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.[1] 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.

[1] 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).

Table 1: Evolution of international education terminology

New terms **Last 15 years**	**Existing terms** **Last 25 years**	**Traditional terms** **Last 40 years**
Generic terms		
• Globalisation • Borderless education • Cross-border education • Transnational-education • Virtual education • Internationalisation 'abroad' • Internationalisation 'at home'	• Internationalisation • Multi-cultural education • International education • Global education • Distance education • Off-shore or overseas education	• International education • International development cooperation • Comparative education • Correspondence education
Specific elements		
• Education providers • Corporate universities • Liberalisation of educational services • Virtual universities • Branch campus • Twinning programmes • Franchising programmes • Networks • Global Education Index	• International students • Study abroad • Institution agreements • Partnership projects • Area studies • Double or joint degrees	• Foreign students • Student exchange • Development projects • Cultural agreements • Language study

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.

Table 2: Global rationales driving internationalisation

Broad rationales	Sub-rationales (National and institutional combined)
Social-cultural	• National cultural identify • Intercultural and mutual understanding • Citizenship, student and staff development • Social and community development • Human resources development • Nation building • Contribute to solving "global" problems
Political	• Foreign policy • National security • Technical assistance • Global peace and security • National identity • Regional identity
Economic	• Economic growth and competitiveness • Labour market • Financial incentive • Additional source of revenue • Commercial trade • Income generation
Academic	• Adding an international dimension to research, teaching and learning • Extension of academic horizon • Institution building • Enhancement of quality • International academic standards, norms and best practices • International branding, profile and status • Knowledge production

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[2] 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

[2] 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[3] 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".

[3] 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[4] 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

[4] 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.

Figure 1: Elements in the development of international strategy in universities

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.

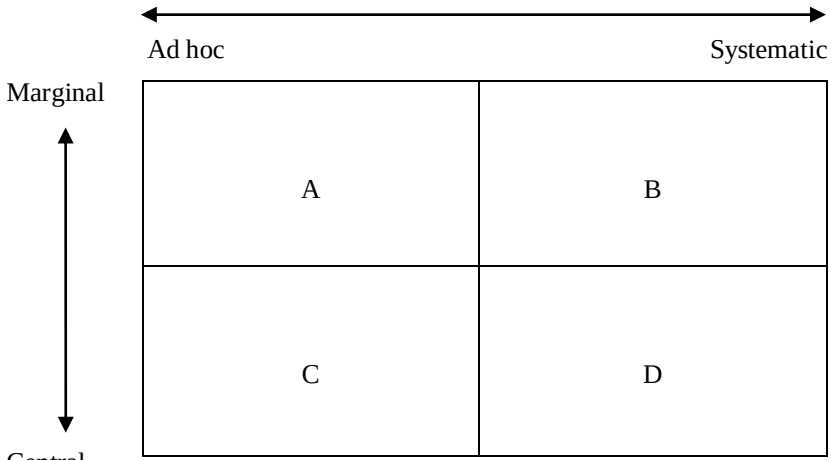
With regard to trends and opportunities in the market place, Davies (1992) concludes that a university has to "reconcile itself to the fact that it will have to segment its international market focus on particular opportunities" (p. 184). In other words, as a university stays abreast of changing trends 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



Source: Davies, 1992, p. 190

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.

Table 3: Challenges for internationalisation of HE

Challenges	References
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; Ziguras, 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 argues 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 21st 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.