UP was evident to me in many statements, including the following:

*...what underpins all of that [internationalisation] is the opening out of South Africa. Once South Africa moved from being an isolated country, it became very important for our institutions of higher learning to also open up to the rest of the world. And, with globalisation, if we are not part of a global village, you become very marginalised. And it became very obvious that our institutions had to become part of the global wave (I: Vil-Nkomo).*

In terms of the opening up of UP to the rest of the world and moving away from just its traditional partners, there is a pull toward the East (i.e. Asia). UP stakeholders, as the following statements demonstrate, seem to be of the opinion that Asia is an untapped market for them and that there are benefits to the institution creating and growing more partnerships with institutions in those countries.

*Another one, is for people to try and break into Asia. And I think we've been more successful with most others, having a formal relationship with the National Training Centre for Secondary School Principals in Shanghai, working with Hong Kong University, working with the national education institute in Singapore and some other places. So it's part of the global pattern now since China has become an economic giant, everybody wants to play where the giant is (I: Beckmann).*

In addition to countries in the East, there is also recognition and desire to engage with other developing countries because of similar developmental problems and issues faced in those countries:

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<sup>13</sup> Although this desire to be part of the international community was stated in various forms in UP's early post-democracy South Africa strategic documents, it is in its 1998 Annual Review (UP, 1999, p. 1) where it clearly states as part of UP's mission that it is to “be a member of the international scientific community”. In the 1999 Annual Review (UP, 2000, p. 1) and in subsequent reviews and other documents, the “scientific” portion is removed from that mission statement, which gives a sense of UP's desire to be integrated with the rest of the world in broader terms than only science. Its current mission statement thus includes that “[t]he mission of the University of Pretoria is to be an internationally recognised South African teaching and research university and a member of the international community of scholarly institutions...”.



*The university currently would like to focus more on developing research programmes with countries in the East like China and India...Also important is to include various South American countries. Countries that mainly have similar research questions like us, we have to see if we can't assist each other in our findings (I: Ströh).*

As UP seeks to take advantage of the opening up of South Africa to the rest of the world, and thus to integrate with the rest of the world, this has also created opportunities for UP to obtain international funding for its research and other activities, such as international conferences, which did not exist during the apartheid era.

*I think with the changes came...enormous opportunities...in terms of international funding opportunities...with international organisations actually extending arms to South Africa...So, I've seen enormous shifts in opportunities to participate internationally. Our university responded well by, for instance, organising international conferences in South Africa, in which people from all over the globe came to attend and participate. Significant international interactions started to happen after the changes in the country (I: Ströh).*

This is not to say that the opening up of UP (and South Africa in general) and its desire to integrate with the global community did not come without its problems. In fact, many with whom I spoke believed that the many opportunities that became available to UP and its staff, researchers and students were overwhelming. Thus for some time UP seemed to enter into any international agreements and engagements that came its way.

*I would say, we suffered from some kind of syndrome, I don't know how to call it, but maybe its being "overawed" by all the opportunities that opened up. And so we listened to everybody; we received everybody; we tried to keep contact with everybody. And its only recently that we've become a lot smarter in that we are now very careful with our selection of people that we want to coordinate or cooperate with...But initially we were "overawed" by all opportunities, we tried to use all of them, and some of them were quite frankly not good contacts (I: Beckmann).*

*Most of the institutions post-1994 were so excited to come into the international arena, that after years of isolation, just being able to link with their partners and send their academics abroad etc. was wonderful (I: Rajah).*

Even given that there was this period characterised by an "overawed" syndrome in relation to UP and its international engagements, there does seem to be a move, as Prof. Beckmann suggested, toward being more selective with international engagements. This move does not, however, detract from the fact that UP is an institution in transformation which sees it as an imperative to integrate with the rest of the world, and uses internationalisation as a means toward that integration. This resultant global integration rationale for internationalisation at UP, as I use it, is a broad rationale that can be broken down into separate yet interrelated

components, and thus rationales, for internationalisation in the UP case. Thus in essence, UP is using internationalisation to pursue its global integration ambitions through the following interrelated and often overlapping motivations:

- global competitiveness, profile and recognition
- the pursuit and transmission of knowledge

I contend that each of these interrelated rationales for internationalisation as subsets of its global integration ambition drives UP to internationalise in a particular manner and is also reflected in each of the individual faculties and in the minds of UP stakeholders. There seems to be a communal ambition among the UP community to ensure that it (and its functioning parts and individuals) is globally integrated, and this is reflected in these two dimensions.

#### **5.2.1a Global integration through competitiveness, profile and recognition**

UP seems to believe that in order to attain the global competitiveness that it desires, it must have an established international profile and thus be recognised as (and among) one of the top universities in the world. This competitive drive is one of the key forces at the institution which reflects in its internationalisation ambitions and activities. Thus, to be competitive, UP believes it must improve and increase its profile and recognition in the international academic community. Some of the issues with regard to global competitiveness were discussed in Chapter 4 (section 4.5), but the relationship to this issue and internationalisation is what is expanded upon here.

UP is aggressively seeking to increase its profile and reputation among the international HE community and to become what it would consider a global player in that regard. For instance, UP's 2002–2006 Strategic Plan states that “[t]he University of Pretoria has a determined strategy to increase its role as an international player” (UP, 2002, p. 31). It is this communal ambition, and thus belief, that global competitiveness comes through an institution's international profile and reputation, that serves as a primary rationale for its international activities and thus internationalisation at UP.

I was given much insight into the relationship between international competitiveness and international profile and recognition, and discovered that the two are not viewed as necessarily the same from a UP perspective. Prof. Melck indicated to me that they are slightly

different, but linked. As such, I contend that the two are strongly linked and in UP's case are two sides of the same coin, as does Prof. Melck:

*They are strongly linked, but that previous slogan (internationally competitive and locally relevant) didn't refer to the research aspect. So I think the difference lies in the research, the emphasis on research. And like I said in the beginning, the world academic standing, international academic standing, is very much based on research. So that internationally competitive slogan, I think was an intermediate step. It's related, but not exactly the same (I: Melck).*

My take on what this means in the UP case is that UP still has a motivation to be globally competitive, but this motivation is now (and perhaps has always been) mediated with a belief that in order to achieve that competitiveness, UP must increase its profile and its recognition among the top universities in the world. This is seconded and supported by the following:

*Well, one of the desirables of the executive is to be an international player. We had a conference two days ago, where we were fashioning a new management model for the university and one of the design principles for it is an aim that in another 10 years, this university will be among the top 100 universities, according to the Shanghai report (I: Mogotlane).*

Given this desire to be an international player, and thus for international recognition, there is a very strong desire by the UP leadership to ensure that the institution becomes one of the top universities in the country and in the world, and in effect, as I have described elsewhere, to become an "internationally recognised research university". In achieving this competitiveness through its profile and recognition, several elements were raised during my study. Some of these elements at UP included: competition for students; ensuring that students received the type of education that would make them internationally competitive and their qualifications internationally accepted; competing with foreign and/or private providers of HE and with industry for human and non-human resources; and the competitiveness and recognition of individual researchers' outputs via publications.

In terms of students and their relationship to UP's competition, recognition and profile ambitions, the issue relates both to domestic and international students as evidenced by the following:

*Because in essence, in order to be attractive to students and postgraduate students it has to be seen...as a player in the international field of higher education. And I think being a player, it has to ensure that it is attractive to its local student base because that's where it depends for its survival, but at the same time it also has to be attractive to international students as a place where they can come and pursue their studies and develop their careers (I: Crewe).*

*...for research also, it's good to have international students because a lot of students are doing PhDs here and doing their research. And for the reputation of the university it is very important to have international students (I: Mphahlele).*

When I followed up with a question on the latter quote by asking the interviewee if she felt that international students at UP contributed to it being globally competitive or increased the university's international profile, I was told that they do, especially in terms of postgraduates who are doing research for the university. Additionally, linked somewhat to the issue of students was the issue of competing with other providers of HE inside and outside of South Africa, as is evident in the following statement:

*...there has been an entry into the South African market of a number of universities from Australia and a number of universities from other places. And I think if you look at that trend, you see that in essence what has happened is that there is a global market for students to choose from...So, unless you're actually able to maintain your competitiveness in relation to that global group of universities in an international arena, then essentially you're going to be relegated to a secondary position...So, a student who is thinking globally is asking, if I do my graduate training at the University of Pretoria where is that going to position me. So, from that point of view there's a strong need for us to be in a position where a student can say this university is one of the top institutions globally and if I do my work here I'm going to be able to do other things (I: Crewe).*

The pressure of competition is not only felt from other HE providers, but from industry as well:

*And what is also happening in South Africa to a very large extent, is that a number of the South African-based companies are seeing that they need to become global players, otherwise they are going to be gobbled up by some other multinational and disappear. And so they see it as important to have a resource which they can use to assist with their R & D, so that they can remain in a globally competitive position (I: Crewe).*

The students themselves, as well as the university's competition with industry for those same students, is not the only manifestation of this competitive drive at UP. It also relates to ensuring that the faculty and staff are competitive and thus recognised internationally. When discussing some of the motivations for internationalisation at UP, Prof. Mogotlane stated that some of the key elements are:

*Getting our academics to interact internationally and do research collaborations and stuff like that, and join research projects and groups, and raising the profile internationally of UP. That is important (I: Mogotlane).*

Additionally, with regard to individual staff member competitiveness and recognition, two others argued the following:

*The fact that there are staff members in the department that are participating in international conferences, that are asked by international organisations to be on international boards, to be representatives on international organisations and to lead international programmes on behalf of the university, tells me that there is some acknowledgement of our competitiveness and standing (I: Kirsten).*

*Our [research] publications provide evidence that we have very good individual researchers here which are well known in their area of expertise. That's being globally competitive. I don't think there's another way to understand that. There are colleagues who are invited overseas for conferences to be keynote speakers and things like that, and that's clear (I: Lubuma).*

This evidence demonstrates that at the institutional level, there is a strong desire to be competitive globally and that this can be achieved through the establishment and raising of UP's profile and recognition on both an institutional and individual researcher level. However, does this communal ambition also translate at the faculty level? In other words, does the desire for global competitiveness through increasing and establishing an international profile and recognition also serve as a primary rationale for the international activities of the Faculty of EDU and the Faculty of NAS? The short answer is yes, but in slightly different ways. Evidence that the ambition does apply can be summed up in the following statements from the leadership of the two faculties:

*...when you talk about a university, it's do or die on the basis of internationalisation. For example, when you look at the great universities of the world, how much money they bring in. How much you know, simply revenue from international students and activities. South Africa has exactly the same problems. The state subsidies have declined so you have to get the money from elsewhere. So, it's in fact a profoundly national outlook. A national development outlook, to make the international case...If you don't get internationalisation right, you will go nowhere (I: Jansen).*

*You have to live the notion of internationalisation, it is a mindset. And the way in which you do it is to start at the researchers' and people's level...It becomes truly exciting when other researchers start referring to your work in their presentations at conferences and within publications... (I: Ströh).*

In spite of these two statements and the strong competition motivations expressed by UP's leadership at the institutional level, this feeling was less in the Faculty of EDU. For instance, when I asked one centre director in the Faculty of EDU if her centre buys in to the strategic motto of being internationally competitive and nationally relevant, she said:

*Absolutely! I want to be one of the top international centres. But I don't want to be that with the exclusion of being a top centre here... I want the centre to be in a very strong position internationally but not at the cost of the local position (I: Centre director).*

Another person argued that:

*...it [internationalisation] is very much on the front burner, the question of internationalisation because it is something that is very critical, because it is something that gives you a competitive edge, if you're seen to be doing these things (I: Onwu).*

Although it seems that the issue of competition is less a primary motivation in the Faculty of EDU, their comments related to international profile and/or recognition, follow the same line of thinking that emanates from the institutional comments made earlier that profile and recognition are key elements in terms of the faculty's internationalisation. As such, although the perception might be that competition is not a prime driver, I contend that it is; however, it is thought of less in terms of competition in an "us versus them" manner and more on a basis of the "good" work being done by a centre or faculty, being recognised internationally as such.

The issue of competition is alive and well in the Faculty of NAS, and has also taken on a desire to be internationally competitive through international relevance. For instance, when I asked how his department's activities make it globally competitive, one HOD stated that:

*I don't know whether we're globally competitive, but I'd like to think that we're globally relevant, because of the mere fact that we interact with a number of overseas institutions...and the only way that you can actually claim that you can be internationally competitive is by engaging in activities that are also engaged with by overseas institutions (I: Ferguson).*

*For my department it has become more and more crucial to be relevant internationally. It's become all the more crucial to make sure that we see the students obtain degrees that are relevant on an international level. And secondly to see that international links are built into the training that we give the students. Because the playing ground is just so much larger (I: Ferguson).*

This desire for global relevance spoken of here translates into the Faculty of NAS producing students and research that has an international profile and thus is competitive with what is going on internationally. Another way that this is often expressed in the NAS faculty is through the use of the term "word-class", as the following demonstrates:

*...that word world-class, you must understand it in the following way. We do our work as individual researchers. We have a research problem in which we are working and the recognition which we get for that work...that recognition comes through publication. And our publications are in the best journals, so our colleagues who are in developed countries...they publish in the same journals...That is what we say, when we say we are comparable to our colleagues overseas and that we are world-class (I: Lubuma).*

### 5.2.1b Global integration through the pursuit and transmission of knowledge

The second dimension of UP's global integration rationale for its international activities is the pursuit and transmission of knowledge. This ambition manifests itself in a strong desire by UP to contribute to the global pool of new knowledge production. As such, part of the UP mission is to "promote scholarship through the creation, advancement, application, transmission and preservation of knowledge and the stimulation of critical and independent thinking" (UP, 2007a, p. 2). The pursuit and transmission of knowledge from the UP perspective is an imperative because there is a strong belief that a significant part of the university's role is knowledge generation. Furthermore, UP believes that through its contribution to knowledge production it can contribute to addressing pressing national and global concerns such as the provision of quality education, poverty alleviation, hunger and global health issues, such as HIV/AIDS and other infectious diseases. This is evidenced in many of UP's strategic publications, including its 2005 Annual Review where it highlights several of the research projects that address domestic and international issues (UP, 2006C, p. 104–105) some of which I illustrate later in the study.

The need to contribute to the production of knowledge is best encapsulated in UP's drive to innovate. This resulted in its strategic plan for 2002–2006 and the student body of UP both to be dubbed "The Innovation Generation". For UP, the meaning of innovation is: "innovation = new ideas + market acceptance" (UP, 2002b, p. 35). Of particular relevance to my study and to the argument I am making in this section concerning this particular rationale for internationalisation at UP (the creation and production of new knowledge rationale), is what the same document goes on to say:

*Innovation is a creative force by which new concepts are generated and implemented...Innovation is also a multifaceted process. It can be applied to all fields and endeavours, such as organisation, technology, marketing and education, to name but a few relevant examples (ibid).*

Additionally:

*The University of Pretoria is a South African academic institution that has its roots firmly in both the international world and African soil. As such it owes allegiance to South African society as a whole as well as the worldwide community of scholars, those involved internationally in the pursuit and transmission of knowledge...It is our aim to contribute to international scholarship (new knowledge) and to the development of our nation and continent (UP, 2007a, p. 7).*

Further supporting the pursuit of knowledge ambition behind UP's internationalisation – as well as linking it with the issue of global competition through raising its international profile and recognition (spoken of in the previous section) – is the following statement:

*...globally competitive relates to the fact that your research has to be of international standards...globally competitive relates to the fact that we publish in the best journals internationally, have top researchers that are contributing to world knowledge (I: Jeenah).*

These beliefs also stem from the desire to ensure that faculties and students have knowledge and awareness of what is happening in their field on a global scale, as indicated by the comment below:

*...you want to make sure that the kind of education our students are getting is at global level. So that means that your staff must be globally oriented. In other words, what they need to do is maintain a set of international networks which will make them familiar with what is happening in their field, which will allow them to reflect that in what they teach their students (I: Crewe).*

A member of the Faculty of EDU argued that:

*...it is essential for your makeup as an academic to be aware of everything that goes on in the world, and whatever knowledge and skills you pick up will be beneficial to your own country (I: Beckmann).*

Although I did not get many statements from members of the Faculty of NAS directly related to the contribution and production of new knowledge as a rationale for internationalisation, their international activities were discussed in ways that demonstrated that this rationale indeed holds true there. As with the institution as a whole, the constituents of the two faculties (EDU and NAS) also seem to follow the same line of thinking, namely: that contributing to and producing new knowledge comes mainly in the form of research output, which comes in the form of the production of research texts and publications. For instance, while discussing whether or not, and how, a university through its international activities can be both nationally relevant and globally competitive, an HOD argued that:

*I think by doing essentially what we are supposed to do, which is research. There will always be this symbiosis between research and teaching in universities, but I think our primary function should be research and knowledge creation...so that we are the instigators for that [knowledge production] (I: Eloff).*

As demonstrated earlier when quoting the Faculty of EDU's dean's message in UP's 2005 Research Report (UP, 2006b, p. 97), the Faculty of EDU is proud of its increased research



production and output in academic journals. This strongly supports the contention that research output through publications is a prime motivator of the faculty; and as the statement above demonstrates, also relates directly to its motivations for international engagements:

*I think we were virtually unknown outside of Europe in 1990 or 1991, but now we have a strong presence internationally I guess, in areas like policy studies, education law, education finance and those areas of this department. People really get genuine invitations to come and speak, to contribute papers, people have co-edited international journals, people have been invited to be guest lecturers, we've had many people work here on foreign research fellowships, scholarships, etc...So I think we are better known now (I: Beckmann).*

In terms of the Faculty of NAS, when I asked the interviewee how his department's international activities made it globally competitive, I was given an answer which indicates the knowledge pursuit and transmission rationale behind international engagements:

*That [international] exposure brings the latest and the best techniques that are available internationally...And that is basically the biggest sort of advantage in terms of being internationally competitive...So, I think that makes us globally competitive. And the things that we publish; publications become a yard stick, your quality assurance parameter. And we publish very often with our international partners (I: Cloete).*

Additionally:

*...we have a research problem in which we are working and the recognition...comes through publications. And our publications are in the best journals, so our colleagues who are in developed countries...they publish in the same journals. So we publish in the same places as them. That is what we mean when we say we are comparable to our colleagues overseas (I: Lubuma).*

As can be seen in many of these statements, this issue of producing new knowledge through research output (i.e. journal publications) is tightly linked with the previous aspect of global integration that I discussed – global competition through international profile and recognition. Thus, it is clear that the desire to be integrated with the rest of the world (i.e. global integration) is a prime motivator for UP's internationalisation ambitions, and ultimately its internationalisation process. This global integration motive, as I have shown here, manifests itself through a desire to be globally competitive, internationally recognised and have a more established international profile, as well as through a desire to contribute to, and be a part of, the global production of knowledge. Given these clarities with regard to UP's motivations for internationalisation, I surmise that these issues – global competitiveness via profile and recognition, and contribution to global knowledge production – all support the fact that UP wishes to be integrated with the rest of the world, and are thus dimensions of that desire for

global integration. This global integration is the first of the two key broad motivations for internationalisation at UP as I found in my investigation.

### **5.2.2 Continental/regional development as a rationale for internationalisation at UP**

The second major rationale behind UP's internationalisation is its desire to contribute to the development of the African continent, and particularly the Southern African region. Although I could discuss continental and regional developmental issues separately, as this is not the central focus of my study (it could be another PhD study all on its own), I choose to discuss the two together. As such for the remainder of this study, continental and regional developments as they relate to UP's internationalisation will often be discussed together as the African or continental development rationale for internationalisation. However, when I am speaking specifically of protocols, policies or actions intended for the Southern African region (where South Africa is located) I will indicate such.

UP's African development ambitions are underscored by its understanding of its positioning on the African continent and specifically its potential to undertake a leadership role in that regard, as the following indicates:

*Situated in the diplomatic capital of Southern Africa, the University of Pretoria is ideally placed to forge links between Africa and the other continents, to be the interface between excellence in Africa and excellence elsewhere, and to be the cutting edge in research between excellence, relevance, and impact (UP, 2007a, p. 21).*

African development is also premised on the notion of location (that South Africa is on the African continent) and position within the developing world. Thus, there is a responsibility for UP to contribute to the development of the continent and the region.

*...we are a South African University in Africa. This university has never traditionally been seen that way...as a South African university, yes, but not of Africa; a South African university of Europe. But that is absolute nonsense, of course, and therefore, being part of a South African university in Africa, we're part of the developing world. And if this university and others of its ilk do not do something about development and catching up and participating on a global stage, we will remain a developing country [author's emphasis], instead of a developed country. The responsibility of this university is to make an imprint on the local society here, and in terms of agitating for development and showing the way and good practice and so forth, and not only local, but even out there to the rest of the society in South Africa and to the rest of the society in Africa (I: Mogotlane).*

UP's desire (and responsibility) to contribute to African development and thus to play the leadership role in "forging links between Africa and other continents", is pursued through at least four major channels, namely:

- African empowerment
- capacity building and training
- addressing of development issues relevant to Africa
- "getting to know" Africa and Africans

Each of these four motivations and thus UP goals plays a major part in UP's rationales for engaging with African institutions. As such, I present evidence to this effect below.

### **5.2.2a Continental/regional development through African empowerment**

In keeping in line with NEPAD and SADC policies and protocols, UP has accepted the call to contribute to a "do it yourself" mentality for Africa. What this means is that UP, in line with these agreements, has adopted the stance that Africans must take Africa's destiny in its own hands and ensure that the countries of the continent address the major African challenges such as poverty, hunger, disease and economic development through partnerships and interactions with one another. This is supported by the following:

*...I have always insisted that [many of Africa's] problems are NOT the problem of the West. They are the problem of Africans. And unless WE initiate projects; put thick proposals on the table; insist on not being junior partners in negotiations, etc., etc...Unless WE get our act together, of course, you're putting yourself in [a vulnerable] position (I: Jansen).*

This comment underscores that UP (and South African and other African institutions in general) must understand that they should take ownership of problems in Africa, and thus there must be African leadership and involvement in the solutions to those problems. It also demonstrates a desire for less dependence on the West/North, and more on UP and other African institutions to take the lead in solving problems facing the continent. This is seconded by others at UP, as the following shows:

*And what is happening in Africa is that the development agenda is not being led by Africans, but it's being led by the developed nations...what is happening at the moment...is that...entities in the Western world will come into Africa and will identify a problem, that THEY believe is a problem in Africa. They'll get Africans together, put in a proposal for money, and then involve Africans in the development of that agenda. Okay, and billions of dollars have been wasted in Africa because those initiatives are usually not sustainable, there's not truly an African ownership of that, and because the purse is still in the hands of*

*the so-called masters. What we need to do in Africa...is to get Africans to talk to one another, so that WE sit down and say hey listen, what do WE want to do, what do WE want to take ownership for, and THEN, WE identify partners out there in the Western world, and WE approach funding institutions in the world to fund OUR initiatives (I: Hendrikz).*

Linked to the issue of African empowerment and self-reliance, which also relates to the dependency on the West/North, is the notion that there are good things that come out of Africa which can and should be engaged with to address its issues, as the following two comments show:

*... we need to have an African focus that is world class. And this is my problem, that conceptually we sit with a problem that we think that world-class is only American or European. There are many things that we do in Africa that are world-class and that is what we need to sharpen and focus on and get great people together in Africa to sort of develop those world class African programmes and so on (I: Hendrikz).*

*It's not so much that we say that UP is fantastic and that we're going to help those other universities [across Africa], because there is lots of learning that we can glean from the regional universities for example (I: Mogotlane).*

Both comments support the notion that UP values the expertise on the African continent and that utilising and engaging with that African knowledge, according to UP, is a key motivator and contributor to the empowerment of the African continent, and thus a prime component of its continental/regional development rationale for internationalisation.

### **5.2.2b Continental/regional development through capacity building and training**

In order to reach its goals of promoting and encouraging the empowerment of the African continent, UP believes there is a need to build human and institutional capacities and to train individuals on the continent. The university is contributing to this through various types of activities, which I will highlight further in the next chapter. What is important to note here is that capacity building and training of Africans and African institutions is a major driver behind UP's engagements with the rest of the continent. Underscoring this desire to build capacity and train is that UP (and South Africa) is located on the African continent and thus has responsibilities to contribute to the capacity building of its neighbours, especially those that lack strong universities and other institutions which can develop capacity and train their own people.

*For example, if one has to look at an Africa strategy, one has to look at the fact that we are a university based on the continent, and what are we doing to enhance the capacity building within this continent, and how are we aiding in terms of offering of educational programmes where they don't exist for our immediate partners around, let's say the SADC. Some don't*

*even have a national university of repute, so how are we then aiding our partners just next to us...to build that gap within their own countries (I: Rajah).*

UP's contribution to building capacity on the African continent is largely in the form of training activities. In other words, UP is involved in numerous training activities on its campuses and elsewhere, where it believes it is contributing to the building of capacity on the continent. Although I will discuss specific activities in the next chapter, a practical example will help to illustrate and support this point. For instance, in areas around agriculture, which is a dominant industry and source of livelihood in Africa, UP is heavily involved in research and in the training of individuals and institutions from across the continent.

*...I would say that if you think of international engagement in the region and in the continent, it's perhaps more on the training of people in Zimbabwe, Zambia, Malawi and their universities as well as people doing their masters or PhDs here. I think our PhD group is about 30 and of that 30, 20 of those are from countries in Africa. So, that illustrates to you the engagement with the continent, which I feel is a very important contribution that we make (I: Kirsten).*

This training of Africans to build capacity also contributes to African empowerment, as discussed in the previous section. UP has a strong interest in continually building African capacity, and the primary method seems to be now, and in the future, training Africans in some form or another. As the above comment suggests, the training of research students (masters and PhD) is one form of capacity building, but as the comment below demonstrates, there are other methods tied to this rationale.

*There is a strong capacity building component in our postgraduate programme. Many of our masters and doctoral students are from other African universities/research institutions. We see our role in this regard as very important. We are indeed the trainers of the trainees! In addition, we also expose our postgraduate students to internationally renowned scientists from overseas by having them attend workshops and conferences (I: Minnaar).*

As can be seen in many of the comments already discussed in this section on African development, UP believes that its contributions through empowering Africa and building its capacity are going to assist the continent with addressing its own developmental issues and problems. Further supporting this notion, the Faculty of EDU houses the United Nations Educational, Scientific and Cultural Organisation (UNESCO) Centre for Africa-wide Capacity Building, which, as the name suggests attempts to assist Africans and African institutions to develop the necessary capacity to lead and address African and global development challenges.

### 5.2.2c Continental/regional development through addressing development issues

The desire to contribute to addressing the many development issues on the continent is yet another aspect of UP's continental development rationale for its internationalisation. The issues of concern include such problems as HIV/AIDS, tuberculosis, malaria and other diseases plaguing Africa. Other issues include underdeveloped educational systems, literacy, water resource management, food science and additional areas where UP has the human resources and expertise to research and address such challenges. UP believes that the majority of these developmental problems can only be addressed appropriately through interactions among African countries, as the following demonstrates:

*A lot of the diseases and things that we see in Africa, can only be addressed this way. So there is a big role. If you think about agriculture, specific issues like vet science, health, they have a very big role to play in the broader regional context and they can never be known to only be a national or even local institution. Education and commerce are other areas (I: Van Zyl).*

Additionally:

*...we talk about internationalisation being a fantastic thing and globalisation and things like that, but if you can't feed your people, there's no way you're going to participate in things like that. So, the [African] universities decided to meet in Maputo and decided that we need to be in a position as universities in the region to help put adequate protein, clean protein, safe protein, sustainable protein in the households in our region...So, that becomes important in feeding, and in getting our kids reasonably fit... They [other African universities] work with us in to-ing and fro-ing. This is the way I think the University of Pretoria and the regional universities...can act to try and make a difference in the region (I: Mogotlane).*

In terms of this to-ing and fro-ing, and involvement in research and training across the African continent, there are specific types of developmental issues which the EDU and NAS faculties seek to address and contribute to through their research and training activities. In the Faculty of EDU, for instance, issues such as large and under-resourced classrooms and under-prepared teachers are prevalent throughout the African continent, and the faculty sees a need to contribute to addressing this. In this regard, the Faculty of EDU is engaging in research projects and training programmes to prepare African educators to deal better with these problems.

*...we've tried to maintain these links in terms of trying to access grants around a large classes project, an initiative being supported by the African Forum for Children's Literacy in Science and Technology (AFCLIST), of which I am the director of the Large Classes Node, which is looking at teaching and building capacity of researchers and practitioners in the area of teacher development and change in the context of teaching large under-resourced classes (I: Onwu).*

Likewise, the Faculty of NAS understands that it is in a position to contribute toward addressing developmental issues on the African continent. Some of the areas it is involved in are issues around water resource management, HIV/AIDS, tuberculosis and other diseases that are prevalent on the continent, and food science, including food security. The following illustrates such activities:

*With SADC countries actually we do food security. Particularly on a regional level that influences trade, exports and regional diseases. We have some tropical and subtropical diseases here, not only in our plants but in our animals and so on. So it's high on our agenda to actually do research on this. And it's locally relevant but also internationally relevant. Let's take rabies for instance. The CDC [Centres for Disease Control] is very interested in our research there and so are we. And malaria is another one, which is really an African problem... Tuberculosis and HIV/AIDS are other ones, which are big problems regionally, but also internationally (I: Cloete).*

*Food Science academics are involved in many international projects...An international project that I've been involved with since 1991, is the Research Coordinated Programme of the FAO/International Atomic Energy Agency...what happens in this programme is that the agency identifies an area in food irradiation that they believe needs to be explored and researched. As an individual from a particular country one can then submit a project proposal and collaborate with other scientists over a period of five years and work on respective projects. On three occasions the secretariat organises coordinated meetings where research findings are reported and discussed. The most recent one which I've attended dealt with scientists in developing countries, including China. So, in this particular instance we were looking at how we could improve the safety and sensory quality of prepared meals through the use of food irradiation where we worked on ethnic meals. Scientists from various parts of the world, including Africa and South America, identified local prepared meals to work on (I: Minnaar).*

This evidence demonstrates that while these problems are not unique to Africa, UP believes that it can and must engage with its African counterparts to try and develop the knowledge and skills to address the continent's developmental issues. The need to address continental problems is thus another aspect of the continental development rationale for UP's engagement with internationalisation. However, in order to engage fully with its African counterparts, there must be some knowledge of what other African countries and HEIs are doing concerning these and other developmental issues.

#### **5.2.2d Continental/regional development through getting to know your neighbours**

While trying to address the continental development problems spoken of above, one of the interesting hurdles to such interaction was that South African academics (and thus institutions) are not familiar with their African counterparts. In other words, I learned that South African academics and researchers often turn to their counterparts from the North and the West to engage in international research activities and exchanges, largely because they

simply do not know their African counterparts or the type of research and research capacity that their counterparts engage in and/or possess. There is also a sense, as I began to discuss under the “African empowerment” section above, that as Africans are doing it for themselves there is often still a Western influence, that the West is even driving Africa to work together, and that African partnerships are sometimes not even driven by Africans. Part of the reason for this, as the comment below demonstrates, is the lack of knowledge of Africa and the African researchers and of what they are doing in terms of research and development.

*You know, one of the biggest problems in Africa is, and it is actually so sad that us in Africa don't know one another; don't share with one another; don't aggressively network with one another. So, what is happening is a fundamental problem, and that is the Western world, the developed world, coming to Africa very aggressively with, in most cases very good intentions, and try to bring Africans together. So it's actually a third party, because they've got the money and they've got the resources and they've got the expertise, but it's not supposed to work like that (I: Hendrikz).*

Similarly, another HOD stated that:

*And I must say, one of the problems was getting into the rest of Africa. Because I think there's still this strange perception that South Africa is not part of Africa, it's a part of Europe in Africa. But we are now also making breakthroughs in that regard. Working with people in Ghana, Tanzania, Zanzibar, Botswana, Namibia and Uganda. But I think we haven't focused enough on engaging with Africa. Funnily enough, it's our international engagements that have said to us that we need to bring more of our African colleagues on board (I: Beckmann).*

What this evidence underscores is that UP researchers do not know enough about their African counterparts or their research. Engaging more with them (via internationalisation) is thus one primary way to learn more about what others are doing in terms of research that can contribute to continental development. It also shows that there is still a belief among South African researchers (including those at UP) that the knowledge gleaned from the West is more valuable than the knowledge gleaned from Africa. Underscoring this belief is the notion that South African researchers (including those at UP) do not know enough about what their African counterparts are doing, and thus do not engage with them and break away from the perception that the knowledge from the West is best. This evidence demonstrates that the need to get to know its African counterparts is yet another aspect of UP's continental development rationale for internationalisation. This need supports the previous aspects of the continental development rationale, including African empowerment, continental capacity building and training, and the desire to contribute to addressing African developmental issues and problems. It also relates and speaks to a desire to follow governmental and continental



policies and protocols, which supports the notion of African development in the manners spoken of herein.

As the evidence in this entire section shows, the continental development rationale for UP's internationalisation is clearly one whereby UP has both an ambition and a feeling of responsibility that it must contribute to the development and thus greater good of the African continent. However, as we shall now see, this continental development does not negate the desire or need for UP to contribute also to the development of South Africa.

### **5.2.3 National development as a rationale for internationalisation at UP**

In addition to its global integration and continental development rationales for internationalisation, there is a third and final broad and key rationale for internationalisation at UP – national development. In speaking of this national development rationale for internationalisation, my contention is that it is closely linked with what Knight (2006) calls the “nation building rationale” for internationalisation. As I described earlier in this study, Knight (ibid) argues that “an educated, trained and knowledgeable citizenry and a workforce able to do research and generate new knowledge are key components of a country's national building agenda” (p. 50). This key component of nation building is particularly relevant in terms of UP's desire to make a contribution to South Africa's development.

As already discussed (in the global integration rationale for internationalisation section), UP possesses a strong desire for generating and contributing to the transmission and production of knowledge, and it is keen on accomplishing this through research and research output. Thus, like the global integration and continental development rationales for its international activities, UP's national development rationales for internationalisation are also linked tightly with its research ambitions. Individuals at UP therefore agree that its international activities and engagements can be used to assist the country with its national developmental needs, as is evidenced by the following statement:

*...that [internationalisation] it is essential for your makeup as an academic to be aware of everything that goes on in the world, and whatever knowledge and skills you pick up will be beneficial to your own country (I: Beckmann).*

In seeking to address national needs through its internationalisation – and particularly the pursuit of knowledge garnered through international engagements – UP's primary vehicle is its individual and collective human resources. As such, and in keeping with Knight's (2006)

stance on these as primary dimensions of nation building, UP is utilising its international engagements to build human resources and capacity to address the imperatives on the national agenda (which I will elaborate on shortly). In this regard, UP is focusing on several areas.

First, an important element for UP in developing this human resource capacity is “importing” expertise that is not currently available in South Africa, and thus imparting that expertise on South Africans.

*The advantage that we feel in bringing postdocs on is that it often brings with them, a set of expertise and a mindset which is different from the one that prevails in a department. And that kind of interaction is actually critical for the university. The research activities, it has a spin-off of course, and that is that it's creating a set of networks which exist long beyond this particular postdoc. So, we're establishing long-term networks (I: Crewe).*

However, while discussing national level obstacles to internationalisation at UP, an interviewee mentioned that a major issue is the obstacles placed by the government in getting researchers into the country (something I will discuss more later):

*If South Africa wants to become an international player, we have to ensure that our policies and processes to bring researchers into the country are much more streamlined. This will ensure people coming in to participate and actually building our knowledge framework and for our young staff to meet the standards that we want them to meet. So I think we have obstacles there (I: Ströh).*

Although this expertise and knowledge might not exist in South Africa and one of the desires to internationalise comes from the need to “import” some of this expertise, there is recognition concerning the potential downside of this, which would be the danger of imported expertise and knowledge and adopting it uncritically.

*And my strong feeling is that as long as that's dominant in the mind of the researchers working with the instruments; as long as every attempt is made to validate the findings within the South African context, then personally, I don't have a problem in taking instruments that are in a sense measuring the same as they would be measuring elsewhere. The point is, to be rigorous about the process of validation and of contextualisation (I: Howie).*

In addition, sending South African researchers abroad is being done to allow them to gather expertise and knowledge that can be put to use back in South Africa, which is also a form of “importing” knowledge. The importing of knowledge, skills and expertise also relates to UP's desire to ensure that its researchers are able to attain new information, ideas and methodologies that can be utilised in the country. However, it is not simply about bringing in

new ideas, but also to allow South African (UP) researchers to share their expertise and methodologies with the rest of the world, which can (and more than likely does) contribute to the national profile of the institution and the country.

As stated earlier, this building of individual and collective human capacity and the “importing” of knowledge that UP is engaging with internationalisation to achieve, is being done to address South Africa’s national imperatives. Two of those imperatives are particularly relevant to what UP is trying to contribute to and both relate to the development of human resources and capacity building. These are:

- addressing South Africa’s developmental issues/problems
- building a national system of innovation (NSI)

While these two points are intimately linked, the developmental issues/problems are more broadly related to issues such as poverty, education, HIV/AIDS and other diseases, as well as other social problems that exist in the country, and the NSI seems to relate more to science and technology. Even so, in developing South African human resources and building both individual and collective capacity in this regard, as I have shown above, UP has many motivations for its international activities. These activities include: the importing of knowledge and expertise; attaining and sharing new knowledge and methodologies in specific areas of expertise; and ultimately being able to utilise this expertise and knowledge to address critical national issues such as HIV/AIDS, education and other needs. UP expects that all this will make it a contributor to building human resource and capacity, which will allow it to help South Africa address national developmental issues/problems and at the same time contribute to the NSI through the collection and transmission of knowledge.

### **5.2.3a National development through human resources and capacity building to address South Africa’s developmental needs**

In South Africa, as is the case in developing countries the world over, there are many concerns about such issues as education, widespread poverty, HIV/AIDS and other diseases, managing scarce water resources, and so forth. UP sees the national developmental imperatives as:

*...rural and economic development, crime prevention, job creation, and urban renewal. The provision of housing, telecommunications and other infrastructure...and combating*

*poverty...health issues...The HIV/AIDS pandemic is a national crisis in its own right even though there are many other health-related problems that are of equal importance. Social and economic transformation is high on the national agenda, and is manifested in the emphasis on equity, access, redress, and diversity...there can be few national needs with as high a priority as that of education...UP, 2002b, p. 14).*

I have already discussed many of these developmental issues in terms of the African continent but as the comment below indicates, these are problems facing developing countries generally, including South Africa. UP thus believes it must build the capacity of its own, to address the issues in its own backyard as well as outside of it.

*Research into malaria is not just South African, but South America, India, Asia; those are all areas that are intensely interested in malaria. So, it is a topic which is very important for us, but it's not parochial. It's of general interest to developing countries. AIDS, use of water, energy efficiency, all of these things are extremely important. Like water, in a country like this it has huge ramifications...So, we try to move into those sorts of areas, which is international, but of importance to countries like ours (I: Melck).*

At the faculty level, for example, an interviewee spoke about the issue of assisting and training individuals with communication difficulties and the contribution of international knowledge drawn from internationalisation to South Africa's situation. This illustrates a prime motivation for the international engagements:

*...one of the intermediate partnerships that we have is Temple University, and they helped us to develop a programme to help young people to become self-advocates. And the whole idea is to develop the skill to enter into employment training. Now, these are people who don't speak...What outside people do is they bring their expertise in, and having the benefit of the expertise that's come in, of how to do it, you do have to translate it into Africa, but without that expertise coming in, it means you have to start from the bottom and who's got that kind of resources (I: CAAC HOD).*

Another example is Prof. Onwu's statement in section 5.2.2c regarding large class-room sizes, which is a significant issue in South African education and throughout the African continent. I discussed UP's interest in contributing to continental development as a rationale for its internationalisation. But this is also an issue relevant in South Africa and thus to national development as a rationale for UP's internationalisation.

In the Faculty of NAS, the Bean Counting (CRSP) Programme discussed in section 5.2.2c illustrates the issue of food sciences and the contribution of international knowledge drawn from internationalisation to South Africa's situation, and thus a prime motivation for the international engagements. As can be seen in that example, generating new knowledge through research and producing a workforce able to do just that (i.e. human resources

development and capacity building) is a key priority at UP and thus a key national rationale for its international engagements. As can also be seen, this generation of new knowledge is not always an actual generation of knowledge but often takes the form of importing knowledge that may exist elsewhere, and adapting it to South African situations. In this adaptation, new knowledge often can and is generated. The primary reason for this is because of UP's desire to contribute to the development of new knowledge that can be used to address South African national needs (as I partially discussed in the previous section) and its social, economic and political development.

### **5.2.3b National development through human resources and capacity building to contribute to a national system of innovation**

The other desired contribution with regard to national development for UP is its ambition to contribute to South Africa's national system of innovation (NSI), which is seen as a primary stepping stone toward the type of development that the country hopes to achieve. Additionally, UP sees innovation as crucial to its international competitiveness. Its contribution to the NSI is thus a way for it to make itself and South Africa more competitive internationally. UP preaches that "the essence of innovation is renewal and continuous improvement" (UP, 2002b, p. 3). One way in which it seeks to renew and improve is through international engagements that allow it to develop the human and institutional capacity to produce and transmit knowledge through research and research outputs. I have demonstrated throughout this and the previous chapter that UP's communal ambition of pursuing and transmitting knowledge, and building the human capacity in this regard, must entail individuals who are not only able to create new ideas and knowledge but also to take existing knowledge and to use it to create and innovate, as the following attests to:

*The concept of "new ideas" is manifested in the creation of a new concept, which in turn is often based on a new combination of existing concepts or new inventions. The not-invented-here syndrome can lead to arrogant short-sightedness and should be shunned. Ideas frequently originate elsewhere, and one requires an alertness to recognise and learn from them. However, it is also essential that the capacity and ability exist to generate one's own ideas. This is the essence of creativity (UP, 2002b, p. 35).*

This institutional desire to be able to innovate and thus generate new ideas and concepts is particularly evident in areas of science and technology, which are seen as primary facilitators of development in South Africa. It is also encapsulated in the university's motto and branding of its students as "the innovation generation". This desire to generate new ideas and concepts, and thus to be "innovative", is what is currently driving the majority of UP's ambitions where

its international activities are concerned. It is also intimately tied to an earlier national level rationale that I discussed – the desire to generate and contribute to new knowledge.

This drive to innovate is motivated by a desire to contribute to the NSI, which can only be achieved through UP having the capacity and organisational wherewithal to make this contribution. As such, “[w]hatever the nature of a particular innovation, the ultimate goal must be to bring about an improvement in the University, its products and process” (UP, 2002b, p. 35). What this says is that before UP can actually contribute to the NSI, or to the developmental issues/problems of South Africa, it must first have its own house in order. It must have the systems and, more importantly, the individual and collective capacity to run itself efficiently and to continue to improve.

In summarising the national development rationale for UP’s internationalisation, the evidence above demonstrates that UP’s entrance into many types of international activities (i.e. internationalisation) for the purposes of sharing, gathering or transmitting knowledge is relevant to its own national development and contributes to its NSI. Internationalisation is thus used in this case not as a way to integrate with the rest of the world necessarily, but as a method of knowledge transmission that will contribute to developing skills and resources within South Africa’s borders and among its people and institutions in a way that tackles critical national needs. In building the human and institutional capacity through knowledge transmission for the purpose of national development, this rationale for internationalisation also links to the national development imperative of contributing to South Africa’s system of innovation.

#### **5.2.4 Visible, yet less important rationales for internationalisation at UP**

As I began to argue in the beginning of this section (5.2), the social and cultural development rationales for internationalisation at UP do not seem as strong as the political rationales. Since the three main rationales for internationalisation at UP have been discussed at length, it is useful also to highlight some of the rationales for internationalisation that are not priorities at UP (some of these were mentioned above and earlier in Chapter 1). Although these do find some space at UP and are in some cases acknowledged, many of them do not seem as crucial to UP as the three broad rationales just discussed. These “non-rationales” for internationalisation at UP include intercultural understanding, peace and mutual understanding, or social-cultural rationales as they are often referred to, and the sub-rationale economic rationale of income generation.

Regarding social-cultural rationales for UP's internationalisation, some of the comments of UP stakeholders discussed above demonstrated that there is some recognition that internationalisation is a valid way of increasing these things. They are, however, of less importance than I discussed above. This became obvious to me particularly in my conversations concerning student mobility (a form of internationalisation which I will discuss further in the next chapter). In this instance, as I have shown in the previous chapter, UP is most concerned with becoming an internationally recognised research university and its primary concern is thus research and knowledge production. Thus, its encouragement and support of students coming into South Africa and those going out for academic endeavours is almost exclusively for students to engage in research activities.

*I mean, what is the university? A university, at least as I see it, is defined as an institution that is focused on new knowledge generation, and you don't generate new knowledge at the undergraduate level. You generate new knowledge through research and that's all at the postgraduate level. So, if you want to internationalise the university enterprise, the place to work is at the postgraduate level, and the undergraduate level should not be an issue (I: Wingfield).*

In fact, the exchange of students at the undergraduate level is seen primarily as a "marketing" exercise by some at UP, and as a lesser endeavour by others, as the two comments below show. For instance, when asked about the role of undergraduate students in internationalisation (and specifically the research aspect of it), one HOD stated that:

*...it would be much more in terms of a marketing exercise. Turning that into a market. I don't see a major role for the undergraduate students. But masters and PhDs I do see a role, if we could attract masters and PhD students internationally (I: Jeenah).*

In addition, one HOD spoke of exchanges of undergraduate students versus that of postgraduate students in terms of levels, with postgraduate students being at a higher level.

*Well, they do have a role. As I said, with Utrecht it's on a faculty-wide basis. There are student exchanges at the undergraduate level, but what we want to do is we want to upgrade that to make that higher, you know, because at that level [undergraduate] you're really only visiting the schools and so forth, you're not going to go into research... (I: Onwu).*

For me, these comments demonstrate that primarily because of its passion for research, UP has neglected the social-cultural rationales for internationalisation, and particularly this form of it (student mobility). In doing so, it has placed a premium on research related rationales for internationalisation, which contribute to the three broad and primary rationales discussed earlier.

While I am not suggesting that the social-cultural rationales for internationalisation are not important to UP, the data indicates that this rationale is at best a peripheral. Even given its peripheral nature, there is some recognition among UP stakeholders that social and cultural values of internationalisation do exist, as is evident by the following statement:

*Over the years, all these collaborations have had a very positive influence. First of all you get your students, that are exposed to other cultures, to other ways of thinking, and they interact with each another. They see that there is a different world and a different way of thinking outside of South Africa. And sending our students abroad has absolutely widened their horizon. Especially our students who come from previously disadvantaged communities, as well as those from advantaged communities. We send them overseas for two years...after coming from...one of the very rural areas they come back as different people. It's a tremendous education, no doubt about it (I: Cloete).*

Although there is evidence of the economic benefits of internationalisation through such areas as funding for international partnerships, I did not find direct evidence that UP engages in internationalisation for the sub-economic rationale of income generation, as some other universities do. Some universities charge significantly higher fees for international students and/or they develop various short-term study programmes that bring in international students who pay a premium to participate. This income helps sustain international offices and contributes to universities' financial bottom lines. Although UP does charge international students outside of the Southern African region double tuition fees (and South African law requires a R2,000 international student levy), I did not find evidence that it engages in the fee-for-service short-term programmes that many universities around the world have developed. However, UP's recognition that there are economic benefits derived from internationalisation can be seen in such statements as the following:

*...one has to very carefully think about what you mean by money. Money is not just money paid. Money is money against publications, money that comes to the university through students' graduations...The university gets full subsidies for PhDs irrespective of where they come from. So, that's a source of cash flow. Money is not just money that people pay in green dollars in American terms or whatever you want to call it, in cash money. The product could be access to materials from other parts of the world...infusions of new cultures...different abilities and different experiences. And that's all part of the money...I think people tend to forget that (I: Wingfield).*

In another instance, and HOD argued that:

*...because we also said that in our initiatives in Africa we will be very sensitive with regard to how we operate in a country. It is possible for us, for example, to go into Namibia and buy a full page advert in a local newspaper, where we urge those students to enrol in the University of Pretoria's distance education programmes, and we will establish contact sessions in that country and we will establish examination centres in that country and they can just*



*enrol...And we might get a lot of students then they would enrol at our institution. But we believe if we go that route, it would be the wrong approach (I: Hendrikz).*

Statements like these demonstrate that although there is recognition of the potential economic benefits of internationalisation, including the potential to make a significant amount of money from its international activities and its African initiatives specifically, the sub-economic rationale of income generation does not seem to be a primary motivation for internationalisation at UP. As shown here, this may be because of a desire to be sensitive to financial issues in other countries and/or to not permit economics to rule UP's own international ambitions and activities. Another reason may be because the institution chooses to put more emphasis on other rationales for engaging in international activities, as already discussed herein.

### **5.3 Synthesis**

This chapter has presented a significant amount of data concerning UP's internationalisation imperative, why it is an imperative and, thus, why UP is internationalising. It is clear that internationalisation is an imperative at UP, at least as a strategic ambition, and mainly for reasons of "global integration", "continental development" and "national development". As demonstrated, there are also several layers to these three broad rationales as they apply to the UP case. Having discussed these primary rationales for internationalisation at UP, the next question that I must now address is: what *action* is UP engaging in to attain its goals of global integration, continental development and national development? In other words, what are the characteristics and expressions of UP's internationalisation that are manifested, given these three broad rationales? The following chapter addresses this question.

## CHAPTER 6

### EXPERIENCES OF INTERNATIONALISATION AT UP

#### 6.0 Introduction

Having examined why UP has placed internationalisation high on its list of strategic imperatives, this chapter moves on to discuss what those rationales have led it to do in terms of policies, strategies and intended actions. As such, this chapter addresses the characteristics of UP's internationalisation and how this internationalisation is expressed. This is done by presenting the data gathered from UP stakeholders and triangulating this information with documentation and other evidence. What will be seen in this chapter is that UP has some specific expectations regarding the manifestation of internationalisation at the university. However, there are many gaps in UP's internationalisation and the measurable outcomes and outputs of that process do not necessarily match and the expectations. These gaps, along with evidence of UP's internationalisation presented in this chapter, yielded some interesting data and interpretations that will benefit the final analysis of this study.

#### 6.1 How internationalisation should unfold at UP

Internationalisation at UP is characterised by several dilemmas and contradictions concerning how it can best be engaged with. These dilemmas and contradictions begin with the very nature in which internationalisation is happening at the university. Some UP constituents believe that the process is unfolding primarily in an ad hoc manner and without proper planning and systematic institutionalisation of the process. Their argument is that the institution, with its lack of a formal and written institutional policy on internationalisation and lack of proper guidance and support from the institution's leadership, is not fully benefiting from internationalisation. For instance:

*A lot that has happened thus far in terms of internationalisation has been largely ad hoc in nature... And because we are an established institution we need to move away from that... (I: Rajah).*

I followed up by asking if an institutional policy would help:

*Yes, because otherwise every person X in Faculty X, decides oh, I can do with a link here, then off they go. But, there's no one to actually, I hate the word control, but there's no monitoring and control of that link, to say is it good for the institution, or what value is it to us, how does it add value to our academic programmes, etc...And I do believe that an institutional policy will help. It doesn't have to be a top-down you will do the following according to A, B, C, D and E. It should be a consultative process...all stakeholders from academic to non-academic departments need to be involved in framing it... (I: Rajah).*

Ms Rajah is among those who advocate for a specific policy that guides the institution's internationalisation. However, others do not believe internationalisation can be regulated. They argue that UP does not need an institutional policy in the sense of a written text which regulates and outlines what its faculties and researchers must do in terms of internationalisation. This mode of thinking about internationalisation and how it should happen at UP is expressed in the following statement:

*... you cannot tell somebody, now you're going to be a pianist, world class pianist, or you will be the world class painter. Either you will develop yourself, or you won't be. You just cannot be organised or pre-programmed, this can only be facilitated. Obviously we facilitate these types of activities, but I can't plan these. (I: Cukrowski).*

This second comment does, however, note that internationalisation is something that should be "facilitated" by the institution. Thus, regardless of whether there is an actual policy text on internationalisation at UP or not, one can gather from these two statements that there is at least an agreement that the university must play a role in helping to facilitate the process.

There were attempts at UP to develop an institutional policy around internationalisation. In fact, two specific documents were developed by the then head of Corporate International Relations (CIR, 2004c and CIR, 2005a), which attempted to offer a framework for such a policy. However, both documents remained as drafts and were not officially adopted as policies by the university. There is, however, strategic direction for internationalisation that can be taken from a document developed by a member of the executive who was charged with overseeing the Corporate International Relations (CIR) office at UP (CIR, 2006b). Documents such as these were at least an attempt to provide a framework for internationalisation at UP and even possibly to do what Prof. Cukrowski suggested in the statement above, which is to help to "facilitate" internationalisation at the university. It is yet to be seen how these strategic documents will influence overall internationalisation at UP and whether or not they will lead to an institution-wide policy on the process.

In addition to the questions around the need for an institutional policy on internationalisation, there are also dilemmas around who should be leading and guiding the institution's internationalisation. As described in a previous chapter, the UP management system is set so that the vice chancellor/rector and the members of his executive (the vice principals) comprise the main leadership and decision-making structure. Although they are overseen by a Council, and there is a Senate and other bodies around it, the executive is ultimately

responsible for the decisions and actions that UP will follow. Thus, in terms of internationalisation, some believe it should be driven from the top down, while others believe that the various faculties and individuals within them must drive the process. For instance, one UP leader argued that:

*I'm uncomfortable with initiative being taken by anybody, by every Tom, Dick, and Harry. I'll give you an example. In our operating theatre there is the patient; I'm the senior surgeon; I've got residents; and I've got other junior people, etc. Everybody else, all my residents and everyone has an idea about how to do this operation, but I've got my own options. At the end of the day it's my decision. Because I carry the ultimate responsibility (I: Mogotlane).*

This is one view on the need for the management of internationalisation to come from the top; however, the more common response that I received was that it must come from the individual faculties and, even more specifically, from the individuals within those faculties. For instance, one dean stated that:

*It can be advocated from the top, but the culture of internationalisation should be driven by mechanisms and processes within the departments that are already there and then expanding this culture step by step to other units that show the potential. If there is enough critical mass within your faculties which creates this environment, the university can say, we're truly there. But it's not going to happen from the top down, it's going to happen really from our researchers who start mentoring our younger people (I: Ströh).*

Despite these dilemmas and the contradictions around how internationalisation should happen, whether or not there needs to be a definitive policy and who should lead the process, those with whom I spoke did believe that internationalisation, as I have defined it herein, is of strategic importance to the university. There was thus a common belief that internationalisation is happening at the university, although my observations and data indicate that internationalisation at UP is in its beginning stages. The stakeholders involved hope that the process of strategic planning around internationalisation will bear the appropriate fruit, which will lead to the university's improved international profile, continental contribution and national relevance.

## **6.2 Strategic expressions of internationalisation at UP**

Given the belief that internationalisation is of strategic importance to the university, we must then ask: what are the expressions of internationalisation that UP wishes to use, or is using, to reach its goals? Chapter 1 (section 1.5) discussed the common expressions of internationalisation of HE as described in existing scholarship. These included: virtual and physical cross-border activities such as faculty exchange/development; student exchange and

study abroad programmes; collaborative research; collaborative teaching; joint conferences (Mthembu et. al., 2004, p. 113); international dimensions in the curricula; branch campuses; international institutional partnerships and collaborative agreements; transnational university mergers; and transnational virtual delivery of HE (Van Damme, 2001, pp. 418–428).

Of these varying expressions of internationalisation which HEIs around the world are engaging in, UP's internationalisation is intimately linked to its research and research production/output ambitions. Its most visible and often cited expressions of internationalisation are therefore related to research. In terms of current internationalisation at UP, the institution primarily views the following three interrelated expressions of internationalisation (i.e. how it is more intensively and strategically engaging in international activities) as key:

- international collaborations, networks and partnerships
- faculty and researcher international mobility (inbound and outbound)
- postgraduate student international mobility (inbound and outbound)

The following two statements support my notion that these are the three main areas of internationalisation that UP hopes to engage in:

*I think the main crux [of internationalisation] at UP is two-fold. The one is the attraction of good international students. UP does have a strategic focus area, namely the postgraduate international students, at the masters and PhD levels...So, it's two-fold (I: Rajah).*

*Getting our academics to interact internationally and do research collaborations and things like that. And joint research projects and groups, and raising the profile internationally of UP. That is important for UP (I: Mogotlane).*

UP's new strategic plan (UP, 2007a) also indicates that these three expressions of internationalisation are key strategic ambitions, as will be shown through quoting several aspects of the plan in this chapter.

### **6.2.1 International collaborations, networks and partnerships**

Strongly relating to UP's strategic motivations and desires to be an "international player" and an "internationally recognised research university", is the participation of the institution and its faculties and researchers in international collaborations, networks and partnerships. These partnerships are entered into primarily to lead to increased knowledge production and research outputs, as well as to address many of the developmental challenges that have been

spoken about herein. UP leadership sees the establishment of such international relations as a priority for the university:

*I think with the challenging situation in the country from the early 90s, and accelerating from then, we needed to develop a set of international engagements which are much more intensive. And for it to be seen as a strategic initiative for the university (I: Crewe).*

These international collaborations have been facilitated and carried out primarily via the signing of formal memoranda of cooperation and/or understanding (MOCs or MOUs). At UP, an agreement with another university or institution only becomes an official institutional agreement if it has the participation of at least two of UP's nine faculties, along with the signature of the vice principal or someone to whom the vice principal has delegated as a signatory. According to its CIR office records, UP had approximately 96 "official" international institutional partnerships as of February 2007 (CIR, 2007). This is a significant increase from the 22 agreements reported in 1995 (UP, 1996). The CIR began keeping records of official institutional agreements in 2001. The annual figures are as follows: 2001, 46 international institutional agreements; 2002, 65; 2003, 71; 2004, 74; 2005, 70; beginning of 2006, 69 (CIR, 2007, 2006c, 2005c, 2004d, 2003b, 2002, and 2001). A complete list of the institutions with which the university has these agreements, as of February 2007, is found in Appendix 5. Although the annual increases from 2001 are not huge, the quadrupling and doubling of such agreements since 1995 and 2001 respectively, demonstrates that UP has been actively pursuing international institutional agreements during this period.

In addition to the 96 official UP agreements reported in 2007 and the involvement of the various faculties in them, UP faculties have also entered into numerous agreements of their own. Box 2 summarises some of these 96 agreements in terms of the role of the faculties involved in them. As can be seen, the Faculty of EDU and the Faculty of NAS have entered into at least 17 and 28 international agreements respectively, demonstrating their commitment to internationalisation through international institutional collaborations.

Even though it could be argued that some of these agreements at the institutional and faculty levels are more active than others, and that some yield more research outputs, student exchanges and other collaborative international activities, the mere signing of these agreements by the university executive and two of its faculties, demonstrates a commitment to international engagements through collaborative relationships with HEIs outside of South Africa. The importance of these international institutional agreements and collaborations is

underscored and stressed by the following: “Collaboration agreements with foreign universities enhance the University’s role as an international player and increase global recognition and excellence” (UP, 2005a, p. 17).

I shall return to the issue of active and non-active agreements shortly. However, for now, as Box 2 shows, UP has involved itself in numerous international collaborations, networks and partnerships. One of the major reasons for the increased attention paid to such collaborations is for joint research collaborations. It is obvious even through a surface level review of UP’s strategic documents or in brief discussions with institutional leaders (although this study is of course a deeper investigation) that research is UP’s focus, the aim of which is to become a successful and contributing HEI in South Africa and globally. In his opening message in UP’s 2005 research summary publication, the vice chancellor and principal writes that:

*In our strive towards increased international competitiveness and a higher quality of life for all South Africans, there is a general realisation in the country that our national research effort must be enhanced. As a leading research university, the University of Pretoria will not only rise to this challenge, but also make a major contribution both with regard to research outputs as well as the training of researchers...Co-operation is the key towards leveraging research impact, and hence the University will continue to not only emphasize but also increase co-operation with the public and private sectors as well as the science councils, locally and abroad (UP, 2002b, p. 3).*

The vice principal’s statement, as well as other previously mentioned statements, reveals that international collaborations are placed high up on UP’s strategic objectives’ list. This evidence also tells us that international collaborations are a key in this regard, and the resultant activities of UP and its various functioning parts, such as the faculties of EDU and NAS, reflect this. For instance:

*...this faculty, like the university as a whole, was terribly isolated as you know, for various reasons, academic boycott being one of them. And...the major links that this university had before 1994 were a few tenuous links with the Belgium universities and Dutch universities and so on...it wasn’t even connected to its other national institutions, etc. So...we decided that there is no way you could call yourself a national university unless you were intimately connected to the world of universities, of scholars, etc., elsewhere, and so we embarked quite aggressively on bringing in people here, but also sending people out there (I: Jansen).*

**Box 2****Summary of UP international institutional agreements and faculty agreements (as of January 2007)****INSTITUTIONAL AGREEMENTS**

According to Corporate International Relations (CIR) Office records there are a total of 96 institutional agreements, of which:

- the Faculty of Economic and Management Sciences is involved with 22
- the Faculty of Education is involved with 12
- the Faculty of Engineering, Built Environment and Information Technology is involved with two
- the Faculty of Health Sciences is involved with eight
- the Faculty of Humanities is involved with 14
- the Faculty of Law is involved with five
- the Faculty of Natural and Agricultural Sciences is involved with 18
- the Faculty of Theology is involved with six
- the Faculty of Veterinary Sciences is involved with two

Summary: The Faculty of Economic and Management Sciences is involved with the most institutional agreements (22) at UP and the Faculty of Engineering, Built Environment and Information Technology and the Veterinary Sciences Faculty are involved with the least (two).

**FACULTY (ONLY) AGREEMENTS**

Some faculties also have stand alone (faculty only) agreements with international institutions. Below is a list of faculties and the number of international institutions with which it has stand alone (faculty only) agreements:

- the Faculty of Economic and Management Sciences – seven
- the Faculty of Education – 17
- the Faculty of Engineering, Built Environment and Information Technology – three
- the Faculty of Health Sciences – three
- the Faculty of Humanities – six
- the Faculty of Law – two
- the Faculty of Natural and Agricultural Sciences – 28
- the Faculty of Theology – 12
- the Faculty of Veterinary Sciences – seven

Summary: There are a total of 85 stand alone (non-institutional) faculty agreements according to IRO records. The Faculty of Natural and Agricultural Sciences has the most (28) and the Faculty of Law has the least (two).

It should be noted that the above does not include informal agreements between individual staff and faculty members.

Source: Compiled by the researcher while working in the UP CIR

The opening up of South Africa after 1994 not only saw HEIs in the country, including UP, seeking to integrate with the rest of the world, but it also opened up many opportunities for the institutions to engage in various ways, including through institutional partnerships. What can be seen by the above statements, and UP's increasing partnerships with non-traditional partners, is recognition and subsequent action by the institution that it must be integrated into the greater global village outside of these traditional partners.

This is not to say that UP's (and its faculties') relationships with its traditional partners has ceased. In fact, the university continues to have numerous partnerships with these traditional partners in Europe, but it has realised that it must also tap into other areas of the world. UP is



particularly keen on establishing links and engaging with other developing countries in the South, as well as with countries in the East, such as China and Singapore.

*The university currently would strongly like to focus on developing research programmes with countries in the East like China and India...Also important is to include various South American countries. Countries that mainly have similar research questions to us, we have to see if we can't assist each other in our findings (I: Ströh).*

As can be seen in Appendix 5, UP had a total of 96 official institutional partnerships as of February 2007: there were 42 signed agreements at the institutional level with European HEIs, nine with Asia and the Far East, 27 in the Americas and 18 with African HEIs.

Many of the international collaborations that UP and its faculties and individual researchers have entered into lead to research outputs in the form of journal publications. According to UP's 2006 Research Report (UP, 2007b), 75% of the more than 1,230 journal articles produced by UP researchers (individually and with research partners), appeared in journals that are listed on international publication indices such as Thomas Jefferson University's Institute for Scientific Information (ISI) and the London School of Economics' International Bibliography for Social Sciences. Publishing indices such as these, and specifically the ISI, are used in rankings of international academic institutions. For example, Shanghai Jiao Tong University's Institute of Higher Education has an academic ranking of world universities, which began in 2003. Shanghai Jiao Tong University lists the top 500 world universities based on several criteria, including the quality of its faculty (40%), its research output (40%), the quality of education (10%) and performance of the institution versus its size (10%). These publishing indices have also been used by the South African government since 2004 to pay subsidies to institutions based on their researchers' publications in journals. In other words, if a research article is published in a South African or a foreign journal listed on one of these indices, the South African government gives credit and thus a subsidy to the institution and the relevant researcher.

One could look at UP's publication in internationally-based journals versus its publication in domestic/local-based journals as an expression and measure of internationalisation. However, this approach has limitations that make me hesitant to do so in this study. Primary among these limits is that many South African journals are listed on international indices. Journals such as the *South African Historical Journal*, the *South African Journal of Animal Science* and the *South African Journal of Botany* could be classified as internationally recognised. It

therefore seems more useful to look at how the South African national government views publications in these international indices, and thus appropriates funding and subsidies. For instance according to statistics from UP's Department of Research Support (DRS), UP was given credit for 455.11 research units in the ISI in 2005 and 526.1 credits in the same index in 2006 (DRS, 2005 and 2006). Several of the journal articles that were produced in those years were in South African-based journals that are listed on this international index. As highlighted in earlier quotes by UP researchers, the journal production output of UP researchers, particularly in international indices, plays an important role in UP's drive to reach its goal of international competitiveness.

In terms of its international research contracts, one UP leader disagrees with the earlier views expressed herein and argues that the contracts are not being done in a strategic manner:

*What I think has happened is that you've got much more collaboration, but I don't think it's been anything of a real strategic nature. The collaborations are between researchers and between groups...it is extremely valuable to the researchers and so we shouldn't put down the fact that it's between researchers (I: Jeenah).*

This comment reveals that there is a value placed by UP on the relationships and partnerships between individual researchers from South Africa and abroad, as well as the institutional linkages. It also reveals that these partnerships do not necessarily have to be "strategically" planned. In fact, some individuals with whom I spoke argued that it is not even possible to be strategic about internationalisation when it comes to encouraging partnerships, because one cannot "make" another researcher engage internationally if that person is not interested. According to one HOD:

*I think that we must leave academic freedom of what they want to do [researchers] and how they want to do it, so that they can develop themselves. And I don't think this can be regulated. You cannot say, if I asked you, now I want you to be a famous composer, can you do this? Probably not...so it doesn't help...But, if we have a strategy as this faculty and university, and when we look for new people coming, then we can fine tune it...We can bring and attract people of high standards and this is what we try to do (I: Cukrowski).*

As alluded to in other sections of this chapter, international networks and collaborations with African researchers and institutions is also an important element of UP's internationalisation, mainly because of the continental development rationale discussed in the previous chapter. UP's 18 official collaborations with African HEIs demonstrate some sense of the importance of African collaborative networks, as do the many networks of African researchers and research institutions already mentioned herein.

This evidence demonstrates that international collaborations, networks and partnerships are one of, if not the, key expressions of internationalisation that UP is attempting to engage in. This can best be surmised in the following statement made in UP's newest strategic plan (UP, 2007a):

*Nowadays, many research projects are done collaboratively. Establishing academic networks is important for this purpose. It is, therefore, our intention to encourage leading academics at the University of Pretoria to work with leaders in other universities here and abroad. Situated in the diplomatic capital of Southern Africa, the University of Pretoria is ideally placed to forge links between African and other continents, to be the interface between excellence in Africa and excellence elsewhere, and to be the cutting edge in research between excellence, relevance and impact. Visiting academics will be encouraged to present lectures and to assist in supervising research students (p. 21).*

*The impact of international collaboration is increasing, making it important to enter into partnerships with suitable institutions across the globe. We intend developing a structured policy on internationalization to deal with these issues (p. 32).*

A critical issue to note here is that these research collaborations, partnerships and networks that are created and engaged in by UP (and HEIs worldwide) are done so at UP specifically through interactions between individual researchers and groups of researchers. As such, the support for such activities (research) is a major issue at UP.

*...your staff must be globally oriented...they need to maintain a set of international networks which will make them familiar with what is happening in their field, which will allow them to reflect that in what they teach their students. So, for instance, we encourage the staff to get NRF ratings. Because the NRF rating is essentially a peer review mechanism, which says: to what extent is the work that you are doing recognised by your peers internationally? And we think that is an important dimension of the development of their careers (I: Crewe).*

An elaboration on the issue of active versus non-active international agreements for UP demonstrates some of the contradictions between UP's ambitions for internationalisation and how those ambitions are actually fulfilled. This issue is not unique to UP, as many HEIs have signed MOUs and MOCs with other institutions that never meet their full potential. However, in the case of UP, as its former CIR once put it, many of the institution's agreements remain "NATO" agreements, meaning "No Action, All Talk". This is seconded by the following two statements from others:

*[The University] has a long list of collaborations and formal agreements. Many of those are just paper. And I'm not interested in those sorts of agreements. Very often what makes those collaborations or those MOUs work is individuals. When you have two people that get on and they want to collaborate. Otherwise they're dead (I: Cloete).*

*True collaborations that are in force and not just on paper...we have plenty of paper work...I'm talking about real collaborations (I: Cukrowski).*

A hurdle for UP in terms of actually determining the usefulness and levels of its international institutional and faculty agreements is the lack of an adequate tracking and reporting system to gauge such partnerships. There have been recent attempts at UP to better gauge the nature and actual activities that have resulted from its international MOUs, such as a 2006 CIR office effort and the development of a database. Additionally, the university's institutional agreements advisor has since 2001 attempted to develop quarterly reports on UP's institutional agreements. However, these efforts have not been very successful and it is still not known exactly how many active institutional and even faculty agreements UP really has. It would be a useful research study to look at which UP agreements are most effective and active, but this is another doctoral thesis altogether. I do, however, later in this chapter (section 6.3.1 and 6.3.2) discuss some of the agreements at UP that have been quite active, which provides evidence that such agreements exist. What is important to note here, for the purpose of my study, is that UP has the ambition of linking and collaborating with international institutions and, in fact, it has signed agreements with many.

Additionally, outside of the "formal" institutional agreements that UP has signed with international institutions, UP is involved in many research-based partnerships with governments, non-governmental organisations, private corporations and international academic institutions. These involvements specifically concern research collaboration as opposed to the MOUs and MOCs signed by UP, which might also have elements of student and faculty exchanges. This is not to say that the research collaborations do not involve the mobility of individuals, as they may. It is just that the research collaborations are specifically designed and funded around a particular research issue.

Table 11 shows UP's research collaborations since 2002. It lists 14 different types of organisations with which it partners, and whether the partnerships are with internationally based organisations or with locally/nationally based organisations. These collaborations have allowed UP to address various research concerns. Many of the research collaborations are between individual UP researchers and their colleagues at international organisations or universities. For instance, in 2003 a UP Department of Zoology and Entomology researcher partnered with the American Museum of Natural History in the US on a project dealing with the biology of fragmented populations. Likewise, in 2005 another UP researcher collaborated with the Japan International Cooperative Agency on a research project around science,

mathematics and technology in education. These research collaborations take place at and with the international HEIs with which UP has its official partnerships, as well as with those that have not entered into formal institutional agreements with UP.

Although there were a reported 506 international research collaborations in 2006, the more interesting deduction from Table 11 is the slow growth in such partnerships since 2002. In 2002 there were 487 international partnerships, which means that the number of partnerships increased by only 19 between 2002 and 2006. Even more interesting is the number of *international* research collaborations as a percentage of the total number of collaborations between 2002 to 2006. In 2002 61% of all the research collaborations were international, whereas in 2006 this percentage had dropped to 58% of the total. This could signal that UP researchers are collaborating more with local partners and less with international partners. Those who believe that internationalisation is not a reality at UP might use the declining number of international research collaborations in term of the total percentage of UP's research collaboration, as evidence of such. My interpretation of these figures, however, is that UP, in an effort to play a national/local role – as its strategic thrust of being a “nationally relevant and globally competitive university” articulates – is attempting to place more emphasis on working with national/local partners on research issues of concern to the country.

This interpretation is also supported by what several UP stakeholders cited as the university's historical reputation as an institution that was not relevant in terms of the majority of the local South African society and the ramifications of that legacy, which now make it easier for the institution to partner with international partners rather than with domestic ones. However, even though several stakeholders commented on this issue, there was common agreement among them that UP needed to play a larger role in terms of local/national issues while still engaging with the rest of the world. In the final chapter I will examine further the varying potential interpretations of this data, as well as the issue of balance between the local/national collaborations and the contributions of UP and its international work.

<b>Table 11: UP's research collaborations</b>															
	2002			2003			2004			2005			2006		
<b>Partner institution type</b>	<b>IR</b>	<b>AR</b>	<b>% IR</b>	<b>IR</b>	<b>AR</b>	<b>% IR</b>	<b>IR</b>	<b>AR</b>	<b>% IR</b>	<b>IR</b>	<b>AR</b>	<b>% IR</b>	<b>IR</b>	<b>AR</b>	<b>% IR</b>
Government: Local	1	26	4	1	7	14	0	6	0	0	7	0	0	6	0
Government: National	22	22	100	23	71	32	20	70	29	20	70	29	19	60	32
Government: Provincial	4	22	18	4	21	19	0	16	0	0	16	0	0	11	0
Government: SETIs and parastatals	18	52	35	17	60	28	17	58	29	18	56	32	17	49	35
Higher education: Other	8	12	67	7	12	58	6	10	60	11	15	73	10	12	83
Higher education: Universities of technology	1	7	14	1	11	9	1	11	9	1	10	10	2	17	12
Higher education: Universities	286	312	92	310	341	91	316	353	90	342	384	89	328	350	94
International organisations	38	40	95	34	39	87	30	33	91	32	34	94	41	43	95
NGO/Non-profit organisations/interest groups	58	99	59	55	96	57	52	89	58	48	87	55	43	72	60
Private sector: associations (industry/business)	10	50	20	11	59	19	10	55	18	6	58	10	5	63	8
Private sector: Multinational companies/corps	23	40	58	21	50	42	20	52	38	17	48	35	19	50	38
Private sector: National companies	10	97	10	11	110	10	11	111	10	12	115	10	10	102	10
Other	8	19	42	8	22	36	8	21	38	13	26	50	10	19	53
Southern African conservation organisations	0	0	0	0	0	0	0	0	0	0	0	0	2	19	11
<b>TOTALS</b>	<b>487</b>	<b>798</b>	<b>61</b>	<b>503</b>	<b>899</b>	<b>56</b>	<b>491</b>	<b>885</b>	<b>55</b>	<b>520</b>	<b>926</b>	<b>56</b>	<b>506</b>	<b>873</b>	<b>58</b>
<b>TABLE KEY</b>															
AR = All research (including local and international)															
IR = International research															
% IR = The percentage of the total research that is international in nature															

Sources: UP, 2003c; 2004b; 2005b; 2006b; 2007b

Regardless of the interpretations of the data in Table 11 concerning UP's research collaborations, the point to be made here between these collaborations and its other international collaborations, networks and partnerships, is that UP has placed strategic importance on interactions with its global partners. As such, this is one of the broad strategic expressions of internationalisation at the university. As can be seen, however, it is characterised by contradictions between principle and practice.

### 6.2.2 Faculty and researcher international mobility

UP is also placing a great deal of attention on the mobility of academic and professional faculty, staff and researchers (from this point forward in this section I will refer to all three as professional researchers) out of and into its various campuses. Again, the emphasis and desire

for movement among professional researchers is due to the desires and beliefs that this mobility of individuals is a key facilitator of research and knowledge sharing and production. The mobility of professional researchers at UP is being facilitated in several ways, including through postdoctoral (postdoc) programmes, staff travel and bursary programmes administered by the university, and through other outside grant programmes to assist professional researchers with travel to engage in international research-oriented activities and conferences.

International postdoc programmes are seen as important for both UP professional researchers going abroad for such programmes, as well as for UP bringing in professional researchers from abroad to do postdoc programmes on its campuses. The notion of the importance of international postdocs was supported by the director of research who stated that:

*We're primarily looking at bringing international postdocs to South Africa. We're also encouraging our researchers to actually go overseas and do a stint (I: Jeenah).*

Other UP stakeholders commented on the importance of postdoc programmes to the university's research interests and international standing, such as the following:

*The faculty is actively participating in the UP postdoc programme. In fact more than half of the postdoctoral fellowships are awarded to this faculty. (I: Ströh).*

*...for people that do the PhD, one of the things that we have recently been encouraging them to do is go on for postdocs...for some of the academic staff of the faculty who normally do not traditionally do research, but we encourage young staff to do it and give them means to do it; to go and spend a postdoc period abroad. Simply to be engaged with a different set of ideas and a different set of interactions with other people (I: Crewe).*

This desire to engage more professional researchers in international postdoc programmes is also evident in the levels of funding at UP for such programmes. For instance, in 2005 UP allocated R3.4 million to the development of human capital through postdoc programmes aimed at supporting “research fellows who have obtained their PhDs from a university other than UP. Through this initiative, highly talented academics are introduced into the UP environment and this plays an important role in the internationalisation of the University” (UP, 2006b, p. 16).

However, even given these claims by UP that it wishes to, and indeed is engaging in, more faculty and researcher international mobility (inbound and outbound) it is difficult to obtain

useful and consistent statistics and data to support that claim. For instance, attempts to obtain information on exactly how many individuals are involved and what countries they come from, were unsuccessful. The university unfortunately does not keep systematic records of the inbound and outbound professional researchers who are funded to participate in international postdoc and research programmes. As I was told by one of UP's vice principals when trying to request such information:

*The difficulty with this request is that we do not keep summaries of the information that he [Carlton McLellan] is seeking. In order to compile these data, we would need to go through the financial records of all the faculties manually to extract the data. This will be time consuming and we do not have the human resources to undertake such a study (Prof. Crewe).*

Additionally, there is other evidence that points to UP's shortcomings vis-à-vis its tracking of faculty and researcher mobility internationally. In terms of UP's official public reporting on its activities and status – its annual reviews – the university shows some inconsistencies in how it reports internationally-oriented information, such as faculty and researcher mobility. For instance, the 1997 Annual Review (UP, 1998) reported that 15 international postdoctoral fellows were being funded by UP funds (p. 24). The following year's review (UP, 1999) reported that: "Twelve staff members and fourteen post-graduate students received support from a central university fund to study and do research abroad, while 34 overseas post-doctoral fellows were appointed with university funding" (p. unnumbered). Finally, in the 2001 Annual Review (UP, 2002a) it is reported that "...201 members of staff undertook 423 study or outreach visits to 342 institutions in 46 countries" (p. 96). In subsequent annual reviews, while there is mention of funding for these same activities, there is no mention of the quantities of professional researchers, postdocs and/or postgrad students supported for these international activities. The three instances cited here seem to be among the few instances where UP attempts to report on the number of international postdocs and the mobility of its professional researchers internationally.

Even given its inadequate tracking and reporting system with regard to its international postdoc researchers coming to the university, the UP research report (UP, 2006b) also makes claims about the importance placed by UP on sending its own PhDs abroad for postdoc programmes. This claim is also partially supported by such programmes as UP's Research Development Programme, which it claims disbursed nearly R2.4 million in funding for current staff to participate in international postdoc programmes to further their research (ibid). However, as with information on professional researchers coming to UP, efforts to



obtain the exact number of individuals who used these funds and for exactly what purposes, were unsuccessful due to UP's inadequate tracking and reporting mechanisms. This unavailability of information on the number of individuals taking advantage of these funds, as well as on the financial distribution of UP's research funding for such activities, could be explained in several different ways. First, it could signal that although UP makes strong claims of supporting individual professional researchers' international efforts through these funding mechanisms, there may need to be a more systematic way of tracking and reporting such cases. It could also signal that if the university already has systems to track and keep records of this type of data, such data is simply not available for public review. Regardless of why this information was unavailable to me, what is important to note here is that UP at least makes the claim that it provides funding mechanisms to support this expression of internationalisation – faculty and researcher international mobility – in the hope that its internationalisation will be strengthened. Thus, both the inbound and outbound participation of individuals in international postdoc activities and programmes are at least a key ambitions for UP.

Another area of the researcher mobility expression of internationalisation at UP is the travel of its professional researchers for varying periods of time to conduct research on issues relevant to their interests abroad. This travel occurs in numerous ways including: conference travel; travel to engage in lectures and to present papers at conferences; general international travel for networking and establishing research contacts; and travel to conduct research on specific topics. Numerous UP staff members supported the notion of staff mobility in the context of our discussions on their various personal international activities, as well as in discussions on the most effective ways to internationalise.

*I see an easy path...To start out with staff, which in my mind is a relatively cheap and inexpensive way of getting internationalisation. Often you can't send 10 or 50 students to different institutions, but you can and should actually force staff to use their sabbaticals and spend time at international institutions, and come back and give back from what they've done...so you create that linkage between different institutions, because it's a relationship between individuals...There has to be individual people who know each other (I: Van Zyl).*

UP does attempt to support the international travel activities of individual staff and professional researchers. For instance, in addition to the postdoc and research development a programme discussed in the previous section, UP also runs a Staff Exchange Bursary Programme. This programme allows UP staff to go abroad for research at an institution with which UP has a partnership, or for a UP department to bring a researcher from a similar

institution abroad to the university to conduct research. However, according to data I gathered from the office administering this programme, only R25,600 was awarded to staff in 2005. This small amount of funding going to staff international travel signals either that staff are unaware of the available funding or that some other administrative hurdles might exist, which is preventing more of that funding from being used. Although the programme does seem to be underutilised, its existence at least signals recognition by UP that staff international mobility is relevant to its research success. Also, as indicated previously, UP's tracking and reporting of professional researchers going abroad for these international activities is inconsistent, which does not allow for adequate analysis of how many UP researchers are really "to-ing and fro-ing" internationally. The challenge then is for UP to develop good systems for tracking. And where staff travels is being tracked, such as in the Staff Exchange Bursary Programme, UP must ensure that more staff know about the programme and that they have opportunities to take advantage of it.

Outside of UP, the National Research Foundation's (NRF's) International Science Liaison Office awards grants to individual professional researchers to engage in overseas research. As can be seen in Table 12 below, UP professional researchers take advantage of one of their programmes and the university has been awarded nearly 200 grants totalling more than R15 million since 1996.

<b>Table 12: NRF international science grants to individual researchers at UP</b>						
<b>Year</b>	<b>No. of grants</b>	<b>Total rands</b>		<b>Year</b>	<b>No. of grants</b>	<b>Total rands</b>
1996	9	226 614		1997	6	287 232
1998	14	525 038		1999	20	1 250 787
2000	17	513 686		2001	29	1 237 155
2002	22	1 123 175		2003	23	2 822 631
2004	5	924 630		2005	24	3 428 558
2006	28	3 571 152				
<b>TOTALS ALL YEARS = 197 grants/ R15 910 658</b>						

Source: NRF Information Services

When discussing leadership positions in international organisations, one faculty of NAS HOD stated that:

*I'm involved in international associations, such as the International Union of Forestry Research Organisations. It represents about 20,000 forest research scientists around the world, so it's huge. It's 110 years old and has offices and groups all over the world. I sit on the board of the management committee which is about six people and the board is about 120. All of those kinds of associations are things that [individual] scientists and academics do. That's part of the global wealth of knowledge. And these have a huge influence on our research, because I meet people from all over the world all the time who would like to come*

*work here, or do a sabbatical here or research leave or send students or something...Those are programmes that promote collaboration between people... (I: Wingfield).*

There is also evidence that UP desires to engage with professional researchers across the African continent. This is primarily taking the form of UP professional researchers going to other African countries to participate in research networks, conferences, training sessions, etc.

*...its clearly in South Africa's national interest to have a group of really expanding relationships with other countries in the region and the rest of the continent, and part of that is by creating networks of individuals who move between institutions and begin to understand what is happening internationally and who engage and can assist with those developments (I: Crewe).*

Engagements and relationships by individual professional researchers at UP with their African counterparts is facilitated in numerous ways, as highlighted elsewhere, and which one UP leader termed “to-ing and fro-ing”:

*Regionally, let's talk about SADC. We have embraced the SADC protocol. And um, we engage, I engage personally, because one of my portfolios is veterinary science, engage very much with the vet schools in the region and there is a lot of to-ing and fro-ing between the vet schools...(I: Mogotlane).*

This “to-ing and fro-ing” was also spoken of by a number of other UP stakeholders. Much of it leads to other activities that relate to researcher mobility, including the development of continental research networks and groups of professional researchers seeking to tackle specific issues. For instance, in the Faculty of EDU's Department of Distance Education, many such networks have been created through professional researchers' “to-ing and fro-ing” around the continent. Some of these networks include: the Distance Education for Teacher Education in Africa; African Council for Distance Education; Pan African Platform for Distance Education; South African Association for Distance and Open Learning; South African Institute for Distance Education; and Teacher Education in Sub-Saharan Africa. All these networks now exist because of the interactions and travel among and between individual African professional researchers, and supports the notion that researcher mobility is important for UP (and for continent of Africa as well).

Another example of UP's emphasis being placed on researcher mobility, particularly South African professional researchers' engagement outside of South Africa with their international

counterparts, can be seen in the Faculty of EDU's Young Scholars Development Programme (YSDP), developed in 2000. According to the dean:

*...when I came in six years ago, we decided that there is no way you could call yourself a national university unless you were intimately connected to the world of universities, of scholars, etc., elsewhere, and so we embarked quite aggressively on bringing in people here, but also sending people out there (I: Jansen).*

The primary purpose of the YSDP is to accelerate the development of individual academics in the Education faculty, through their spending a minimum of three months and a maximum of one year at an overseas university. During the course of the overseas experience, the YSDP recipient was required to produce certain deliverables, including one or more of the following: the completion and submission of two research articles for publication; the completion of a major research proposal on theories of policy process in developing countries; or the successful recruitment of research funding from two international foundations sponsoring classroom-based research in South Africa. This programme was highly successful. Several staff members took advantage of it, and returned to the faculty/university with new international contacts and experiences, which were part of the original goals of the programme.

Several other comments across faculties also demonstrate the value placed on individual researcher mobility for the university:

*...at the individual level with the staff here, we're also encouraging them to establish contacts with people in their respective areas to provide the possibility of their coming here or us going on an exchange visit...And, as you say whatever networking is going on is done on an individual basis, based on one's contacts or recognition in that particular area (I: Onwu).*

*...I have been constantly told by my mentor that it is of crucial importance that one should from the beginning of your postgraduate studies get involved interacting with international colleagues. Internationalisation is not a matter of just us connecting to the globe, but to have a relationship of people travelling back and forth, and this is what will make this institution, at the end an institution with a true culture of internationalisation (I: Ströh).*

*...it is kind of policy in our department that we expect every researcher to go overseas at least once every year for a conference, to...present a paper. That is something that happens every year and of course they go there for conferences, they meet different people. This is sort of the first type of collaboration which we have with outside universities (I: Lubuma).*

All these comments provide evidence that UP (and its faculties) sees an importance in its professional researchers gaining international experience as well as in bringing international

professional researchers and their knowledge to the institution. This expression of internationalisation – that is, researcher mobility – is a key method of developing research capacity among individuals and departments at UP, and thus in bringing the university closer to its goals of global competitiveness, national relevance and becoming an internationally recognised research university. As alluded to briefly in the previous paragraph, this mobility of professional researchers also helps to establish, facilitate and maintain the third of UP's main expressions of internationalisation, which is international research collaboration and joint research projects.

### **6.2.3 Postgraduate student mobility**

The third and final primary expression of internationalisation at UP, at least in terms of its ambitions, is postgraduate student mobility. As can be seen in Table 13 the number of international postgraduate students at UP has increased almost six times from 1997 (186) to 2006 (1102). This is partially due to efforts on the part of the various faculties at UP to increase their research base.

Postgraduate students are seen as keys to research given their contribution to research projects being engaged with by the faculty staff, as well as their production of new knowledge through the research carried out for their dissertations. Thus, bringing in more postgraduate students from abroad is one of the key methods that UP is using, and plans to use, to increase its research capacity and output, and which will in turn make it the “globally competitive and nationally relevant” as well as “internationally recognised research university” that it hopes to be. For instance, an HOD stated that:

*International students coming to study here, that is one of the priorities of our department, especially at the postgraduate level...one of the priorities will be to develop extensively and to market seriously our postgraduate programme and we would really like to have more students coming from other African countries...this will be the new impulse to our postgraduate programme (I: Lubuma).*

**Table 13: International student enrolments at UP**

UNDERGRADUATE				POSTGRADUATE					TOTAL	
Year	SADC countries	Other African countries	Other countries	Total	SADC countries	Other African countries	Other countries	Post-doctoral associates/fellows	Total	
1997	46	2	86	134	113	10	63	0	186	<b>320</b>
1998	66	8	109	183	146	31	69	0	246	<b>429</b>
1999	110	13	131	254	178	53	90	26	347	<b>601</b>
2000	147	26	149	322	197	119	97	19	432	<b>754</b>
2001	200	36	188	424	241	212	132	22	607	<b>1 031</b>
2002	273	56	233	562	307	249	172	23	751	<b>1 313</b>
2003	347	101	274	722	333	285	251	25	894	<b>1 616</b>
2004	771	133	332	1 236	379	337	287	31	1 003	<b>2 239</b>
2005	718	168	337	1 223	422	307	277	34	1 006	<b>2 229</b>
2006	810	193	336	1339	462	357	283	40	1102	<b>2 441</b>

Sources: 1997 Stats from UP, 2001, p. 13 (1997); 1998–2005 stats from UP Bureau for Institutional Research and Planning, Management Information; 2007 stats from UP, 2007a, p. 29.

It is also clear in UP's new strategic plan that international student recruitment will focus on postgraduate students due to their role in research. One section of the plan (Objective 2.3: Attracting, selecting and retaining talented students), for instance, features a section titled, "The importance of recruiting postgraduate research students". This section clearly states that:

*In line with the University's goal of becoming an internationally recognised research university, the emphasis will shift to postgraduate work and research, especially in those disciplines where critical mass has been reached at undergraduate level to sustain departmental activities economically. Particular efforts will be made to attract science, engineering and research students, both locally and abroad ((UP, 2007a, p. 14).*

A subsequent section highlights further the importance of postgraduate students (including international ones) to the institution:

*The University has in the past and will increasingly in the future emphasise and encourage good postgraduate programmes that lead to research-based higher degrees. We will make every effort to attract and retain the best selection of postgraduate students from South Africa and abroad to participate in these programmes, thereby fostering the internationalisation of the University's activities. It is our intention to increase postgraduate, relative to undergraduate, enrolment so as to emphasise the importance of research for the University's reputation as an academic institution of note. The emphasis will be on research students (UP, 2007a, p. 19).*

Although both statements discuss domestic and international postgraduate students, it is clear from each that if there is going to be significant attention paid to international students and

their value and thus recruitment to UP, this attention is going to be on international postgraduate students.

<b>Table 14: UP total (contact) student enrolment and international student enrolment</b>							
<b>Year</b>	<b>Total Students</b>	<b>International students</b>					
		<b>Undergrad</b>	<b>% of total</b>	<b>Postgrad</b>	<b>% of total</b>	<b>Total Int'l students</b>	<b>% of total</b>
<b>1997</b>	26 004	134	0.52	186	0.72	320	1.23
<b>1998</b>	26 684	183	0.69	246	0.92	429	1.61
<b>1999</b>	26 723	254	0.95	347	1.30	601	2.25
<b>2000</b>	28 093	322	1.15	432	1.54	754	2.68
<b>2001</b>	30 272	424	1.40	607	2.01	1 031	3.41
<b>2002</b>	32 163	562	1.75	751	2.33	1 313	4.08
<b>2003</b>	34 196	722	2.11	894	2.61	1 616	4.73
<b>2004</b>	38 963	1 236	3.17	1 003	2.57	2 239	5.75
<b>2005</b>	38 499	1 233	3.20	1 006	2.61	2 239	5.82
<b>2006</b>	38 389	1 339	3.49	1 102	2.87	2 441	6.36

Sources: Total student data from: UP 1994 Annual Report, p. 6 (1989–94 stats); Van der Watt, 2002, p. 356 (1995–96) stats; Office of (BINEB) (1997–2006). International student data from: 1997 Stats from UP, 2001, p. 13 (1997); 1998–2005 stats from UP Bureau for Institutional Research and Planning, Management Information; 2007 stats from UP, 2007a, p. 29.

Table 14 shows that UP's international postgraduate student enrolment has increased from only 0.72% of the total student population in 1997 to about 2.8% in 2006. Whether or not this signals a significant increase is debatable. Also, since UP's undergraduate international student enrolment is currently higher than its international postgraduate student enrolment, the university will have some work to do if it hopes to raise the number and percentage of postgraduate international students, as its strategic ambitions indicate it would like to do.

One of the primary characteristics of the international postgraduate student issue at UP (and in much of South Africa for that matter) is the number of postgraduate students from the African continent, and particularly the Southern African region. As Table 13 above shows, the international postgraduate student complement at UP is dominated by students from the SADC region and other African countries. For instance, in 2006 there were 819 registered postgraduate students from the African continent (462 from SADC and 357 from other African countries) and 283 from countries outside of Africa. This is mirrored in the other years shown in the table as well. This clearly indicates that the majority of South Africa's international students come from the African continent, and demonstrates another area where UP's internationalisation is being engaged with to contribute to continental development, as discussed under the rationales for internationalisation at UP. In this instance, the contribution is being made through the academic training and capacity building of continental citizens who may take their new knowledge and qualifications back to their home countries.

It could be argued that students from the SADC region should not be categorised as international students because policies to which the South African government has committed state that SADC students should be treated as domestic students. This argument would be in keeping with the SADC Protocol on Education and Training (SADC, 19997) which states:

*Member States agree that within ten years from the date of entry into force of this Protocol, they shall treat students from SADC countries as home students for purposes of fees and accommodation (Article 7, No. 5).*

However, during the process of this research (spanning 2005–2008) the treatment of SADC students as home students had yet to be fully realised. For example, when I asked UP stakeholders during my interviews whether SADC students are considered as international students or as domestic students, as the policies claim they should be, I was told on numerous occasions that they are viewed as international students. One UP international student advisor informed me that SADC students are “...international...they are considered international” (I: Pienaar). I also posed the question to one of UP’s executive members:

**Researcher’s question:** *...with regard to the students, and specifically, for instance, the SADC students here at UP, are they considered international students or are they domestic students in principle? Do you have an opinion on that, whether SADC students should be considered international students or not?*

**Answer:** *Well, because of the SADC Protocol, they’re regarded as being in the same category as South African students. But I think that that’s an agreement which the states have made in order to make the flow of students in the region easier. But obviously they’re regarded as international students because they come from outside of South Africa’s borders (I: Crewe).*

The issue around SADC students being considered South African students in principle versus in practice is another area of research that could be further investigated. It also demonstrates one of the areas of contradiction between policy and practice that characterise UP’s internationalisation, which could also be reflected in the larger South African HE context.

In addition to the desire to bring in more international postgraduate students as part of this expression of UP’s internationalisation, there is also some attention being given to South African postgraduate students going abroad for short periods to conduct research and get experience at international venues. This is especially the case in the Faculty of NAS, where many of its centres and departments work actively to send their postgraduate students abroad, particularly through such programmes as the UP Postgraduate Exchange Bursary Programme.



*There is also a programme at the university for postgrad students for short visits abroad. Our faculty, with the contacts we have all over the world, has a vibrant programme for sending some of our PhD students to work for a month or so in a lab of an international expert (I: Ströh).*

According to data gathered from the office that administers this postgraduate bursary programme, Prof. Ströh is correct in stating that his faculty is actively taking advantage of the programme. This is evidenced in the fact that in the years 2004, 2005 and 2006 of the 13, 21 and 17 total awards given to students, over half of those in each year (7, 11 and 9 respectively) went to the Faculty of NAS. Over R970,000 was awarded to postgraduate students through this programme for those three years, and the Faculty of NAS took advantage of this funding by encouraging and supporting its postgraduate students to apply for it. It should also be noted that the Faculty of EDU is taking advantage of this postgraduate bursary programme too as many of its students have applied for and/or been awarded these bursaries to conduct research abroad (including myself in 2005). The participation by postgraduate students in this particular UP bursary programme (and the support given to students to do so by their faculty), underscores the fact that international experience for its postgraduate students, particularly for the purpose of research, is a key expression of internationalisation at UP.

#### **6.2.4 Summarising UP's primary strategic expressions of internationalisation**

The following can be said in summarising the primary expressions of UP's internationalisation discussed in the previous three sections (the current section included). It was clear that these expressions of internationalisation – international partnerships, collaborations and networks; increased international publications; academic researcher mobility (inbound and outbound); and postgraduate student mobility (inbound and outbound) – are strategically the primary expressions of the process at UP. It was also clear that UP had high hopes that these primary strategic expressions of internationalisation would result from, and/or in, more international research activities and outputs on the part of UP and its individual and collective constituents. However, these expressions of internationalisation are marked by contradictions between the intentions to engage in them and how that engagement ultimately unfolds, as the evidence (and lack thereof in many instances) demonstrates. This does not, however, negate the importance of these three expressions strategically to UP, and summarising their relationship can be seen in the evidence presented herein. It is also evident in the following extract from the newest strategic plan (UP, 2007a), which discusses the importance of international collaborations:

*The University of Pretoria moved from being a parochial institution to one that is increasingly recognised internationally. This position has largely been attained through the University's research activities. But, increasingly, research is becoming collaborative, with researchers working in teams, even if the members are spread across the globe. The impact of international collaboration is increasing, making it important to enter into partnerships with suitable institutions across the global. We intend on developing a structured policy on internationalisation to deal with these issues. Partnerships need not only be in terms of research; but may also lead to beneficial staff and student exchanges...Excellent academics may well be willing to teach for a term at an institution such as ours. We intend building these possibilities by offering visiting professorships to excellent academics from other countries. Furthermore, we will encourage members of the University to participate in international editorial and professional boards and panels (p. 32).*

This text shows that each of the three key expressions of internationalisation discussed herein is indeed of strategic importance to the institution. Furthermore, it demonstrates links between the three main expressions of internationalisation and UP's international research and international profile ambitions because they are each seen as part of the path to increasing research output and production.

#### **6.2.5 Less important expressions of internationalisation at UP**

Even given that UP is strategically engaging, and/or hoping to engage, more intensively in the three expressions of internationalisation just discussed, that does not mean that some of the other expressions of internationalisation are not present at the institution. For instance, the importance of mobility of people – including undergraduates, postgraduates, faculty and staff, and postdocs – to UP is evident in the claims that “the University also received 816 visiting researchers and academics. Of which, 311 were from South African institutions and 505 from 57 other countries...” (UP, 2005a, p. 17). In addition, as can be observed in Table 13 earlier in this chapter, UP has increased its numbers of international students almost seven-and-a-half times from 1997 (320 international students) to 2006 (2,441 international students). The upward trend in international student enrolments can be attributed to several factors. These include the opening up of South Africa (and particularly UP) after apartheid, and UP's desire to be an internationally recognised research university. This relates to UP having international students who can bring in new and different sets of knowledge and experiences, which many of the UP stakeholders with whom I spoke commented on.

What is important to note about this increase in international students is the difference in attitude at UP toward undergraduate and postgraduate international students. UP academics, researchers and administrators seem to have a common feeling that postgraduate international students are more crucial to the university than are international undergraduate students,

mainly for the reasons already discussed, but which include UP's significant research ambitions. The following exchange with one of UP's leaders illustrates the point:

**Researcher question:** *On the issue of students, do you see a role for international students in international research engagements?*

**Answer:** *I think we basically believe primarily that at the postdoctoral level it's important. We're kind of looking at bringing international postdocs to South Africa. We're also encouraging our researchers to actually go overseas and do a stint.*

**Researcher question:** *Is there any role for international undergraduate students? Any role period, whether they're coming or going?*

**Answer:** *I think in terms of coming...it would be much more of a marketing exercise...I don't see a major role for the undergraduate students [in research]. But masters and PhDs I do see a role, if we could attract masters and PhD students internationally. Because of the nature of questions that they could [help to] answer... (I: Jeenah).*

This particular UP leader was not the only person who gave the impression that postgraduate international students are more vital to UP than undergraduate students. Another HOD's statement further epitomised the collective thinking of many UP professional researchers:

*...are we talking about undergraduate education, because I think that is very different...at a research, postgraduate level, that is a place where you want to be in the global village definitely and in the sciences, absolutely...(I: Wingfield).*

A further and important illustration of this was in my conversation with another HOD who used the term "upgrading" several times when telling me that they currently have many exchanges of undergraduate students, but that they would like to "upgrade" that to the postgraduate level. To me, this signifies (and personifies) the prevailing thinking of UP academics and leadership that undergraduate exchanges are not seen as being as critical to UP as postgraduate exchanges, mainly because of research. So, again, this shows that not much emphasis or importance is placed on matters such as intercultural or mutual understanding. For example:

*I think the university of Utrecht agreement is a real exchange. It's on an even basis. They come here and we send our students there...But I think that... we should look for a way of really upgrading it. And in fact, that's one of the things we have discussed because at the moment its just at the undergraduate level... there's not much that one can do with that... We would like to see it going to the postgrad level, but at the moment, because we are a young department, what is happening is that it's just at the undergraduate level (I: Onwu).*

I followed up the above discussion by asking the HOD what the role of undergraduate students was:

*Well, they do have a role. As I said, with Utrecht it's on a faculty-wide basis. There are student exchanges at the undergraduate level, but what we want to do is we want to upgrade that to make that higher, you know, because at that level (undergraduate) you're really only visiting the schools and so forth, you're not going to go into research, but in the final analysis what they want is something that will give scholarship, that you can do things together. Of course, we are changing that, because we've now got a focus on undergraduate education because of the incorporation of the college. But that doesn't stop individual departments from seeking the kinds of partnerships that could be established (I: Onwu).*

And a final comment on the issue:

*I think it's always nice to have international diversity with your undergraduates. It's nice at any level, but I think it's crucial at the postgraduate level and at the undergraduate level I think it's less crucial (I: Wingfield).*

So, it is “nice” to have international undergraduate students, but it is “crucial” to have international postgraduate students. Also, the use of terms such as “upgrading” partnerships to include postgraduate student exchanges when they only include undergraduates supports my notion that the latter is not looked upon as significant in the same manner as the former. Owing to these prevailing attitudes at UP, an increase in international undergraduate students as an expression of internationalisation is not as key to UP as is the inflow of international postgraduate students.

Another area of internationalisation that is not a central expression at UP, and which relates to the issue of student mobility already discussed (and which is also evidenced in the few statements discussed above) is study abroad for South African students, and particularly UP's undergraduate students. One international student advisor told me that “management doesn't fund South African students...possibly because they're not thinking about it” (I: Pienaar). When I asked another international student advisor if management supported South African students wanting to study abroad, she told me that there was “...nothing for undergraduates unless we negotiate that with the partner institution directly” (I: Mphahlele).

Although the university does not seem interested in study abroad programmes for its students (particularly undergraduates), the two international student advisors quoted above believe that the students themselves are enthusiastic and interested in such activities.

[Study abroad] is very important but the problem is, we are having one-way traffic of students that are coming this side, and then from our side to send the students is difficult, because with the rand to the dollar it's very difficult. So our students would actually love to go for an exchange outside, but their money only covers for tuition waiving, but with transportation and their living allowance they're on their own (I: Mphahlele).

I had the following exchange with Ms Pienaar:

**Researcher question:** *From a South African student's perspective, based on the amount of inquiries you get, how important is it to them?*

**Answer:** *We never have enough opportunities to get information out to them, or to make them aware of opportunities. I would like to go out on awareness drives. I would like to have seminars or a two-hour session and say, these are the opportunities and this is where you can go and this is how it works. Any time I've had something like that, I get an influx of questions. But it would take two or three of us to be there. And put this information in a newspaper or student magazine or something like that (I: Pienaar).*

When I followed up by asking if students were interested in these opportunities, Ms Pienaar answered with an emphatic yes. However, she added that in her view support from the university as a whole was not always there to allow her office to provide students with the required information and opportunities, particularly at the undergraduate level. Further supporting my claim that undergraduate study abroad for UP students is not a primary issue of concern at UP, is the fact that no records are kept concerning the number of UP students (particularly undergraduates) who study abroad and/or where they are studying. I should, however, mention that one UP vice principal did say that there is some discussion and planning to introduce a bursary programme for undergraduate study abroad in the future. It is yet to be seen whether such a programme will indeed be introduced and how it will be utilised to increase and encourage undergraduate study abroad. In the meantime, this is an area where UP does not seem seriously and actively engaged.

### **6.3 Linking UP's international activity ambitions to its three primary rationales**

The previous three sections have discussed the three primary strategic expressions of internationalisation at UP, as well as some of the less visible expressions of the process. I will now demonstrate more clearly the link between the three primary expressions of internationalisation at UP and the reasons why the institution is internationalising in these manners (i.e. UP's three primary rationales for internationalisation discussed in Chapter 5). It became clear during my research that the three expressions of internationalisation discussed in this chapter were seen by UP stakeholders as the primary means of expression for UP. But they were also significant to the university due to their links to the university's communal

ambition of being an “internationally recognised research university” and thus its strong research ethos. As stated elsewhere, it is this research ethos that UP seems to be placing at the top of its agenda and which is a crucial element of its internationalisation.

Evidence of the relationship between the three primary strategic expressions of internationalisation at UP and their direct link to UP’s research ethos and ambitions can also be seen in the new structure of UP’s international relations office. During the course of my research, the UP executive voted to move the CIR office from under the direction of the executive director charged with institutional advancement and related activities, to the vice principal who oversees the university’s research activities. This also tied the CIR closely with the Office of Research Development and Support, which was also overseen by the same vice principal. Voting to place the CIR under the vice principal in charge of research<sup>14</sup> demonstrates that UP’s leadership sees its internationalisation and its research as intimately linked to one another. It is yet to be seen how this structural move will affect the internationalisation process.

In keeping with its research ambitions, I will now highlight some UP international research activities that seem to impact on its internationalisation rationales of global integration, continental/regional development and/or national development. These practical examples also underscore and support some of the arguments made about the overall developmental potentials of international research and the high premium placed on research by UP for these purposes. Additionally, these examples will demonstrate the active nature of some of UP’s and its faculties’ international agreements with institutions abroad.

Many research projects are being led by individual members of UP’s faculties of EDU and NAS, which demonstrates UP’s and its constituencies’ commitment to the overall research ethos of the university. Many of these research activities have an institutional (local), national, continental and even global impact in that they are addressing problems relevant to the latter three, leading to the training of individual researchers and practitioners across geographic boundaries as well as in South Africa, and at the same time increasing the standing and reputation of the institution itself. Although writing about all of the international research activities at UP and its individual members is not feasible or necessary here, one illustration from the Faculty of EDU and one from the Faculty of NAS should help to

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<sup>14</sup> At the time of this study Prof. Robin Crewe was the vice principal in charge of research. Coincidentally he is also the president of the Academy of Science of South Africa (ASSA), adding further evidence of the desire to link international relations tightly to research. The ASSA is one of South Africa’s primary organisations supporting and encouraging research as a vital part of the country’s development.

demonstrate the type of research undertaken at UP, and what difference it can make nationally, continentally and internationally.

### **6.3.1 Examples of UP's (international) research activities: Faculty of EDU**

One useful example from Faculty of EDU research on an international level that illustrates the local, national, regional and global developmental potentials of such activities can be found in the alternative and augmentative communication research led by the director of the faculty's Centre for Augmentative and Alternative Communication (CAAC). The CAAC's motto is: "Not being able to speak does not mean you have nothing to say". Its research and training seeks to provide new knowledge and platforms to help individuals who cannot speak clearly, or at all, to be able to communicate, as well as to help those who interact with such individuals to be able to do so effectively.

The CAAC's activities and strategies include a wide assortment of communication methods ranging from gestures and communication boards to assistive communication devices. According to its website, the CAAC:

*...is committed to making a difference in the communication and life-skills of people with severe disabilities, and in particular those with complex communication needs, by:*

- *Multi-professional and community training*
- *Research in the fields of severe disabilities, early childhood intervention and augmentative and alternative communication*
- *Influencing policy making impacting on the lives of people with severe disabilities. ([www.caac.up.ac.za/index.htm](http://www.caac.up.ac.za/index.htm)).*

In terms of the scope of the problem of communication nationally, continentally and globally, according to the CAAC:

*Internationally [inclusive of Africa] it is estimated that 1,5-2% of the general school population is in need of AAC services. In addition, it is known that approximately 20% of all people with little or no functional speech is cognitively within normal limits. In South Africa the prevalence of little or no functional speech (LNFS) seems much higher than in other Western countries: A study within the greater Pretoria, for example, showed that 39% of all children in schools for children with severe disabilities could be regarded as having LNFS ([http://www.caac.up.ac.za/what\\_aac.htm](http://www.caac.up.ac.za/what_aac.htm)).*

These numbers show the need for the CAAC's work and thus the problems which it intends to address through its research and training. The centre's research, which is guided and led nationally by a South African researcher, impacts not only South Africans but also other Africans and globally. The CAAC's research leads to the development of communication

techniques, strategies and programmes that allow young people particularly, who cannot communicate effectively or at all to be understood by those around them. CAAC developments have included cost-efficient low-technology tools such as communication boards for use in contexts of poverty and underdevelopment in which many young people in South Africa, the continent and the world live. Additionally, the CAAC's research has led to the development of computer-based assistive devices that rely on the movement of a person's head, hand or eyes to select icons on a computer screen that he/she can use to connect to the speaking world (UP, 2006b, pp. 55–56).

Although there are many difficulties with some of this technology – such as the issue of access to technology and trained therapists in the most vulnerable and needy places – the CAAC is continuously conducting research and developing communication packages that are simpler to use and which use situations and issues from South African, African and other developing country contexts. Doing so makes training and communication opportunities available for those who would not otherwise be able to utilise such opportunities. According to the centre's director:

*...we are basically helping people find a way to communicate. And that's from low-tech like picture boards that a kid can look at to high-tech software and technology. So we do the whole range...And we're the only training centre of its kind in Africa... (I: CAAC HOD).*

In addressing the communication issues of individuals with disabilities, the CAAC has national, continental and global reach, which can be illustrated by looking at one of its projects, the Fofa project. Fofa, which means “fly” in Northern Sotho, is an international research collaboration with Temple University in the US. The Fofa project was launched in 2005 to develop opportunities and strategies to identify young adults who have the potential to become employed after they have successfully acquired strategies to communicate, and to train them (and their employers) to be able to communicate and find employment. Specifically, the project includes training for individuals with communication difficulties as well as support systems to explore the labour market more aggressively and to become advocates for people with disabilities. During the week-long programme, the participants receive intensive training in life skills, employment and empowerment issues, planning for the future and various augmentative and alternative communication strategies.

On a national level, the Fofa project aims to address the need for young South African adults with severe disabilities, including communication problems, to be able to enter the labour



market, and to provide them with the communication ability to do just that and to interact on a personal, social and vocational level. On a continental level, some of the project's strategies and findings could be expanded to other countries in the region and continent with similar issues. Additionally, on a continental level, the CAAC's research and training in general is significant as it is the only centre on the continent that is dedicated solely to research and training in the field of augmentative and alternative communication intervention strategies for people with severe disabilities. The centre's activities allow it to share information and practices with institutions throughout the African continent. Additionally, the centre's training is being offered to individuals around Africa, and many of its materials and techniques are thus relevant and useful in other developing countries in Africa. Regarding global impact, since the Fofa project is a joint programme between a South African and a non-South African HEI, the techniques and knowledge being developed are shared with researchers and practitioners across boundaries.

Overall, the CAAC's research and its training of individuals is developing assistive communication technologies and strategies that will help not only individuals with communication difficulties overcome these difficulties, but also with those who might employ and/or interact with them on a daily basis, providing assistance on how to treat and communicate with such individuals, and how to utilise their services more effectively. In 2005, the CAAC trained nearly 6,400 individuals to use alternative and augmentative communication, and reached over 8,000 children, youth and adults (UP, 2006b, p. 56). Clearly, from the type of research and training activities it engages in, the CAAC serves as a solid example of how the Faculty of EDU (to which it belongs) supports and contributes to the overall strong research ethos at UP. I will return to this issue of research, and specifically the international nature of it, shortly; however, an illustration from the Faculty of NAS and its research ethos is also in order.

### **6.3.2 Examples of UP's (international) research activities: Faculty of NAS**

Like the Faculty of EDU, the Faculty of NAS buys into the importance of research and particularly international collaborative research that emanates across the UP environment. The research being done in the Faculty of NAS, led mainly by individual professional researchers, also has local, national, regional and global significance. A prime example is research on water resource management. As water is a global resource, such issues as exposure to unsafe drinking water, water-borne diseases such as cholera, and the use of water for farming and irrigation, impact individuals the world over. Finding effective ways to

manage water and deal with such issues is thus of primary concern to professional researchers throughout the world, including those at UP.

As such, research being led by UP professional researchers such as Prof. Eugene Cloete, head of UP's Microbiology Department and chair of the School of Biological Sciences, and who also serves as the co-leader of the Southern Education and Research Alliance (SERA) Water Task Team, demonstrates the institution's commitment to research and particularly to the issue of water management. The 2005 UP Research Report states that the budget for the university's Water Resource Management programmes was R4.5 million, involving 16 researchers, 31 students and producing 11 publications (UP, 2005b, p. 41). Along with Prof. Cloete, these individual professional researchers and students worked together to address many of the national, regional and global issues related to water management, which were highlighted earlier.

Additionally, under the leadership of individuals like Prof. Cloete, SERA has facilitated an international collaborative alliance between UP and the Georgia Institute of Technology (Georgia Tech) in the US to establish an interdisciplinary graduate education and technology transfer institute. The institute aims to support the sustained development of African engineers and scientists to address global and African challenges in natural and energy resources, economic development, climate variability and change, food security and public health (SERA 2006). The new institute is a collaborative effort that produces research and trains individuals from the participating countries in water and energy resource management. It is particularly concerned with increasing the number of trained individuals on the African continent, because, according to SERA, African countries have on average only 18 scientists and engineers per million people, compared to 69 in southern Asia, 273 in Latin America and 903 in eastern Asia. SERA seeks to change these statistics by building on the experiences of the institutions involved. In collaboration with the Centre for Environmental Studies at UP, the institution offers masters and doctoral degrees in Water Resources Management, and has graduated over 40 students in the past five years (ibid).

The research and activities coming from these research collaborations are having a global impact because they are addressing the global issues of water and energy resource management. Continentally, although the institute began as a partnership between a South African and a US university, there are plans for it to expand to other African nations as well, in an attempt to train individuals and build research capacity throughout the continent.

Finally, on a local level, the research and activities of the institute are reaching individual graduate students helping to train them, as well as producing research that can be used to support water and energy resource management throughout South Africa. SERA is also trying to make its expertise and research available through distance education methods, to reach an even larger population.

According to SERA: “With the establishment of the new Institute, will come a lasting mechanism for the continuous development of technical professionals, facilitated by the provision of valuable services, the generation of new knowledge and the creation of human resources needed for government agencies, regional and national water resources centres, industry and academia” (ibid). These are methods in which the UP research agenda – and particularly the international collaborations part of that agenda – is having an impact. Since this impact is being felt on the national, regional and global levels, the UP professional researchers involved are providing the university with recognition and standing vis-à-vis the type of professional researchers it produces and employs.

#### **6.4 Further on UP’s international activities and their developmental impacts**

As the two previous sections attempt to show, UP’s international activities are tied strongly to its research ethos, and such activities have an impact locally, nationally, regionally and globally. In addition to examples such as these, the activities of individual UP professional researchers seem to be what the institution is banking on to reach the earlier mentioned goals of being an “internationally recognised research university” and “globally competitive and internationally relevant”. This is evident in the answers (some featured below) given to my question: how do UP’s international activities make it both globally competitive and at the same time nationally relevant?

*...globally competitive relates to the fact that we publish in the best journals internationally, and have top researchers that are contributing to world knowledge (I: Jeenah).*

*Mainly through individual people...the fact that several of our faculty now take leadership roles in international organisations. So, I think you’ll find a whole lot of people as individuals beginning to play leadership roles in international professional organisations and academic ones that we didn’t have before (I: Jansen).*

*We’ve published more and more overseas. Some of our staff members have won scholarships from overseas...So people are getting more and more genuine invitations to read and present papers internationally...So that just gives you a picture of the increased activities and how they have intensified (I: Beckmann).*

*Yes, again, we leave it up to the individual. Like in our case...what does happen is mostly people driven (I: Beckmann).*

Another illustration was given to me by Prof. Cloete when we discussed the nature of research being done in his faculty and what, if any, global and local impacts it was having:

*As an example, there is a group that is producing a local fermentation called PING, which is very relevant and popular in the Northern Province. We've isolated the bacterium that produces it and we've improved it and checked the quality of this product so that we can use it and do something that people like. And that, we did with molecular biology, but the practical thing was we can actually use this product for people in rural areas. And out of this, we can develop a whole commercial industry which will provide jobs and which will stimulate the economy in that particular environment. So this comes as local relevance. We would start with the initial knowledge and we would publish that in an international journal, not in a local journal, even though it is a problem that is very localised. But the technology there is equivalent to production that is done elsewhere and the techniques that we used to identify the organisms are clearly advanced and can be used elsewhere (I: Cloete).*

I then asked for more elaboration on the global reach of such national research being done at UP:

*...the outcomes of that have interested people all over the world that started with a very localised product. It's the same with the water supply. We've developed techniques that are used here that have relevance internationally and especially in the rest of the developing world. Same with South America. I mean there might be someone there that has a product that's never been commercialised and this [what UP has done] might give them some indication of how you actually go about standardising the product and commercialising their local product for the global society, as well as producing it on a larger scale for that particular country or region (I: Cloete).*

When I asked about “personal” international activities, I received an interesting answer that sums up the “collective individualism” mindset among the professional researchers in departments within the Faculty of NAS:

*My professional activities are tied in with the activities of the Centre for Environmental Studies. It's not personal activities as such. They are all professional in nature and thus tied to the centre and the faculty. So, it's hard to draw a distinction between what my professional activities are and those of the centre. They go hand in hand (I: Ferguson).*

Comments such as those highlighted above present examples of how UP researchers are engaged in international research activities that not only impact upon them and their faculties and UP, but also on the international networks. These take the form of involvements with global or regional networks working together to network and address issues of global concern, while also allowing the UP researcher to build relationships and knowledge that may

assist him/her with addressing problems directly relevant to South Africa. The point to be made is that international research partnerships and activities can and do have a local, national and global impact.

## **6.5 Synthesis**

It can be seen from the evidence presented here that UP has specific strategies and ambitions concerning its internationalisation and how it hopes to engage practically with the process. These ambitions are part of its overall transformation agenda, and the university hopes to express its internationalisation primarily through activities that will enhance its pursuit of an international research agenda which will contribute to it being globally competitive and nationally relevant. The path to this international research agenda takes the strategic form of the three primary expressions of internationalisation discussed in this chapter, namely: international collaborations, networks and partnerships; faculty and researcher international mobility; and postgraduate student mobility.

Thus, the very nature of UP's strategic approach to these expressions of internationalisation – and the increased intensity with which it hopes to engage in these expressions – supports the notion that internationalisation, as defined herein, is a process that is unfolding at UP. Although the pursuit of the internationalisation objectives is not an uncontested, non-contradictory process at the university, there does seem to be consensus among the stakeholders that internationalisation, and particularly international research activities, are key and that the three primary expressions of internationalisation discussed herein are going to help achieve those ends.

However, given the inconsistencies in the evidence of UP's internationalisation expressions presented in this chapter (e.g. UP's relatively low percentage of international postgraduate students in relation to the desired increase in that percentage), one can conclude that the university is still in the beginning to middle stages of its internationalisation process. The lack of available evidence of its internationalisation, primarily due to inadequate systems for tracking and reporting on the international activities of its faculties, researchers and students, also supports this argument concerning the level of internationalisation at UP. Nevertheless, UP believes that the international research collaborations of its faculties – and more specifically its individual researchers, which support and/or lead to international research activities and outputs – will ultimately lead to its communal ambitions of being an internationally recognised research university that is nationally relevant and globally

competitive. The dilemmas, contradictions and inconsistencies between its internationalisation ambitions and its internationalisation in practice form part of the overall analysis of my data, which is where I now turn.

## CHAPTER 7

### FINDINGS, CONCLUSIONS AND CONTRIBUTIONS

*...South African higher education can achieve competing goals at the same time. This, in turn suggests that institutions can also address internationalisation while simultaneously achieving national development goals... (Kotecha, 2006, p. 108).*

#### 7.0 Introduction

In Chapter 3 I outlined how I would collect and organise my data; and in the previous three chapters I presented that data following those organisational and analytical methods. As such, I have attempted to present a clear picture of why and how internationalisation is occurring at UP and have discussed the role of the institutional constituents (in this case the faculties of EDU and NAS) in that process. In this final chapter I will present my interpretations and analysis of the UP case in order to address directly my key research questions. In doing so, I first place my data within the scope of a portion of the existing literature discussed in my study, to show how UP's internationalisation conforms or differs from why and how the process is occurring elsewhere. Second, I place my data within the framework of the "developmental settlement" to help guide my findings and to understand and interpret these findings with regard to how UP is addressing the "dual development challenge" and what new knowledge this generates. In following this pattern, and through the examination of one university as my case study, I suggest that my conclusions have addressed the question as to how one HEI responds to internationalisation given the dual imperatives of national development and relevance on the one hand, and global integration on the other. Understanding and addressing this question within the context of UP provides a platform for me to discuss insights into the other key research question, namely: what can be taken from the meanings and motivations underlining the UP example which might provide insights for the broader internationalisation of HE scholarship and practice?

I found in my study that in pursuing its internationalisation ambitions, an HEI can mediate a developmental settlement; however, the terms of that settlement are not prescribable, are contested and often contradictory, and will differ according to their institutional context. In supporting my argument, I make two central points that can be explicated from the UP case because of how it is engaging with internationalisation within the context of the dual development challenge. First, as the method that UP chooses to pursue and mediate its own developmental settlement is via the ambitious and enthusiastic engagement with an international research agenda, I suggest that an HEI's research pursuits and outputs may have

an impact on both the national development and global competitiveness ambitions of the institution.

Second, the mediating terms and thus outcomes (intended or unintended) of the developmental settlement within the context of the institution's internationalisation are heavily dependent on individuals within an institution, and even more specifically on their collective thoughts and activities – what I term “collective individualism”, which is explained further in Chapter 7.3.2. These individual and collective individual thoughts and activities, in the UP case, are tightly linked to the university's communal objectives of an ambitious and enthusiastic research agenda, which links my first point to this second one. This ambitious engagement with a research agenda is particularly evident in UP's internationalisation; and even more specifically in the desired expressions of its internationalisation, which are predominately research related and are part of UP's main strategic thrust. Thus, as the following analysis will show, UP's response to internationalisation given the dual development challenge of national and global imperatives has taken the form of a conscious or unconscious pursuit of a developmental settlement via the ambitious and enthusiastic engagement with an international research agenda. The characteristics of these pursuits will become clearer in this chapter.

### **7.1 UP's internationalisation from the lens of existing scholarship**

Placing UP's internationalisation within the scope of existing literature on internationalisation of HE and related topics is useful to my analysis for at least two reasons. First, it provides a context in which to understand UP's internationalisation in relation to what scholars argue and theorise is happening at HEIs around the world. Second, it allows for an expansion of the literature by highlighting areas where the characteristics of UP's internationalisation either contradict or unfold in ways not yet theorised in existing scholarship. These areas of conformity and/or contradiction between UP's internationalisation and internationalisation elsewhere, provides some useful data and helps with my overall analysis.

Clearly, from what has been argued in existing scholarship, internationalisation is one of the methods that HEIs worldwide are using to address changing and intensifying global trends often referred to as globalisation (Teichler, 2004; Altbach, 2002; de Wit, 1999). For instance, Altbach (ibid) argues that “...internationalisation refers to the specific policies and initiatives of countries and individual academic institutions or systems to deal with global trends” (p. 1).



UP is no exception, and, as I have shown, a significant part of its strategic agenda is internationalisation, largely due to its ambitions to address globalisation and its challenges.

Scholars have also theorised and conceptualised internationalisation in attempts to develop working definitions of it (Knight and de Wit, 1997; Ellingboe, 1998; Altbach, 2002; Bartell, 2003; Knight, 2003b; Cross et. al., 2004; and Knight, 2006). In the first chapter of this study I discussed several of those definitions of internationalisation, and based on some of their shortcomings, I built on and extended these scholars' definitions. As such, the definition of internationalisation as utilised in this study has been: the process of more strategically and/or intensively engaging in international activities to help prepare HEIs and their constituents for participation and survival in an increasingly interconnected global environment. Thus, in the light of the evidence presented herein, the question could be raised: is UP internationalising according to this definition of internationalisation?

The university has high ambitions to internationalise and is at the least attempting to be more strategic with its international activities. However, according to my evidence and data, the strategies that the university wishes to utilise in terms of its international activities have not completely translated into more intensity in those activities. There are some signs of the intensity of its international activities picking up, according to what constituents have told me during interviews; however, the measurable signs of that intensity are not so transparent and available at UP. This then seems to signal that although UP wishes to internationalise, it is only doing so slowly. As such, its response to internationalisation has been to embrace the process as an imperative for the university. But more work needs to be done in terms of intensifying its international activities and systematically keeping track of those activities. In short, given the ambitions and some examples of new and strategic international activities which I have highlighted in various points in this study, there is evidence that the university is internationalising, albeit slowly.

I found several other areas where internationalisation as it is described in existing literature relates to UP, and specifically where some interesting points of intersection, interaction and contradiction can be noted. One primary area of intersection between UP and existing internationalisation scholarship is Davies's (1992) theories of "institutionalising internationalisation". Another area is the literature on internationalisation of HE and HE transformation (Chapter 2.3) as well as the literature on "comprehensive internationalisation"

discussed in Chapter 1.7. These three thematic areas found in existing scholarship resonated with my research and assisted me with the analysis of my research puzzle.

### **7.1.1 On the literature: Institutionalised internationalisation – Davies’s matrix**

In Chapter 1.7, I discussed Davies’s (1992) theory of “institutionalised internationalisation” whereby the author argued that institutionalisation of a university’s internationalisation could be viewed along two continuums – one from ad hoc to marginal and another from systematic to central. In illustrating these two continuums Davies developed a matrix comprising four quadrants, which can be found as Figure 2 (see page 27). In leading toward addressing my main research questions, it is useful to interrogate where UP would fit in Davies’s matrix, as this might help ground the university and its internationalisation process more firmly in existing internationalisation scholarship.

In this regard, I did not find enough conclusive evidence to place UP firmly in any one of Davies’s quadrants. I found that UP had characteristics of several of the quadrants and particularly of quadrant A (ad hoc to marginal) and quadrant C (ad hoc to central), but it is difficult to place it fully in just one quadrant. A full description of each quadrant is provided in Box 1 (see page 28) and so it is not necessary to describe them here again. However, an illustration of how UP relates to some of the characteristics of quadrants A and C will demonstrate my point that it is difficult to place UP in just one quadrant.

Quadrant A is characterised by a relatively small amount of international business (i.e. just some overseas students, a small amount of consultancies, a small amount of international institutional agreements), while quadrant C is characterised by a considerable amount of international business. I believe that UP is engaging in a considerable amount of international business. In utilising international business as a characteristic, I do not interpret Davies to mean only international activities that bring in money or involve only financial transactions. As Davies’s entire theory of institutionalised internationalisation, and thus the development of his matrix, is premised on a university engaging in several types of international activities that include but are not limited to those that are financial in nature, I find that he is more generally referring to international “business” here as all of the international activities of a given university.

In terms of the types of international business or activities at UP, I found that there were a significant amount of international activities across different sectors of the university, but

primarily, as indicated elsewhere, keeping in line with its research agenda. One of these is its international institutional agreements, of which UP has a significant amount (96 as of 2007). However, as is characterised by quadrant C, although there are a large number of agreements, according to UP constituents many of these are not operational. However, as I have noted, it is difficult to fully interrogate which agreements are active and which are inactiveness given UP's lack of systematic and coordinated methods of monitoring and evaluating its international agreements.

Additionally, the university's international business is a significant portion of its research collaboration, as international research collaborations have accounted for 55% or more of its total collaborations on research since 2002, as showed in Table 14 (see page 159). Finally, in terms of its international business, UP does have a significant amount of international publication as is indicated by the fact that more than 75% of its credited, published journal articles have appeared in journals found in international publication indices. These are some examples of the international business or activities in which UP is engaged, which give it characteristics of quadrant C of Davies's matrix.

However, Davies characterises quadrant A as having research linkages that are largely confined to motivated individuals. This adequately describes the research linkages at UP, as I have attempted to highlight in this study. The majority of UP stakeholders seem to hold the view that it is through the connections and actions of its individual researchers that it will best be able to take advantage of internationalisation. As such, the support that is offered in terms of financing, for instance, is geared toward supporting individual researchers' international mobility. This support for and ultimately the attitudes of UP stakeholders toward individual researcher international mobility and research output, seems to follow with the characteristics of quadrant A of Davies's matrix. The issue of individual researchers and their international activities is an element of UP's internationalisation that I will focus on more shortly.

Another area where UP is best characterised by the factors in quadrant A as opposed to quadrant C, is in terms of the financing of international activities and what Davies describes as their variable and unsystematic nature. As demonstrated in Chapter 6.2.2 while discussing the academic and professional mobility of UP staff, the university claims various amounts of financing that go to support international activities of its staff. However, the financial monitoring and tracking systems and databases that would allow for a more thorough interrogation of and/or reporting on the quantities of UP and international researchers taking

advantage of such financing, points toward variability and unsystematic financial systems in place at UP. These unsystematic systems are characteristics of quadrant C of Davies's matrix.

UP also has the characteristics of quadrant C with regard to its curriculum. There was no sign of any coordination of the international elements of UP's curriculum. In fact, only one of the UP stakeholders that I interviewed brought up the issue of the curriculum as an important element to the university's internationalisation when she told me that:

*Even something as basic as your curriculum needs to be addressed because that is an area that is totally neglected at the moment in terms of internationalisation (I: Rajah)*

Ms Rajah's comment and the silence of other UP stakeholders on the issue of curriculum as an element of the university's internationalisation support my notion that this aspect of internationalisation at UP holds true with Davies's characterisation of curriculum in quadrant C.

In terms of the support services for internationalisation as they are characterised by Davies in quadrant C, UP does not seem to have fully geared its support services toward international efforts. For instance, in terms of its international student support, as I was told by international student advisors, the university does not have systematic ways of supporting international students at UP. There are international student orientations and an international student organisation is supported by the university; however, the orientation is a once per term event and the international student organisation was largely inactive during my stay at the university. UP stakeholders, particularly in the NAS faculty did tell me though that they offered a significant amount of support to the postgraduate international students studying in their faculties. Nevertheless, this support did not seem to translate well as a systematic or coordinated service for international students outside of a particular faculty.

These illustrations show that UP has characteristics of at least two of Davies's quadrants – A and C. As such, this points to a potential pitfall of using Davies's matrix, which might occur when a university does not meet the specific criteria for any one quadrant. In a case such as UP when several characteristics match one quadrant while others match another, one might be left asking where the university should be placed. However, given that the quadrants are based on continuums and not specific points in time, Davies's matrix is still a useful model to help scholars and practitioners gauge movements in a university's internationalisation process because it helps to demonstrate what levels of specific international activities a university

might be at. This then might help a university to determine if it is meeting its own international ambitions (whatever those might be) or if it needs improvements in some areas. If improvements are needed, a university can then move along one of the continuums in whatever direction might be most appropriate to its own international ambitions.

### **7.1.2 On the literature: Internationalisation and transformation; campus-wide and comprehensive internationalisation**

In addition to placing UP within the context of Davies's (1992) matrix, two other areas of interest for my study in terms of internationalisation literature, and where UP fits in among it, are the issues of internationalisation of HE and transformation of HE and the literature (related to Davies's theories) on campus-wide or comprehensive internationalisation. I argued in Chapter 2.3 that it is useful to place internationalisation of HE within the context of education change theory in order to better understand it as one of the responses to the many challenges faced by HE in a globalised world. This argument holds true in the case of UP as it engages with internationalisation in both word and deed, in order to address these globalisation challenges. As Enders (2004) and Johnston and Rowena (2004) argued in their own respective terms, internationalisation is "contributing to, if not leading the process of rethinking the social, cultural and economic roles of higher education..." (Enders, 2004, p. 362). This rethinking of social, cultural and economic roles is characteristic of the transformation agenda in South Africa as a whole, and at UP specifically in the case of my study.

As statements and UP strategic documents highlighted earlier indicate, as part of its transformation imperatives, internationalisation is an important element at UP. This is particularly evident as the institution continues to try and distance itself from its historical legacy and moves toward an agenda of transformation that seeks to be "globally competitive and locally relevant" and an "internationally recognised research university". Both of these are transformational goals that UP is pursuing in large part through internationalisation. In this sense, UP's internationalisation follows a path similar to what these scholars have argued concerning the process and its role as both an agent of and for transformation. More specifically, the areas of UP's transformation agenda that include internationalisation manifest themselves in a strong research ethos at the institution, which is tied closely to capacity building vis-à-vis its individual researchers, its functional parts, and ultimately of South Africa, the rest of Africa and globally.

In terms of this research ethos, one can draw at least two conclusions that will help to position UP's internationalisation within and then beyond the context of existing scholarship. First, much of the institution's research, according to my data, is tied to ambitions of both global competitiveness and of national development (the two sides of my dual development challenge), as well as a desire to contribute to continental and regional development and integration. Table 15 below illustrates how UP is pursuing part of its transformation agenda through internationalisation, manifested in specific means of achievement.

<b>Table 15: Pursuit of transformation through internationalisation</b>	
<b>UP's TRANSFORMATION AGENDA</b>	<b>CHOSEN INTERNATIONAL MEANS OF ACHIEVING</b>
Global integration	Competitiveness, profile and recognition
	Pursuit and transmission of knowledge
Continental/regional development and integration	African empowerment
	Capacity building and training
	Addressing of African developmental issues
	Getting know Africa and Africans
National development	Human resources and capacity building to contribute to addressing South Africa's developmental issues/problems
	Human resources and capacity building to contribute to a national system of innovation

The second related point that helps to position UP's internationalisation within the context of existing scholarship, and which allows me to expand upon that scholarship, is that the institution's research is primarily carried out and supported via the activities of individual researchers at the institution and is designed to improve individual capacities, which would ultimately lead to institutional and eventually country-wide capacity improvement. This follows the thoughts of scholars as found in the Conference Report (1998), where it was argued that internationalisation can and does often play a significant role in building these capacities. However, it differs from the underlying arguments of campus-wide or comprehensive internationalisation (Lutabingwa, 2006; Welch, 2004; ACE, 2003; Knight, 2003a; Hamrick, 1999; Ellingboe, 1998; Johnston and Edelstein, 1993), in that instead of focusing on institution-wide programmes, policies, etc., at UP the overwhelming majority of the people who took part in my study indicated that it is through the strength of the individual that UP's research is helping it to internationalise in the ways it needs to.

One HOD summarised this when we talked about how internationalisation, and particularly international research collaborations and partnerships in the Faculty of EDU, were having an impact:

*We leave it up to the individuals. Like in our case...what does happen [in terms of international research collaborations] is mostly people driven (I: Beckmann).*

Countless other similar statements were given to me as I probed the process of internationalisation at UP and through its faculties. These statements all led me to conclude that UP stresses the development of individual researchers and their abilities to establish, lead and carry out international research collaborations and projects, as opposed to an institution seeking to create institution-wide policies on internationalisation to guide and direct whole faculties/departments or the institution itself. Also, it is the use of its research – and particularly its international research collaborations and activities led and carried out by its individual researchers – that UP believes will lead to the building of individual and institutional capacities, and thus contribute to the success of its transformation agenda. As such, internationalisation and transformation, as has been shown elsewhere in this study and as argued by scholars (Enders, 2004; Johnson and Rowen, 2004), are tightly linked at UP. However, conversely to what scholars argue about campus-wide or comprehensive internationalisation and its characteristics (Lutabingwa, 2006; Welch, 2004; Knight, 2003a; Hamrick, 1999; Ellingboe, 1998; Johnston and Edelstein, 1993), internationalisation at UP is not occurring through those means but through individual and collective individual agency, and particularly through the research activities of these individuals and groups.

## **7.2 UP and a “developmental settlement theory for internationalisation”**

In following these arguments about UP’s internationalisation process and its relations to existing scholarship on the topic, my study foregrounded that UP is indeed engaging with the process (albeit slowly) and that it is in fact one of the areas of transformation at the university. Internationalisation at UP is a strategic imperative aimed at helping the university to achieve several transformational objectives, including global integration, continental and regional development, and national development, through the various means summarised in Table 15. UP’s internationalisation as an imperative of its transformation agenda manifests in the motivations for the university to be: internationally competitive and nationally relevant; and an internationally recognised research university. These dual motivations signal UP’s desire to address both sides of the dual development challenge and thus to achieve some form of a “balancing act” between the national and global imperatives.

In attempting to interrogate how UP is working to achieve such a “balancing act” as it responds to internationalisation within the context of the dual imperatives of national and

global development, I had to choose an appropriate theoretical vehicle that would help to understand, analyse and explain my data. Thus, as described in Chapter 2.7, the primary theoretical vehicle used to make sense of my data was an expanded version of Smyth's (1995) and particularly Subotzky's (1997a and b, 1999a and b) notion of a "settlement". My utilisation of their settlement theory has been extended and is framed as a "developmental settlement theory for internationalisation". In providing an understanding of a developmental settlement I have already described in this study the two sides of the developmental challenge (national and global) in which my study is concerned. Thus, in the context of my study the pursuit of a "developmental settlement" consists of an HEI's attempts to address, through specific activities, actions and policies, national developmental needs at the same time as global integration and competition ambitions.

In following this understanding of a developmental settlement, according to my expansion of Smyth's and Subotzky's usage of it, I probed what I saw as the primary intellectual underpinning of their settlement theory. Subotzky particularly argued that a "settlement" is an unstable truce characterised by many contestations and contradictions (1997a and b, 1999a and b). There were many illustrations of this unstable truce at UP, evident in the many contestations and contradictions between the ambitions and practices of its internationalisation in the pursuit of its "developmental settlement". By interrogating these contested and contradictory elements of UP's pursuit of a developmental settlement, I was able to make sense of the volumes of data I gathered and thus to provide answers to my key research questions.

However, before moving on to discuss the contested and contradictory nature of UP's internationalisation during its pursuit of both global and national development, I find it interesting to look at UP's perception of this pursuit. When explaining in an earlier chapter my use of the development settlement as my theoretical framework for this study, I listed as one of the shortcomings of Smyth's and Subotzky's settlement theory, the issue of whether an HEI even believes one was possible and/or should be pursued. What I learned concerning whether or not UP stakeholders feel that the pursuit of a settlement is something they should be engaged in, is thus a crucial part of my analysis. In addressing the perceptions of a developmental settlement from a UP perspective, there was a common thread throughout my conversations with stakeholders, which seemed to be supported by the documentary evidence I collected, that a settlement could and should be pursued by the university. It was clear that the majority of individuals I spoke with believed that a developmental settlement is both



possible and necessary for HEIs to pursue. An appropriate and good representation of the thinking of those I spoke with can be deduced in this comment from one UP leader as we discussed whether or not UP's international pursuits would negatively impact on its national ones:

*I don't think there is a conflict at all...every country needs really, expertly trained people. And you can only really train world-class people in a world-class institution. So, the fact that some of the research may be in fields that are not that specifically "South Africa", and there may be fields that are not [specifically "South African"]. I don't think that's the issue. The issue is that most of this research is done in the training of excellent South Africans (I: Melck).*

Comments such as this demonstrate that UP believes its research endeavours, even when they seem globally focused, still have an impact on national development, and in this case, in terms of training of individuals and their individual capacities being strengthened. This demonstrates that UP does not find the global and national imperatives to be in conflict with one another. This reinforces UP's belief that its strategic focuses of being an "internationally known research institution" that is "globally competitive and nationally relevant" are intimately tied to the international research activities of its individuals and departments. As such, while engaging in international research activities in partnership with fellow researchers, postgraduate students and, to a lesser degree, undergraduate students, UP is able to interact with global research knowledge production, while at the same time using that knowledge to address national needs, and vice versa.

An illustration of these global research partnerships that are impacting on the capacity and recognition of national individuals (and thus the country) can be seen by looking at the research being done by the Faculty of EDU's CAAC, highlighted in Chapter 6.3.1. This centre's research entails that department and its researchers working with researchers abroad in efforts to find solutions to "help people find a way to communicate" where they cannot communicate verbally. By engaging in these international partnerships, the researchers involved (some South African others non-South Africa) are addressing a problem that is relevant to South Africa as well as elsewhere. In the research process, postgraduate students involved in the project are being trained (with hands-on experience) in research methods and are developing ways to address these communication problems. The capacity of the researchers involved is also being built up through their participation and exchange with other researchers and research methodologies.

There are, of course, many other examples of this type of international research partnership that is having a global and a national reach, as well as a local one in that it is benefiting UP as well through name recognition and profile, and even in terms of research funding coming into the institution for projects such as these. The point to be made through the communications research illustration is that UP does believe this type of “developmental settlement” is possible; and the primary method it seems to be using to make this a reality is via the university’s international research partnerships and activities. Thus, the perceptions of a developmental settlement at UP are that one can and should be sought. In fact, the perceptions of it are that it is unavoidable on the part of UP, and that the university must address both global and national developmental imperatives.

One might argue that if the institution sees global and national developmental imperatives as not being in conflict with one another, then there is no need for them to “settle” anything. However, my counter argument to that would revolve around the practicality of an institution’s ability to actually address both national and global developmental imperatives. It is well and good for an institution to say that it needs to and will address both national and global imperatives, but what that actually means and looks like in practice is another issue. Thus, this study sheds light on how this is possible in practice, through the examination of one university’s pursuit of national and global developmental imperatives, or what has been termed a “developmental settlement”.

Since UP believes that such a developmental settlement is possible and that one should be pursued by the university, the question that arises is: what are the contested and contradictory elements of that pursuit? In addressing that question in the case of UP and its internationalisation, as I gathered my data, I found several key contested and contradictory elements having effects on and characterising UP’s internationalisation and the pursuit of its developmental settlement. These contested and contradictory elements were something that I alluded to at varying points in Chapter 6 during the presentation of data concerned with the characteristics and expression of internationalisation at UP, but are something that I would now like to focus on as a significant point in my analysis. Each of these contested and contradictory elements plays some part in UP’s pursuit of its developmental settlement and, as I will illustrate, its ability to address the dual development challenge. In the UP case, these contestations and contradictory elements of its internationalisation process as it pursues its developmental settlement also follow with what Davies (1992) argues concerning internal tensions that may arise at a university while determining its path toward internationalisation.

However, I discuss these tensions as contestations and contradictions, as will be seen in the next two sections. Additionally, as will be seen, there are some areas of overlap where contested elements at UP could also be viewed as contradictory. I first turn to discussing the contested elements of UP's internationalisation and the pursuit of its developmental settlement.

### **7.2.1 Contested elements of UP's pursuit of a "developmental settlement"**

In terms of contestations I am referring to the differing opinions and ideas of individuals at the institution in terms of how one says something should be occurring versus how another says or perceives that something to be occurring. I found two principal areas of contestation within UP's pursuit of a developmental settlement via its internationalisation ambitions. The first major area of contestation is around the need for a written institutional policy on internationalisation. The second area of contestation is the issue of where the leadership of internationalisation at UP should come from.

As I talked with UP stakeholders it became evident that some believed there needed to be a written institution-wide policy to help guide and regulate the university's internationalisation, while others did not believe this would be a useful exercise. These counter-arguments are summarised in the following "pro-policy" statement, followed by an "anti-policy" statement given to me by two UP stakeholders. The first comment, which I highlighted elsewhere in this study, was in response to my question as to whether the interviewee believed that UP needed a comprehensive institutional policy on internationalisation. This comment is repeated below as it demonstrates the pro-policy mentality at UP:

*Yes, because otherwise every person X in Faculty X, decides oh, I can do with a link here, then off they go, but there's no one to actually, I hate the word control, but there's not monitoring and control of that link, to say is it good for the institution, or what value is it to us, how does it add value to our programmes, our academic programmes, etc. (I: Rajah).*

Another stakeholder's view, however, epitomises the anti-policy school of thought on the issue of an institutional policy:

*I think that we must leave academic freedom of what they want to do (staff and faculty) how they want to do, so that they can develop themselves. And I don't think this can be regulated. You cannot say, if I asked you, now I want you to be a famous composer, can you do this? Probably not. Me neither. So it doesn't help. You cannot plan that (I: Cukrowski).*

What this demonstrates are the different schools of thought at UP concerning the need for a written internationalisation policy. There is currently no such policy at UP, although, as stated elsewhere, the institution has intentions to develop and put one into practice. However, the contestation over its need is one of the main reasons that the policy does not currently exist. This contestation has led to it being difficult for stakeholders to buy in to the idea of an institute-wide policy, for fear, as is indicative in Prof. Cukrowski's comment, that there would be a loss of autonomy when it comes to the international engagements of the individual faculties and their researchers. The current discussions about an institution-wide policy have been going on for quite some time, and numerous draft and policy frameworks have been developed. If a policy is ultimately completed and adopted at UP, there will still be those who believe that it is an unnecessary step and who will not regard it as the best move for the institution and its internationalisation efforts. Thus, the contestation around its need will more than likely prevail.

Another critical area of contention at UP with respect to its internationalisation process that is impacting on its pursuit of a developmental settlement concerns the need for top management leadership and guidance. Some believe that it is necessary for top management to take the reins of internationalisation and lead the institution to the "promised land" of all that is good with internationalisation, while others believe the process cannot be facilitated wholly and only by top management. Demonstrating the notion that top management (UP's executive) should have the "power" when it comes to internationalisation, is the comment made to me by Prof. Mogotlane that he was "uncomfortable with initiative being taken by anybody, by every Tom, Dick, and Harry" (refer to Chapter 6). Ingrained in Prof. Mogotlane's comment is the notion that the leadership for such critical areas as internationalisation needs to come from the top. He was not the only senior UP official with this belief. It was even seconded by others not in senior management, who sometimes quoted the "lack of leadership" as being a hindrance to the institution's internationalisation efforts.

However, the other side of the coin is that the top leadership cannot force internationalisation upon the institutional stakeholders, which is what Prof. Ströh meant when he said that:

*The rector can't say, we should be international. It [internationalisation] should be driving those mechanisms within some of the units that are already there and expanding that step by step to other units that you see the potential in... (I: Ströh).*

It is interesting that UP's top management feels that they should be guiding the process of internationalisation, while other university stakeholders (and in this case one of the university's senior managers) believe the process should be driven from individual researchers and eventually through the faculties as a result of the collective efforts of the researchers. As I began to argue earlier in Chapter 4, although UP does have a CIR director who in theory is supposed to be leading the internationalisation efforts, most would agree that the "power" is actually still in the hands of top management to determine the actual internationalisation path that the institution should take. As the comment above from one of those top managers shows, this is how they feel internationalisation must get done in order to properly benefit the institution as a whole. On the other hand, others believe that no matter how much top management direction or policies are developed from "above", it is the individual researchers and faculties that will have the most impact on the institution's internationalisation and the positive outcomes emerging from that internationalisation.

### **7.2.2 Contradictory elements of UP's pursuit of a "developmental settlement"**

In addition to these two primary areas of contestation in UP's internationalisation and its pursuit of a "developmental settlement", I also found several areas where there were contradictions among and between the international ambitions, thoughts and actions at UP. Contradictions refer to areas where there is a strategic or general consensus of what and/or how something should happen, but the evidence does not point to it happening in the way it was intended. In other words, contradictions in this instance are areas of inconsistency where, for instance, one thing is said, understood or expected to happen and something completely different actually occurs. These contradictions in terms of UP's pursuit of a developmental settlement while engaging in its internationalisation include:

- the issue around the need for a written internationalisation policy
- questions concerning whether UP needs a central office to guide its internationalisation or not
- issues relating to how internationalisation is occurring across disciplines in the "hard" sciences versus those in the "soft" sciences
- internationalisation across the African continent versus outside of Africa
- UP as an institution in a developing country, while historically being an institution resourced like those in a developed country

- inconsistencies and shortcomings in UP's databases and tracking and monitoring systems that do not allow for effective analysis and reporting on its actual international activities

The dilemma around whether there needs to be an institutional internationalisation policy or not at UP, discussed above as a contestation within UP's pursuit of a developmental settlement, also falls in the area of contradictions. This is so in terms of those proponents of the need for a policy and the reasons they argue it is necessary, such as their argument that internationalisation is happening on an "ad hoc" basis at UP, and the perception that this is a negative thing. However, there was not enough evidence to support the notion that the ad hoc nature of internationalisation is bad. On the contrary, internationalisation at UP via the international partnerships and international postgraduate students (as demonstrated by some of the financial and other statistics in Chapter 6) is flourishing, even given the lack of a comprehensive, institution-wide policy regulating and/or guiding those partnerships.

The institution is receiving funding for its research activities, which is allowing individual researchers to travel abroad and engage in work with their international counterparts. Likewise, the institution is receiving and working with international postgraduate students and international faculties, bringing them to UP to conduct research and to engage with the UP community on various areas. These activities benefit not only the researchers and students involved, but also the greater UP community through the increased elevation of the institution's profile and research outputs. Even if these relationships do seem ad hoc to some, the engagement of the individuals internationally and the resultant research findings and outputs are just as important to the institution as research outputs that would come from institution-wide and centrally planned and organised research partnerships. Additionally, the increase in the number of international postgraduate students at the university is also a sign that internationalisation at UP is moving forward (even if only slowly), despite what some say is an ad hoc and/or non-existent policy on internationalisation.

Although some believe that increased policy and coordination over UP's internationalisation activities (particularly international research activities) would be of benefit to the institution, this belief is contradicted by the fact that, despite the lack of policy and coordination, UP is seeing a growth in international research activities and outputs resulting from those activities, and an overall growth in the internationalisation process as a whole. Thus, prescriptions on how international research partnerships and activities should be occurring, versus allowing

the individual researchers to continue pursuing partnerships that relate to their individual research interests, whether they be ad hoc or not, does not seem like the best move for an institution like UP.

Related to the issue concerning the need (or lack thereof as I argue) of an institution-wide policy to coordinate and regulate internationalisation at UP, is the issue of a potential centrally located office to coordinate internationalisation. As I have shown, many in the institution's leadership believe that such a central office is needed and they have indeed established a CIR office to guide UP's internationalisation. However, this office operated for one year without a director, and even after the selection and hiring of a director, the office is still in transition and is not well equipped for "guiding" internationalisation on the campus. Yet, as I have shown throughout this study, internationalisation particularly in terms of established and flourishing research partnerships with international researchers and institutions is happening and growing at UP. This fact thus contradicts the thinking that a central office is needed to coordinate such activities. Repeating part of what Prof. Ströh said earlier, the successful portion of UP's internationalisation is "...*really from our researchers who start mentoring our younger people to go that direction*" (I: Ströh). Thus, a central office to coordinate and lead UP's internationalisation, although it may have its benefits, does not seem to be what UP actually needs.

Another major area of contradiction that I discovered in terms of UP's internationalisation was in the reasons given for supporting internationalisation of the "hard" sciences versus the "soft" sciences. There was common agreement that the hard sciences such as engineering and mathematics were being given more attention than were the soft or social sciences such as the humanities and education. This is demonstrated in the following comment:

*At the moment, the majority of the attention has gone into the hard sciences...That also is because of the priorities in the country. So, at the moment, government is prioritising natural sciences and engineering. And that is reflected in the planning also, so there is some emphasis given to those. But not exclusively. In the humanities, people tend to work as individuals to a large degree, and that has been, I'd say, a weakness in the past that it's very fragmented. Each one following his own particular interests (I: Melck).*

Where I see the contradiction is in terms of what Prof. Melck says about the work as individuals being a weakness. Throughout my field work, and thus throughout this study, it was shown that stakeholders credit the work of individual researchers and collective groups of researchers for UP's (and the various faculties') successful internationalisation. As such,

Prof. Melck's statement that the individualistic nature of research in the humanities is a reason why they have received less funding and support seems to contradict even what people in the soft sciences, like education, argued. For instance:

*...we leave it up to the individuals...What does happen is mostly people driven. Maybe it's something that the university itself should actually look at... (I: Beckmann).*

This is seconded by members of the "hard" sciences at UP. For example, to repeat Prof. Cukrowski's comment:

*The researchers that are good quality are individuals. And you cannot tell somebody, now you're going to be a pianist, world class pianist, or you will be the world class painter. Either you will develop yourself, or you won't be. You just cannot be organised or pre-programmed, this can only be facilitated (I: Cukrowski).*

The point to be made here is that some believe it is not highly effective to focus on individuals and groups of individuals, and/or to allow individuals to engage in international activities that may seem fragmented from some greater plan. However, in terms of the evidence I gathered, it is indeed these individual efforts that are allowing UP to engage with internationalisation to the benefit of the faculties involved and ultimately to the benefit of the institution itself. It is thus not a weakness in the soft sciences that much of the research is individually driven, as it is also mainly individually driven in the hard sciences as well. Given this, what people such as Prof. Melck believe are the reasons why the soft sciences receive less attention and funding for their international activities than do the hard sciences, contradicts what is actually happening. People in both disciplines in fact claim that the main way in which international research activity occurs is via individual international engagements.

Another area of contestation concerns what people (and policies) say about the need for more engagement on the part of UP with African institutions and African researchers, versus what is actually happening in terms of these engagements. I have already described African development and empowerment as one of the rationales behind UP's internationalisation, particularly in terms of internationalisation with the rest of the African continent, and have given many quotes from UP stakeholders supporting the notion. However, what seems to be happening at UP is that although there are some programmes and research engagements with African institutions and individuals, there is not nearly as much as one would expect. The rhetoric concerning the importance and value of these engagements thus seems to contradict



what is actually happening at UP. I was told on several occasions that the level of African engagement between UP and UP researchers and the rest of Africa was not sufficient, and that more needed to be done in this regard to help develop and empower the rest of Africa.

There are several reasons why the rhetoric concerning the need for more African engagement and the actual facilitation and actions around that engagement are not happening. For example, to repeat a Dr Hendrikz quote from earlier in this study:

*You know, one of the biggest problems in Africa is that we in Africa don't know one another; don't share with one another; don't aggressively network with one another... What we need to do in Africa, and this is part of OUR vision, is to get Africans to talk to one another, so that WE sit down and say hey listen, what do WE want to do, what do WE want to take ownership for, and THEN, WE identify partners out there in the Western world, and WE approach funding institutions in the world to fund OUR initiatives (I: Hendrikz).*

This point was seconded by many others at UP. In essence, they believe that there is not a lot of African engagement in line with policy and the perceived need for it, because of the lack of knowledge on the part of South African, and specifically UP, researchers about what their African counterparts are doing. There is also not enough knowledge of who is doing what and how to best coordinate and work with other African researchers. Although UP researchers are undertaking projects and research partnerships with their African counterparts, as highlighted in previous chapters, there was common agreement among most UP stakeholders that this is not happening as the policies and discussions around it would suggest.

The final major area of contradiction in terms of UP's internationalisation and its interactions with dual development relates to the previous discussion of the African internationalisation issue. It has to do with the attitudes of UP stakeholders and South Africans in general. The issue here is what some perceive as a "big brother" mentality on the part of South Africans and South African institutions such as UP, toward the rest of Africa. The contradiction lies in UP being an institution that considers itself part of the "developing world" but with an attitude of a "developed world" institution. In other words, while UP is often mentioned in the same sentence with other institutions in developing countries and South Africa is often mentioned as a developing country, the tones and words of the UP stakeholders I interviewed, to my mind, carried with them a developed country mindset. The stakeholders often spoke in terms of how they could "help the African continent" and not necessarily how the "African continent can work together to help build itself collaboratively". Although there was talk of the need for collaboration, the tones, words and attitudes were paternalistic and did not

convey a sense of equal partnership. This is not to say that all UP stakeholders believed they would be the saviours of the continent, rather it highlights that in the tones and words of UP stakeholders, my perception was that many of them had a mindset that was not necessarily one of needing assistance (as would be expected of a developing country institution), but one of being the institution that would deliver the assistance and support (as would an institution in a developed country when working with an institution in a developing country). Repeating a quote from Ms. Rajah demonstrates this mentality and tone:

*For example if one has to look at an Africa strategy, one has to look at the fact that we are a university based on the continent, and what are we doing to enhance the capacity building within that continent, and how are we aiding in terms of offering of educational programmes where they don't exist for our immediate partners around, let's say the SADC. Some don't even have a national university of repute, so how are we then aiding our partners just next to us or on our borders virtually, to build that gap within their own countries (I: Rajah).*

Words such as “aiding” and “offering” were used by many others in my conversations with UP stakeholders and they give important insights into the mindset of UP stakeholders. These types of words demonstrate to me that although many do acknowledge that there is much to learn from African universities, the dominant discourse was that of UP (and South Africa) being in a position to be the “donor” institution to needy institutions around the continent. I do not mean donor in a sense of providing financial resources to other institutions, but rather in terms of providing training, capacity building and expertise to others. Although Ms Rajah and others with whom I spoke about this issue did not say explicitly that UP sees itself in this manner, the dominant discourse and tone of our discussions suggested this to me. This positioning of UP in South Africa is indicative of the “big brother” or paternalistic attitude of many South Africans toward other Africans and African institutions discussed above. One of my respondents even went so far as to warn that these attitudes and the resultant collaborations between South African and other African institutions could lead to a “new neo-colonialism” where South Africa could be considered the coloniser of a less developed African country, if the nature of the partnerships and the accompanying attitudes were not shifted to a more equal partnership.

There are reasons for, and specific characteristics of, this contradiction of a developing country with a developed country mindset that UP carries. First, UP is one of the traditionally advantaged HEIs in South Africa. Throughout its history it has been financially stable and well endowed compared to many other South African HEIs and institutions throughout Africa. Thus, it has the facilities and resources that many other South African and African

HEIs do not have. Second, UP is located in South Africa which, as a middle developed country by UNESCO standards, is also more financially and politically stable than many other African countries. For this reason, it is often looked upon as one of the leaders on the African continent in terms of development. All this translates into fewer partnerships with Africa that start on an equal footing, and more training and capacity building in terms of UP researchers and individuals leading that training and seeking to impart knowledge and expertise on their African counterparts. Although the training and capacity building (assistance) coming from UP does allow the institution to have an impact on African development, the question that remains is how the institution can curb what some insiders view as an arrogance toward the rest of Africa, which ultimately gets in the way of true partnership and true collaboration, as some in the institution believe. The answer to this question is another study altogether, but the nature of the contradiction between what is thought and said about the need and value of equal African partnerships, and what is actually happening with UP and those partnerships, is what is most relevant for my study.

### **7.3 Answering the research questions and summarising the key findings**

Given that most UP stakeholders that I interacted with believe that the university can and should pursue a “developmental settlement” as it engages in its internationalisation process, and that there are many contested and contradictory elements to its settlement, I can now begin to answer my key research questions more directly.

In the light of the findings in my study and the analysis presented in this chapter, I found that UP’s response in addressing the first of the key research questions (namely, how an HEI responds to internationalisation, given the imperatives of national development and relevance and global integration and competitiveness [dual development challenge]) has two primary components:

- A conscious or unconscious pursuit of a developmental settlement via an ambitious and enthusiastic engagement with an international research agenda
- Support for and emphasis on individual and collective individual research agents and activities

As I have shown, UP’s internationalisation ambitions are slow to be realised in terms of significant increases in its three primary strategic internationalisation expressions, namely: international collaborations, networks and partnerships; faculty and researcher international

mobility; and postgraduate student mobility. However, as the university grapples with increasing and intensifying its primary internationalisation expressions, it nonetheless enthusiastically continues to encourage its constituents to buy in to ideas of an ambitious international research agenda. Thus, their response to internationalisation within the context of the dual development challenge is one of a communal ambition to pursue a developmental settlement between global and national imperatives, primarily through the strategic mechanism of an ambitious and enthusiastic international research agenda.

As I have shown herein, this pursuit of a developmental settlement is characterised by several contradictions and contestations between principle and practice. Additionally, the pursuit of the settlement via the international research agenda is primarily manifested in the support and faith in the abilities of individual researchers to develop international research collaborations, and then for those individually developed research collaborations to translate into outputs that benefit the university, the nation, the continent, and ultimately increase the international profile and reputation of the university. These two components – pursuit of a developmental settlement via an international research agenda, and the support of individual and collective individual agents – together make up UP's response to internationalisation given the dual development challenge. I will discuss each component individually below.

### **7.3.1 Pursuing a “developmental settlement” via an international research agenda**

This developmental settlement means that while engaging with the process of internationalisation, UP seeks to contribute to addressing national concerns and problems, seeking at the same time to make an imprint on the world stage and to address global concerns. UP sometimes unconsciously seeks this settlement, particularly when it engages in research activities that may on the surface seem only relevant to South Africa (such as research on a certain type of tropical disease that may not be a problem in other countries). However, the methodologies used in that research and/or some finding that results from it, may help other researchers in other countries to address a disease of some sort in their country. In this sense, UP researchers may not have set out to produce research with a national and global impact, but by the very nature of the research that pursuit of both (national and global) may have unconsciously occurred. Thus, UP has been able to address “dual development” and has been able to pursue a “developmental settlement” through many of its internationalisation expressions, such as these international research activities.

As discussed herein, UP's pursuit of a developmental settlement is marked by several contestations and contradictions, which are at the root of its ability to address the dual development challenge. In essence, I am arguing that it is the very existence of these contested and contradicting elements of UP's internationalisation processes as it pursues its development challenge that allow the institution to debate the need for certain policies and activities on an international level. The contradictions often produce unintended outcomes and outputs that allow the institution to re-think its international activities and strategies and/or expand those in efforts to better address institutional needs.

As an example, the contradictions discussed earlier around UP's rhetoric toward more African engagements versus what is actually happening, allows UP researchers to debate why it is not happening. It also allows them to promote networks with their African counterparts and to seek out funding and other avenues to do so. However, even while they are attempting to correct the imbalances of their African engagements, UP researchers are still working with non-African partners and researchers and are still trying to solve global research concerns. The point I am making here is that even within the context of the contradictions between the perceived need for African engagement and the actual engagement that happens, UP is able to continually address developmental needs at national, regional and global levels, particularly through its pursuit of international research activities, which is the second component of UP's three-part response to the dual development challenge.

My argument here is that through its aggressive pursuit of an international research agenda and the resultant international research activities specifically, UP can have an impact on national and global development (the two sides of the developmental challenge). For instance, most research is conducted by researchers with the assistance and involvement of research (postgraduate) students. Prof. Melck illustrates this quite well:

*...most of the research is done by research students, like yourself. And you're obviously under supervision and the academic staff members are doing their own research also. But, the research being done by research students, masters and doctoral, ties in very closely to what the academic, you know, the professors are doing themselves. So, the research, or a large percentage of the research is part of training or education as well. And, so, even if the outcome is possibly esoteric from a South African point of view, that's only half of it. The other half is the training part of it (I: Melck).*

Postgraduate student involvement in research projects, as Prof. Melck's comment states, includes both domestic and international students, and leads to a national citizenry with some

research skills, training and knowledge. In terms of the international impact, student researchers who go abroad are able to take some of their research skills with them to their home countries. Additionally, when researchers and students present their findings and research activities at national, regional and/or global conferences, the knowledge that they may have gained locally or nationally, is then disseminated regionally and/or globally. In such instances, UP's research can contribute to national and global developmental needs.

### **7.3.2 International research agenda via individual and collective individual agents**

UP's research is able to contribute to both sides of the dual development challenge due to the university's enthusiastic and aggressive international research agenda. This is true because through its research activities and support, the institution is involving itself in activities that have a local (institutional), national, regional and global reach, as seen in previous chapters of this study. As a research institution, this is not surprising, nor is it necessarily a groundbreaking finding. What is interesting is that this enthusiastic and aggressive research agenda, and the resultant support of research activities, is focused most keenly on individuals and groups of individuals, as opposed to an institutional-level focus. This support of individuals and groups of individuals, which characterises UP's international research activities and which takes on an air of individualism, is the second key component of UP's response to internationalisation within the context of the dual development challenge.

In this manner, internationalisation funnelled through the international activities and support of such activities by and of individual agents, leads to collective action and broader campus internationalisation that takes into consideration varying aspects of development. This is summarised in the argument below:

*...and if there is enough critical mass of your faculties that's doing that [international activities], then the university can say, we're truly there [internationally]. But it's not going to happen from top down, it's going to happen really from our individual researchers who start mentoring our younger people to go that direction (I: Ströh).*

This comment epitomises what I termed earlier "collective individualism". Although Prof. Ströh uses the phrase "critical mass", it speaks to the notion of collective individualism as a means of understanding and describing a group of individuals and individual-minded researchers who make up the group of UP researchers and staff. My argument is that "collective individualism", as it refers to UP and its internationalisation process, means that UP researchers and leadership carry the attitude that through the international activities and

engagements of individual researchers and staff, UP as a collective or whole will be strengthened and will benefit, and that this will effect its overall internationalisation process. In this sense, and as it relates to my study and what Prof. Ströh is stating, a “collective” would be the various individual agents that make up the group of UP researchers and staff engaging in international activities, and is what I argue is “collective individualism” in the UP internationalisation process as it pursues its developmental settlement.

In further supporting this notion of individual researchers and their role in UP’s internationalisation, I can cite comments such as that given to me by one UP leader who argued that “*when we talk about internationalisation it really needs to be on a peer-to-peer basis*” (I: Howie). Such arguments demonstrate the broad feelings which exist at UP that internationalisation can best occur and benefit the university through the actions and support of individuals engaging in international activities. This notion of individual researchers as the central point for UP’s internationalisation, and specifically the international research activities dimension of it, is strongly supported in the data presented in earlier chapters, and particularly the chapter on the expressions of internationalisation at UP (Chapter 6). It is also strengthened by what Prof. Ströh and Prof. Howie argued above, as well as by comments from other UP constituents:

*I can’t coordinate internationalisation, it must be the individuals in the faculty...it must be through good quality individuals (I: Cukrowski).*

*...it’s the individuals in this faculty that make it happen (I: Jansen).*

*It’s the individuals...who make the department competitive and known internationally (I: Pienaar).*

*Very often what makes those collaborations or those MOUs work is individuals. When you have two people that get on and they want to collaborate. Otherwise they’re dead. (I: Cloete).*

*...you have to live that internationalisation sort of mindset. And the way in which you do it is, it starts at the researcher’s and people’s level of the unit that buy in to this thing, to actually work toward a situation where you could truly and freely communicate internationally and your work is being recognised internationally (I: Ströh).*

Comments such as these, and many others, speak of the strength of individual researchers and their international activities, and demonstrate a notion of individualism and collective individualism as a mindset among UP constituents. As such, my central argument with respect to the first of my key research questions, and resulting from the findings of my

research, is that UP responds to internationalisation within the context of the dual development challenge through the conscious or unconscious pursuit of a developmental settlement, consisting of sometimes contested and contradictory elements, but leading primarily to international research activities which are supported and led by individuals and collective individual agents. The university sees its global integration and competitiveness manifested in its research engagements and in the outputs of its individual researchers, while its national/local impact is measured in terms of its contribution to a national system of innovation and through its individual researchers' interactions with national agencies which pursue such ends.

### **7.3.3 What the UP case says**

With the above central argument in mind, the second principal research question guiding my study was concerned with what can be understood from the meanings and motivations behind an HEI's responses to the dual development challenge. In other words, what can be understood and expanded to the broader higher education community and scholarship from UP's responses to, and motivations for responding to, the imperative of internationalisation within the framework of the dual development challenge in the ways that it has chosen to do so? In addressing that second research question, the UP case brings up several important areas that may be of intellectual interest to scholars and practitioners of internationalisation. Specifically, I believe there are at least two broad areas where HEIs might benefit from an understanding of UP's responses in this regard.

First, my argument is that HEIs are seeking a developmental settlement when engaging with internationalisation and the pursuit of that settlement is sometimes conscious and sometimes unconscious. Additionally, pursuing this developmental settlement means that an HEI will face contested and contradictory elements and role player agendas during its internationalisation process and its developmental settlement pursuits. However, these different agendas are not necessarily fatal for an HEI. A developmental settlement is possible even in the midst of contradictions and contestations of motives. In fact it is these contradictions and contestations that both define and characterise the mediation of this developmental settlement. As such, HEIs should acknowledge and embrace these contestations and contradictions as they internationalise and pursue their own developmental settlement. Doing so will open up spaces for conversation and interaction among a university's stakeholders that might yield additional avenues of development for the university. Second, HEIs should embrace an air of individualism and support individual



researchers and collective groups of researchers, as opposed to focusing too much attention on institution-wide policies and strategies or centralised activities that standardise what its constituents can and must do internationally.

In supporting these two arguments I would like to make four central and interrelated propositions that are supported by the evidence presented throughout this study. These four propositions are where I believe my study challenges some existing notions of internationalisation of HE and where the study provides new intellectual insights that advance theories of internationalisation of HE.

First, given that internationalisation is a central ambition at UP, I give some credit to the ad hoc and individual-based nature of UP's internationalisation and view it as a strength that indeed allows UP to address the dual development challenge. I believe that the contradictions and contestations found in its internationalisation process (as outlined in Chapter 7.2.1 and 7.2.3) provide some of the fuel by which it is able to internationalise and pursue a developmental settlement and do not believe that these contestations and contradictions hinder its internationalisation completely. As such, an embracing of the contestations and contradictions within an HEI's internationalisation efforts might perhaps allow the institution space to debate and consider ways to allow its constituents to assist it to internationalise in ways that contribute to both national and global developmental imperatives.

Second, I suggest that it may not be wise for an HEI to over ambitiously seek standardised and closely managed internationalisation at the expense of its individual agents (i.e. not paying sufficient attention to its people and departments). This leads to the third proposition that I would like to make here, which is that it is through the research activities of individual agents that a university may be able to address explicitly or implicitly (by trying or not trying) national, regional and global development imperatives. This could be through globally funded research, national researchers participating in international research, local (university) researchers and local postgraduate students participating in and benefiting from research.

From this third proposition comes the fourth, which is that it is through the collective action of these individual agents at UP that the university is able to appropriate time, energy and support toward addressing national, regional and global developmental imperatives, while also strengthening institutional capacity and stature (a national development imperative). As such, "individual internationalisation", particularly of the mindsets of individuals within an

HEI, is as important, if not more so, than standardising and tightly managing the international activities and actions of institutional constituents. This is because it is the actions of individuals that lead to collective individualism, and thus to collective internationalisation on an HEI campus.

As such, individualism and a focus on “the individual” is not a bad thing as UP pursues its internationalisation ambitions, and particularly the international research and collaborative elements of that internationalisation. I thus conclude that it is the focus and attention given to individual researchers and collective groups of individual researchers that are producing the results that UP wants from its internationalisation. As it does this, the capacity of the individual researchers involved improves, as does the capacity of the department or faculty to which the person belongs, and, ultimately, the capacity of the overall institution. In essence then, what this perhaps signifies for other HEIs is that attempts at comprehensive internationalisation are futile, if attention and support are not given to individuals and collective groups of individuals in the institution.

Additionally, with regard to individual research agents, their individually led local research can, and often does, have local, national, regional and global impacts. The motivation can be global, but the results and impacts can be national (or vice versa). The desired results can be national, but the means to achieving them can be global (or vice versa). It is these four propositions that I offer to the scholarly community and practitioners interested in internationalisation of HE and HE broadly.

#### **7.4 Synopsis: An understanding and way forward**

In moving toward a conclusion, my argument is that the ambition of internationalisation at UP has been institutionalised and is comprehensive, but those internationalisation ambitions are slow to be realised. This can be seen by examining UP’s primary strategic internationalisation expressions – such as international research collaborations, networks and partnerships, faculty and researcher international mobility, and international postgraduate student mobility – which have not shown significant increases. However, even though the realisation of its internationalisation ambitions are lagging behind expectation, UP is responding to internationalisation given the dual development challenge. Its response consists of a communal ambition of seeking a developmental settlement via the adoption of an ambitious and enthusiastic international research agenda, which is impacting on its ability to address both national and global imperatives. The adoption of internationalisation and the

pursuit of the developmental settlement are both characterised by contradictions between principle and practice. Additionally, the pursuit of UP's developmental settlement is primarily manifested in the support and faith in the abilities of individual researchers to develop international research collaborations. Those individually developed research collaborations then translate into outputs that benefit the university, the nation and the continent, and ultimately increase the university's international profile and reputation.

In the light of UP's responses to internationalisation and its pursuit of a developmental settlement, scholars and HEI practitioners, and particularly those interested in the internationalisation of HE, should note the role of individual agents in the internationalisation process. In noting this role, a reformulation of such notions as "comprehensive internationalisation" and "institutionalised internationalisation" must provide space for these individual agents. Although I am not advocating that there is something inherently wrong with centralising or centrally managing internationalisation at HEIs, I am suggesting that when seeking to internationalise within an environment where there are both national and global imperatives, the focus of that internationalisation might best be reserved for individual and collective individual agents. This is particularly the case when the chosen path is the pursuit of an international research agenda aimed at producing and contributing to knowledge production – as is the case in HEIs around the world, and particularly in the case of UP. Internationalisation via the support and activities of individual and collective individual agents is thus a primary facilitator of a university's ability to address and contribute to both national and global developmental imperatives.

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# **G: APPENDICES**



## Appendix 1

## LIST OF INTERVIEW RESPONDENTS

<b>Institution</b>	<b>Respondent's name and professional designation</b>	<b>Date</b>
South African Department of Education	<b>Mr Ghaleeb Jeppie</b> Chief, International Relations	29 June 06
South African Department of Education	<b>Dr Pamela Z Dube</b> Director: Higher Education Policy and Development Support	29 June 06
Higher Education South Africa (HESA)	<b>Mr Patrick Fish</b> Manager, External and International Liaison	27 Sept 06
National Research Foundation (NRF)	<b>Dr Robert Kriger</b> Head: Systems, Policy and Strategy Unit	28 June 06
National Research Foundation (NRF)	<b>Dr Val Munsami</b> Manager, International Relations Unit	28 June 06
UP Executive	<b>Prof. R A Mogotlane</b> Vice Principal	28 June 06
UP Executive	<b>Prof. R M Crewe</b> Vice Principal	28 June 06
UP Executive	<b>Prof. Anthony Melck</b> Advisor to the Vice Chancellor and Principal	3 Nov 06
UP Executive	<b>Prof. Sibusiso Vil-Nkomo</b> Executive Director	9 June 05
UP Council	<b>Prof. Esme du Plessis</b> Chairperson, UP Council	19 Sept 06
UP Council (and former Executive Member)	<b>Prof. Johan van Zyl</b> Former VC and current UP Council Member	Phone interview 28 June 06
UP, Office of Research Support and Development	<b>Dr Mohammed Jeenah</b> (Former) Director, Research Support and Development	12 Sept 06
UP, Corporate International Relations	<b>Ms Vinay Rajah</b> (Former) Head	11 Oct 05
UP, Client Service Centre (Int'l Students)	<b>Ms Laura Pienaar</b> International Student and Postgraduate Advisor	27 June 06
UP, Client Service Centre (Int'l Students)	<b>Ms Mahlogonolo Mphahlele</b> International Student and Postgraduate Advisor	27 June 06
UP, Faculty of Natural and Agricultural Sciences	<b>Prof. Anton Ströh</b> Dean	15 Sept 06
UP, Faculty of Natural and Agricultural Sciences	<b>Prof. Johann Kirsten</b> HOD, Department of Agricultural Economics, Extension and Rural Development	26 June 06
UP, Faculty of Natural and Agricultural Sciences	<b>Prof. Willem Ferguson</b> HOD, Centre for Environmental Studies	26 June 06
UP, Faculty of Natural and Agricultural Sciences	<b>Prof. T Eugene Cloete</b> HOD, Department of Microbiology and Plant Pathology	27 June 06
UP, Faculty of Natural and Agricultural Sciences	<b>Prof. Jean Lubuma</b> HOD, Department of Mathematics and Applied Mathematics	27 June 06
UP, Faculty of Natural and Agricultural Sciences	<b>Prof. Amanda Minnaar</b> HOD, Department of Food Science	29 June 06
UP, Faculty of Natural and Agricultural Sciences	<b>Prof. Ignacy Cukrowski</b> HOD, Department of Chemistry	30 June 06
UP, Faculty of Natural and	<b>Prof. Mike Wingfield</b>	28 Sept 06

Agricultural Sciences	Director (HOD), Forestry and Agricultural Biotechnology Institute (FABI)	
UP, Faculty of Education (Centre)	<b>CAAC HOD</b> Director (HOD), Centre for Augmentative and Alternative Communication (CAAC)	19 Oct 06
UP, Faculty of Education (School of Education Studies)	<b>Prof. Johann Beckmann</b> Former HOD, Department of Educational Management and Policy Studies	26 Oct 06
UP, Faculty of Education (School of Education Studies)	<b>Prof. Irma Eloff</b> Acting Dean and HOD, Educational Psychology Department	2 Nov 06
UP, Faculty of Education (School of Teacher Training)	<b>Prof. Gilbert O M Onwu</b> HOD, Department of Science, Mathematics and Technology Education	7 Nov 06
UP, Faculty of Education (Distance Education)	<b>Dr Johan Hendrikz</b> Manager (HOD), Distance Education	8 Nov 06
UP, Faculty of Education (Centre)	<b>Prof. Sarah Howie</b> Director and Research Coordinator (HOD), Centre for Evaluation and Assessment (CEA)	16 Nov 06
UP, Faculty of Education	<b>Prof. Jonathan Jansen</b> Dean	22 Nov 06

## Appendix 2

### ETHICAL CLEARANCE

ANNEXURE D



UNIVERSITY OF PRETORIA

FACULTY OF EDUCATION

RESEARCH ETHICS COMMITTEE

**CLEARANCE CERTIFICATE**

**CLEARANCE NUMBER : EMP06/03/05**

**DEGREE AND PROJECT**

PhD Policy Studies  
Internationalisation and the Pursuit of a Developmental Settlement: The Case of a South African University

**INVESTIGATOR(S)**

Carlton Eugene McLellan

**DEPARTMENT**

Educational Management and Policy Studies

**DATE CONSIDERED**

28 March 2006

**DECISION OF THE COMMITTEE**

APPROVED

*This ethical clearance is valid for 3 years from the date of consideration and may be renewed upon application*

**CHAIRPERSON OF ETHICS COMMITTEE**

Dr C Lubbe

**DATE**

28 March 2006

**CC**

Prof M Nkomo  
Dr MT Schoole  
Ms J Beukes

This ethical clearance certificate is issued subject to the following conditions:

1. A signed personal declaration of responsibility
2. If the research question changes significantly so as to alter the nature of the study, a new application for ethical clearance must be submitted
3. It remains the students' responsibility to ensure that all the necessary forms for informed consent are kept for future queries.

Please quote the clearance number in all enquiries.

### Appendix 3

#### COPY OF LETTER OF INFORMED CONSENT

**Letter of informed consent for the doctoral research study:  
Internationalisation and the pursuit of a developmental settlement:  
The case of a South African university**

Date: \_\_\_\_\_

Dear Interview Participant:

You have been invited, and have graciously agreed, to participate in a research project aimed at understanding how South African higher education institutions, during their process of internationalisation are responding to the dual tensions between national developmental needs and pressure for global integration. Given your agreement to participate in this research study as an interview respondent, there are several issues that apply.

Firstly, I would like to make it clear that your participation in this research project is entirely voluntary, and thus is greatly appreciated. On the issues of confidentiality and anonymity, given the nature of my research inquiry (a qualitative case study of one university and its functioning parts), the university's name will already be known as it is a primary part of my research, and it is possible that your position title and/or departmental or organisational (if not the University of Pretoria) affiliation may be revealed during the course of my data collection and analysis. However, should you wish that your name and title not be used, or that any of your statements not be attributed directly to you, you may inform me of that concern during the interview. Should this be the case, I will utilize a pseudonym for you where appropriate.

In addition, if you feel uncomfortable with a particular question posed to you, and/or if you would rather not address a question, please feel free to inform me of this and I will either rephrase the question more appropriately, or withdraw it from you completely. Although you have already agreed to participate as an interview respondent, should you decide during or after the interview that you wish to withdraw from participation, you may do so simply by writing me a statement to that effect. However, if this be your decision, it is important that you inform me of this, prior to the submission of my research findings for final approval of my dissertation, for which this study is intended.

My study will consist of various research instruments and methods, including case-study methodology, and interviews with stakeholders concerned with and/or influencing higher education and internationalisation in South Africa. As such, semi-structured unstructured interviews will be utilised. These interviews, including my interview with you, will last from forty-five minutes to one-and-a-half hours each, depending on feedback and responses to my interview questions. These interviews will be conducted in facilities most comfortable and convenient to you as the interview respondent, during a mutually agreed upon time.

The results and findings of my study will be used as part of my research toward the completion of the doctorate of philosophy degree in education policy studies, with a focus on internationalisation of higher education in South Africa. Your input is valuable in that it will assist me with understanding and analysing my research questions and problem. The data may also be used for subsequent research articles and publications on the subject of internationalisation and/or higher education.

Upon completion of the interview, once the interview has been transcribed, I will contact you with the option of reviewing the transcripts to verify information and your comments during the interview, should you wish to do so. Under no circumstances will your responses be discussed or critiqued with others interviewed either at your organization or other organizations represented by individual respondents. Your responses will be used strictly in the analysis of the data.

If you understand and agree with the terms of and the nature of my research, the nature of the interview to be conducted with you, and the information found in this letter, please sign this letter as a declaration of your consent to participate willingly. Participation in this phase of the project, as an interview respondent, does not obligate you to participate in follow up interviews, however, should you decide to participate in follow-up interviews, or answer any follow up questions via electronic communication with me, your participation is still voluntary and you may withdraw at any time.

Participant's signature.....: Date: .....

Researcher's signature.....: Date: .....

Thank you for your cooperation! Best regards,

**Carlton E McLellan, M.Ed.**  
**PhD Candidate, Policy Studies in (International) Education Programme**  
**Faculty of Education, University of Pretoria**  
carlton.mclellan@up.ac.za

## Appendix 4

### SAMPLE INTERVIEW QUESTIONS

#### SCHEDULE H – Interviews with UP Heads of Departments (Local Agency)

The purpose of this schedule is to elicit the understandings and perceptions of the Heads of Departments in two UP faculties regarding the role of internationalisation of HE within national and global development for South Africa, and specifically for UP, and their particular faculties and departments. This schedule also intends to offer insights into the relationship between the internationalisation policies and practices of UP at an institutional level and at the faculty/departmental level.

*Name:*

*Position:*

*Faculty/Department:*

*Gender:*

*Number of years in position:*

*Number of years in Faculty/Department:*

1. What is your understanding and opinion of internationalisation of HE?
  - a. How do you define internationalisation?
  - b. How is it occurring in South Africa?
  - c. Should ALL HEIs be engaging internationalisation or just some?  
If only some, which one?
  - d. Is it a good or bad process? (why?)
2. How has internationalisation affected:
  - a. South African HE policy?
  - b. Other South African national policies?
  - c. South African HEIs in general?
  - d. The University of Pretoria specifically?
  - e. South African economy?
3. Where does internationalisation fall on a scale of 1 to 5 in terms of its importance to your faculty/department?
4. What (if any) international activities are you involved in on behalf of your faculty, department or personally?
5. Which aspects of internationalisation are most crucial to your department and why?
  - a. International students?
  - b. Study abroad for South African students?
  - c. Internationalising your curriculum?
  - d. International institutional (faculty) partnerships?
  - e. Faculty exchanges of professors and lecturers?
6. What international partnerships are most crucial for cultivating, building or developing (i.e. what institutions and geographic areas and why) your department?
  - a. Geographically strategic institutions?
    1. What geographic regions and why?
  - b. Ranking of institutions according to international rankings?
  - c. Traditional partners?
  - d. Institution's size?

7. Has the nature of your international partnerships changed over the past 10–20 years (or even more recently)? Is so, how so?
8. What is most influencing your department's international strategies and activities?
  - a. Global trends
  - b. National trends (i.e. what other faculties in SA were doing)?
  - c. Internal pressures from UP executive?
  - d. Internal pressures from the dean?
  - d. Personal interest in internationalisation?
  - e. Economic/financial issues?
  - f. Others (please explain)?
9. Are you, or any of your faculty/staff involved in any of UP's institutional international activities or committees? In other words, is there anyone on your faculty who is an "advocate" for international activities at the institutional level?
10. On a scale of 1 to 5 how important are the following to your department?
  - a. Global competitiveness?
  - b. Global respect?
  - c. Global integration?
  - e. Contributing to the local community?
  - f. Contributing to South Africa's national development goals?
  - g. Contributing to regional (continental-wide) development?
11. How does global competitiveness, respect and integration rank in importance compared to national development imperatives (i.e. institutional equity and redress)? Is it...
  - a. Equal (just as important)?
  - b. More important?
  - c. Less important?
12. How important is regionalisation (Africanisation) versus internationalisation with non-African institutions?
13. Which, if any, of the following are being done to support internationalisation in your faculty and/or department?
  - a. Financial support (either to departmental efforts or to individual faculty or staff members for research or international projects)?
  - b. Support for joint international research?
  - c. Conducting or supporting training on internationalisation?
  - d. Appointment of special committees or groups of individuals to look into the issue?
  - e. Other (explain)
14. Within the context of internationalisation as we've discussed it here, what is (or SHOULD) your department (or faculty or UP in general) be doing to address the dual development challenge of national development and global integration?
15. Can you give me the names of two professors and/or lecturers in your faculty that are active internationally, that I can approach for interviews?

**\*There may be more questions here than can be covered in one interview session. Given this, if all of the questions cannot be covered in the interview session, I will ask the interviewee if I may email any questions not covered, after the interview.**

## Appendix 5

**LIST OF 2007 UP INTERNATIONAL INSTITUTIONAL AGREEMENTS  
(Does not include individual faculty agreements)**

(List as of 1 February 2007)

<i>AFRICA and SADC</i>	
<b>ANGOLA</b>	
Agostinho Neto University ( <a href="http://www.uan.ao">www.uan.ao</a> )	
<b>BOTSWANA</b>	
University of Botswana ( <a href="http://www.ub.bw">www.ub.bw</a> )	
<b>EGYPT</b>	
University of Cairo ( <a href="http://www.cu.edu.eg">www.cu.edu.eg</a> )	
<b>ERITREA</b>	
University of Asmara ( <a href="http://www.uoa.edu.er">www.uoa.edu.er</a> )	
<b>KENYA</b>	
International Centre for Research in Agroforestry (ICRAF) ( <a href="http://www.ciesin.org/IC/icraf/ICRAF.html">www.ciesin.org/IC/icraf/ICRAF.html</a> )	
<b>MOZAMBIQUE</b>	
University of Eduardo Mondlane ( <a href="http://www.uem.mz">www.uem.mz</a> )	
<b>NIGERIA</b>	
University of Port Harcourt ( <a href="http://www.uniport.edu.ng">www.uniport.edu.ng</a> )	
<b>RWANDA</b>	
National University of Rwanda ( <a href="http://www.nur.ac.rw">www.nur.ac.rw</a> )	
Kigali Independent University ( <a href="http://www.ulk.ac.rw">www.ulk.ac.rw</a> )	
<b>SUDAN</b>	
University of Alfashir	
University of Kassala	
University of Nyala	
Sudan University of Science and Technology ( <a href="http://www.sustech.edu">www.sustech.edu</a> )	
<b>SWAZILAND</b>	
University of Swaziland ( <a href="http://www.uniswa.sz">www.uniswa.sz</a> )	
<b>UGANDA</b>	
Makarere University ( <a href="http://www.makerere.ac.ug">www.makerere.ac.ug</a> )	
<b>ZIMBABWE</b>	
University of Zimbabwe ( <a href="http://www.uz.ac.za">www.uz.ac.za</a> )	
International Union for Conservation of Nature (IUCN) ( <a href="http://www.iucnrosa.org.zw">www.iucnrosa.org.zw</a> )	
<b>MAURITIUS</b>	
University of Mauritius ( <a href="http://www.uom.ac.mu">www.uom.ac.mu</a> )	<b>18</b>
<i>EUROPE</i>	
<b>AUSTRIA</b>	
University of Vienna ( <a href="http://www.univie.ac.at">www.univie.ac.at</a> )	
<b>BELGIUM</b>	
Universitaire Instelling Antwerpen ( <a href="http://www.ua.ac.be">www.ua.ac.be</a> )	
University of Gent ( <a href="http://www.ugent.be">www.ugent.be</a> )	
Katholieke Universiteit Leuven ( <a href="http://www.kuleuven.ac.be">www.kuleuven.ac.be</a> )	
<b>FRANCE</b>	
CIRAD, Paris ( <a href="http://www.cirad.fr">www.cirad.fr</a> )	
Marne-La-Vallée, Paris ( <a href="http://www.univ-mlv.fr">www.univ-mlv.fr</a> )	
University of Montpellier II ( <a href="http://www.univ-montp2.fr">www.univ-montp2.fr</a> )	
University of Montpellier III ( <a href="http://www.univ-montp3.fr">www.univ-montp3.fr</a> )	
<b>GERMANY</b>	
Brandenburg Technical University Cottbus ( <a href="http://www.tu.cottbus.de">www.tu.cottbus.de</a> )	
European Business School ( <a href="http://www.ebs.edu">www.ebs.edu</a> )	
Fachhochschule Kiel ( <a href="http://www.fh-kiel.de">www.fh-kiel.de</a> )	
Furtwangen Fachhochschule ( <a href="http://www.fh-furtwangen.de/english.index.html">www.fh-furtwangen.de/english.index.html</a> )	
Konstanz University ( <a href="http://www.uni-konstanz.de">www.uni-konstanz.de</a> )	
Leipzig University ( <a href="http://www.uni-leipzig.de">www.uni-leipzig.de</a> )	
Martin-Luther-Universität-Halle-Wittenberg ( <a href="http://www.uni-halle.de">www.uni-halle.de</a> )	
<b>THE NETHERLANDS</b>	
Vrije Universiteit, Amsterdam ( <a href="http://www.vu.nl">www.vu.nl</a> )	
Technische Universiteit Eindhoven ( <a href="http://www.tue.nl">www.tue.nl</a> )	
University of Maastricht ( <a href="http://www.unimaas.nl">www.unimaas.nl</a> )	
University of Twente ( <a href="http://www.utwente.nl.en">www.utwente.nl.en</a> )	

Radboud University Nijmegen ( <a href="http://www.ru.nl">www.ru.nl</a> )
Rijksuniversiteit te Leiden ( <a href="http://www.leidenuniv.nl/universiteit.html">www.leidenuniv.nl/universiteit.html</a> )
Universiteit van Utrecht ( <a href="http://www.uu.nl">www.uu.nl</a> )
Wageningen University & Research Centre ( <a href="http://www.wau.nl">www.wau.nl</a> )
NHTV Breda University of Professional Education ( <a href="http://www.nhtv.nl">www.nhtv.nl</a> )
<b>UNITED KINGDOM</b>
London School of Economics and Political Science ( <a href="http://www.lse.ac.uk">www.lse.ac.uk</a> )
University of Edinburgh, Scotland ( <a href="http://www.ed.ac.uk">www.ed.ac.uk</a> )
<b>26</b>
<b><i>EASTERN EUROPE</i></b>
<b>BELARUS</b>
Belarusian State University ( <a href="http://www.bsu.by">www.bsu.by</a> )
<b>CZECH REPUBLIC</b>
Charles University in Prague ( <a href="http://www.cuni.cz">www.cuni.cz</a> )
<b>UKRAINE</b>
The National Technical University of Ukraine “KYIV Polytechnic Institute”, Kiev ( <a href="http://www.ntu-kpi.kiev.ua">www.ntu-kpi.kiev.ua</a> )
<b>HUNGARY</b>
Budapest University of Economic Sciences ( <a href="http://www.bkae.hu">www.bkae.hu</a> )
University of Miskolc ( <a href="http://www.uni-miskolc.hu">www.uni-miskolc.hu</a> )
<b>RUSSIA</b>
Moscow State University ( <a href="http://www.msu.ru">www.msu.ru</a> )
MGIMO ( <a href="http://www.mgimo.ru">www.mgimo.ru</a> )
St Petersburg Christian University ( <a href="http://www.spcu.spb.ru/eng">www.spcu.spb.ru/eng</a> )
<b>8</b>
<b><i>SCANDINAVIA AND BALTIC COUNTRIES</i></b>
<b>FINLAND</b>
University of Jyväskylä ( <a href="http://www.jyu.fi">www.jyu.fi</a> )
University of Oulu ( <a href="http://www.oulu.fi">www.oulu.fi</a> )
<b>NORWAY</b>
University of Bergen ( <a href="http://www.uib.no">www.uib.no</a> )
<b>SWEDEN</b>
Blekinge Institute of Technology, Karlskrona ( <a href="http://www.bth.se">www.bth.se</a> )
Jönköping International Business School ( <a href="http://www.jibs.se">www.jibs.se</a> )
Chalmers University of Technology ( <a href="http://www.chalmers.se/en">www.chalmers.se/en</a> )
University of Karlstad ( <a href="http://www.kau.se/eng">www.kau.se/eng</a> )
Mälardalen University ( <a href="http://www.mdh.se">www.mdh.se</a> )
<b>8</b>
<b><i>ASIA AND THE FAR EAST</i></b>
<b>CHINA</b>
Liaoning Technical University ( <a href="http://web.intu.edu.cn">http://web.intu.edu.cn</a> )
Peking University ( <a href="http://www.pku.edu.cn">www.pku.edu.cn</a> )
<b>IRAN</b>
Tarbiat Modarres University ( <a href="http://www.modares.ac.ir">www.modares.ac.ir</a> )
<b>JAPAN</b>
University of Hiroshima ( <a href="http://www.hiroshima-u.ac.jp">www.hiroshima-u.ac.jp</a> )
Naruto University of Education ( <a href="http://www.naruto-u.ac.jp">www.naruto-u.ac.jp</a> )
Ritsumeikan University and the Ritsumeikan Asia Pacific University ( <a href="http://www.ritsumei.ac.jp/eng">www.ritsumei.ac.jp/eng</a> and <a href="http://www.apu.ac.jp">www.apu.ac.jp</a> )
<b>SINGAPORE</b>
National University of Singapore ( <a href="http://www.nus.edu.sg">www.nus.edu.sg</a> )
<b>SOUTH KOREA</b>
Chongshin University ( <a href="http://www.chongshin.ac.kr">www.chongshin.ac.kr</a> )
<b>SRI LANKA</b>
International Water Management Institute ( <a href="http://www.iwmi.cgiar.org">www.iwmi.cgiar.org</a> )
<b>THAILAND</b>
Thammasat University ( <a href="http://www.tu.ac.th/">www.tu.ac.th/</a> )
<b>10</b>
<b><i>THE AMERICAS</i></b>
<b>UNITED STATE OF AMERICA (USA)</b>
California State University ( <a href="http://www.csun.edu">www.csun.edu</a> )
Columbia University ( <a href="http://www.columbia.edu">www.columbia.edu</a> )
University of Central Florida ( <a href="http://www.ucf.edu">www.ucf.edu</a> )
Georgia Institute of Technology ( <a href="http://www.gsu.edu">www.gsu.edu</a> )
Georgia State University ( <a href="http://www.gsu.edu">www.gsu.edu</a> )
University of Delaware ( <a href="http://www.udel.edu">www.udel.edu</a> )
Indiana University, Bloomington ( <a href="http://www.indiana.edu">www.indiana.edu</a> )
Loras College, Dubuque ( <a href="http://www.loras.edu">www.loras.edu</a> )



Louisiana State University & Agricultural and Mechanical College ( <a href="http://www.lsu.edu">www.lsu.edu</a> )
Ohio State University ( <a href="http://www.osu.edu">www.osu.edu</a> )
Oklahoma University ( <a href="http://www.ou.edu">www.ou.edu</a> )
Pennsylvania State University ( <a href="http://www.psu.edu">www.psu.edu</a> )
Rensselaer Polytechnic Institute ( <a href="http://www.rpi.edu">www.rpi.edu</a> )
Washburn University ( <a href="http://www.washburn.edu">www.washburn.edu</a> )
University of Western Washington ( <a href="http://www.wwu.edu">www.wwu.edu</a> )
University of Massachusetts, Amherst ( <a href="http://umass.edu">http://umass.edu</a> )
University of Missouri ( <a href="http://www.missouri.edu">www.missouri.edu</a> )
University of Wisconsin-Madison ( <a href="http://www.wisc.edu">www.wisc.edu</a> )
University of South Carolina Upstate ( <a href="http://www.uscupstate.edu">www.uscupstate.edu</a> )
University of Illinois ( <a href="http://www.uiuc.edu">www.uiuc.edu</a> )
University of Wisconsin-Milwaukee ( <a href="http://www.uwm.edu">www.uwm.edu</a> )
Kennesaw State University ( <a href="http://www.kennesaw.edu">www.kennesaw.edu</a> )
<b>CANADA</b>
Brock University ( <a href="http://www.brocku.ca">www.brocku.ca</a> )
University of New Brunswick ( <a href="http://www.unb.ca">www.unb.ca</a> )
University of Northern British Columbia ( <a href="http://www.unbc.ca">www.unbc.ca</a> )
<b>MEXICO</b>
Centro de Investigación y Docencia Económicas (CIDE) ( <a href="http://www.cide.edu">www.cide.edu</a> )
<b>TRINIDAD AND TOBAGO (WEST INDIES)</b>
University of West Indies – St. Augustine Campus ( <a href="http://sta.uwi.edu/index.asp">http://sta.uwi.edu/index.asp</a> )

## **Appendix 6**

### **QUESTIONS USED TO SUMMARISE DOCUMENTS ANALYSED**

**Title of the Document:**

**Year written:**

**Author(s):**

**Category:**

- 1. What was the role of the author(s)?**
- 2. To/for whom was the document written?**
- 3. What was the document responding to?**
- 4. What was the historical-cultural background of the document?**
- 5. What were the explicit intentions of the document?**
- 6. What are the implicit intentions of the document?**
- 7. What was the central message of the document?**
- 8. How is this document related to internationalisation at UP?**
- 9. What new themes for my study emerged from reading the document?**
- 10. Important quotes or citations from the document.**