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G: APPENDICES

Appendix 1

LIST OF INTERVIEW RESPONDENTS

Institution	Respondent's name and professional designation	Date
South African Department of Education	**Mr Ghaleeb Jeppie** Chief, International Relations	29 June 06
South African Department of Education	**Dr Pamela Z Dube** Director: Higher Education Policy and Development Support	29 June 06
Higher Education South Africa (HESA)	**Mr Patrick Fish** Manager, External and International Liaison	27 Sept 06
National Research Foundation (NRF)	**Dr Robert Kriger** Head: Systems, Policy and Strategy Unit	28 June 06
National Research Foundation (NRF)	**Dr Val Munsami** Manager, International Relations Unit	28 June 06
UP Executive	**Prof. R A Mogotlane** Vice Principal	28 June 06
UP Executive	**Prof. R M Crewe** Vice Principal	28 June 06
UP Executive	**Prof. Anthony Melck** Advisor to the Vice Chancellor and Principal	3 Nov 06
UP Executive	**Prof. Sibusiso Vil-Nkomo** Executive Director	9 June 05
UP Council	**Prof. Esme du Plessis** Chairperson, UP Council	19 Sept 06
UP Council (and former Executive Member)	**Prof. Johan van Zyl** Former VC and current UP Council Member	Phone interview 28 June 06
UP, Office of Research Support and Development	**Dr Mohammed Jeenah** (Former) Director, Research Support and Development	12 Sept 06
UP, Corporate International Relations	**Ms Vinay Rajah** (Former) Head	11 Oct 05
UP, Client Service Centre (Int'l Students)	**Ms Laura Pienaar** International Student and Postgraduate Advisor	27 June 06
UP, Client Service Centre (Int'l Students)	**Ms Mahlogonolo Mphahlele** International Student and Postgraduate Advisor	27 June 06
UP, Faculty of Natural and Agricultural Sciences	**Prof. Anton Ströh** Dean	15 Sept 06
UP, Faculty of Natural and Agricultural Sciences	**Prof. Johann Kirsten** HOD, Department of Agricultural Economics, Extension and Rural Development	26 June 06
UP, Faculty of Natural and Agricultural Sciences	**Prof. Willem Ferguson** HOD, Centre for Environmental Studies	26 June 06
UP, Faculty of Natural and Agricultural Sciences	**Prof. T Eugene Cloete** HOD, Department of Microbiology and Plant Pathology	27 June 06
UP, Faculty of Natural and Agricultural Sciences	**Prof. Jean Lubuma** HOD, Department of Mathematics and Applied Mathematics	27 June 06
UP, Faculty of Natural and Agricultural Sciences	**Prof. Amanda Minnaar** HOD, Department of Food Science	29 June 06
UP, Faculty of Natural and Agricultural Sciences	**Prof. Ignacy Cukrowski** HOD, Department of Chemistry	30 June 06
UP, Faculty of Natural and	**Prof. Mike Wingfield**	28 Sept 06

Agricultural Sciences	Director (HOD), Forestry and Agricultural Biotechnology Institute (FABI)	
UP, Faculty of Education (Centre)	**CAAC HOD** Director (HOD), Centre for Augmentative and Alternative Communication (CAAC)	19 Oct 06
UP, Faculty of Education (School of Education Studies)	**Prof. Johann Beckmann** Former HOD, Department of Educational Management and Policy Studies	26 Oct 06
UP, Faculty of Education (School of Education Studies)	**Prof. Irma Eloff** Acting Dean and HOD, Educational Psychology Department	2 Nov 06
UP, Faculty of Education (School of Teacher Training)	**Prof. Gilbert O M Onwu** HOD, Department of Science, Mathematics and Technology Education	7 Nov 06
UP, Faculty of Education (Distance Education)	**Dr Johan Hendrikz** Manager (HOD), Distance Education	8 Nov 06
UP, Faculty of Education (Centre)	**Prof. Sarah Howie** Director and Research Coordinator (HOD), Centre for Evaluation and Assessment (CEA)	16 Nov 06
UP, Faculty of Education	**Prof. Jonathan Jansen** Dean	22 Nov 06

Appendix 2

ETHICAL CLEARANCE

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 Sehoole
	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 decided 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

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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 m 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)

AFRICA and SADC	
ANGOLA	
Agostinho Neto University (www.uan.ao)	
BOTSWANA	
University of Botswana (www.ub.bw)	
EGYPT	
University of Cairo (www.cu.edu.eg)	
ERITREA	
University of Asmara (www.uoa.edu.er)	
KENYA	
International Centre for Research in Agroforestry (ICRAF) (www.ciesin.org/IC/icraf/ICRAF.html)	
MOZAMBIQUE	
University of Eduardo Mondlane (www.uem.mz)	
NIGERIA	
University of Port Harcourt (www.uniport.edu.ng)	
RWANDA	
National University of Rwanda (www.nur.ac.rw)	
Kigali Independent University (www.ulk.ac.rw)	
SUDAN	
University of Alfashir	
University of Kassala	
University of Nyala	
Sudan University of Science and Technology (www.sustech.edu)	
SWAZILAND	
University of Swaziland (www.uniswa.sz)	
UGANDA	
Makerere University (www.makerere.ac.ug)	
ZIMBABWE	
University of Zimbabwe (www.uz.ac.za)	
International Union for Conservation of Nature (IUCN) (www.iucnrosa.org.zw)	
MAURITIUS	
University of Mauritius (www.uom.ac.mu)	**18**
EUROPE	
AUSTRIA	
University of Vienna (www.univie.ac.at)	
BELGIUM	
Universitaire Instelling Antwerpen (www.ua.ac.be)	
University of Gent (www.ugent.be)	
Katholieke Universiteit Leuven (www.kuleuven.ac.be)	
FRANCE	
CIRAD,Paris (www.cirad.fr)	
Marne-La-Vallée, Paris (www.univ-mlv.fr)	
University of Montpellier II (www.univ-montp2.fr)	
University of Montpellier III (www.univ-montp3.fr)	
GERMANY	
Brandenburg Technical University Cottbus (www.tu.cottbus.de)	
European Business School (www.ebs.edu)	
Fachhochschule Kiel (www.fh-kiel.de)	
Furtwangen Fachhochschule (www.fh-furtwangen.de/english.index.html)	
Konstanz University (www.uni-konstanz.de)	
Leipzig University (www.uni-leipzig.de)	
Martin-Luther-Univesitat-Halle-Wittenberg (www.uni-halle.de)	
THE NETHERLANDS	
Vrije Universiteit, Amsterdam (www.vu.nl)	
Technische Universiteit Eindhoven (www.tue.nl)	
University of Maastricht (www.unimaas.nl)	
University of Twente (www.utwente.nl.en)	

Radboud University Nijmegen (www.ru.nl)	
Rijksuniversiteit te Leiden (www.leidenuniv.nl/universiteit.html)	
Universiteit van Utrecht (www.uu.nl)	
Wageningen University & Research Centre (www.wau.nl)	
NHTV Breda University of Professional Education (www.nhtv.nl)	
UNITED KINGDOM	
London School of Economics and Political Science (www.lse.ac.uk)	
University of Edinburgh, Scotland (www.ed.ac.uk)	**26**

EASTERN EUROPE	
BELARUS	
Belarusian State University (www.bsu.by)	
CZECH REPUBLIC	
Charles University in Prague (www.cuni.cz)	
UKRAINE	
The National Technical University of Ukraine "KYIV Politechnic Institute", Kiev (www.ntu-kpi.kiev.ua)	
HUNGARY	
Budapest University of Economic Sciences (www.bkae.hu)	
University of Miskolc (www.uni-miskolc.hu)	
RUSSIA	
Moscow State University (www.msu.ru)	
MGIMO (www.mgimo.ru)	
St Petersburg Christian University (www.spcu.spb.ru/eng)	**8**
SCANDINAVIA AND BALTIC COUNTRIES	
FINLAND	
University of Jyväskylä (www.jyu.fi)	
University of Oulu (www.oulu.fi)	
NORWAY	
University of Bergen (www.uib.no)	
SWEDEN	
Blekinge Institute of Technology, Karlskrona (www.bth.se)	
Jönköping International Business School (www.jibs.se)	
Chalmers University of Technology (www.chalmers.se.en)	
University of Karlstadt (www.kau.se/eng)	
Mälardalen University (www.mdh.se)	**8**
ASIA AND THE FAR EAST	
CHINA	
Liaoning Technical University (http://web.intu.edu.cn)	
Peking University (www.pku.edu.cn)	
IRAN	
Tarbiat Modarres University (www.modares.ac.ir)	
JAPAN	
University of Hiroshima (www.hiroshima-u.ac.jp)	
Naruto University of Education (www.naruto-u.ac.jp)	
Ritsumeikan University and the Ritsumeikan Asia Pacific University (www.ritsumei.ac.jp/eng and www.apu.ac.jp)	
SINGAPORE	
National University of Singapore (www.nus.edu.sg)	
SOUTH KOREA	
Chongshin University (www.chongshin.ac.kr)	
SRI LANKA	
International Water Management Institute (www.iwmi.cgiar.org)	
THAILAND	
Thammasat University (www.tu.ac.th/)	**10**
THE AMERICAS	
UNITED STATE OF AMERICA (USA)	
California State University (www.csun.edu)	
Columbia University (www.columbia.edu)	
University of Central Florida (www.ucf.edu)	
Georgia Institute of Technology (www.gsu.edu)	
Georgia State University (www.gsu.edu)	
University of Delaware (www.udel.edu)	
Indiana University, Bloomington (www.indiana.edu)	
Loras College, Dubuque (www.loras.edu)	

Louisiana State University & Agricultural and Mechanical College (www.lsu.edu)
Ohio State University (www.osu.edu)
Oklahoma University (www.ou.edu)
Pennsylvania State University (www.psu.edu)
Rensselaer Polytechnic Institute (www.rpi.edu)
Washburn University (www.washburn.edu)
University of Western Washington (www.wwu.edu)
University of Massachusetts, Amherst (http://umass.edu)
University of Missouri (www.missouri.edu)
University of Wisconsin-Madison (www.wisc.edu)
University of South Carolina Upstate (www.uscupstate.edu)
University of Illinois (www.uiuc.edu)
University of Wisconsin-Milwaukee (www.uwm.edu)
Kennesaw State University (www.kennesaw.edu)
CANADA
Brock University (www.brocku.ca)
University of New Brunswick (www.unb.ca)
University of Northern British Columbia (www.unbc.ca)
MEXICO
Centro de Investigación y Docencia Económicas (CIDE)   (www.cide.edu.)
TRINIDAD AND TOBAGO (WEST INDIES)
University of West Indies – St. Augustine Campus (http://sta.uwi.edu/index.asp)   **27**

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.**