

ED/HED/RIQ/2003/ME/3  
June 2003  
Original: English



United Nations Educational, Scientific and Cultural Organization  
Organisation des Nations Unies pour l'éducation, la science et la culture

**Meeting of Higher Education Partners**

Paris, 23-25 June 2003

**Internationalisation of Higher Education:  
Trends and Developments since 1998**

Background paper prepared by

The International Association of Universities

## Note of the Secretariat

Five years after the World Conference on Higher Education (Paris, 1998), UNESCO has once again reunited actors in higher education from across the world, represented by the focal points responsible for the follow-up of the World Conference and certain notable figures, for a meeting of partners in higher education (UNESCO, Paris, 23-25 June 2003).

The goal of the meeting is to evaluate progress in the implementation of the World Declaration over the last five years, to measure the impact that the Conference has had on the development of higher education at the world level, and to define orientations for future action at the level of Member States and institutions to ensure that higher education is able to better respond to rising needs and challenges.

The principal working documents made available to the participants to facilitate their deliberations and to allow them to reach their objectives were prepared on the basis of information collected by Member States and our principal partners in the follow-up of the World Conference, as well as our colleagues responsible for carrying out the higher education programme at the regional level.

The Division of Higher Education would like to express its sincere gratitude to the International Association of Universities for its contribution to the organisation of the partners' meeting.

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Director  
Division of Higher Education

## Internationalisation of Higher Education: Trends and Developments since 1998

### 1. Introduction

In 1998, at the UNESCO World Conference on Higher Education, one of the four Commissions focused on International Cooperation, thus highlighting the importance of this aspect along side topics such as Relevance, Improvement of Quality, and the Management and financing of higher education. In addition to being discussed as a subject per se, international cooperation was also evoked throughout the conference because it is often viewed as more a means rather than an end in itself; through international cooperation, institutions or countries can pursue and achieve objectives in all of the other areas. Frequently, international cooperation is seen as an instrument for capacity building, for finding new ways to manage higher education, for testing new or established practices in many aspects of teaching and research. It is also viewed as a means to improve higher education. Article 11 of the 1998 WCHE World Declaration states in paragraph b) *Quality also requires that higher education should be characterised by its international dimension: exchange of knowledge, interactive networking, mobility of teachers and students and international research projects, while taking into account the national cultural values and circumstances.*

Introducing this 'international dimension' as a measure of quality of higher education transforms this process into an end in itself. It can also be viewed as the reconfirmation of the historical roots of the university and its universal nature rather than as a new or unique phenomenon today. However, international education and cooperation in higher education have, in the last decade or so, gained a great deal of prominence and many volumes have been written especially about the process of internationalisation of higher education. More recently as well, internationalisation is debated together with globalisation and most often viewed as higher education's response to this overarching phenomenon.

This background report examines most particularly the developments in internationalisation of higher education during the last five years or since the WCHE. Section two briefly discusses how internationalisation is increasingly part of a more complex and intense debate that examines how globalisation impacts on higher education, including its influence on internationalisation strategies. In section three, the report provides a brief overview of the various forces that are changing the higher education landscape today and creating a new dynamic for international exchange broadly speaking, while section four highlights some preliminary findings of an international survey of institutions of higher learning that gathered data on such issues as the rationale, goals and priorities, instruments, obstacles, and challenges of internationalisation. The report identifies a number of challenges, new and old, as well as areas for further discussion and some that require attention, more research and policy in the future in section five, before concluding with some recommendations for the experts meeting to consider during their deliberations.

The overall report focuses primarily on the institution as a unit of analysis, but identifying whenever possible, the wider sectoral or national policy issues or implications.

## 2. Internationalisation, Cooperation, Globalisation, Transnational, Borderless and Cross Border Education

Are the words important? It is what happens that counts. That is one way to view debates about definitions and one way to respond to the calls for conceptual clarity when dealing with trends and initiatives in the international arena. Obviously, especially when dealing with value laden terms, such as globalisation, such an effort can get bogged down. At the same time, a lack of at least a modicum of clarity and common understanding of terms, can lead to misunderstanding and potentially result in a *dialogue des sourds*. At worst, all discussion becomes impossible or meaningless.

This report focuses on the internationalisation of higher education. In much of the literature, **internationalisation of higher education** has come to be understood as a broad, fairly all-encompassing concept which can involve international cooperation, but refers, as well, to changes taking place within a given institution through policy and specific initiatives. In this sense as well, internationalisation is an objective pursued in its own right. In fact, some would argue that *'the predominant thrust is not so much the geographic extension of activity but the internal transformation of the institution itself'* (Bond and Lemasson, 1999, pg.2). One of the most widely accepted definitions of internationalisation of higher education sees it as a process of introducing an international or intercultural dimension into all aspects of education and research (Knight and de Wit, 1997). This, mostly internally driven and directed process of transforming higher education to meet the challenges of an increasingly global context, is seen as a deliberate rather than a purely reactive process. It is, at its best, a process driven by strategy with specific objectives, means and a framework for monitoring progress. While it is undeniable that it is fueled by an increasing globalisation that requires new international competencies and intercultural sensitivities and creates new demands for higher education institutions, this process is driven and remains mainly, but not exclusively linked to academic purposes. It takes on many forms and continues to change and evolve not only within one institution, but also across the sector and in different parts of the world

While this may be a relatively well accepted definition and accurately describes the processes underway in many institutions of higher education, a keyword search in many journals of higher education or perusal of shelves of specialised libraries will also uncover books and articles on international education, international cooperation, transnational education, cross border education or even borderless education and, of course, on globalisation and higher education. All of these concepts are interlinked and have their specificities and champions in the literature. They all represent the dynamic growth of ways and means that higher education institutions have found, often using Information and Communication technologies or various partnerships and alliances, to develop academic mobility for students and faculty, to network for programme development, to offer courses and programmes in foreign locations, to develop partnerships for joint curriculum design, to make use of ICTs in international education, etc. Even if all of these terms and practices can be subsumed within the broad definition of internationalisation used above, different sets of motivations may be driving any given approach and these have developed as higher education institutions and indeed national systems respond to various economic and political and even technological processes that surround them.

One of the more heated and relatively recent debates concerns whether or not, and if so, how, internationalisation and globalisation are distinct concepts in relation to higher education. This has been the topic of many research papers, books and ongoing debates among experts in higher education (van Damme, 2002, Gnanam, 2002, Scott, 1998, Altbach, 2003). For some, internationalisation is no longer an adequate or appropriate response when faced with the rise of the global knowledge society and indeed, higher education itself needs to be more 'globalised' (Breton, 2003). All would agree, that higher education, like any other sector is subject to the impact of globalisation and that this process is fundamentally changing higher education in many respects. The disagreements arise particularly due to the broader polemic that surrounds the word globalisation and its benefits or detrimental impact and the increasingly all-encompassing meaning attributed to the concept.

Generally associated with the increased movement of goods, services, people and ideas around the world, **globalisation**, in essence, describes the process and state of interdependence that is no longer limited or curtailed by distance. It is a phenomenon in which the concepts of space and location are no longer constraining factors to either the process of production or the process of exchange. Thus, it can apply quite easily to many areas of human endeavor, including knowledge production and dissemination, in other words research and higher education. Even when not viewed from an ideological perspective, globalisation is most often seen as an economic process, bringing economies (and countries) closer together and exerting in this way influence on political, social and cultural processes. In addition, for many, economic globalisation is directly linked to market expansion and the removal of all barriers to trade and the mobility of factors of production (Marquez, 2002, Moja, 2003).

In the higher education sector, the discussion about the place of education in the General Agreement on Trade in Services and the overall role of the World Trade Organisation and the market as the regulating mechanism for international interaction, has also fueled the debate about the rationale, values and long term implications of the various ways in which institutions are going 'international'. In these debates, globalisation is seen as the prime driving force for a more mercantile approach to internationalisation on the part of some institutions, both private and public.

The ever-expanding and accelerated nature of globalisation and its influence on higher education, both at the institutional and at the systemic levels is reflected in the growth of the type and quantity of international exchanges as well as in the complexity of motivations that act as push and pull factors for various institutions. In addition to the traditional, academically driven internationalisation strategies, more and more institutions are expanding their efforts to export higher education programmes either by proactive recruitment of fee paying foreign students or by developing their capacity for programme and course delivery abroad; they are marketing their expertise and developing consultancies in international fora and building partnerships to secure research funding and building multi-institutional global research networks.

The overall result of such expansion and diversification of internationalisation strategies though is a far more competitive international environment and more

market-driven international activities. In a real sense, higher education institutions are acting as multi-nationals, delocalising, franchising and setting up branches overseas (Egron-Polak, 2003). The extent to which these strategies meet the goals of internationalisation as defined above is questionable and lead at least one author to write about the 'multi-nationalisation' of higher education. The long-term impact on those institutions or nations that are in the driver's seat of these processes in contrast to those that are subjected to them is uncertain. There is a growing concern about the impact on existing inequalities and the continuously growing North-South gap, as these processes are expanding quickly and have the potential to displace the more traditional models of international cooperation and internationalisation (Altbach, 2003).

Internationalisation of higher education, in the context of globalisation more generally, has made the analysis of rationales, strategies and mechanisms as well as impacts far more complex because, the new, economically driven strategies often coincide with more traditional mobility programmes and student and faculty exchanges and international higher education cooperation programmes. Indeed, they are not mutually exclusive but rather viewed as complimentary and mutually reinforcing and can be found in any number of combinations in an institutional strategy as it strives to cope with student, societal, labour-market and other stakeholder demands. In most cases, the reasons that are driving an institution to recruit fee paying students, for example, are linked to national policies of 'economic competitiveness' for overall export development but can coincide as well, with an institutional desire to broaden the mix of students in the classroom in order to improve international understanding and intercultural dialogue.

This interconnected nature of such policies makes it impossible to distinguish among the various strategies in a manner that would allow for a clear and definitive analysis of the long-term benefits and dangers of these trends. In turn this difficulty and continuous need for 'un-packing' or unbundling of such trends is why this debate is so rich and prevalent.

In summary, perhaps the three most important developments of the past five years in the area of internationalisation and international cooperation in higher education are:

- a) The increased complexity of the strategies and growth in variety of initiatives to achieve or strengthen internationalisation, mainly due to accelerated globalisation;
- b) The blending of academically and economically driven rationales driving the process; and
- c) The overall importance of internationalisation and of the global context in the policy discussion at the institutional, systemic and international level in higher education.

In fact, when re-reading the background papers prepared for the 1998 WCHE and in particular for the Commission on International cooperation, it is striking how all the same elements of the debate were already identified, yet how much the current discussion of internationalisation has become more complex due to the multiplication of forms and rationales for international interchange. The increased

competitive nature of internationalisation has also added a new urgency and sense for greater potential benefits and losses if the strategies chosen are not sound. Yet this urgency seems far less motivated by a sense of solidarity and for the sake of narrowing the developmental gaps that exist between North and South, which was a stated motivation in 1998.

### 3. To Internationalise or not to Internationalise? No longer an Option

Whether or not internationalisation, as defined above, or indeed even globalisation itself, are new phenomena in higher education, is an open question that experts hotly debate as well. Suffice it to say that as we enter the 21<sup>st</sup> century there is general consensus that the process of internationalisation as well as globalisation are accelerating at an unprecedented rate and that their combined impact on higher education are fueled by a number of factors including the following:

- i) The perceived importance of knowledge (production, dissemination and application) for the economic, social and cultural well-being of society world-wide; (Knowledge Society)
- ii) Ongoing integration and application of Information and Communication Technologies to the learning, teaching and research processes;
- iii) New pressures and demands for higher education institutions to prepare graduates for life and work in an international context;
- iv) Increasingly facilitated mobility for highly qualified human resources, creating a competitive and international labour market for academic and scientific workers;
- v) Decreasing or stagnating public funding for higher education in most countries around the world, without a respective decline in demand for access to higher education;
- vi) Increased pressure on higher education institutions to diversify funding sources in order to meet demands, which in many respects fuels the commercialisation or commodification of education, including at the international level; and finally
- vii) The advent, in part due to all of the above, of new providers and innovations in the delivery of higher education, as well as in the overall knowledge production system.

All of these and other factors are creating the new internationalising dynamic at the institutional level and both within national systems of higher education and at the international or regional levels. They also raise new questions about North–South cooperation, as for example, students and even more so, faculty, become a scarce resource which is sought after in what is now a global market place. In such a context, all of the international inter-university cooperation schemes or scholarship programmes for capacity building and institutional development are undermined by

an exacerbated Brain Drain that represents economic losses greater than all foreign aid (Altbach, 2003).

This trend is in direct conflict with the now unanimous recognition of the importance that knowledge has taken on in economic development and the related importance of international cooperation in higher education based on solidarity. The World Development Report of 1998 placed knowledge and know-how in a central place in the process of development and the centrality of knowledge has been reconfirmed in the new World Bank strategy for higher education lending, which states *Developing and transition countries are at risk of being further marginalised in a highly competitive world economy because their tertiary education systems are not adequately prepared to capitalise on the creation and use of knowledge* (World Bank, 2002). Assigning such a high degree of importance to higher education has the potential to give new vigour to support for higher education in developing countries, but underlines as well the need for North-South and South-South cooperation among higher education institutions for reasons directly linked to capacity building, to bridging the gaps between the industrialised and developing nations and to addressing the Millennium Development Goals.

At the same time, noting that in fact, *[U]niversities that once served as beacons of hope, including the universities of Ibadan in Nigeria, Dakar in Senegal, Dar-es-Salaam in the United Republic of Tanzania and Khartoum in Sudan have been turned into shells of their former selves... [that] external funding for science and joint research initiatives with universities and research institutes in other nations have often declined and [that] the best scientific talent continues to leave in large numbers* (Africa, World Science Report, 2002, pg.1), this new vigour is much needed. It is imperative that within the vast number of new ways to build linkages and collaborate to create new programmes, build new capacities, offer opportunities to learn etc., international cooperation based on solidarity remains a solid part of the strategies for internationalisation of higher education institutions and policy makers.

So while, the option whether or not to promote internationalisation of higher education appears less present today than in the past, higher education leaders as well as policy makers at national levels do face a far greater number of choices in terms of which strategies to develop, with which partners and in which regions/countries of the world. The variety of means used and the innovations being tried and tested have grown exponentially and higher education institutions show no sign of tiring of ways to link up with colleagues elsewhere.

Given the far more competitive nature of the higher education environment, and the variety of demands placed on higher education institutions, internationalisation has become a far more deliberate and tactical, if not strategic, priority for many. As the next section will show, most institutions have developed a plan for internationalisation thus placing their choices within a broader policy. It is important to analyse these strategies or at least the stated priorities and actions taken by institutions, in order to determine what choices are being made when faced with regard to such questions as:

- i) Should priority be on offering a more internationally sensitive curriculum at home or on sending more students abroad?



- ii) To what extent should the internationalisation strategy be driven by the need for revenue generation?
- iii) What place should solidarity and cooperation, mutual benefits and partnerships find in the future internationalisation strategies?
- iv) What are the benefits and drawbacks in the short and medium term of the various options for 'importing programmes' ?
- v) Is greater regionalisation a more appropriate answer to building networks?
- vi) Are the recruitment practices that seek to attract the best brains ethical and sustainable?
- vii) Should alliances and partnerships for scientific research cooperation be comprehensive or discipline specific? Should they be only with like institutions or is diversity of partners an added value?
- viii) Can partnerships between public and private for profit institutions be successful in increasing access to programmes?
- ix) Do international programmes offer a lasting solution to the problem of unmet demand?
- x) Does increased private education provide a convenient way for governments to divert higher education funding to other sectors of the economy, or to other parts of the education sector?

These and many other questions surround the longer-term strategies for institutional and national internationalisation of higher education. At least in part, they have led to the elaboration of the international survey on higher education institutions whose partial results are reported below.

#### **4. Focus on Higher Education Internationalisation – Initial Survey Results**

If no institution and no system is immune to the imperatives of globalisation and no higher education institution can remain cut off from international networks, the questions asked above need to be answered through strategies and specific initiatives on the part of institutions and aided by government policies and programmes. These responses in turn need to be developed on sound analysis and understanding of the impacts of the various internationalisation strategies and initiatives now underway around the world. For this reason, data collection and comparative studies are needed, especially on the impact, over time, of the more recent types of international activities such as cross-border higher education provision, franchising, international e-learning, provision of courses exclusively to international students, recruitment campaigns for fee paying degree programmes, increased programming in English language in non-Anglophone countries, etc.

Nevertheless, examining how institutions or governments chose to, or what options they have in responding to these questions, also depends on such essential contextual questions such as the extent to which we are looking at institutions or nations in developing, transition or developed nations.

For this, a comparative review of whether, why and how higher education institutions around the world have adopted pro-active policies for internationalisation, is needed. Taking a very broad set of definitional parameters with regard to the internationalisation of higher education, such analysis needs to examine the means that are employed by various institutions to achieve their goals and the obstacles that stand in their way. It is also important to learn how institutions of higher education view and position themselves in the increasingly competitive and market-driven international arena of a higher education sector in a globalised world and where these views diverge.

Unfortunately such information, to the extent that it is available, is mostly country-specific and partial at best. Only a few countries, such as Canada, the USA, Australia, the UK and some of the Nordic countries have conducted systematic and comprehensive analysis of institutional strategies of internationalisation of higher education. Practically no similar information exists for universities in developing or transition nations. Most importantly, it is not easy to compare across regions and it is these comparisons that may be most telling about the objectives being pursued and the long-term impacts these transformations may bring.

This background paper focuses primarily on the general trends internationally and on institutions as a unit of analysis, rather than on the national systems of higher education. It is also not a comprehensive analysis of the state of internationalisation of higher education in the world today. At best, it introduces some of the key aspects of this process and salient elements of the debate, concentrating on those that appear starker today than in the past. It remains partial and to some extent impressionistic, even if it is based on a preliminary analysis of an institutional survey conducted by the International Association of Universities in early 2003.

IAU has had a Working Group on internationalisation since prior to the 1998 WCHE. At the time of the Conference, the Association was consulting its membership on a draft Policy Statement on Internationalisation of Higher Education and used this statement to underpin the presentation during the Commission on International Cooperation. The Statement is provided as Annex 1. The Association also held an international conference on the topic at Université Claude Bernard in Lyon, France in 2002 and published a series of reports on this event in its *IAU Newsletter* and on its website. Organized around a number of dimensions of internationalisation participants were invited to share their own experiences, both positive and negative with regard to policies and practices in the following areas:

- ❑ Mobility of students and faculty
- ❑ Internationalisation of curriculum
- ❑ Intercultural dialogue at the institutional level
- ❑ Academic and/or entrepreneurial strategies for internationalisation
- ❑ ICTs as supports for internationalisation, and of course,
- ❑ Barriers and obstacles to internationalisation.

The conclusions and recommendations made by this gathering of institutional representatives from all regions, provided at least part of the impetus for IAU to conduct this survey on internationalisation as information gathering and dissemination were at the heart of these. In fact the participants called for IAU to develop its capacity to serve as an Observatory of internationalisation and create mechanisms for sharing Good Practices and lessons learned. As the preparations got under way for the WCHE+5 meeting, the preliminary findings of the survey also provide useful information for the discussions that will take place there. A fuller analysis of the results of the survey will be prepared by IAU.

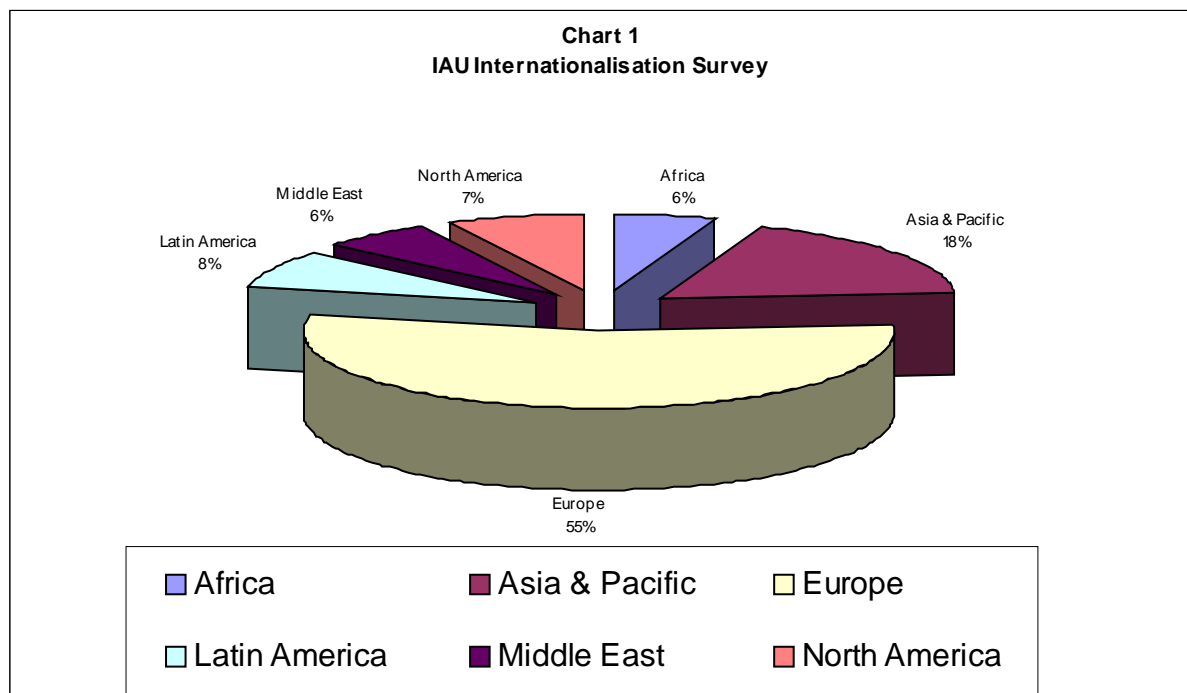
#### 4.1 Methodology and Size of Sample

Given the multiple understandings of the terms internationalisation of higher education, international education, transnational education and others, IAU accompanied its short questionnaire by a brief explanatory text setting out the definition of internationalisation, as stated above. Advice was sought and received on the questionnaire from several experts from around the world prior to sending it to the heads of IAU member institutions<sup>1</sup>. A copy was also provided to the heads of international cooperation. The letter and questionnaire are attached as Annex 2 in English and French.

This global survey is the first of its kind and a first effort to gather comparable information on the question of internationalisation that IAU has ever undertaken. The rate of return is not extremely high, but does provide enough of a sample to undertake some preliminary analysis and consider the results as fairly representative. Of 620 questionnaires, which were sent out electronically or by mail to all of the IAU institutional members in 123 countries, 163, or 26% were returned. At the time of preparation of this report, questionnaires were still trickling in and the response rate may be higher when a final report is prepared. Chart 1 presents the geographic distribution of the returned questionnaires.

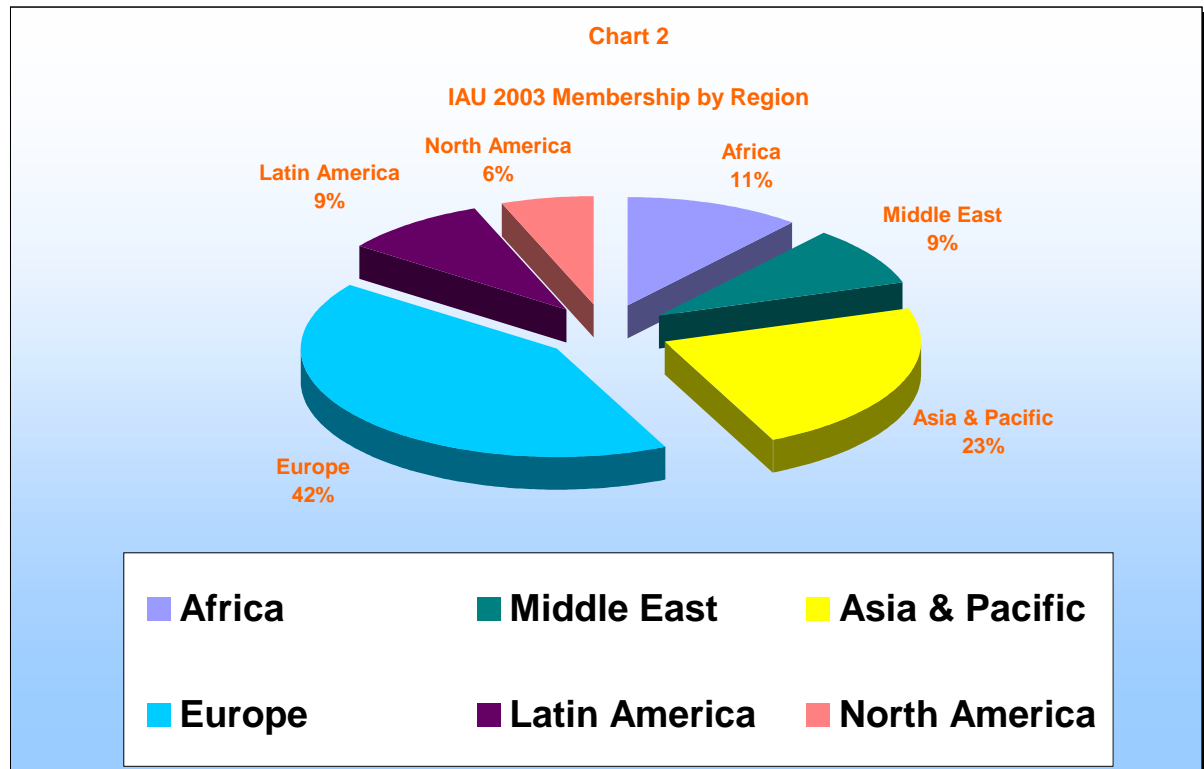
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<sup>1</sup> IAU gratefully acknowledges input from Jane Knight, Karen McBride, Marejk van der Wende, Piyushi Kotecha and Stamenka Uvalic-Trumbic, whose comments improved the questionnaire tremendously.



There may be a number of reasons for this relatively low rate of return. Among these we can guess a certain questionnaire fatigue on the part of higher education leaders as well as the fact that in Europe in particular, the questionnaires were sent out on the heels of the Trends III survey conducted by the European University Association within the Bologna Process discussions. The lower rate of return found in Africa (11 % of the questionnaires were sent and completed questionnaires represented 6% of the total) could also be due to unreliable electronic communications

The overall distribution of replies received deviates only slightly from the overall distribution of IAU membership, as presented in Chart 2, with Europe and Africa showing slight differences in the total number of replies received. 42% of the blank questionnaires were sent to European institutions, and the response from Europe represents 55% of completed questionnaires.



In general, most respondents completed all sections of the questionnaire. Only the most salient findings are presented in this report and IAU will publish a more comprehensive analysis in the future. Several open ended questions, while providing rich matter for further reflection, did cause some difficulty in summarising the responses in a way that indicated general trends or patterns. Rather than leading the respondents to uniform answers, the survey gave free reign to respondents, with the corresponding challenge to categorise their answers.

#### 4. 2 Institutional Internationalisation Policy or Strategy

There is no doubt that internationalisation is a high priority for the overwhelming majority of higher education institutions in all parts of the world. All respondents indicated that internationalisation is either very much or somewhat of a priority, with only one institution reporting that it is a very low priority and none indicating that this has no priority whatsoever.

However, a far more complex picture emerges when institutions are invited to articulate the top reasons why this is so. Responses to this open-ended question range quite widely, but the reasons why internationalisation is a high priority that were cited most frequently by the respondents can be categorised as follows, in order of priority, although all four scored quite similarly without a very strong descending order:

- ☐ Student and faculty mobility and exchanges
- ☐ Academic quality, excellence in curriculum

- ❑ **International competitiveness**
- ❑ **International collaboration in research and teaching**

These reasons confirm, as was already the case and had been stated in the 1998 Policy Paper prepared for the World Conference on Higher Education, that the pursuit of quality and the global context were and remain key motors for increased interest and preoccupation with internationalisation of higher education. That most institutions focus on mobility of both students and faculty also reflects a Canadian survey, conducted by the Association of Universities and Colleges of Canada and published in 2000, in which the top rationale cited by respondents was preparing graduates who are internationally knowledgeable and interculturally competent (AUCC, 2000, pg. 17). Further analysis of the IAU survey returns will be required to determine whether the reasons differ significantly according to the geographical provenance of institutions responding.

Of the 156 responses received for this question, 70% of the institutions indicate that an institution-wide **policy or strategic plan for internationalisation** has been elaborated and furthermore, the same number of respondents indicate that there is an office charged with the overall responsibility for overseeing the implementation of such a policy or plan. While only 110 responded to the question of budgetary provisions for internationalisation of those, 78% confirmed having such a budget. If the 'no reply' category is included though, almost half the respondents do not have a specific budget assigned to this plan. The vast majority of those who do report budgetary provisions were institutions found in Europe and the Asia and Pacific regions. A very similar split between a 'Yes' (89), 'No' (19) and 'No reply' (53) emerges with regard to the existence of a monitoring framework to review progress towards achieving the institutional objectives of internationalisation.

#### 4. 3 Geographic Priorities

Probing further in terms of the priorities given to the internationalisation plan or strategy, IAU asked for an indication with regard to **geographical priorities** that institutions have identified. The results of this aspect of the survey are relatively difficult to tease out since the sample size is relatively small in each case once the regional provenance of respondent is taken into account. What emerges rather clearly, however, is that for the most part, whether we look at African responses or those from Europe or Asia, regional cooperation is more valued or desirable than any other collaboration. The only exception is for North American institutions, which responded poorly to this question in a general manner but did indicate a higher priority of extra-regional cooperation, namely Asia or Europe each time. While the sample is too small to draw definitive conclusions, it is noteworthy that no North American response indicates Latin America as priority, despite the efforts to build regional cooperation in among the Americas.

#### 4.4 Dimensions, Mechanisms / Most Important Means of Internationalisation

In light of the variety of ways and means to pursue internationalisation, a fairly long list of dimensions or mechanisms was drawn up in the questionnaire. When asked about the importance of various aspects of internationalisation, mobility of students was of highest importance for 93 institutions, 87 institutions rated international research collaboration also of the highest importance. These findings are consistent with the responses given in terms of rationale for internationalisation mentioned above. Also, the same number of institutions indicates that they give highest priority to welcoming, sending and reciprocally exchanging students.

International development projects and linkages and capacity building scored highest on the scale of importance in 53 cases, which represents just under one third of the responses and was consistently so for institutions in all regions.

It is noteworthy that only 13 and 12 institutions respectively gave the highest level of importance to the commercial export or import of programmes on the one hand and to establishment of branch campuses abroad on the other hand. Twice as many respondents assigned the highest level of importance to the development of twinning programmes. These numbers may appear low in light of the so often reported expansion in this type of activity, however, given the nature of the sample of institutions to which the questionnaire was sent, namely the IAU membership which remains predominantly composed of public or private not-for-profit higher education institutions, this is not so surprising.

The results of the survey in regards to the disciplines that are most 'internationalised', is not at all conclusive. However, replies do offer a very unequivocal indication that demand is rising for both courses/programmes with significant international content and for foreign languages. This finding is true right around the globe.

#### 4.5 Facilitating Factors and Obstacles to Internationalisation

The questionnaire asked where the impetus for internationalisation was coming from in the institutions and in the same vein, respondents were asked to indicate who showed the strongest resistance to this process. In the first instance, 51% of the institutions reported that demand for internationalisation activities stems from faculty members, 25 % cite administration and 21 % cite students as driving this process. Only 3% did not offer a response. On the side of resistance, the numbers differ a great deal with 44% not replying to this question, while 35% cite faculty as offering the greatest resistance and 12% and 7% cite administration and students respectively as resisting. Perhaps, the high level of 'no reply' on the second part of this question can be interpreted in a positive fashion, and taking the words from one respondent, who wrote 'There is no resistance at all!'

Not surprisingly, the obstacle rated highest on the scale of importance is the lack of financial support, which was so identified by 80 respondents. Only two other issues were given top score by a moderately significant number of respondents, but both falling far below the number of institutions that pointed out finances. These were,

in order of importance, competing priorities on the one hand and lack of policy or strategy on the other hand.

#### **4.6 Benefits and Risks**

Among the most important and most frequently cited benefits we find an overwhelming consensus around the improvement and strengthening of quality of education available for students. This benefit is cited most often alone but relatively frequently reference to research quality is also made. In this open-ended invitation for institutions to name benefits that flow from internationalisation, we also find mention of intercultural understanding and awareness, tolerance and dialogue as well as improved preparedness of students for a more globalised and international world. A number of other benefits are mentioned, including economic benefits and increased institutional competitiveness, but neither of these are of great statistical significance.

Risks show far more regional specificity with institutions from Africa, Latin America and the Caribbean as well as some in European countries in transition consistently citing the issue of the Brain Drain. Overall, fewer institutions responded to the question in regards to risks but only two or three of them demonstrate any real level of consensus in addition to the Brain Drain issue. These are loss of local values, loss of linguistic and cultural diversity and issues surrounding financing, including the risk of too much dependence of fee-paying students.

#### **4.7 New Developments in Internationalisation**

Recognising the rapidity with which the strategies for internationalisation are changing, the survey also asked, in an open-ended question, what institutions identified as major new developments in this area. Again, more analysis will be required in terms of the responses received but it is notable that increased presence of Information and Communication Technologies, virtual learning, IT-based joint courses, the Web and Internet was mentioned several times as a major new factor in internationalisation. A second cluster of responses clearly expressed the notion of growth and expansion in every sense – number of students moving, number of international opportunities, increased awareness of the need to internationalise, etc. At the same time, a few of the replies referred to a move from quantity to quality and to deepening rather than spreading internationalisation efforts. For many European institutions, the Bologna Process, ECTS, the various EU programmes, including the 5<sup>th</sup> and 6<sup>th</sup> Research Framework Programmes represent a major new development.

### **5. Challenges, Areas for Further Research and Discussion**

It is not always easy to extrapolate, on the basis of an examination of issues and challenges raised by institutions, to a more general or macro level. As well, such an extrapolation may not always prove to be accurate or provide appropriate



results since the day-to-day challenges of higher education leaders may not coincide with notions of 'national interest', nor reflect major trends at the country, region or international levels. Yet, the institutional view is necessary when searching for the broader and more macro-level trends since the actions and tactics chosen to 'go international' start most often there. The following section is thus based in part on the survey results but also, and perhaps more so, on the vibrant discussion that has been taking place in various forums since the WCHE.

Because of their global nature, drawing only on meetings that have taken place recently at UNESCO, and especially the two meetings of the Global Forum as well as the discussion on internationalisation of higher education during the 8<sup>th</sup> UNESCO/NGO Consultation on Higher Education, held in January 2003, allows the identification of a few key challenges that should serve to stimulate further discussion at an international gathering of higher education experts.

These issues are: 1) financing, 2) recognition, quality assurance and an international policy framework for regulating cross border or trans-national education, 3) stemming the Brain Drain, North-South cooperation and capacity building, and perhaps the most important but least well articulated, 4) the safeguarding of academic values and principles of cooperation in internationalisation.

## 5.1 Financing

Whether referring to the overall higher education system or to the internationalisation process specifically, the inadequate support for higher education from public sources is a persistent refrain in most of the literature and discussion. It is also viewed as a main reason for the growth of commercially motivated internationalisation strategies such as recruitment of fee-paying students, export of programmes and courses and establishment of franchises or branch campuses. Low funding, however, is also the reason why unmet demand exists in many developing countries and thus contributes to the import of such programmes or the Brain Drain phenomenon when programmes are not available locally.

In addition to calling on governments to meet their responsibilities in providing quality higher education by attributing adequate public resources to this sector, further research and far more discussion are required to find the best manner in which to 'exploit' private higher education, not only for economic but also for social and sustainable human development. This is as needed within national systems that have private not for profit and for profit institutions as well as for cross border or trans-national education where private for profits are playing an increasing role. Research must determine whether the growth in international offers by private higher education increases access. In parallel, analysis is needed to see whether public funding for higher education is being maintained and used to build capacity in areas where private higher education tends to be lacking – health studies for example. Also, these, more market driven internationalisation strategies need to be examined in order to ensure that they are not undermining the ability of local public institutions to improve quality and increase capacity or on the contrary, nor draining the most qualified teachers and the best students.

Funding for internationalisation and international cooperation is also an absolute requirement in light of the growing importance of this dimension for the quality of curriculum and research in higher education. The survey results identify a number of funding programmes that exist at national and regional levels to provide support for students and faculty and for the development of joint projects or research. At the same time, many of the replies indicate that funding is the main constraint for the expansion or development of internationalisation, despite its importance.

Many of the funding programmes mentioned are of a regional nature and it would be worthwhile to question whether the fact that in a significant manner higher education institutions place greatest emphasis on regional cooperation stems from the existence of such regional funding or if, in the absence of these supports, this interest would remain.

Another aspect of the funding issue that is worth examining further is the apparent separation between Official Development Assistance-funded programmes that link higher education institutions and other types of funding mechanisms for internationalisation. With only a few exceptions, these capacity building cooperation schemes are not mentioned as a source of support. Ongoing analysis of how these types of activities fit within the internationalisation strategies and processes is needed, particularly in light of the expansion of commercially driven activities that also target developing countries.

## **5.2 Recognition, Quality Assurance and an International Framework**

Expansion of internationalisation and particularly the expansion of trans-national or cross border education brings additional and new challenges to the now well-known preoccupation with regard to recognition of periods of study taken and qualifications obtained outside the home country. While this preoccupation has by no means ceased to be important, UNESCO's five regional Recognition Conventions do exist and provide the framework within which progress can be made to facilitate academic mobility around the world. However, no such set of conventions exists with regard to the treatment and recognition of courses, programmes or even institutions as these increasingly move from one country to another.

When coupled with the highly differentiated manner in which and by whom, authority is given to institutions of higher education to operate and grant degrees, whether these are national or foreign, the advent and growth of trans-national education and numerous new types of educational providers including virtual universities, results in a whole set of new problems linked to recognition, quality assurance and regulation. UNESCO's Global Forum on International Quality Assurance, Accreditation and Recognition of Qualifications is an important step in providing a space for all stakeholders to examine the implications and requirements that arise with these new types of internationalisation strategies and process in higher education.

There is a general agreement among experts and stakeholders in higher education that existing, mostly country-based mechanisms for regulating higher education are inadequate when dealing with new forms of cross border educational exchanges.

As a leading expert in this debate states: *What is needed is a truly international and sustainable policy framework for dealing with private and trans-national providers, reconciling the interests of national governments, the traditional public higher education sector, for-profit providers and the needs of the demand side of students and the general public interest* (Van Damme, 2002, p.27).

To some extent, the inclusion of higher education as a traded service in GATS by the World Trade Organisation, is establishing the market even more firmly as the main regulatory force for this type of international exchange in higher education. However, this possibility is meeting with strong resistance from many organisations including major associations of institutions, faculty members and students who argue that GATS is not the appropriate means for regulating these exchanges, primarily because the trading regime and the market cannot adequately deal with exchanges not motivated by commercial interests and much of the international higher education cooperation falls precisely outside of this arena. Moreover, the opponents of this market-driven regulatory mechanism fear its impact in the long run and the likelihood of a greater spread of commodification of higher education that will further undermine the role higher education plays as a public good. For those who most vocally opposed the inclusion of higher education in GATS, an international policy framework approach, built on discussion and stakeholder buy-in is an alternative worth pursuing.<sup>2</sup>

The development of new conventions, regulatory frameworks or practices related to international recognition or quality assurance and exchanges more generally requires ongoing and inclusive debate that respects diversity and allows for an examination of longer term impacts of certain developments in various contexts. The right, responsibility, capacity, but also the need for government regulation of the higher education system may differ from country to country and national approaches and interests in a variety of issues including accreditation and quality assurance are varied. When dealing with these issues, the interests of the 'target' countries, which for the most part are developing nations, must be taken into account, if not play a central and determining role. In this debate too, the appropriate place of the market, which may be suitable for regulating the private providers of higher education in contrast to policy measures, which may be better suited to protecting the public and societal needs, must be found. Finding the appropriate place is a choice *whether the international quality assurance will be underpinned by the ethics of the market, which takes the contractual agreement between willing individual purchasers and willing individual vendors of higher education as its frame of reference, or whether it will be driven by the spirit of internationalism in higher education premised on the cooperation of the different parties involved...*(Singh, 2002, pg. 186-7).

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<sup>2</sup> At present, the following organisations are elaborating a draft International Policy Framework for Cross Border Higher Education: American Council on Education (ACE), Association of Universities and Colleges of Canada (AUCC), European University Association (EUA), Commission on Higher Education Accreditation (CHEA) and International Association of Universities (IAU).

### 5.3 Stemming the Brain Drain, North-South Cooperation and Capacity Building

The diversification of forms of internationalisation and in particular the expansion of the use of ICTs and borderless education that potentially diminish the need to move for long periods of study abroad, can provide partial answers to the ongoing problem of the Brain Drain. However, it is not at all certain that this counterweight is sufficiently strong to combat the advent of a global higher education marketplace, where most OECD countries are seeing declining population growths and a looming shortage of academics. Nor has it so far been demonstrated that when institutions set up branch campuses or partner locally to offer courses and programmes in developing countries, they serve to meet demand or hire local academics in a sufficiently significant manner to stop the large numbers of people either already qualified or seeking higher education from leaving.

In fact, the outflow of highly qualified and competent people is the most frequently cited risk of internationalisation by all respondents from Africa. In Africa, in particular, where the brain drain but also HIV-Aids have literally devastated many regions and have hit the education sector (at all levels) especially hard, there is an urgent need to examine all of the measures and initiatives that can successfully stem if not reverse this trend. While many complain about the paucity of real data on the brain drain, overwhelming evidence exists that those who are leaving countries in Africa are, for the most part, the highly educated people, mostly with tertiary education.

Two recent reports indicate that each year, about 20,000 professionals leave Africa and are replaced by expatriates, costing the continent a massive \$4 billion a year. The second of these reports says Africa has lost a third of its skilled professionals. About 23,000 qualified academic professionals emigrate each year in search of better working conditions or to flee persecution.<sup>3</sup> Africa is not alone in experiencing this outflow. The situation is similar in developing countries of Latin America, Asia and Eastern Europe. Even China and India report concern over the brain drain even if the results may not be as devastating and the likelihood of returns are better. (Solomon, Akerblom, Thulstrup, 2003)

International academic mobility requires the full participation of students and academics from developing countries who enrich the institutions they visit as much as the institutions they come back to. However, a critical examination and assessment of goals and rationales for scholarships, exchange and twinning or even capacity building linkage programmes may be required to ascertain to what extent the design of such mechanisms takes into consideration the risk the beneficiaries of such programmes whether students or young faculty, remain abroad. Since stemming the brain drain is a pre-requisite for sustainable impacts from any development projects, far more emphasis must be placed on designing programmes that counteract the outflow of qualified people but rather provide incentives for people to stay and strengthen local capacity in a sustainable manner.

Recognising that no incentives will be successful in a lasting way unless local conditions improve for academics, researchers and students at the graduate level

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<sup>3</sup> BBC on-line commenting on University of Natal (SA) report, October 17, 2001.

especially, improve, more research is required so that the internationalisation programmes and projects involving developing country institutions meet the capacity building and institutional strengthening objectives they pursue and thus contribute to making developing countries more attractive to their own scholars and academics and even to those who have been living abroad for some time. Such research must be conducted by the experts from those countries and institutions that are suffering from this exodus of people. Answers to the following questions are urgently needed when:

- i) Are the terms of scholarships offered to students and scholars from developing countries designed in a way to discourage them from remaining outside their country if the aim of these programs is capacity building?
- ii) Are sufficient means built-in to ensure study programmes are geared to students' professional or scientific career in home country?
- iii) What incentives can be and are used to encourage return to home institution?
- iv) What mechanisms are successful to establish and maintain contact with hosts without permanently remaining abroad?
- v) What programmes exist that successfully bring back highly qualified African, Latin American or Asian people to their home countries?
- vi) Should pro-active recruitment of students, scientists and professionals working in sectors where developing countries require their presence be continued? If so, is compensation to be envisaged for this 'resource extraction' process?
- vii) Are industrialised countries allocating sufficient resources and attention to capacity building programmes in higher education?
- viii) What supports are available for South-South regional cooperation and the creation of networks and centres of excellence with critical mass of resources to attract and keep graduate students and scientists from developing countries in the region?

In addition, it is critical to bring those who work in the area of capacity building and international development cooperation into more frequent dialogue with those who design mobility programmes, promote trans-national or cross border education and build virtual universities in development countries. There appears to be a divide in the academic community separating those who deal with internationalisation issues and those who contribute to international development and capacity building in developing countries or analyse the role of knowledge in development. This divide is a gap that is detrimental to the creation of developing sound internationalisation strategies that also include developing country higher education institutions and their needs and contributions. Like all gaps, it would be very beneficial to build fruitful cooperative bridges to span it.

#### 5.4 Safeguarding of Academic Values and Principles of Cooperation in Internationalisation

Clearly internationalisation of higher education that places the highest emphasis on introducing an intercultural sensitivity and international awareness into the experience offered to students in the classroom or laboratory and sees the need for its service function to also have an international dimension, gives top billing to academic values. Reciprocal student exchanges and development of joint curriculum and double degree programmes also seem to integrate principles of cooperation and partnerships.

So why the concern over academic values and principles of cooperation? The main and perhaps only reason is competition. When institutions, for whatever reason, develop internationalisation strategies that are also motivated by financial reasons, vigilance that academic values are not sacrificed becomes real because the measure of success shifts to some extent. When recruiting fee-paying students, market share becomes important as does cost efficiency and perhaps economies of scale when offering distance education programmes or creating branch campuses overseas. Furthermore, competition whether for excellence or for revenues also tends to displace the cooperative and collaborative nature of international exchange that so characterises the traditional internationalisation strategies and while this may increase innovation and experimentation, it may also inadvertently create exclusion.

As globalisation exerts its influence on all activities including higher education, it also strengthens this competitive environment in every sphere. And just as GATS brought education into trade policy, it can be argued that higher education is now more squarely in the realm of economic rather than educational or social policy, particularly with increased types of private providers. Again this shift requires that we continuously recall the traditional and fundamental values on which most higher education institutions rest, namely a commitment to the pursuit of knowledge and scientific excellence, access based on merit, and the acceptance of social responsibilities that include a sense of solidarity with higher education institutions in less developed nations.

In such a context, and without keeping such values and principles of cooperation for mutual benefit in the forefront, it seems impossible to achieve the kind of international cooperation and partnerships called for in 1998 in the Declaration and Action Plan and on numerous occasions since then. On the contrary, there is a danger that from internationalisation that is built on these premises, and strives to open the institutions to the world for reasons of understanding, dialogue and respect of other ways of thinking, higher education institutions will become more and more globalised or at least take up tactics that are more fitting for a computer software giant or a global life insurance company than for a university. How such tactics integrate the traditional values and principles of higher education institutions and whether they will leave room and resources for expanding mobility programmes, curriculum change, development cooperation and capacity building projects are questions that also need continuous examination in different parts of the world.

## 6. Conclusions

This background report on internationalisation, offers a brief analysis of recent developments and general trends taking place in higher education that are influencing how institutions are internationalising. Taking into account that internationalisation of higher education is only one concept used by experts in this field to describe the growing variety of approaches to international interchange in higher education, some definitional aspects of these concepts and approaches are discussed.

The findings and conclusions of the report are based on the examination of these trends but are supplemented by the preliminary results of the institutional survey undertaken by IAU with regard to internationalisation strategies of its members. Drawing on these findings a second set of conclusions with regard to the challenges and questions that require the attention of all stakeholders in the community are placed more on the macro-level and include questions that policy makers, higher education leaders and experts need to continue to examine together and, to the extent possible, in a global forum such as offered by UNESCO.

It is essential that these discussions be truly multi-stakeholder and international because in a nutshell, we can increasingly speak of an international higher education sector or a global higher education community. Many of the long-term impacts of actions by single universities or one set of countries will be felt far away in countries where they either send their students or programmes, or both. Furthermore, the Bologna process introduces, among other changes, similarly structured academic programmes and credit transfer practices in more than 30 countries is only one, even if the most profound, example of national authority ceding to international policy making in higher education. Other, more modest examples exist and yet others will follow.

It is safe to state that internationalisation of higher education is perceived by all, both in government and in academe, as a direction for further development of higher education. International education opportunities, sharing of knowledge, academic networking and an enriched curriculum are some of the benefits that are usually cited with regard to internationalisation. However, not all is positive and as globalisation exerts its pressure, some of the challenges become more apparent as well. The financing issue may result in an erosion of the notion of higher education as a public good, strengthening competition may reduce rather than increase cooperation among institutions, the promotion of cultural diversity will be undermined by expansion of the strongest language and dominant culture, the Brain Drain will increase as academic labour market unifies are among the clearest possible dangers of greater internationalisation.

At the same time, as it grows in importance, internationalisation moves from the margin of institutional concerns to the centre. As it does so, however, and as this report indicates, as it takes on new, more entrepreneurial forms, it also becomes entangled with other processes such as commodification, privatisation, competition and cross-sectoral alliance building and needs to be analysed and discussed together with these trends as well. Through this *rapprochement* we may find that internationalisation of higher education as one of the creative ways in which this sector and its institutions respond to globalisation, has in fact moved towards what is more appropriately called globalisation of higher education, especially if the more

current more entrepreneurial internationalisation strategies continue to develop. When that will happen, whether and how we will know that it has, are questions worth exploring.



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Annex 1

**Towards a Century of Cooperation:  
Internationalisation of Higher Education  
IAU Statement - 1998**

**Preamble**

*It has often been taken for granted that universities are international. The universal nature of knowledge, a long tradition of international collegiality and cooperation in research, the comings and goings of faculty and students since Antiquity have all served to create this impression. Conscious that this impression only partially reflects the day to day reality of higher education institutions in the world, and noting that internationalisation of higher education is today more than ever a worthy goal, the International Association of Universities wishes to reaffirm its own commitment to this effort and to urge all stakeholders to contribute to its realisation.*

As we approach the 21st Century, a number of major challenges face women and men around the world as they interact with one another as individuals, groups, and with nature. Globalisation of trade, of production, and of communications has created a highly interconnected world. Yet the tremendous gaps between the rich and the poor continue to widen both within, and between nations. Sustainable development remains an elusive long-term goal, too often sacrificed for short-term gains.

It is imperative that higher education offer solutions to existing problems and innovate to avoid problems in the future. Whether in the economic, political, or social realms, higher education is expected to contribute to raising the overall quality of life, world wide. To fulfil its role effectively and maintain excellence, higher education must become far more internationalised; it must integrate an international and intercultural dimension into its teaching, research, and service functions.

Preparing future leaders and citizens for a highly interdependent world, requires a higher education system where internationalisation promotes cultural diversity and fosters intercultural understanding, respect, and tolerance among peoples. Such internationalisation of higher education contributes to building more than economically competitive and politically powerful regional blocks; it represents a commitment to international solidarity, human security and helps to build a climate of global peace.

Technological advances in communications are powerful instruments which can serve to further internationalisation of higher education and to democratise access to opportunities. However, to the extent that access to new information technologies remains unevenly distributed in the world, the adverse side effects of their widespread use can threaten cultural diversity and widen the gaps in the production, dissemination, and appropriation of knowledge.

Highly educated personnel and research at the highest levels are essential to increasingly knowledge-based development everywhere. Internationalisation and international cooperation can serve to improve higher education by increasing efficiency in teaching and learning as well as in research through shared efforts and joint actions.

The International Association of Universities, founded to promote international cooperation among higher education institutions, notes that despite the universality of knowledge which has always served to affirm the international nature of higher education, the level of internationalisation remains low and uneven. Furthermore, international cooperation has had relatively little impact on global wealth and resource distribution even in the realm of higher education. Worse, the external brain drain and other negative consequences of poorly designed cooperative activities have at times even exacerbated the conditions in developing nations. In more recent times, commercial and financial interests have gained prominence in the internationalisation process and threaten to displace the less utilitarian and equally valuable aspects of this enriching and necessary transformation of higher education.

## Annex 1

### Recommendations

*In recognition of the urgency to take positive actions, the International Association of Universities recommends that:*

1. higher education institutions seize the initiative in the process of internationalisation rather than reacting to external globalisation forces, such as the market, in determining their actions;
2. higher education leaders, with active support of all levels of the academic community, develop clear institutional internationalisation policies and programmes that are seen as integral to the life of the institution and as such enjoy adequate internal and external funding;
3. this support be facilitated by the creation of a Forum on Internationalisation Policy by the IAU and its Members and Partner Organisations for the exchange of ideas and experience;
4. the curriculum of the university reflect the preparation of international citizens, through facilitating language competence; and understanding of global, international, and regional issues; preparation of experts in areas needed for such fields as information technology and science, peace and conflict resolution, and sustainable development, as well as the special curricular needs of international students;
5. North-South cooperation in higher education, focusing as it does on human resource development, be recognised as a major instrument of the fight against inequality among nations, people, and groups and be given adequate support and funding by national development agencies, intergovernmental organisations, and private foundations;
6. the highly successful and valuable academic mobility programmes developed within particular regions (Europe, Asia, North America) continue to serve as catalysts and models to expand such flows more widely to ever-growing numbers of individuals and institutions on the global level. Efforts should be made to promote the growth of academic mobility programmes in the other regions of the world (Africa, Middle East, Latin America) as well as expanding inter- regional programmes of inter-university cooperation;
7. institutions of higher education take pro-active measures to ensure the quality of the internationalisation process by making use of existing quality review expertise developed by various organisations and that IAU make such projects known among its membership and contribute to the development of a roster of experts available to take part on peer review teams;
8. the expansion of education export development be conducted within internationally ethical codes of good practice and be accompanied by

research to evaluate its educational and economic impact and to sustain quality control;

9. the expertise and experience of retired faculty members and scholars be mobilised and shared across the North-South divide in an Academics without Borders volunteer programme to be facilitated by IAU and UNESCO;
10. UNESCO, national governments, and educational institutions each demonstrate their commitment to international cooperation in higher education by implementing , within their respective purview, policies that remove obstacles to mobility , such as stringent visa requirements, restrictive recognition practices, and other regulations which impede the flow of students and academics; and
11. all internationalisation programmes be founded on the principle of partnership among equals and promote intercultural competence and a culture of peace among global citizens.

February 2003

Dear Head of Institution,

As it prepares for the World Conference on Higher Education + 5 Meeting, UNESCO is taking stock of developments and changes that have taken place in the intervening years on a variety of fronts in higher education around the world. It is particularly focusing on those areas that were deemed of priority importance during the 1998 Conference in Paris. One of these areas that UNESCO wishes to re-examine now, five years later, is internationalisation of higher education.

The task of elaborating a background paper on internationalisation of higher education and outlining some of the issues that may have arisen in this area since 1998 has been assigned to the International Association of Universities (IAU).

The brief Institutional Questionnaire presented below will serve to gather information from a sample of higher education institutions around the world and will complement the research and other data gathering efforts that IAU is undertaking simultaneously. Our sample is not an exhaustive one, instead, we aim to gather 'impressions' from a sufficient number of institutions from each region of the world and from as many types of higher education institutions as possible, about current institutional priorities, practices and concerns in the area of higher education internationalisation. Other sources, including a selective survey of literature published on this topic and reports from recent conferences, will also be used to prepare the background paper and will permit the identification of some of the major issues being raised today by researchers and others interested and engaged in internationalisation of higher education.

Today, internationalisation of higher education is rarely discussed without reference to globalisation. At times, these two processes are viewed as one and the same; while for others, they are fundamentally different. Yet a third group argues that internationalization constitutes a response to, or is a consequence of, globalisation. This IAU Questionnaire aims to gather information on approaches designed to increase the level of international awareness or commitment in higher education institutions and to understand better how far institutions in different regions of the world have gone to adopt strategies to 'open' up to the world beyond their boundaries. And, if they have done so, we wish to learn why, how, with what success and facing what obstacles.

At the end of the Questionnaires, we pose some open-ended questions which may help identify some of the critical issues that are now coming to the fore and require more in-depth examination and discussion during the WCHE+5 Meeting. We invite you to share with us your experiences and perceptions of the major international trends that are changing higher education in the short and longer term.

Thank you in advance for completing this questionnaire. Please note that if we have the address, we are also sending this request to the international office in your institution.

Sincerely yours,

Eva Egron-Polak  
Secretary-General  
Executive Director

February 2003

### IAU Institutional Questionnaire on Internationalisation of Higher Education

Internationalisation of higher education has been defined in many ways but most would agree that it is a multi-faceted process which aims to integrate or introduce an international and intercultural dimension into the curriculum, research and service functions of higher education institutions. This comprehensive 'process-oriented' definition, introduced particularly by Dr. Jane Knight of Canada, should be viewed as encompassing concepts such as international education, international inter-university cooperation, international linkages, curricular change, cross-border education programmes and academic mobility. It is also clear that no institution of higher education can today ignore the general effects of globalisation and that many, more commercially-driven, international activities are being implemented by many higher education institutions.

The World Declaration on Higher Education for the Twenty-first Century and the Framework for Priority Action for Change and Development in Higher Education adopted in 1998 at UNESCO during the World Conference on Higher Education call for international and North-South cooperation and exchanges. They are viewed as means for improvement and for stronger, more equitable development of higher education throughout the world. Various sections of these documents cite the international dimension in higher education as a pre-requisite to quality. They urge partnership and solidarity among institutions of higher education worldwide as necessary for finding ways of living together and narrowing gaps in socio-economic development. Other than the issue of *brain drain*, no risks or possible negative consequences of internationalisation are mentioned.

Keeping in mind the above, and reviewing the situation in 2003, we invite you to complete the following Questionnaire. Please do not hesitate to use the open-ended questions to offer additional comments and views or to write us directly to share your analysis of current internationalisation (and globalisation) trends and how they may influence the future of higher education institutions.

Please note that IAU will summarise all responses received and provide only a general report. However, for statistical reasons, thank you for responding to Section I of the Questionnaire which serves to identify the geographic origin of institutions and the position of each respondent.

We would be grateful if you would e-mail or fax to the address provided below the completed questionnaire by **March 30, 2003**. Thank You!



**IAU Institutional Questionnaire on Internationalisation of Higher Education***Time needed for completion: 30 minutes***Section 1. Institutional information**

Name of Institution:	
Address:	
City:	Country:
Name of person completing questionnaire:	
Position:	E-mail:

**Section 2. Internationalisation Policy**

For each of the following questions, please (✓) check the most appropriate answer.

<i>1. Is internationalisation a high priority in your institution?</i>			
Very much <input type="checkbox"/>	Somewhat <input type="checkbox"/>	Very little <input type="checkbox"/>	Not at all <input type="checkbox"/>
<i>2. If internationalisation is a priority in your institution, please indicate why. Cite the three most important reasons:</i>			
a.			
b.			
c.			
<i>3. Has a policy or strategic plan for internationalisation been elaborated at your institution?</i>			
Yes <input type="checkbox"/> Please send it to IAU or indicate the website where it is available for consultation		No <input type="checkbox"/> If no, continue to question 9	
<i>4. If there is a policy/strategy for internationalisation, is it institution-wide?</i>			
Yes <input type="checkbox"/>		No <input type="checkbox"/>	
<i>5. Is there an office with overall responsibility for overseeing the implementation of the policy/strategy?</i>			
Yes <input type="checkbox"/>		No <input type="checkbox"/>	
<i>6. Is there a specific budgetary provision made for implementing the internationalisation policy/strategy?</i>			
Yes <input type="checkbox"/>		No <input type="checkbox"/>	

<b>7. Does the internationalisation policy/strategy include geographic priorities?</b> <i>If yes, please indicate the top three:</i>	
a.	
b.	
c.	
<b>8. Does a monitoring framework exist to review progress towards achieving the institutional objectives of the policy/strategy?</b>	
Yes <input type="checkbox"/>	No <input type="checkbox"/>

### **Section 3. Internationalisation Priorities**

<b>9. On a scale of 1 to 5 (1 = highest importance), indicate the level of importance assigned to the following aspects of internationalisation at your institution:</b>	
a. Mobility of students	
b. Mobility of faculty members	
c. Introducing an international dimension into curriculum	
d. Strengthening international research collaboration	
e. International development projects, linkages, capacity building	
f. Extracurricular activities for international students	
g. Commercial export or import of educational programs	
h. Establishment of branch campuses abroad	
i. Development of twinning programs	
j. Offering joint academic programs with international partners	
k. Other aspects of internationalisation, please specify:	
<b>10. On a scale of 1 to 5 (1 = most emphasis), for programs to stimulate student mobility, do you place most emphasis on:</b>	
a. Welcoming international students?	
b. Sending students abroad?	
c. Reciprocal exchange?	
<b>11. Please name three disciplines that you deem most 'internationalised' in your institution.</b>	
a.	
b.	

c.		
<i>12. Is the demand for courses/programs with significant international content:</i>		
On the rise? <input type="checkbox"/>	Declining? <input type="checkbox"/>	Steady? <input type="checkbox"/>
<i>13. Is demand for foreign language learning:</i>		
On the rise? <input type="checkbox"/>	Declining? <input type="checkbox"/>	Steady? <input type="checkbox"/>
<i>14. What is the most quickly expanding aspect of internationalisation in your institution?</i>		

#### **Section 4. Facilitating Factors and Obstacles to Internationalisation**

<i>15. Is the impetus/demand for internationalisation coming from:</i>		
Students? <input type="checkbox"/>	Faculty? <input type="checkbox"/>	Administration? <input type="checkbox"/>
<i>16. Where is the greatest resistance to internationalisation?</i>		
Among students? <input type="checkbox"/>	Among Faculty? <input type="checkbox"/>	Among Administrators? <input type="checkbox"/>
<i>17. On a scale of 1 to 5 (1 = most important) indicate the level of importance of each obstacle to internationalisation among those listed below:</i>		
a. Lack of policy/strategy to facilitate the process		
b. Lack of financial support		
c. Administrative inertia or difficulties		
d. Competing priorities		
e. Issues of non-recognition of work done abroad		
f. Lack of reliable and comprehensive information		
g. Lack of opportunities		
h. Lack of understanding of what is involved		
i. Insufficiently trained or qualified staff to guide the process		
j. Other, please specify:		

#### **Section 5. National/Regional Policy Framework and Internationalisation**

<i>18. Are there policies in place at the national level to enhance the institutional efforts to internationalise?</i>	
Yes <input type="checkbox"/>	No <input type="checkbox"/>

If yes, describe briefly:	
<i>19. Are there funding programs at the national level to provide support to institutional internationalisation efforts?</i>	
Yes <input type="checkbox"/>	No <input type="checkbox"/>
If yes, describe briefly:	
<i>20. Are there policies in place at the regional level to enhance the institutional efforts to internationalise?</i>	
Yes <input type="checkbox"/>	No <input type="checkbox"/>
If yes, describe briefly:	
<i>21. Are there funding programs at the regional level to provide support to institutional internationalisation efforts?</i>	
Yes <input type="checkbox"/>	No <input type="checkbox"/>
If yes, describe briefly:	

#### **Section 6. New developments, challenges and opportunities**

<i>22. What are the benefits and/or the risks of increasing internationalisation? Please specify.</i>
Benefits:
Risks:
<i>23. In your view, what new developments have taken place in this area during the past five years?</i>
<i>24. What aspects of internationalisation should be discussed at the UNESCO WCHE +5 meeting in 2003?</i>

Please e-mail or fax this completed questionnaire to IAU by March 15, 2003

Email: [iau@unesco.org](mailto:iau@unesco.org)

Fax: (33 1) 47 34 76 05

Février 2003

Chère/Cher Responsable d'établissement,

Pour préparer la réunion de la Conférence mondiale sur l'Enseignement supérieur + 5, l'UNESCO fait un bilan des développements et des changements qui ont eu lieu au cours de ces années intermédiaires dans différents domaines de l'enseignement supérieur dans le monde. Elle met un accent tout particulier sur les domaines qui étaient jugés de la plus haute importance lors de la Conférence de 1998 à Paris. Un domaine que l'UNESCO souhaite examiner cinq ans plus tard est celui de l'internationalisation de l'enseignement supérieur.

L'élaboration d'un document de travail sur l'internationalisation de l'enseignement supérieur et l'identification de certains développements qui ont pu apparaître dans ce domaine depuis 1998, ont été confiés à l'Association internationale des Universités (AIU).

Le bref Questionnaire institutionnel ci-dessous servira à collecter des informations auprès de quelques établissements d'enseignement supérieur dans le monde et complètera la recherche et les autres collectes de données entreprises simultanément par l'AIU. Notre sondage n'est pas exhaustif, mais nous voulons plutôt rassembler des 'impressions' provenant d'un nombre suffisant d'établissements dans chaque région du monde et du plus grand nombre de types d'établissements d'enseignement supérieur sur les priorités, les pratiques et les préoccupations institutionnelles actuelles dans le domaine de l'internationalisation de l'enseignement supérieur. D'autres sources, dont un examen de la littérature publiée sur ce sujet récemment et des rapports de conférences récentes, seront aussi utilisées pour préparer le document et permettront d'identifier les questions importantes soulevées par les chercheurs et les autres personnes impliquées et intéressées par l'internationalisation de l'enseignement supérieur.

Aujourd'hui, l'internationalisation de l'enseignement supérieur est rarement débattue sans se référer à la mondialisation. Parfois, ces deux processus sont perçus comme étant un; alors que pour d'autres ils sont fondamentalement différents et pour un troisième groupe, l'internationalisation constitue une réponse à, ou une conséquence de la mondialisation. Ce Questionnaire de l'AIU vise à collecter des informations sur les approches adoptées pour accroître le degré de sensibilisation ou engagement international dans les établissements d'enseignement supérieur et à mieux comprendre dans quelle mesure les établissements des différentes régions du monde ont adopté des stratégies pour s'ouvrir au monde au-delà de leurs frontières. Et s'ils l'ont fait, nous aimerions savoir pourquoi, comment, avec quel succès et en se confrontant à quels obstacles.

A la fin du Questionnaire, nous posons des questions ouvertes qui nous aideront à identifier quelques-uns des problèmes clés qui surgissent et qui demandent un examen et un débat plus approfondi lors de la réunion CMES + 5. Nous vous invitons à partager votre expérience et vos perceptions des principales tendances internationales qui transforment l'enseignement supérieur à court et à moyen terme.

Merci à l'avance d'avoir compléter le questionnaire. Veuillez noter que si nous avons l'adresse, nous faisons aussi parvenir cete demande au bureau des relations internationales de votre établissement.

Bien à vous.

Eva Egron-Polak  
Secrétaire générale

## Questionnaire institutionnel de l'AIU sur l'Internationalisation de l'Enseignement supérieur

Il existe plusieurs définitions de l'internationalisation de l'enseignement supérieur, mais on s'accorde à dire qu'il s'agit d'un processus aux multiples facettes qui vise à intégrer ou à introduire une dimension internationale et interculturelle dans les programmes, dans les cours, dans la recherche et dans les services des établissements d'enseignement supérieur. Cette définition inclusive, orientée vers les processus, introduite plus particulièrement par Dr. Jane Knight du Canada, devrait être perçue comme englobant des concepts tels que l'éducation internationale, la coopération internationale interuniversitaire, les liens internationaux, les changements de programmes, éducation transfrontalière et la mobilité universitaire. Il est également clair qu'aucun établissement d'enseignement supérieur ne peut aujourd'hui ignorer les effets généraux de la mondialisation et que nombre d'établissements mettent en œuvre des activités internationales plus orientées vers le commerce.

La Déclaration mondiale sur l'Enseignement supérieur pour le 21<sup>ème</sup> Siècle et le Cadre d'Action prioritaire pour le Changement et le Développement dans l'Enseignement supérieur adoptés en 1998 à l'UNESCO durant la Conférence mondiale sur l'Enseignement supérieur appellent à une coopération et des échanges internationaux et Nord-Sud. Ils sont perçus comme étant un moyen d'amélioration et de développement plus fort et plus équitable de l'enseignement supérieur dans le monde. Plusieurs sections de ces documents citent la dimension internationale de l'enseignement supérieur comme nécessaire pour garantir la qualité. Ils appellent au partenariat et à la solidarité entre les établissements d'enseignement supérieur comme étant des éléments nécessaires pour trouver des façons de vivre ensemble et de réduire les écarts dans le développement socio-économique. À part le problème de la *fuite des cerveaux*, on ne mentionne aucun risque ou conséquence négative de l'internationalisation.

Gardant à l'esprit les propos ci-dessus et en étudiant la situation en 2003, nous vous invitons à remplir le Questionnaire ci-joint. N'hésitez pas à utiliser les questions ouvertes pour ajouter d'autres observations ou à nous écrire directement pour partager votre analyse de la situation actuelle de l'internationalisation (et de la mondialisation) et comment elles peuvent influencer l'avenir des établissements d'enseignement supérieur.

Veuillez noter que l'AIU résumera toutes les réponses reçues et ne fournira qu'un rapport général. Mais, pour des raisons de statistiques, nous vous prions de remplir la Section I du Questionnaire qui servira à identifier l'origine géographique des établissements et le poste de chaque personne remplissant le questionnaire.

Nous vous prions d'envoyer par courrier électronique ou par fax, le questionnaire complété à l'adresse indiquée ci-dessous et ceci avant le 30 mars 2003. Merci beaucoup !

**Questionnaire institutionnel de l'AIU sur l'Internationalisation de l'Enseignement supérieur**

*temps estimé pour le remplir: 30 minutes*

**Section 1. Information sur l'établissement**

Nom de l'établissement:	
Adresse:	
Ville:	Pays:
Nom de la personne remplissant le questionnaire:	
Poste:	Courrier électronique:

**Section 2. Politique d'internationalisation**

Pour chacune des questions ci-dessous veuillez cocher (✓) la réponse la plus appropriée.

<i>1. Quelle importance votre établissement attache-t-il à l'internationalisation ?</i>			
Haute <input type="checkbox"/>	Moyenne <input type="checkbox"/>	Faible <input type="checkbox"/>	Aucune <input type="checkbox"/>
<i>2. Si l'internationalisation est une priorité dans votre établissement, veuillez dire pourquoi. Citer les trois raisons principales:</i>			
a.			
b.			
c.			
<i>3. Est-ce que votre établissement a élaboré une politique ou une stratégie d'internationalisation?</i>			
Oui <input type="checkbox"/> Veuillez l'envoyer à l'AIU ou indiquer sur quel site Internet elle figure		Non <input type="checkbox"/> Si vous répondez par non, allez à la question 9	
<i>4. S'il existe une politique/stratégie pour l'internationalisation, est-elle au niveau de l'établissement?</i>			
Oui <input type="checkbox"/>		Non <input type="checkbox"/>	
<i>5. Y a-t-il un bureau responsable pour veiller à la mise en œuvre de la politique/stratégie?</i>			
Oui <input type="checkbox"/>		Non <input type="checkbox"/>	
<i>6. Un budget spécifique existe-t-il pour la mise en oeuvre de la politique/stratégie d'internationalisation?</i>			
Oui <input type="checkbox"/>		Non <input type="checkbox"/>	

<b>7. La politique/stratégie d'internationalisation comprend-elle des priorités géographiques?</b> <i>Si c'est le cas, veuillez préciser les trois principales:</i>	
a.	
b.	
c.	
<b>8. Y a-t-il un outil pour évaluer les progrès réalisés pour atteindre les objectifs institutionnels de la politique/stratégie?</b>	
Oui <input type="checkbox"/>	Non <input type="checkbox"/>

### **Section 3. Priorités dans le domaine de l'Internationalisation**

<b>9. Sur une échelle allant de 1 à 5 (1 = la plus haute importance), veuillez indiquer le degré d'importance accordé aux aspects suivants de l' internationalisation dans votre établissement:</b>	
a. Mobilité des étudiants	
b. Mobilité des enseignants	
c. Introduction d'une dimension internationale dans les programmes	
d. Renforcement de la collaboration internationale dans le domaine de la recherche	
e. Projets de développement international, liens, renforcement des capacités	
f. Activités en dehors des cours pour les étudiants étrangers	
g. Exportation ou importation commerciale de programmes éducatifs	
h. Création de campus à l'étranger	
i. Développement de programmes de jumelage	
j. Offre de programmes universitaires conjoints avec des partenaires internationaux	
k. Autres aspects d'internationalisation, veuillez spécifier:	
<b>10. Sur une échelle allant de 1 à 5 (1 = la plus haute importance), concernant les programmes en vue d'encourager la mobilité des étudiants accordez-vous le plus d'importance à:</b>	
a. L'accueil des étudiants étrangers?	
b. L'envoi des étudiants à l'étranger?	
c. Les échanges réciproques?	
<b>11. Veuillez citer trois disciplines que vous estimez les plus 'internationalisées' dans votre établissement.</b>	
a.	



b.		
c.		
12. La demande pour des cours/programmes dont le contenu est hautement international est-elle:		
En augmentation? <input type="checkbox"/>	En baisse? <input type="checkbox"/>	Stable? <input type="checkbox"/>
13. La demande d'apprentissage de langues étrangères est-elle:		
En augmentation? <input type="checkbox"/>	En baisse? <input type="checkbox"/>	Stable? <input type="checkbox"/>
14. Quelle est la dimension de l'internationalisation qui se développe le plus rapidement dans votre établissement?		

#### **Section 4. Les Facteurs de facilitation et les Obstacles à l'Internationalisation**

15. La dynamique/demande d'internationalisation vient-elle:		
Des étudiants? <input type="checkbox"/>	Des enseignants? <input type="checkbox"/>	De l'administration? <input type="checkbox"/>
16. Où se situe la plus grande résistance à l'internationalisation?		
Parmi les étudiants? <input type="checkbox"/>	Parmi les enseignants <input type="checkbox"/>	Parmi les administrateurs? <input type="checkbox"/>
17. Sur une échelle allant de 1 à 5 (1 = la plus haute importance) indiquez le degré d'importance de chaque obstacle à l'internationalisation parmi ceux citer ci-dessous:		
a. Absence de politique/stratégie pour faciliter le processus		
b. Manque de soutien financier		
c. Inertie administrative ou problèmes		
d. Priorités en compétition		
e. Problèmes de non reconnaissance des travaux menés à l'étranger		
f. Manque d'information fiable et générale		
g. Manque d'occasions		
h. Manque de compréhension de ce qui est en jeu		
i. Personnel insuffisamment formé ou qualifié pour guider le processus		
j. Autre, veuillez spécifier:		

#### **Section 5. Cadre de politique national/régional et l'Internationalisation**

18. Existent-ils des politiques au niveau national pour promouvoir les efforts institutionnels d'internationalisation?	
Oui <input type="checkbox"/>	Non <input type="checkbox"/>

Si c'est le cas, veuillez en donner une brève description:	
<i>19. Y a-t-il des programmes de financement au niveau national pour apporter un soutien aux efforts institutionnels d'internationalisation?</i>	
Oui <input type="checkbox"/>	Non <input type="checkbox"/>
Si c'est le cas, veuillez en donner une brève description:	
<i>20. Y a-t-il des politiques au niveau régional pour encourager les efforts institutionnels d'internationalisation?</i>	
Oui <input type="checkbox"/>	Non <input type="checkbox"/>
Si c'est le cas, veuillez en donner une brève description:	
<i>21. Y a-t-il des programmes de financement au niveau régional pour apporter un soutien aux efforts institutionnels d'internationalisation?</i>	
Oui <input type="checkbox"/>	Non <input type="checkbox"/>
Si c'est le cas, veuillez en donner une brève description:	

### **Section 6. Nouveaux développements, défis et opportunités**

<i>22. Quels sont les avantages et/ou risques de développer l'internationalisation? Veuillez spécifier.</i>
Avantages:
Risques:
<i>23. Selon vous, quels ont été les nouveaux développements dans ce domaine au cours des cinq dernières années?</i>
<i>24. Quels aspects de l'internationalisation devraient être discutés à la réunion UNESCO WCHE +5 en 2003?</i>

Veuillez envoyer ce questionnaire par télécopie ou par courrier électronique à l'AIU, avant le 30 mars 2003:

Email: [iau@unesco.org](mailto:iau@unesco.org)

Fax: (33 1) 47 34 76 05