On Cooperation and Competition II

Institutional Responses to Internationalisation, Europeanisation and Globalisation

ACA Papers on International Cooperation in Education
This is the second 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 coordinated by the Centre 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 aims 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.
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The HEIGLO project aims to analyse the dynamic interaction between changing international, European and global contexts of higher education. More in particular, it aims to identify and analyse higher education institution’s responses to the challenges of Europeanisation, internationalisation and globalisation as well as the (supra)national contexts, the organisational settings, and the policies and activities aimed to support these responses.

The first phase of the project focused 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. It was published previously in this series under the title: “On Cooperation and Competition: National and European Policies for the Internationalisation of Higher Education”. This work concerned 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 are presented and analysed in the current volume.

We would like to thank the European Commission for its financial support to this study, respondents in all countries for their kind willingness to provide information and to give up their time to be interviewed for this study, Kelly Coate for language editing and Monique Snippers for technical and secretarial support.

The editors
Foreword

by Bernd Wächter

The Academic Cooperation Association (ACA) is proud to be able to publish this second volume with findings from the HEIGLO project in the ACA Papers on International Cooperation in Education.

The first book resulting from the HEIGLO project, „On Cooperation and Competition“, which came out a year ago, explored the framework conditions for the internationalisation of tertiary institutions in the form of national and European governments' policies. This second volume now takes the reader into the heartland of internationalisation, i.e. onto the territory of these institutions themselves. The analysis of national policies contained in „On Cooperation and Competition“ had already displayed very important shifts in the concepts of internationalisation, compared to earlier years. A tendency to complement cooperation-oriented by competition-focused rationales, if not to wholly substitute the cooperative paradigm by a competition-grounded logic in the case of some countries, was only one strong tendency identified. Another one was that internationalisation, by integrating systemic structural reform (Bologna Process) and general innovation policies (Lisbon Strategy), had widened its scope to integrate large parts of what was earlier on simply perceived to as mainstream higher education policy.

With the present volume, the changed semantics of the word "internationalisation" can now also be traced at the institutional level. It is probably fair to say that the institutional approaches by and large mirror the shifts in the concept of internationalisation described and analysed in the first HEIGLO report. This broad statement obviously accommodates important differences between individual institutions and between countries. But this also already went for the national policies, which, while displaying an overall general trend towards the „entrepreneurial“ and the „systemic“, were characterised by changes of a not solely mono-directional sort.

ACA hopes that this book will be widely read, in order to have an effect. Its "natural" readers are leaders of higher education institutions involved in internationalisation, who find in it examples of good practice to follow, but also a map of possible pits and how to avoid falling into them. But the volume is also a good read for higher education policy-makers, whom it helps to study the effects – or otherwise – of their national policies for internationalisation. And for anyone else in the growing community of those interested in and affected by the internationalisation of higher education.
1. Introduction

Anneke Luijten-Lub, Jeroen Huisman and Marij van der Wende

The internationalisation of higher education is entering a new phase. In addition to the mobility of students and staff, higher education institutions are becoming key players in the global knowledge society. Increasingly, they are driven by economically oriented rationales, which may be related to improving the international competitiveness of the higher education institutions or the sector itself, or to enhancing the international competitive position of the national economy. Approaches chosen to achieve these aims range from European-wide cooperation to straightforward international competition, with many forms of interaction between the two. Regulatory frameworks are being adapted and the international dimension is gaining importance in national policies for higher education. The Bologna Declaration has an undeniable impact on this process with a certain convergence resulting from it. However, different national contexts, constraints and priorities explain a great deal of the diversity that can still be observed. It is clear that the increasing impact of both internationalisation and globalisation requires further reconsideration of higher education policies, notably in the area of quality assurance, funding and (de)regulation.

These are some of the key findings of the first phase of the study on Higher Education Institutions' Responses to Europeanisation, Internationalisation and Globalisation: Developing International Activities in a Multi-level policy context (HEIGLO). This project aims to analyse the dynamic interaction between changing international, European and global contexts of higher education. 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. These responses are approached as a process of organisational innovation, change and adaptation in an international and multi-level policy environment.

In the first phase, the project undertook an analysis of governmental policies for internationalisation in seven European countries (Austria, Germany, Greece, The Netherlands, Norway, Portugal and the United Kingdom) and of the policies of the European Commission. The project's results were published in a previous volume in this series (Huisman and Van der Wende, 2004). The present volume presents the second part of the project, which investigated the implementation of internationalisation in a number of universities and other higher education institutions in the seven countries mentioned above. In other words, the second phase provides the institutional mirror image to the national and European policies, as presented in the first volume.
The organisational case studies presented in this volume analyse higher education institutions’ internationalisation policies and activities; the underlying views and perceptions of the challenges of Europeanisation, internationalisation and globalisation; the relevant policies, activities and the organisational settings in which they are implemented; and the extent to which these foster or impede internationalisation. Therefore, the main research question to be answered is: how are higher education institutions responding to the challenges of internationalisation, globalisation and Europeanisation?

These three terms are generally employed to characterise some of the important challenges that the higher education sector is facing. However, precise demarcation of the concepts is complicated and these terms are often used in an inconsistent way. Still, some different points of emphasis can be distinguished.

*Internationalisation* assumes that nation states continue to play a role as economic, social and cultural systems, but that they are becoming more interconnected and activities crossing their borders are increasing. Cooperation between nation states is expanding and national policies are placing a stronger emphasis on regulating or facilitating border-crossing activities.

*Globalisation* emphasises 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. This regional cooperation is also intended to enhance the global competitiveness of the European region as a whole.

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. This choice was clearly supported by the empirical findings of both the first and the second part of the study: in their views and perceptions, most actors do not make a very sharp distinction between these concepts or challenges (see also chapter 9).

With respect to a theoretical orientation, we should first recall that there is not any generally agreed conceptual framework for structuring or classifying phenomena of knowledge with respect to internationalisation. It is therefore not possible to build upon earlier theoretical work in this area of research.

The basis of the theoretical framework lies in institutional theory. Institutions are the rules of the game in a society, or more formally, are the humanly devised constraints that shape interaction. They reduce uncertainty by providing a structure to everyday life (North, 1990). Institutions include both the formal constraints (such as the rules human beings devise) and the informal constraints (such as conventions and codes of conduct); both types of constraints are devised by human beings to shape human interaction (North, 1990). Although North’s definitions are widely accepted, it must be stressed that there are many different interpretations of the institutional approach. We will follow Scott’s (2001) distinction between the three pillars of institutions (regulative, normative and cultural-cognitive) (see figure 1.1), his conceptualisations of organisations, and operationalise his concepts in the context of the internationalisation of higher education.

Figure 1.1 Institutions and organisations

Organisations as open systems have – in order to survive – to adapt to their institutional environments. At the same time, organisations are able to influence the institutional pillars, i.e. bottom-up changes within organisations may impact upon the wider institutional structure. This impact may lead to changes in the institutional structure, which can be distinguished into regulative, normative and cultural-cognitive elements (Scott, 2001). In reality, the distinction between the three pillars is not always that strict and might sometimes overlap (see figure 1.1). In the context of higher education, the regulative pillar refers to state – higher education relations and steering models (e.g. the extent of institutional autonomy), legislation, funding arrangements, etc. The normative pillar includes the underlying norms and values, i.e. those of the higher education profession (e.g. ideas around academic freedom, good quality education, etc., 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.: 57), i.e. the dominant higher education policy paradigm in a country (e.g. the "Humboldtian model"), and shared understanding and taken-for-grantedness 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.

Organisations can respond to changes in the environment with changes in their "building blocks" (i.e. social structure, participants, goals and technology, see figure 1.2):

- **Social structure**
  "Social structure refers to the patterned or regularised aspects of the relationships existing among participants in an organisation" (ibid.: 17). Regarding higher education, important elements of the social structure are the organisation of the main tasks, the division of power and authority across different levels, and the level of loosely-coupledness. Dimensions that are taken into account are, for example, centralised or decentralised decision-making, a marginal or central role for internationalisation, and pro-active or reactive strategies.

- **Participants**
  "Organisational participants are those individuals who, in return for a variety of inducements, make contributions to the organisation" (ibid.: 19). An individual can be part of more than one organisation at the same time. These shared members are one possible way of organisations influencing each other. In the context of higher education, the main types of participants are: academic staff, managers/administrators/leaders, support staff and students.

- **Goals**
  "Goals are tentatively defined as conceptions of desired ends – ends that participants attempt to achieve through their performance of task activities" (ibid.: 20-21). Regarding higher education, goals relate to the mission of higher education in general and that of the specific organisation. Many organisations will refer to the handling of knowledge (either refining this through research, or transferring this through education, or both). It should be kept in mind that higher education organisations are service organisations and that the objectives of such organisations are often ambiguous.

- **Technology**
  Technology of an organisation is approached broadly. It is not just the pure technology, such as machines and mechanical equipment, which are used in an organisation, but it is also the technical knowledge and skills of participants. In the context of higher education, the main technologies are research and education. As Clark (1983: 12) puts it: "In varying combinations of efforts to discover, conserve, refine, transmit, and apply it, the manipulation of knowledge is what we find in common in the many specific activities of professors and teachers .... However broadly we define it, knowledge is the material. Research and teaching are the main technologies".

Figure 1.2 Organisational model (Scott, 1998:17, adapted from Leavitt, 1965)

These changes in the building blocks or organisations may, for example, refer to legislative pressures that may lead to changing goals, or changing normative pressures that may lead to changing social structures. Furthermore, each building block can influence one of the other building blocks; changes in one block can thus be followed by further change in the organisation. For example, a change in goals may require a different type of technology. Participants are expected to have a specific role in how an organisation responds to changes, especially where it comes to the rate of the adoption of changes. The perceptions of the proposed changes by the participants are likely to influence the response.

The institutional structure surrounding higher education organisations is adapting to processes of internationalisation, Europeanisation and globalisation. These changing institutional elements may have an impact on the building blocks of the organisation. Of course, change can happen both ways: changes in institutions may affect the organisations, but organisations may also influence institutions.

To answer the main question: how are higher education institutions responding to internationalisation, Europeanisation and globalisation, at least five case studies were performed in each country. The selection took into account several (control/background) variables of the higher education institutions (HEIs) based on the theoretical framework and the aim of representation. The selected HEIs vary with respect to their size, age, their geographic location, their mission, the range of disciplines offered, and the nature of the organisation.
This led to a selection of cases that can generally be categorized into five groups:

- **Alpha (α): universities** - large major national universities that teach and do research in a wide range of disciplines. They are usually among the oldest universities in the country and are located in a major city.
- **Beta (β): universities** - younger and mostly smaller than the previous group, but they are also involved in both teaching and research.
- **Gamma (γ): these institutions** - are usually more professionally oriented in their teaching and less involved in basic research. Many of these have a regional focus.
- **Delta (δ): specialised institutions**, involved mainly in one discipline (e.g., arts, business or technology).
- **Epsilon (ε): this group** - comprises the “odd cases” that are difficult to place in the previous groups but were included because they were expected to be interesting because of the particular interest in internationalisation (e.g., open university, international institutes).

The starting point for the empirical work was the data previously gathered in phase one of the project on national policies for internationalisation. These already describe an important part of the institutional environment of the HEIs. Specific data on the case studies were gathered along two lines: organisational data and interviews.

The case study HEIs were asked to provide documents setting out both the main building blocks of the organisation and their activities and policies regarding internationalisation (e.g., mission statements, strategic plans, policy documents regarding internationalisation, EPSI, etc.). In addition, interviews were held with key actors in the HEIs, including academic staff, managers/administrators/leaders, support staff and students.

The following seven chapters report on the case studies undertaken in the respective countries. They present: an introduction of the higher education institutions chosen as case studies for the particular country; an analysis of the views and perceptions of internationalisation, Europeanisation and globalisation by the main actors involved; an overview of the actual activities that are undertaken; the effects of internationalisation on the organisation as such; and the relationship with change in the various institutional pillars. Finally, the factors impeding and fostering internationalisation are discussed.

The following chapter presents the international comparative analysis based on the preceding national reports. The last chapter presents the main conclusions of this study, which will show that the main drivers of internationalisation in recent years are global, regional and national aspirations of higher education institutions and that these aspirations have been pursued through a combination of competitive and internationally collaborative activities and strategies. These strategies have indeed been strongly influenced by regulatory factors such as national legal, financial and administrative contexts and international attempts to harmonise qualification frameworks; by normative factors such as the extent of institutional autonomy and the extent to which higher education is seen as public service or a private good; and by cultural cognitive factors such as characteristics of disciplines and subject areas, language, culture, region, and historical links. This last chapter also reflects on the theoretical assumptions presented in this first chapter and presents the main recommendations for policies in the area of internationalisation.

**References**


