

Jeroen Huisman & Marijk van der Wende (eds.)

On Cooperation and Competition

National and European Policies for the
Internationalisation of Higher Education

**ACA Papers on
International Cooperation in Education**

Lemmens



This is the first report of the study on Higher Education Institutions' Responses to Europeanisation, Internationalisation and Globalisation: Developing International Activities in a Multi-level Policy Context.

This study, with the abbreviated name HEIGLO, is a research project funded by the European Union's 5th Framework Programme for R&D; Horizontal programme: Improving Human Potential and the Socio-economic Knowledge Base (Project no: SERD-2002-00074).

The HEIGLO project co-ordinated by the Center for Higher Education Policy Studies, University of Twente, aims to analyse the dynamic interaction between changing international, European and global contexts of higher education. More in particular, it seeks to identify and analyse higher education institutions' responses to the challenges of Europeanisation, internationalisation and globalisation and the (supra) national contexts, the organisational settings, and the policies and activities aimed to support these responses.

Contents

Preface	7
Foreword by Bernd Wächter	8
1. Introduction Marijk van der Wende	9
2. Europe Marijk van der Wende & Jeroen Huisman	17
3. Germany Karola Hahn	51
4. Norway Åse Gornitzka & Bjørn Stensaker	81
5. United Kingdom Gareth Williams & Kelly Coate	113
6. Portugal Maria João Rosa, Amélia Veiga & Alberto Amaral	139
7. The Netherlands Anneke Luijten-Lub	165
8. Greece Georgia Kontogiannopoulou-Polydorides, George Stamelos & Yiouli Papadiamantaki	193
9. Austria Elsa Hackl, Thomas Pfeffer & Helga Eberherr	223
10. International comparative analysis Anneke Luijten-Lub, Georgia Kontogiannopoulou-Polydorides, Marijk van der Wende & Gareth Williams	249
About the authors	277

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About ACA

Founded in 1993, the Academic Cooperation Association (ACA) is a not-for-profit pan-European network of major organisations responsible in their countries for the promotion of internationalisation in education and training. Current membership is comprised of 20 national organisations in 15 European countries, as well as associate members in North America, Japan and Australia. ACA's secretariat is located in Brussels, Belgium, in easy reach of the European institutions.

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About CHEPS

The Center for Higher Education Policy Studies (CHEPS) is an interdisciplinary research-institute located at the faculty for Technology and Management of the University of Twente, The Netherlands. Since 1984, CHEPS has undertaken and published a considerable amount of research on higher education especially at system and institutional levels. CHEPS seeks to increase our understanding of institutional, national and international issues that bear upon Higher Education.

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Preface

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The first phase of the project focuses on national policies for internationalisation of higher education in the various countries (Austria, Germany, Greece, the Netherlands, Norway, Portugal and the United Kingdom) as well as on European-level policies in this area. This work concerns in fact a pre-study of contextual factors which are expected to determine the policy context for the responses of higher education institutions to the challenges of Europeanisation, internationalisation and globalisation, which will be studied in the second phase of this research project. These results will be published in a next issue in this series.

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The editors

Foreword

by Bernd Wächter

Internationalisation of higher education is the key concern of the Academic Cooperation Association (ACA). ACA is a membership organisation made up of agencies with the task of supporting the international activities of their countries' education and training institutions. They organise and finance international exchanges of students and faculty and they support curricular internationalisation. Increasingly, they are also involved in international activities classified in this book as serving competitive rather than cooperative ends, such as marketing and recruitment. And, of course, most of them are directly implicated in the delivery of the European Union education and training programmes, in which they play the role of "national agencies". For the reasons stated above, ACA was obviously delighted to be approached by the editors of this volume with the request to publish the present book in the *ACA Papers on International Cooperation in Education*. The publication ties in perfectly with the thematic orientation of the series. All publications in the series have a bearing on internationalisation, and two of them, *Internationalisation in Higher Education* and *Internationalisation in European Non-University Higher Education*, both published in 1999, are directly dedicated to the topic. Perhaps most importantly, the present volume actually has a direct predecessor in ACA's research history. In 1997, under the editorship of Marijk van der Wende, ACA members produced *National Policies for the Internationalisation of Higher Education*, which was published by the Swedish ACA member Högskoleverket.

A comparison with this earlier publication reveals that much has changed in internationalisation in Europe since 1997. No doubt, most countries included in the 1997 publication already had a national policy on higher education internationalisation – or what they thought constituted one. Internationalisation, for a long time a marginal issue in higher education policy, was already then starting to become more important. But it was at the time perceived as "an issue apart", as one dissociated from higher education policy as such. Reading the present volume, the impression is that internationalisation policies are becoming mainstreamed, i.e. "part and parcel" of higher education policy. Not only has internationalisation become part of higher education policy as such. In a parallel move, its very meaning and concept has undergone important mutations. In its present-day meaning, the concept encompasses a much wider range of developments than was the case in the late 1990s. Looking at the excellent articles in this volume, one is almost tempted to claim that, next to internationalisation having become mainstreamed, "classical" (and hitherto mainly national) higher education policy has become internationalised, and that both of these developments are now referred to as internationalisation. But this is already a conclusion, and a risky one at that. To draw conclusions, however, should be the privilege of you, the readers. I shall therefore end here, leaving to you the pleasure of many new insights.

1. Introduction

Marijk van der Wende

Higher education institutions in Europe are undergoing substantial change of their functions and their organisation. They are in a process of (re-)defining their functions amidst rapidly changing external challenges. These challenges are often termed as (a) the development towards a knowledge economy and society, (b) the Europeanisation, internationalisation and globalisation of the economic, social, political and cultural setting in which higher education institutions have to act, and (c) the development and impact of new information and communication technologies. At the same time, higher education institutions in Europe are also undergoing a process of organisational change towards a stronger emphasis on individual profiles and policies, managerial capabilities, incentive steering, quality assurance and evaluation, accountability and organisational "learning".

Higher education institutions are generally considered to be more internationally embedded and more internationally minded than other societal institutions. Knowledge is often universal: borders do not bind theories and methods; internationally comparative knowledge is widely considered as indispensable and useful; and world-wide searches for the most advanced knowledge are customary. International mobility and cooperation in higher education can be traced back to the earliest stages of the emergence of the modern university. However, the regulatory framework, the organisation and funding as well as the structure of institutions, programmes and degrees were nationally shaped to a substantial degree at least in the 19th and 20th centuries. Neave (2001) refers in this respect to two centuries of nationalism in higher education. In fact, very few higher education institutions can lay claim to a centuries-old international tradition for the simple reason that two-thirds were established after 1900 and half after the Second World War. The modern university, therefore, is a national institution (Scott, 1998).

During the last few decades of the 20th century, many experts observed a trend towards an increase in the international dimensions of higher education. The search for knowledge across borders became faster paced, due to increasing resources, exploding technological means and improving conditions of transportation. International mobility and cooperation in higher education increased and collaborative and comparative research spread substantially. This trend can be viewed to some extent as internally induced by higher education, but certainly was also strongly reinforced by a changing socio-political environment, since emerging new technological, economic and social challenges for higher education obviously were not bound by national borders either. Both national and supra-national policies for higher

education emphasised a clear linkage between measures to support the internationalisation of higher education and the growing economic and social rationales of higher education activities in general.

Both in empirical and theoretical work in this area, as well as in public debates in Europe, three terms are generally employed to characterise the challenges that higher education is facing in this respect: Europeanisation, internationalisation and globalisation. However, the terms are not used consistently and conceptual frameworks diverge. This notwithstanding, some different points of emphasis can be distinguished.

- ◆ 'Internationalisation' assumes that nation states, i.e. 'societies' defined as nation states, continue to play a role as economic, social and cultural 'systems', but that they become more interconnected and that activities crossing their borders increase. Cooperation between nation states is expanding and national policies put a stronger emphasis on regulating or facilitating border-crossing activities.
- ◆ 'Globalisation' puts emphasis on an increasing convergence and interdependence of economies and societies. In contrast to internationalisation, a de-nationalisation and integration of regulatory systems as well as a blurring role of nation states are taken for granted. The liberalisation of international trade and global markets are often viewed as the strongest move in this direction.
- ◆ 'Europeanisation' is often employed for describing the phenomena of internationalisation on a "regional" scale. Cooperation between EU countries and economic, social and cultural activities crossing their national borders are expanding quickly based on the notion that such cooperation is required for stability and economic growth within the region. Its link to globalisation consists in the fact that this regional cooperation also intends to enhance the global competitiveness of the European region as a whole. And that, although member states remain distinguishable entities, the Europeanisation process is clearly reinforced by the establishment of supra-national political mechanisms, most prominently the European Union, implying a gradual de-nationalisation and integration of certain regulatory systems. This latter trend refers to well-known arguments in the globalisation debate, which point to the fact that convergence and integration are taking place at regional rather than at global level.

Besides the complicated demarcation and often-inconsistent use of these concepts, the complexity of studying the related processes is increased by the dynamics involved in them. In the interaction between the institution and its environment, the concepts of Europeanisation, internationalisation and globalisation are not only used to indicate the changes in this environment (in terms of general trends and resulting challenges), but also the institutional responses to them. In terms of contextual factors, they may be used to identify general trends (e.g. the Europeanisation of society, or the globalisa-

tion of the economy) as well as for specific policies (European policies for higher education, or national policies for internationalisation of higher education). Moreover, the perceptions of the concepts by various actors may differ substantially across countries and institutions.

In this report, we use the term 'internationalisation of higher education' to depict all the policies and activities of governments and higher education institutions aimed at making higher education (more) responsive to the challenges of internationalisation, Europeanisation and globalisation. In the higher education context, 'Europeanisation' tends to be viewed predominantly as a regional sub-section compatible with activities of a politically and geographically broader scope of 'internationalisation' (Teichler, 1999). 'Globalisation', however, is viewed to be a major paradigmatic challenge to internationalisation, representing a distinct policy agenda (Van der Wende, 2001a; Van Vught et al., 2002).

This project aims to analyse this dynamic interaction between changing international, European and global contexts of higher education and the ways in which governmental policies (at national and European levels) as well as policies and activities of higher education institutions handle these challenges. Furthermore, it aims to identify and analyse higher education's responses to the challenges of Europeanisation, internationalisation and globalisation and the (supra)national contexts, the organisational settings, and the policies and activities aimed to support these responses.

These responses, i.e. the process of internationalisation in higher education, are approached as a process of organisational innovation, change and adaptation in an international and multi-level policy environment. The project seeks to identify factors at the level of (supra)national policies and at organisational level that foster or impede successful internationalisation. We will also analyse the extent to which national contexts and policies, and organisational settings and actions, reinforce convergence or divergence in internationalisation policies and activities of higher education institutions in Europe.

From a theoretical perspective we expect that internationalisation, Europeanisation and globalisation have an impact on the institutional structure surrounding higher education institutions as organisations. Institutions include formal constraints (rules and regulations) and informal constraints (conventions and codes of conduct); both types of constraints are devised by social actors and shape human interaction (North, 1990). The impact of internationalisation may lead to changes in the institutional structure, which can be categorized as having regulative, normative, and cultural-cognitive elements (Scott, 2001). In the context of higher education, the regulative pillar refers to relations between higher education and the state, the steering models (e.g. the extent of institutional autonomy), legislation, and funding arrangements. The normative pillar includes the underlying norms and values of the higher education profession (e.g. ideas around academic free-

dom, or quality), and informal and formal hierarchies (e.g. between different types of higher education institutions). The cultural-cognitive pillar concerns "the shared conceptions that constitute the nature of social reality and the frames through which meaning is made" (*ibid.* p. 57); for example, the dominant higher education policy paradigm in a country (such as the 'Humboldtian model'), and shared understanding at the discipline level. These changing institutional elements may impact upon the way in which organisations (higher education institutions) operate. Actors, and in particular their perceptions of the proposed changes, are expected to have a specific role in, or are likely to influence, how an organisation responds to changes, especially when it comes to the rate of the adoption of change.

Consequently, the project examines the perceptions of the concepts of internationalisation, Europeanisation and globalisation by the actors in the field, i.e. those responsible for national higher education policies and those responsible within higher education institutions, related to the actors' norms, value and belief systems, which represent important elements of the normative structure of institutions. Within this framework, we will also search for major factors of internationalisation as a process of change and innovation, such as the role and relevance of the regulatory relationships between national governments and the European Union on the one hand, and higher education institutions on the other. Particular attention is paid to the multi-level policy context and the way in which multi-level governance processes are taking place, e.g. through 'mutual adjustment', 'intergovernmental negotiation', and so on. (Scharpf, 2001).

The first phase of the project focuses on national policies for internationalisation of higher education in the various countries as well as on European-level policies in this area. It analyses and compares in selected European countries (Austria, Germany, Greece, the Netherlands, Norway, Portugal and the United Kingdom): (a) the views and rationales underlying national policies for internationalisation of higher education, as well as (b) the actual policies and regulatory frameworks and means aimed at shaping the international role of higher education institutions, and (c) the extent to which they foster or impede the development and management of internationalisation activities in higher education institutions. This work concerns in fact a pre-study of contextual factors which are expected to determine the policy context for the responses of higher education institutions to the challenges of Europeanisation, internationalisation and globalisation, which will be studied in the second phase of this research project.

From a previous study on national policies for internationalisation in Europe (Van der Wende, 1997, 2001b), it was concluded that there were by then few structured relationships between internationalisation and mainstream higher education policy as developed at the national level. The study also found that economic rationales increasingly define internationalisation poli-

cies and efforts, both at the institutional and national level. Finally, internationalisation was expected to become a more important factor in the definition and development of national higher education policy. The present study provides an opportunity to assess whether internationalisation has indeed become more important and more integrated into national higher education policies, and to review the extent to which the economic rationales have become important during the last few years. These issues are discussed in the final chapter.

In general, the national policy analysis concerns a policy update, building on previous studies of this kind, and focusing in particular on developments over the last five years. The updates on national policies are guided by a number of general assumptions regarding the interaction between levels of governance:

- ◆ National policies for internationalisation are defined by the country's role and position as an international actor (i.e. size, geographic position, foreign and cultural policy, language, etc).
- ◆ National policies for the internationalisation of higher education are part of a broader set of policies meant to steer the national higher education system.
- ◆ These broader policies and the shape of the higher education system (the structural characteristics) may have an impact on the way and the extent to which internationalisation can and will take place.
- ◆ Other areas of national policy (e.g. economic, trade, cultural, migration policies) may influence the internationalisation of higher education.
- ◆ Consequently, both the internationalisation policy as well as the broader higher education policy context can be expected to have an effect on the actual internationalisation of higher education taking place in the country.
- ◆ Also the relationship or interplay between research and education policy at both the European and national levels will have an impact on the internationalisation process at institutional level.
- ◆ There is interplay between policies shaped at the European and at the national level. On the one hand, European-level (including EU) policies are implemented at the national level, on the other hand the national level influences the decision-making process at European level. Consequently, the analysis of the interplay should be made both ways.
- ◆ The influence of the international level on national policy making can also be assumed (e.g. adoption of accreditation systems because of increasing presence of foreign providers and international competition).

The specific research questions to be answered are:

1. What are the views and rationales¹ underlying the current national policy for the internationalisation of higher education? How do they relate to the

¹ Rationales which are usually distinguished are: the political, cultural, academic and economic rational (Kälvermark & Van der Wende, 1997).

overall/general higher education policy and to other policy areas if applicable? To what extent are they focused on generating more diversity or convergence in this area?

2. What are the current national policies and regulatory frameworks aimed at the internationalisation of higher education? When were they established, how do they relate to previous policies, and what new plans are in the making?
3. What are the main effects of these policies and to what extent do these current national policies and measures for internationalisation foster or impede the development and management of internationalisation activities in higher education institutions? To what extent do they result in more diversity or convergence in this area?
4. Which major trends or changes in the national higher education policy context – with an emphasis on the relationship between HEIs and the state – have occurred recently? In what way have they demonstrated an impact on the internationalisation process, or can they be expected to do so? How can this be explained?
5. How are the national policies for internationalisation and higher education in general related to policies developed at the European level (e.g. EU programmes, Bologna process, etc.)? How are European policies implemented at the national level? To what extent and how does the national policy level affect the European level?
6. Are national policy frameworks for internationalisation and for higher education in general influenced by the changes in the international context (e.g. increasing competition, GATS, etc.), and if so, how?

These questions structure the national reports presented in this volume. In each chapter, the discussion of these questions is preceded by a short overview of the national higher education system and its internationalisation infrastructure. But first the European context for internationalisation in higher education will be presented in the next chapter, followed by the national reports in chapters three to nine. The final chapter concerns the international comparative analysis of these national policies for internationalisation, as well as a further analysis of the interaction between the national and European policy levels.

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