

**INTERNATIONALIZING AN INSTITUTION:
AN EMERGING MODEL OF EFFECTIVE LEADERSHIP, INFRASTRUCTURE
AND CULTURAL FACTORS**

by

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Abstract

INTERNATIONALIZING AN INSTITUTION: AN EMERGING MODEL OF EFFECTIVE LEADERSHIP, INFRASTRUCTURE AND CULTURAL FACTORS

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As the United States continues to play a leadership role in the international arena, it depends on the higher education sector to prepare capable leaders who can be guiding forces in the international economic, political, and social environments of the twenty-first century (National Association of State and Land Grant Universities, 2000). This is the ultimate goal of international education. Although current literature clearly describes the benefits of internationalizing higher education, there are few studies that describe how it can be successfully implemented at the institutional level. Using a qualitative, grounded theory approach, this study examined the factors that contributed to internationalization within three highly internationalized colleges and universities in the southern regional education board (SREB). Data were collected through ethnographic interviews and document analysis at all three institutions. The resulting model describes three layers of enabling factors that are vital to the success of international education programs. The first layer, historic leadership, describes factors influential in launching the initiative. The second layer, strategic infrastructure, articulates the structures or processes useful in implementing internationalization. The third layer, institution culture, describes cultural factors that enabled the internationalization efforts to excel. Finally, the potential impact of specific demographic variables is illustrated in the model. This study analyzes the relationship between the model's potential enablers and the research base on internationalization and systems theory. It concludes with a summary of the emerging model's strengths and limitations, and provides an overview of the study's implications for higher education.

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CHAPTER 1

Introduction

In *The Lexus and the Olive Tree: Understanding Globalization*, Thomas L. Friedman (1999) contended that globalization is more than just a catch phrase of the new millennium, but represents rather, a shift in the world system's paradigm. The terrorist attacks of September 11, 2001 and the subsequent "war on terrorism" graphically revealed how every area of human existence, from economics and politics to travel and recreation, are now linked to the influences of the "global community." In this context, promoting mutual understanding among all members of the international community is a key objective for educational institutions.

One implication of the growing interdependence of nations is that today's society puts increasing value on people who are prepared, not only for certain professions and occupations, but also in the language and culture of another part of the world. This is particularly true in business as global economics and multinational corporations factor increasingly into the decisions made by American firms (DeWitt, 2002; Scott, 1998). As the United States continues to play a leadership role in the international arena, it depends on the higher education sector to prepare capable leaders who can understand and be guiding forces in the international economic, political, and social environments of the twenty-first century (National Association of State and Land Grant Universities, 2000). This is the ultimate goal of international education.

American colleges and universities have a long tradition of adapting themselves to meet the changing needs of society. Although most U.S. institutions readily acknowledge their responsibility in meeting the needs of an increasingly interconnected

global society, the reality is that current international education efforts are inadequate (American Council on Education, 2000). The purpose of this study was to examine institutions that have been successful in implementing the various components of international education and to determine what factors contribute to, and/or constrain their success.

Background of the Internationalization of Education

An historical look at international exchange reveals that, as early as the ancient Greeks, privileged families acquainted their children with an extended range of cultural experiences. To become “cultured” citizens, it has long been believed that young people must have some acquaintance with and understanding of the arts, sights, and sounds of other peoples (Goodwin & Nacht, 1988). Eventually, this concept was broadened to imply a major change of the entire educational system (Lambert, 1978). In the modern era, institutions of higher education initially accommodated these needs by emphasizing training in a foreign language and area-studies specialties (Burn, 1980).

In 1987 Clark Kerr published “A Critical Age in the University World” in which he identified the “internationalization of learning” as the first of several laws that are “propelling institutions of higher learning around the world” (Kerr, p. 17). He suggested that there are four areas wherein institutions can internationalize: students, scholars, knowledge and the curriculum. In May 2000, the National Association of State Universities and Land-Grant Colleges (NASULGC) published a strategic vision statement and planning guidelines for “Expanding the International Scope of Universities” (National Association Of State Universities Land-Grant Colleges, p. 1). The NASULGC vision statement lists several “compelling features” of institutional

internationalization that further defines the components of internationalization within the four broad areas suggested in the Kerr model.

Components of Internationalization

There is an abundance of literature that discusses the internationalization of higher education in general (American Council on Education, 1995; Altbach, 2002; Hayward & Siaya 2001; Holzner, 1998; Kerr 1991; Trubek, 1998). What is pertinent to this study is the research that addresses how and why the specific components of international education are implemented at the institutional level. Using the Kerr model as a framework (students, scholars, curriculum, knowledge), the following summary examines the components of institutional internationalization delineated by the literature and outlined by NASULGC. They include: study abroad, international students, international faculty exchange, research, service projects and the curriculum.

Students

In his model, Kerr (1897) referred to a “flow” within each of the four key areas (students, scholars, knowledge and curriculum). The “flow of students” includes both the external flow of (American) students who study abroad and the internal flow of international students who come to the U.S. to study.

Study abroad. NASULGC asserted that the ultimate test of campus globalization lies in the graduates produced (National Association Of State Universities Land-Grant Colleges, p. 7). The American Council on Education (ACE) suggests that America’s future is contingent upon its ability to develop a citizenry that is globally competent (American Council on Education, 1998). It defines globally competent constituents as those who are internationally competent, confident, and comfortable.

One of the most traditional and effective methods for developing students who are internationally competent, confident, and comfortable is through study abroad programs. This type of educational experience can be traced to the medieval and Renaissance European students, epitomized by the wanderer Erasmus (Goodwin, 1988). Early American pursuers of this goal were the young pioneers of higher education who, during the second half of the nineteenth century, enrolled in the great German universities (Perkin, 1991). In the United States, the importing of foreign ideas through study abroad acted as a catalyst, which spearheaded the social and educational movement for modern international education.

As early as the 1930s, advocates such as W. H. Auden (1937) provided validation for study abroad by stipulating that only through living abroad could one truly understand his own country. Burn (1980) outlined several other key rationales including: giving students the opportunity to develop linguistic skills, to obtain a comparative view of their major field, and to gain useful knowledge and skills for careers in areas such as government, business, and education. In addition, study abroad has been shown to lead to higher enrollment in graduate programs in international relations, trade, comparative studies, and foreign languages (Burn, 1980).

Cohen (1997) contended that the American research university should press its students to be acquainted with the complexities of differing disciplines as they travel internationally. However, if involvement in study abroad activities is a key indicator of the internationalization of higher education, then current efforts are inadequate. According to the American Council on Education (ACE), only 0.8 % of the total student enrollment in U.S. institutions participates annually in study abroad (American Council

on Education, 2000). Those figures represent fewer than 3% of all undergraduates (American Council on Education, 2000), and the majority of them participate in short-term programs in Western Europe (National Association Of State Universities Land-Grant Colleges, 2000).

International Students. In direct contrast to the limited number of U.S. students studying abroad, approximately one-third of the world's 1.2 million international students are enrolled in American institutions (National Association Of State Universities Land-Grant Colleges, 2000). According to the Department of Commerce, higher education is the nation's fifth largest exporter of services. NASULGC advises that this population must be recognized as another "community" higher education is mandated to serve. Several studies, however, illustrate that historically this has not been the case. Goodwin and Nacht (1988) found a contradictory message sent by campuses enrolling international students. Most institutions that were recruiting international students had not planned for the economic, educational, political, and organizational issues associated with increased numbers of international students. In fact, most academic officials who were interviewed placed the foreign student low on their priority list. A study by McCann (1986) affirmed that foreign student services had not kept pace with the increase in student numbers through the years. In fact, two-thirds of the institutions reported that the decline in service was due to fiscal constraints but one-fourth of them acknowledged a general lack of interest in foreign students' problems. Another study conducted for the ACE (Anderson, 1988) also revealed a deficit in support services for international students. Only 38% (500) of the colleges reported having an administrator who was responsible for

international student activities. Of this group, 82 % stated the administrative duties were only part-time.

In the early eighties, the National Association for Foreign Student Affairs (NAFSA) established a set of principles guiding international exchange. They require the host institution to: provide special services for its foreign students and scholars; designate at least one unit that is responsible for these services; and provide ample and accessible professional services to these scholars (National Association for Foreign Student Affairs, 1983). More recent literature proposes several types of services that institutions can provide for international students to assist them in their adjustment. Lacina (2002) made the connection between advancing students' language proficiency and their cultural adjustment. Other studies point to the crises that international students may experience (Pederson, 1991; Sakurako, 2000) and their need for cross-cultural counseling. One creative option for providing both pre- and post-arrival orientation for international students is through the Internet. Murphy, Hawkes and Law (2002) asserted that a web-based college orientation is effective in meeting students' academic, social, personal and financial needs. According to these studies, true internationalization of the institution, implies more than just appropriate numbers of international students on campus, but also ensures a basic guarantee of quality support services.

Scholars

The "flow of scholars" also has a two-fold meaning. It implies both the necessity of institutional faculty to explore international collaborative opportunities for themselves, and to utilize the resources of international faculty teaching within U.S. institutions.

In his needs assessment of institutional programs, Greenfield (1990) listed the ongoing involvement of faculty and staff among the top requirements for successful international education programs. Bloom (1987) noted an historical trend of decreasing knowledge of and interest in foreign places among young Americans. Robinson (1990) tied student intercultural illiteracy directly to faculty involvement, or lack thereof, in international education.

International faculty exchange has an extensive history. From Fahien who traveled from China to India in 399 A.D. (Keay & Mitra, 1978) to the modern Fulbright programs (Scanlon, 1990), international scholarly pursuit has many documented benefits. To the credit of American higher education, the United States also has a long history of welcoming foreign scholars and cultural figures (Burn, 1980). Unfortunately, two-way exchanges were much slower to infiltrate the American system prior to World War II. However, the creation of the Rhodes and Fulbright scholarship programs made significant headway in fostering international intellectual contact during the Cold War (Burn, 1980). As the Cold War waned, a heightened focus on scholarly exchange drew attention to adjustments needed in the U.S. academic reward system. Burn (1980) suggested that by eliminating disincentives for international involvement and increasing administrative support for incentives such as promotions and tenure, some of the barriers to promoting an internationalized faculty could be removed.

Robinson (1990) noted that the ultimate benefactors of faculty involvement are not merely the participants, but the students and communities that they serve. NASULGC spells out several possibilities for increasing faculty and staff involvement in international activities. These include participation in international conferences,

engagement in collaborative research with colleagues abroad, and pursuit of grants and fellowships requiring time abroad (National Association Of State Universities Land-Grant Colleges, 2000).

In addition, fostering collaborative relationships with visiting international faculty can serve to promote the internationalization of faculty (Schoell, 1991). Recent statistics reveal an increase in the number of international scholars hosted by U.S. institutions. In 1998-1999, more than 70,000 international scholars visited U.S. colleges and universities. These numbers indicate a 21% increase from the previous five years (American Council on Education, 2000). However, this increase appears to be neither systemic nor representative of a broad-spectrum of cultures and ethnicities. The science disciplines account for hosting the majority of the scholars and nearly half (42%) of the scholars were from Asia (American Council on Education, 2000).

Knowledge

Research and service activities with international emphases can be thought of as both an “import” as well as an “export” product of the “flow of knowledge” from higher education. Importing ideas from abroad and exporting them to the greater international community.

Research. In the aftermath of World War II, the United States faced a critical shortage of citizens with expertise in Asia, the Middle East, Africa, Latin America and the Soviet Union who could help the government. Ford Foundation, Carnegie Corporation, Rockefeller Foundation and federal government funding all had significant impact on supporting research to remedy the situation (Burn, 1980). From the end of the Second World War through the 1980s the North American university was the principle

site for research, analysis and training on the wider world. However, the end of the Cold War brought to a close this argument for federal subsidies of research and training in international studies (Cohen, 1997).

Today, the U.S. research university, with its libraries and unparalleled access to data resources, must encourage its scholars to critically examine their responsibilities in light of a changing global order (Lee, 1996). Some specific possibilities include: drawing on overseas expertise, developing new fields of research and utilizing unique laboratories and sites abroad. Joint scholarly investigations could address such internationally pertinent topics as global warming, international trade, and agribusiness. These opportunities are not limited to international academia but may also be productive in linkages with institutions abroad such as think tanks, design centers, international corporations, museums, and libraries. Such linkages will be predicated upon reciprocity and collaboration. However, it is not sufficient for American institutions to have enhanced Internet or distance-learning capabilities if collaborating institutions abroad are without compatible capability (Cohen, 1997). Meeting these challenges with flexibility and creativity may allow for new modes of investigation, publication, learning, and practice.

Service. As a key aspect of the mission of higher education, service activities are a direct output of the institutional “flow of knowledge.” Often, service programs, such as internships or community and business projects, are the practical application of knowledge. Former Harvard President Derek Bok (1977) noted that unless service activities strengthen and support the regular teaching and research of the university, their quality is not likely to remain at a high level for any length of time. In other words,

international projects should not be an isolated activity of the faculty involved but rather be specifically targeted to reinforce the institution or programmatic mission.

Beginning in the 1950s, U.S. universities became a major source of assistance to other countries when they entered into development assistance contracts with the Foreign Operations Administration (Burn, 1980). In 1973, institutions began departing from the Cold War emphasis on economic infrastructure and shifted towards technical assistance to less developed countries (LDCs). Specific emphasis was placed on agriculture and nutrition needs with research that resulted in fisheries, aquaculture and human nutrition projects. The eighties saw another movement in international service as self-sustaining economic development efforts were launched.

More recently, targeted initiatives in areas such as human rights and disarmament have moved to the forefront, thus replacing previous efforts, which reflected a more national interest (Cooper, 1994; Ferguson, 1990). Service initiatives, whether they are development assistance, outreach or extension programs, must be informed by the same degree of internationalization as the curriculum and scholarship in general (National Association Of State Universities Land-Grant Colleges, 2000).

Unlike information on the number of students studying abroad or international faculty, current data regarding the number of research and service projects involving international education are sparse. The *Preliminary Status Report 2000: Internationalization of U.S. Higher Education*, by American Council on Education (ACE) indicated that support for international initiatives does not appear to have increased in recent years and may not be self-sustaining (American Council on Education, 2000). In addition, funding for supporting long-term international scientific

and policy research has decreased while funding of crises issues is on the rise (American Council on Education, 2000).

The Curriculum

The content of the curriculum is an obvious and important area for expanding the international proficiency of an institution (Fugate & Jefferson, 2001; Kwok, Arpan, & Folks, 1994; Nehrt, 1993; White & Griffith, 1998). The initiation of global virtual communication concerning local, national, and international issues has had the inadvertent effect of reconfiguring what so many had previously fashioned as global norms (Cohen, 1997). The U.S. professions and professional education, now more than ever, face the challenge of assessing how open their disciplines are to the practices and principles of other cultures and societies. This reconfiguration can clearly be seen in the catalogues of American law schools, which now offer specialties in “women’s rights” or “international human rights” (Cohen, 1997).

The globalization of the curriculum begins at the level of the individual course. Professional organizations have assisted educators to increase the international components of their courses, rewrite syllabi, edit handbooks, and append bibliographies (Smith, 1988). There are numerous examples in virtually every field for comparison (Fersh & Fitchen, 1981; Fersh & Greene, 1984). However, if course revisions are left only to the ambitious, committed faculty member they will lack a systemic perspective. The revision process must be system-wide and sustained.

Fersh and Greene’s study (1984) highlighted one of the earlier progressive moves to infuse international approaches across the general education program. Broward Community College’s curriculum revision involved the introduction of nonwestern

materials into literature, writing and other liberal arts disciplines. As a result, several majors also added an international perspective. Hurtado and Dey (1993) examined the potential outcomes of integrating multicultural readings within the content of courses. Their research found increases in students' critical thinking skills, writing skills, academic self-confidence and acceptance of people from different backgrounds.

The literature also classifies faculty development as an important component of the globalization of the curriculum (Fersh & Greene, 1984; Hess, 1982). Community colleges present a special challenge as they rely heavily on part-time specialists who may not have access to the same international academic background or resources found at universities offering graduate programs (Hess, 1982).

A more obvious form of internationalizing the curriculum involves courses and programs in international relations, area studies, and foreign languages. Greenfield (1990) noted that certain fields such as business administration or political science have been more responsive to the needs for globalization. However, institutional requirements for learning a foreign language have been in sharp decline in recent years, perhaps, ironically, due to the pervasiveness of English in computer communications (Cohen, 1997).

Statement of the Problem

The literature identifies many benefits for implementing the various components of international education. Study abroad has been shown to be an effective means for developing students' international awareness through developing linguistic skills, obtaining a global view of their field, and leading to higher enrollment in graduate programs in international relations, trade, comparative studies, and foreign languages

(Burn, 1980). Faculty involvement in international education promotes a more globalized curriculum (Fersh & Greene, 1984; Hess, 1982), which in turn leads to increases in students' critical thinking skills, writing skills, academic self-confidence, and acceptance of people from different backgrounds (Hurtado & Dey, 1993). Ultimately, international education initiatives can have a global impact through research and service projects focused on issues such as global warming, disarmament, and human rights (Cooper, 1994; Ferguson, 1990). However, despite these benefits, the literature clearly illustrates the inadequacy of current efforts. "Relatively few undergraduates gain international or intercultural competence in college" (American Council on Education, 2000, p.1).

One reason for this discrepancy could be the dearth of current data regarding how international education programs are successfully implemented at the institutional level. The Preliminary Report by ACE (2000) called current data "inconsistent and spotty," leading to difficulty in making definitive conclusions regarding internationalization (American Council on Education, 2000, p.1). Moreover, the same report called for an increase in research focused specifically on attitudes and experiences. "Attitudinal and experiential data are key to understanding campus culture regarding internationalization. Unfortunately, very few data of this nature are available for college and university students and staff" (American Council on Education, 2000, p.3). Clearly, higher education leadership could also benefit from better data.

Purpose of the Study

In the inter-dependent world of the twenty-first century, global competence is a necessary skill for success and must be advanced through every aspect of higher

education. The purpose of this study was to investigate, identify and describe factors that affect internationalization within highly internationalized Southern Regional Education Board (SREB) institutions. Specifically, this study describes key factors that are influential at the institutional level in promoting internationalization in the areas of: study abroad, international student programs, international faculty exchange, research and service programs, and the curriculum. In addition, this study examined any other ways these institutions had internationalized and what factors contributed to or constrained such efforts. Specifically, the following questions were addressed.

Q1. What factors enable and constrain internationalization of SREB higher education institutions?

Q2. In what ways do the factors influence the internationalization of SREB higher education institutions?

Methods

For the purpose of this qualitative study, a multi-site design was used. Multi-site studies, unlike multi-case studies, are not intent on supporting existing theory, but rather focused on developing theory (Corbin & Strauss, 1990; Strauss & Corbin, 1990). Thus, this study took a grounded theory approach. Using purposeful sampling (Bogdan & Biklen, 1998), three SREB institutions with high levels of internationalization were identified as information rich cases through the use of extant data. Specifically, data from three Open Doors Surveys describing the number of foreign scholars, the number of international students, and the number of study abroad participants at U.S. institutions were examined to identify schools with high levels of success in the three areas. The specific data for each of the three institutions that were identified are listed in future

chapters. Information about enabling and/or constraining factors were gathered through open-ended interviews with institutional leaders, primary administrators of international education programs, and faculty and staff representatives involved in and/or knowledgeable about the institution's internationalization.

Using a modified version of analytic induction (Robinson, 1951), the data collected from the first institution's interviews were used to identify certain "types" (Bogdan & Biklen, 1998) of factors that enabled and/or constrained its internationalization. Based on these data, a tentative model of "factors influencing institutional internationalization" was developed. The second and third institutions were both intentionally selected as cases that did not fit into the previous formulation. The data gathered from interviews were applied to the model to provide both clarification, or in the case of contradictions, further redefinition or reformulation (Patton, 2001; Robinson, 1951).

Theoretical Analysis

While this study used a grounded theory approach to develop a "micro-level" theory regarding internationalization, a broader "macro-level" theory, specifically Systems Theory, was used for theoretical analysis (Katz & Kahn, 1978). In this study, "internationalization" was examined as an organizational process. Systems Theory views an organization as a "complex set of interdependent parts that interact to adapt to the constantly changing environment to achieve its goal" (Kreps, 1990). Weick (1976) and Salisbury (1990) contended that a Systems Theory framework can be useful in analyzing and understanding educational operations. For the purpose of this study, the data collected were analyzed in relation to their role in the organizational process.

Specifically, the contributing factors were examined from the perspective of the following main tenets of Systems Theory. “An open system is a set of objects with attributes that interrelate in an environment. The system possesses qualities of wholeness, interdependence, hierarchy, self-regulation, environmental interchange, equilibrium, adaptability, and equifinality” (Littlejohn, 1983, p. 32).

Non-summativ

Institutional internationalization is more than the sum of the internationalization within the individual components. How do the components (e.g., study abroad) contribute to or constrain each other (e.g., international student programs)?

Interdependent

Internationalization is a comprehensive, university-wide process. How do the efforts to internationalize one component (e.g., the faculty) interact with other components (e.g., the curriculum)?

Hierarchy

Just as any complex system is a sub-system of a higher system (Flint, 1997), the individual institution is influenced by its higher order systems as well as its sub-systems. What hierarchical factors (e.g., board or state initiatives) impact an institutional effort to internationalize? How do the institutions’ efforts affect their subsystems?

Self-regulation and control

Systems, especially higher education systems, are goal oriented and respond to feedback to meet their goals. What goals and incentives do successful institutions implement to contribute to internationalization? Are they able to autonomously set internationalization goals?

Interchange with the environment

One primary mission of every institution is to serve its community. The community functions as one source of external feedback to the institution. What external factors (e.g., local economic development efforts) influenced internationalization? And, how were they influential (e.g., sponsoring specific international research)?

Balance

Any institution must regulate both itself and its internal initiatives. “In order to avoid entropy... the system must engage in regulation and control as well as the management of its position in the supra system” (Flint, 1997). How do successful institutions balance the needs of the various components of internationalization (for example meeting funding goals of each) and at the same time maintain other functions of the institution’s mission?

Change and adaptability

Internationalization is obviously a process of change for institutional systems. How do successful institutions transition structurally to accommodate this new goal? What factors contribute to an institution’s ability to adapt to internationalization initiatives?

Equifinality

Equifinality is the principle that asserts there are many different ways, or processes, by which systems can achieve the same goal. How has the transformation to internationalization occurred among various successful institutions? What alternative processes can be implemented to achieve successful internationalization?

Significance

Considerable research documents the necessity for higher education to increase its international scope (Burn, 1980; Cohen, 1997; Fersh & Greene, 1984; Freeland, 1992; Kerr, 1987; Northouse, 1997). This is particularly relevant in the Southern Regional Education Board (SREB), where economic trends both within higher education and the general national economy are forcing Americans to look globally for future resources. Referring to a classic model of administrative functions can be helpful in recognizing how college and university administrators can successfully internationalize their programs. Gulick and Urwick (1937) identified seven functions (planning, organizing, staffing, directing, coordinating, reporting, and budgeting) to assist administrators in this change process.

First, effective planning for future internationalization must be based on assessment of current initiatives (Baldrige & Okimi, 1982; Keller, 1983; Mintzberg, 1994; Schmidtlein & Milton, 1990). The results of this study will provide a model that may be helpful in an institution's efforts to assess and evaluate their own progress in internationalization.

Second, the model of enabling and constraining factors in internationalization developed by this study will assist college and university boards and presidents to make informed decisions regarding particular goals for their institution. Board members or presidents can organize their institution's plan to provide proper supports for factors found to positively enable internationalization efforts. In organizing their objectives, higher education leaders can be cognizant of, and make plans to avoid, administrative pitfalls found to constrain internationalization.

Several sources emphasize the connection between funding and planning. In light of internationalization mandates, Cohen (1997) stressed that those responsible for planning and overseeing institutional change must also consider “capital” investment in faculty, libraries, laboratories, and programs. The results of this study can provide useful information for determining future resource allocation (Hurtado, Milem, Allen & Clayton-Pederson, 1995; Symonette, 1995). Deans and international program leadership may use this information to support their requests for staffing and budgeting of their current institutional initiatives in internationalization.

Finally, directing and coordinating efforts among various institutional programs will be strengthened by a better mutual understanding across programs of factors that impact their development. International student program directors, study abroad coordinators, program chairs, and administrators may want to develop a coordinated plan for advancing their efforts. Implementation could include a system-wide approach with attention to reducing any factors that constrain internationalization.

Definition of terms

Components of internationalization – A consensus of specific areas, delineated by the literature and outlined by NASULGC, wherein higher education institutions may internationalize.

Highly internationalized – institutions identified by an expert source (Institute for International Education) as having successfully implemented the components of international education.

Contributing factors – themes that may emerge from the data that appear to support or encourage internationalization within any or all of the various components, or in any other areas.

Constraining factors – themes that may emerge from the data that appear to undermine or discourage internationalization within any or all of the various components, or in any other areas

Assumptions of the study

Interviewees (university leaders, program administrators, faculty) can accurately assess how and why their institutions internationalized.

Greater amounts of internationalization (large quantities within the various components) are indicators of more success (better quality of institutional internationalization).

CHAPTER 2

Literature Review

Chapter two provides an overview of the literature relevant to four aspects of higher education's internationalization. First, a brief historical synopsis outlines the past several centuries of internationalization in American higher education. Second, the literature related to operationalizing international education and its components as defined in this study is summarized. The third and primary focus, in keeping with the purpose of the study, reviews the factors or influential forces in internationalization as outlined in the existing literature. Finally, the last section provides a brief overview of Systems Theory, the theoretical lens that was used to analyze the study's data.

History of Internationalization

Early American pursuers of the goal of international education were the young pioneers of higher education who, during the seventeenth and eighteenth centuries, enrolled in the great German universities (Perkin, 1991). Others, also usually from a privileged background, went to medical schools in Paris and Vienna (Brubacher & Rudy, 1976). It was through such experiences that the "importing" of foreign ideas through international education acted as a catalyst, which spearheaded the social and educational movement for colleges and universities, as we know it today.

As with many aspects of United States higher education, it was the advent of the twentieth century and the World Wars that brought the most dramatic change to international education programs (Scanlon, 1990). Public concern for international affairs had never been widespread in the United States. For much of its history, the

country considered itself geographically isolated. However, these attitudes changed during World War II (Freeland, 1992).

In response, the federal government stimulated international studies at colleges and universities by creating modest support programs. In 1946 Congress passed the Fulbright Act, which gave birth to the well-known Fulbright scholarship program, administered by the Institute on International Education (IIE). This program, originating in 1949, provides support for hosting international students as well as for exchanges of students and faculty from the U.S. (Scanlon, 1990).

Two other important programs quickly followed the post-World War II trend toward globalization. In 1948 the National Association for Foreign Student Affairs (NAFSA) was formed, integrating foreign students in formal learning programs and offering universities a unique way to strengthen international education in a variety of disciplines. Also in 1948, the International Association for the Exchange of Students for Technical Experience (IAESTE) was formed to aid American students who go abroad for independent study, to serve as interns, or to participate in practical training programs (Brubacher & Rudy, 1976). Through these exchanges, students (mainly in engineering and technology) gained two or three months of practical experience.

The most significant policy efforts by the federal government today evolved from the provisions of the National Defense Education Act of 1958 (NDEA) and its subsequent amendments. The act originally was passed when there was general concern for national preparedness and scientific and technological competition with Russia. Title VI of the legislation provides support for language and area-study centers within educational institutions and consortia. It also provides funding for the development of

instructional resources in international studies, introduction of international perspectives into existing instruction, outreach activities, and research in international studies (Burn, 1980).

The social turbulence of the 1950s and 1960s proved a substantial distraction for Americans, as many universities again turned inward to focus on campus unrest and uprisings (Levine, 1978). But by the 1970s American views of other nations again began to soften. President Jimmy Carter's appointment of a Commission on Foreign Language and International Studies was itself a reflection of the changing needs in international education. The new role of the United States required greater priority be given to ensuring an adequate supply of specialists on other countries (e.g., the Arab states of the Middle East) and on international issues (e.g., energy supplies). Also, in 1977, the Office of Education sponsored a Global Education Task Force to identify the implications of greater emphasis on global education. The 1980s saw national and local support for international exchange continue as study abroad attracted an unexpected level of interest and attention in American higher education (Fersh & Fitchen, 1981; Fersh & Greene 1984). More recently, the federal government has again sought to strengthen International Education programs by issuing a policy memorandum to all department and agency heads (Clinton, 2000). In this memorandum, former president Bill Clinton called for a "coherent and coordinated international education strategy." He committed the federal government, in partnership with educational institutions, to the accomplishment of specific goals concerning increasing international education.

In addition to historical events and federal policies uniquely affecting the United States, the pervasiveness of three global influences, the English language, information

technology, and international business, have been identified as forces propelling the trend of international education during the latter half of the twentieth century. In every major city of the world today, there are language schools enrolling students in English courses designed to produce multilingual professionals skilled in the English language. “Without the language, their opportunities are limited,” said Elena Ostrovidova, a spokeswoman for the Russian Ministry of Education (Chronicle of Higher Education, 2000, p. A73). A recent governmental study in China revealed that approximately 70 % of urban Chinese had studied English (Chronicle of Higher Education, 2000). The global proliferation of computer usage and information technology throughout the 1990s introduced another contributing factor to the globalization of education. Many students around the world use the Internet to conduct research, search worldwide library collections and databases, and to read foreign newspapers (Nielsen, 2000; Smith & Woody, 2000). Finally, national economies are increasingly integrated into a global economy that is driving internationalization. According to DeWit (2002) and Scott (1998), market imperatives have a major influence in colleges and universities. From purely economic considerations, employers need to recruit staff who can deal with the companies’ interactions with different markets and customers. Understanding international social and political circumstances thus becomes an increasingly important product goal for higher education (DeWit, 2002).

The Components that Define International Education

Despite its extensive history, only relatively recently did researchers turn their attention to clarifying the taxonomy of international education (Arum, 1987a; Barker, 1996; Hansen, 2002). The Institute of International Education first used the term

“international education” in 1919 (Arum & van de Water, 1992). Originally, it was a “term used to describe the various educational and cultural relations among nations” (Scanlon, 1960, p. 1) and initially, it emphasized training in a foreign language and area-studies specialists (Burn, 1980). Today the concept has broadened significantly (Hansen, 2002). It involves a transformation of “all activities and programs with an international perspective that affect campus administrators, U.S. students, and foreign students on campus and the local community and businesses, including the institution’s relations with out-of-country governments, agencies, institutions and students” (Barker, 1994, p. 13). This transformation process, as the definition implies, is imprecise and occurs at various levels and throughout various programs within institutions.

In order to assist its member institutions to better operationalize the ambiguous process of expanding their international scope, the National Association of State Universities and Land Grant Colleges (NASULGC) published a strategic vision statement in May 2000 (National Association Of State Universities Land-Grant Colleges, 2000). This document suggested direction for fostering “engagement with the continually emerging world community” (National Association Of State Universities Land-Grant Colleges, p. 1). Encompassing the broadest meaning of international education, the guide outlines specific core activities and action plans within the various missions of higher education: teaching and learning, research and scholarship, service and outreach. In addition to the focus on mission, it defines the key components institutions should consider as they assess and redesign their core activities in an international context. They are study abroad, international students, international faculty exchange, an international curriculum, international research, and service programs.

Each of these components falls within one of the four broad categories of internationalization (knowledge, students, scholars, and the curriculum) suggested by Kerr (1987) as a model for internationalization. Other researchers have defined international education differently (Arum, 1987a; McConeghy, 1992; Pickert, 1992; Rasmussen, 1991). Although there is not a clear consensus in the literature, this study will examine the components as they correspond with the Kerr model and are outlined by NASULGC (2000). Finally, it is important to note that there is a long-standing, large body of literature for each individual component. The review here is limited to the literature that highlights current issues surrounding the components and their role in the process of institutional internationalization.

Knowledge

Kerr (1991) characterized the “flow of knowledge” as the diffusion of information internationally within three types of fields of study; first those in the inherently international or “world orbit” fields (i.e., the physical and life sciences, and mathematics), second, those intracultural fields with some overlap among nations/cultures (i.e., social sciences and humanities), third, intranational fields such as domestic law or public administration that are decidedly national in their sphere of influence. Smelser (1991) called attention to two areas of higher education through which knowledge in these various fields can be internationally diffused: teaching/learning (addressed in the subsequent sections on students and scholars) and research. The NASULGC guidelines also emphasized service activities (National Association Of State Universities Land-Grant Colleges, 2000). The following summary highlights current trends in these areas.

Gillispie (2001) noted that the mission statements of many liberal education programs stress the value of knowledge sharing between international learning institutions. NASULGC spelled out specific goals and objectives for internationalizing research and service programs (National Association Of State Universities Land-Grant Colleges, 2000). For example, Hawkins (1998) pointed out that higher education institutions have a responsibility to contribute to an international knowledge system. NASULGC noted that promoting this concept is a key institutional objective for internationalization (NASULGC, 2000). Despite the delineation of clear objectives, there is a relative lack of data assessing national progress in these areas (American Council on Education, 2000). This is, perhaps, because such initiatives are more difficult to quantify than, for example, the number of visiting international faculty, students studying abroad, or foreign language class enrollment.

However, there are several dominant themes in the literature surrounding the globalization of knowledge. The impact of technology on the internationalization of knowledge is a growing and effective trend (Branscomb, 1995; Collins, 1995; Friedrich, 1995; Muller, 1995; Nielsen, 2000; Smith & Woody, 2000). The campus library provides a specific example of an area within higher education research and service initiatives that technology has helped globalize. In 1997, Riggs cited technology as the main factor advancing the library's globalization. The accessibility of global digital collections allows students and faculty to retrieve the latest journal articles and research findings from scholars across the world. The shift from place-centric access to user-centric access has ended the era when research was constrained by the finite holdings of a particular institution or its select lending/borrowing agreements (Riggs, 1997). The role

of librarians has evolved to that of guiding users to global intellectual resources (McClure, 1994).

Still, several barriers to the globalization of knowledge have been acknowledged. These include “language competences, standardization, interoperability of technology/software, lack of international policies, cultural differences, and affordability of information” (Riggs, p. 7, 1997). However, Dorman (2001) listed several resources that institutions can now access to eliminate such barriers. For example, libraries can now contract to receive real-time interpretation and translation services in 148 languages. The International Network for the Availability of Scientific Publications (INASP) sponsored an initiative to help disseminate scholarly information to several sub-Saharan African countries through discounted on-line rates (where Internet access is available) and distributing full-text databases on CD-ROM or DVD-ROM (where it is not). Additionally, in an effort to assist libraries discover and catalog resources in any language, one product, Unicode, is being implemented that can standardize character-encoding for all the world’s scripts and characters (Dorman, 2001).

On the opposite end of the spectrum from the campus library lies another trend in the internationalization of knowledge that is also influenced by technology. Transnational higher education has become a global outlet for U.S. institutional knowledge (DeWit, 2002; Scott, 1998). These initiatives vary from offering a collaborative degree with a foreign institution to establishing branch campuses in other countries. Distance-learning technology often plays a key role in the delivery of such educational programs. Altbach (2002) highlighted the activities of Australian and British institutions in transnational education. “More than 140,000 international students are

involved in academic programs under the auspices of British universities elsewhere in the world” (p.30).

Ultimately, many of the choices affecting the global diffusion of knowledge are outcomes of local institutional decisions. Much of the literature asserts that whether promoting global research opportunities, expanding the library’s international scope, developing collaborative learning opportunities with overseas institutions, or utilizing technology to facilitate all of the above, college and university leadership plays a key role in advancing the internationalization of knowledge (American Council on Education, 2000; Lambert, 1989; Pickert & Turlington, 1992; Riggs, 1997).

Students

Although the ultimate intended outcome of every component of institutional internationalization is primarily student centered, there are two specific components of international education that relate directly to programs for students. They are study abroad and international students (National Association Of State Universities Land-Grant Colleges, 2000). Much of the recent literature concerning these two components focuses on reviewing the national progress (or lack thereof) in implementing the programs and on describing potential remedies for improvement.

Several recent studies regarding study abroad are aimed at assessing the progress of U.S. institutions in promoting student participation in study abroad programs (Adelman, 1999; American Council on Education, 2000; Davis, 1999; Jallade & Gordon, 1996). Although recently on the rise, national numbers still indicate that only 3 % of the undergraduate enrollment is participating annually in study abroad. Just over one hundred thousand students (113, 959) in 1997-98, totaling 0.8 % of the total enrollment,

had a study abroad experience during their undergraduate careers (Adelman, 1999; Davis, 1999). Of those participants, nearly two-thirds studied in Europe, 16 % in Latin America, followed by Asia with 6 % and Africa with only 3 % (Davis, 1999). Another disappointing trend is the movement toward shorter exchanges, which may result in less depth and impact from the experience. After 1985, the number of students who spent more than one semester abroad fell from 18 % to 10 % (American Council on Education, 2000).

On the positive side, there are examples of specific institutions with robust study abroad programs. Middlebury College sends more than 22 % of its students abroad to study. Other institutions, such as Beaver College, have instituted international studies programs that emphasize study abroad, resulting in nearly two-thirds of enrolling freshman opting to participate (Davis, 1999). In Europe, the numbers are similarly positive. In Austria 5.6 % of students go abroad, and in Germany approximately 6 % participate. The European student numbers represent a wide range of disciplines. Twenty-two percent are focused on management, 21 % on foreign languages, 10 % on engineering and 8 % on law (Jallade & Gordon, 1996).

The majority of the literature focusing on strategies for improving study abroad is linked directly to cultivating increased faculty participation (Arpan, Folks, Kwok, 1993; Council on International Educational Exchange, 1988; Goodwin & Nacht, 1988; Sarathy, 1990). Typically, study abroad is coordinated by one or two professors who are given the additional assignment of promoting study abroad. Even if the other faculty share the vision of study abroad, in most cases they are not directly involved in communicating with the foreign host institutions or co-planning the curriculum and therefore cannot

adequately advise or encourage students. One method, outlined in the literature, for eliminating these barriers is through departmental study abroad programs. In “Making Study Abroad a Reality for All Students,” Praetzel and Curcio (1996) presented such a model in a study highlighting the success of Niagara University. This New York university sends approximately 20 % of its junior business students and 33 % of its MBA students to participate annually in departmental study abroad programs. The faculty understand the course content at the foreign host institution because they were involved in evaluating its curriculum. In addition, institutional incentives encourage professors to participate in overseas teaching programs and thus experience the benefits of study abroad for themselves. This type of faculty development directly impacts the institution’s efforts to internationalize the curriculum (Praetzel & Curcio, 1996).

In contradiction to the problem of low participation rates in study abroad, an ever-increasing number of international students are enrolling in U.S. institutions (Chronicle of Higher Education, 1999; Sarkodie-Mensah, 1998). Representing approximately 11 % of graduate students, and 3 % of undergraduate students, nearly 500,000 international students studied at U.S. institutions in 1998-99 (American Council on Education, 2000). These students brought 70 % of their funding from outside the U.S. and contributed an estimated 13 billion dollars annually to the U.S. economy (Davis, 1999). Despite this potentially vital resource for campus internationalization, only a few colleges and universities are effectively integrating students into their international activities (American Council on Education, 2000).

In addition to the need for improved integration into internationalization efforts, several recent studies also focus on the institution’s obligation to provide adequate

academic and social services for the growing population of international students (Lacina, 2002; Senyshyn, Warford, & Zhan, 2000; Weidman, Twale, Stein, 2001). Several factors have been identified in the literature as influencing international students' socialization. Surdam and Collins (1984) found that students' country or region of origin was important, with students from Western countries adjusting more easily than those from Third World and Eastern Hemisphere countries. Additionally, the length of time in the United States was found to be a factor, with correlations similar to a U-shaped curve. In a random sample of international students (N=143), students who had recently arrived, or been in the US for five years or longer, showed the highest levels of adaptation (Surdam & Collins, 1984).

Other studies suggest that there are many ways in which the host institution can facilitate student adjustment. For example, there is a strong correlation between students' English language skills and their acculturation (Hutley, 1993; Tompson & Tompson, 1996). Overall, Americans remain somewhat parochial in their attitudes toward multilingualism (Crawford, 2000; Lessow-Hurley, 2000). Helping international students access resources for learning English and facilitating college faculty and students' familiarization with English as a Second Language (ESL) issues is an important strategy for promoting language diversity, cross-cultural understanding, and international student adjustment (Lacina, 2002).

Scholars

Similar to the dual emphasis in student programs, the scholarly components are also divided into two parts: the international education efforts of American faculty and the resources of international visiting scholars (National Association Of State

Universities Land-Grant Colleges, 2000). In reviewing the literature for these two components, several current studies focus on evaluating faculty international education efforts, or on providing comparative data for the number of international scholars (American Council on Education, 2000; Davis, 1999; Kuhn, 1996). Similar to the data for students, results show a large number of visiting international scholars in United States' institutions, while an assessment of American faculty efforts yields information that is, at best hard to quantify, at worst unavailable (American Council on Education, 2000). The following overview summarizes these findings.

In 1998-99, there were approximately 70,500 international scholars in the US. Four out of five scholars were here for research purposes, with the remainder teaching. The greatest majority (over 68 %) was in the sciences and engineering. Only 4 % were working in the social sciences and history, followed by 3 % in agriculture (Davis, 1999). China was by far the largest "exporter," sending nearly 20 % of the total. Another indicator of the internationalization of faculty would be the number of positions staffing international education. The National Council of Area Studies Associations' (NCASA) 1991 study showed that only two-thirds of existing faculty of international studies programs expected to be replaced upon their departure (National Council of Area Studies, 1991). If those estimates were correct, and factors of retirement and attrition rates are considered, approximately 13 % of the positions would have been lost by 2000 (American Council on Education, 2000). Unfortunately, there are no data available to confirm or refute these predictions.

The amount of funding available to support international faculty activities also serves as a gauge of internationalization efforts. According to El-Khawas, while 45 % of

the institutions provided financial support for faculty travel abroad, only 23 % supported cross-national research. Only one in three institutions provided release time for developing courses with an international perspective (El-Khawas, 1995).

However, there are also two significant distinctions between the literature pertaining to scholars and that pertaining to students. First, several studies ask a crucial question of scholarly internationalization that goes beyond evaluating numbers (Festervand & Tillery, 2001; Green & Baer, 2001). How do these activities impact students? Green and Baer (2001) noted that just because a professor is actively presenting papers at international conferences or maintains communication with colleagues at foreign institutions regarding research, does not necessarily result in a meaningful impact on students.

The temptation is great to focus on what the global economy can do for the institution rather than on what the institution, acting in a global capacity, can do for its students. Attracting international students, forming research collaborations, providing training courses in other countries, or marketing distance education worldwide may contribute to the overall internationalization of the institution, but that contribution is often a byproduct of entrepreneurial activity rather than the goal. The global campus cannot be truly global unless its entrepreneurial activities are combined with intentional academic strategies to give students the knowledge, skills, and attitudes that allow them to understand the larger global context in which they live (p. B24).

Second, as suggested by the qualitative nature of the question regarding impacts on students, many studies point to a need for more experiential data regarding faculty

engagement in international education. For example, some studies highlight the usefulness of study abroad as a professional development tool for expanding faculty support of the program and vision for globalization (Praetzel & Curcio, 1996). However, Green and Baer (2001) cautioned that such experiences are not necessarily “mutually reinforcing” with internationalizing the curriculum (i.e., impacting students), but that this effect requires substantiation. The over-arching theme is that efforts to improve faculty’s involvement in international education must have clear purposes, and that those efforts must be consistently evaluated as to their effects on students (American Council on Education, 2000).

Curriculum

The internationalization of the curriculum has historically had a much broader scope and more ambiguous implications than the areas of students and scholars (Lambert, 1989). Schoorman (2000) identified five types of course designs that are relevant to the internationalization of the curriculum: language courses, infusion, area studies, cross-cultural, and global studies. Each of these courses can play an important role in an institution’s effort to internationalize its curriculum.

The first design, and perhaps the one most widely associated with internationalization of the curriculum, is the language course (both foreign and English as a Second Language). Requiring or encouraging enrollment in foreign language courses has long been understood as an important way for universities to promote international skills and understanding (Devine, 1993; Hamilton, 1993). However, English as a Second Language (ESL) courses have also gained importance as a method of promoting language diversity for international students and decreasing cultural misunderstandings (Lacina,

2002). Second, the infusion design of discipline specific courses with content such as international case studies provides an opportunity to globalize the course concepts and principles by blending an international perspective (Arpan, 1993; Schechter, 1993). Third are area studies courses that focus on one culture or region. For example, a course on the history of China would provide students with an opportunity to explore in depth the historical and cultural issues of that particular country (Arpan, 1993). Fourth, some courses are designed specifically to lend a cross cultural or international perspective to specific disciplines (i.e., cross-cultural communication, comparative education, and international business). Finally, a global studies course design is aimed at understanding international issues or themes such as world hunger, nuclear disarmament, or world peace.

Although there are many ways of internationalizing the curriculum using the various course designs, much of the literature suggests that, to a great extent, U.S. institutions of higher education have not been successful in this aspect (Fugate & Jefferson, 2001; Kwok, Arpan, & Folks, 1994; Nehrt, 1993; White & Griffith, 1998). In fact, one study suggested that the majority of institutional programs “had internationalized their curriculum to only a small extent” (White & Griffith, 1998, p 110-111). Harari (1992) contended that the efforts to internationalize the curriculum by taking an “additive” approach (for example, adding one or two courses) are inadequate. Davies (1992) suggested that this approach is unplanned and haphazard. The outcome for students, according to White and Griffith’s 1998 study of U.S. business schools, is a lack of preparation to become a “high quality global manager” (p 110-111). The American Council of Education’s recent *Public Experience, Attitudes and Knowledge: A*

Report on Two Surveys about International Education (Hayward & Siaya, 2001) further substantiated the fact that the outcome for students is a general lack of knowledge about the rest of the world. For example, in this multiple-choice survey, only 25 % correctly identified Vicente Fox as the president of Mexico and only 23 % named Kofi Annan as the secretary general of the United Nations.

The majority of the literature that suggests potential remedies for this lack of success points to a systemic approach for internationalizing the curriculum. Obviously, a curricular initiative of this type must involve the faculty (Cohen, 1997). Schoell (1991) noted that international students can also act as resources for broadening a course perspective. When well coordinated, international students can bring a unique cultural and content point of view to their courses. Lundstrum, White, and Schuster (1996) pointed out that often campuses fail to utilize the resources they already have. By taking an interdisciplinary approach to curricular reform, institutions can capitalize on the efforts of various departments such as “area studies, political science, language training, communication, and general business and marketing classes” (Lundstrum, White, & Schuster, p. 15). Fugate and Jefferson (2001) noted that few business schools or faculty have the experience to address the job-training needs of an international corporate executive, but most multinational businesses do. Through collaborative efforts with businesses, international students, and interdepartmental colleagues, institutions can access these resources and provide meaningful educational opportunities for future global citizens.

Influential Factors in Institutional Internationalization

Thus far, the historical and societal trends leading to the globalization of American higher education have been summarized. The key components that characterize international education have been reviewed. However, implementation of internationalization occurs essentially at the institutional level. Thus, this study examined the factors that enable or constrain such development within a particular college or university. The following overview suggests some major themes identified in the literature as vital to the successful implementation of institutional international education programs. This list is by no means comprehensive. This study took a qualitative approach, remaining neutral, and thereby refrained from predicting responses (Patton, 1990). However, a brief summary of potential enablers provides an introduction to the research base of studies linking influential factors to institutional internationalization.

Leadership

According to Northouse, there are several key components that are central to the phenomenon of leadership. They are process, influence, group context, and goal attainment (Northouse, 1997). There is a significant amount of research that suggests that the development and implementation of policies (process) in order to achieve diversity and multicultural goals (goal attainment) are greatly hindered or facilitated (influence) by leadership practices and institutional structures (group context) (Barker, 1995; Davies, 1992; Groennings, 1983; Pickert & Turlington, 1992).

In a 1995 study, Barker asserted that support by top campus leadership is probably the most important factor in international education. Greenfield (1990)

suggested that a strong commitment by the president and from the board of trustees is a requirement for any institution in order to have a viable and effective international education program. Other research supports the need for institutional leadership to be interested, involved and committed to internationalization (Adams, 1979; Arum, 1987b, Lambert, 1989; Pickert & Turlington, 1992). However, the implications of this research may be diminished for individual campuses. The literature does not spell out how institutions can generate and operationalize leadership commitment for internationalization (Barker, 1995), nor can “commitment” be easily measured.

Some potential outcomes of leadership support that can be measured have been addressed in the literature. Choosing an appropriate administrative structure for internationalization is an important but controversial leadership decision. Pickert (1992) described the various organizational structures that administrators adopted to implement programs and activities. Davies (1992) concluded that such programs could be administered through either normal organizational units or specialized structures. Other studies suggest a single office to coordinate international exchanges, internationalizing the curriculum and the implementation other international components (Kelleher, 1991). The intended result is that when international activities and programs are centrally coordinated, they reinforce each other and become a more focused part of the institution’s structure and priorities (Burn, 1980). Finally, regardless of the structure, international program initiatives must have sufficient professional and support staff in order to properly implement the goals leaders have set (Barker, 1995).

Within the realm of higher education, discussions of leadership influence are sometimes limited to the role of president or board member. However, leadership’s

commitment of resources, whether for the establishment of an office, staffing positions, or of a high level administrative position, shows positive support for internationalization. Groennings (1983) indicated that some administrators were inclined to support deans or vice presidents for international studies. Not only does the position itself increase the visibility of international education on the campus, but by reporting directly to the vice president, provost, or president there is a clear indication of the prominence of internationalization among leadership's goals.

Another critical outcome of leadership support is the inclusion of procedures, statements and goals that address internationalization in written policies. The International Association of Universities, in a policy statement on the internationalization of higher education, states as its number two recommendation that institutional leaders “develop clear institutional internationalization policies and programs...” (International Association of Universities, 2000, p.2). Aigner, Nelson and Stimpfl (1992) asserted that institutional change (such as internationalization) takes place slowly and generally through the implementation of small changes over an extended time period. By delineating the desired direction in policy, leadership can provide a mandate and directive for committees to be established to lay out the incremental changes for promoting internationalization. Through such committee processes, faculty and staff are empowered to develop and implement internationalization policy (Smuckler & Sommers, 1988). Klasek (1992) noted that pervasive faculty and staff involvement is a key indicator of the level of institutional commitment to internationalization and as stakeholders, their participation is critical to the success of the change process.

The two other important factors clearly identified in the literature as influencing internationalization are the inclusion of internationalization in the institution's mission and the provision of adequate funding for it. Both of these factors are also directly related to leadership support, and will be addressed in the following sections.

Mission

In the early 1980s Shirley (1983) asserted that a college or university mission statement is best understood as an integral part of an institution's strategy. This strategy is made up of a set of decisions that define the institution to its competitive environment. This set includes: student demographics, geographic areas to be served, the mix of programs and services, and the means for gaining comparative advantage. Several sources stress the importance of a global perspective when evaluating the above set of decisions (Cohen, 1997; Haire, 1996; Hawkins, 1998; McCarthy, 1998). In an April 2000 policy memorandum on International Education Policy, President Bill Clinton (2000) addressed both issues of student demographics and geographic service areas when he articulated the twin challenge of preparing United States citizens for a global environment and simultaneously educating leaders from abroad to guide the political, cultural, and economic development of their countries in the future. The memorandum emphasized the necessity of a coherent and coordinated international education strategy (mission) to meet these challenges.

Several studies support the impact of mission on efforts to internationalize. Kelleher (1991) argued that by reviewing an institution's mission statement, the level of commitment to internationalization can be measured. If internationalization is addressed, he argued that it "is congruent with or, even better, clearly expresses a commitment to

international education” (Kelleher, 1991, p. 7). Barker (1995) tied the connection directly to leadership, asserting that a commitment by top leadership will be reflected in the mission and that a written reference to international education in the institution’s mission is an important evidence of the institution’s commitment. NASULGC (2000) emphasized the need to “make internationalization an integral part of the university’s mission” as the first goal (National Association Of State Universities Land-Grant Colleges, p. 14), preceding the other six components’ goals for expanding the international scope of universities.

Arizona State University provided one early example of the impact of an international mission. In 1987, it instituted a major strategic review and consequently revised its general studies program to require courses in global awareness and cultural diversity. Since that time, the resulting changes included the creation of a Department of Chicana and Chicano Studies, an African American Studies program, an Asian Pacific American Studies program, over 75 courses that meet the cultural diversity requirement, and 200 that meet the global awareness requirement (National Association Of State Universities Land-Grant Colleges, 2000).

More recently, in a comparative study of two dissimilar institutions’ study abroad programs, Walker (1999) found that the mission statement of the international program within the larger institution tended to be more detailed than that of the smaller institution. Additionally, it provided a direct relationship for the program to the more comprehensive, institutional mission. For example, while the institutional mission statement outlined a commitment to issues affecting the national and global communities, the program mission specified objectives designed to fulfill the commitment in relation to students,

faculty and staff. The same study found, however, that although the smaller institution's program goals were not outlined in a mission statement, the program still provided support for the institution's stated goals of international education and internationalization of the campus. This supports earlier work by Davies (1992), who noted that all institutions have missions, but that some are more explicit while others are more implicit. Walker concluded that the overarching concern of an institutions' international mission is that it must be adaptable to change and must reflect the specific needs of students, faculty, and administration of the individual institution (1999).

Several points of caution are also noted in the literature regarding the inclusion of international education in institutional mission. First, the commitment must go beyond rhetoric to address resource allocation, departmental commitment, and governing board understanding and support (National Association Of State Universities Land-Grant Colleges, 2000). Furthermore, Greenfield warned that in addition to the normal concerns over diffusion of mission, there may also be backlash against an international thrust if it is perceived to supercede local, regional or national needs (1990). However, he continued that international education must be addressed in the mission and goals statement if the program is going to prove viable and effective (1990). Otherwise, institutional faculty and staff, lacking such a mandate, must determine for themselves whether international education is part of the basic mission of an institution or merely an initiative that can be indulged during prosperity and discarded in hard times.

Funding

Beginning in the 1980s, many institutions of higher education faced a substantial decline in real resources per student (Brinkman & Morgan, 1995). Although higher

education institutions differ one from another in their share of resources, funding international education initiatives may collide with institutional budgetary constraints for several reasons. First, short-term goals may dominate over long-term goals. Thus, even if internationalization is mandated in the mission statement, it may not be adequately funded without clear, short-term programmatic priorities. Second, budgets tend to be an inertial force; introducing new components (such as internationalization programs) may meet with more resistance than adding an incremental change (Brinkman & Morgan, 1997). Schuh maintained “budgeting is the process by which resources are allocated to support programs, services, activities, and learning opportunities. A budget maps out a plan for utilizing available resources to make sure that program and educational objectives can be attained” (Schuh, 1996, p. 465). In other words, despite the difficulties of declining resources, the institution’s budget for international education is one indicator of its commitment to accomplish the objectives necessary to meet its mission mandated goals concerning internationalization.

There has been much research to support the key role of funding for implementing international education initiatives (Cooper, 1988; Marden & Engerman, 1992; Pickert & Turlington, 1992; and Smuckler & Sommers, 1988). The various sources of funding for internationalization are described primarily as internal or external. Examples of internal sources include budgeted institutional funding, student fees, and program generated funding (i.e., Intensive English programs). External sources include federal, state, and local governmental grants, donations from businesses or private foundations and contracts from businesses, other institutions or foreign governments. Some studies have attempted to provide a contribution by suggesting a comprehensive

directory of external sources that support international education (Arum & van de Water, 1992; Pickert & Turlington, 1992). However, another problem is that funding sources often dry up or are changed. Therefore, it is crucial for institutions to constantly research funding sources, and avoid an over-dependence on external funding (Barker, 1996).

Providing an adequate level of funding is also crucial. The literature suggests that the process of becoming a multicultural institution involves several stages of transition. These stages have been described as monocultural, nondiscriminatory, and multicultural (Foster, Jackson, Cross, Jackson & Hardiman, 1988; Richardson, 1989; Stewart, 1991). Although the meaning of “multicultural institution” is not always tantamount to “internationalized,” in the discussion of funding levels the implications are clearly synonymous. Stewart articulated the budgeting levels and processes for each of these stages. In the monocultural stage, there is generally no special funding available for international education programs. Exclusive reliance on special funding sources characterizes the nondiscriminatory stage. However, achieving a multicultural and international institution requires planned and coordinated funding strategies including both internal and external sources (Stewart, 1991).

In a 1999 study that examined two institution’s approaches to funding international efforts, Walker found that in the institution where the majority of its funding was internal and came from two very stable sources, campus leadership was informed of activities that met program and institutional goals and was aware of student and faculty participation rates. The budget review process provided an informative assessment tool for analyzing the successes of the program. In contrast, another institution operated its international program under a cost-center budgeting plan. Cost-center budgeting is

defined as an approach in which units must be self-sufficient in “paying their own way” (Woodard, 1993, p. 249). The resulting budget was very unstable. This fluctuation had direct impact on the program’s ability to make annual goals and even affected staff salaries, and recruitment efforts (Walker, 1999).

Finally, some literature suggests that internationalization efforts should primarily be funded through a central office (such as an Office of International Education) to provide a focus for programs and activities that are in keeping with the institution’s mission (Barker, 1995). Leadership can also help clarify funding priorities by providing a list of key programs and activities that should take precedence in funding decisions (Barker, 1996).

The inter-reliant and mutually supporting nature of each of the influential factors previously described (leadership, mission, funding), call attention to several important issues. First, in order to understand fully the reasons behind successful internationalization efforts, a typical five-point Lickert-type survey of institutional staff and faculty would probably prove inadequate. How do leadership decisions impact funding? In what ways does the institution’s mission shape leadership choices? These and other questions can best be posited from a qualitative approach designed to gather attitudinal and experiential data that is currently lacking in the literature (American Council on Education, 2000). In addition, the way the data are examined should also take a holistic and cyclical approach that can allow for and even anticipate overlap among the variables. For this reason, Systems Theory has been chosen as the analytical lens through which the data will be examined. The following summary provides a brief introduction to Systems Theory and the rationale for using it in this study.

Systems Theory

Systems Theory first surfaced in the 1920s through biological study emphasizing the inter-relatedness of living organisms. Ludwig Von Bertalanffy (1968) published the idea of Systems Theory in the scientific community and revolutionized the traditional linear, reductionist methods of scientific principles. Thomas Kuhn (1970) acknowledged this as a fundamental paradigm shift, emphasizing the important role of relationships in scientific thinking. Later, this perspective was expanded beyond the biological and physical to include social systems (Katz & Kahn, 1978). Krepps defined an organization as “a complex set of interdependent parts that interact to adapt to the constantly changing environment to achieve its goal” (Krepps, 1990, p 94). Systems concepts include: environment, input, transformation process, output, and feedback (Von Bertalanffy, 1968).

Peter Senge, in his book *The Fifth Discipline* (1990), asserted there are several traits of a “learning organization” that create an effective learning environment. “Systems Thinking” is the first of five traits listed. Senge defined systems thinking as recognizing the patterns and connections that unite the larger system. In *How Colleges Work* (1989) Robert Birnbaum emphasized that learning organizations are systems and that leaders who view them as such think cyclical rather than linear. In this study, a systems approach was used to examine the process of successful internationalization within higher education institutions. Using a cyclical approach, the five concepts of systems thinking (environment, input, transformation process, output, and feedback) were analyzed for their relationship to institutional internationalization and to each other.

Environment

In introducing the concept of environment, it is important to note that there are two types of systems; open and closed. An open system is constantly contacting and exchanging energy with its environment, while a closed system subsists only on its own energy and inevitably experiences entropy (Rosnay, 1979). Katz and Kahn (1978) noted “social organizations [education institutions] are flagrantly open systems in that the input of energies and the conversion output into further energetic input consist of transactions between the organization and its environment” (p.20).

Thus, the relationship of an open system with its environment is a vital part of understanding its functioning. This is particularly true in the case of an internationalizing institution for two reasons. First, as already noted, the trend toward globalization began as a societal trend (Chronicle of Higher Education, 2000). The adaptability of higher education to meet the changing needs of society demonstrates its dependent relationship with its environment. There are much data to support the efforts, both successful and unsuccessful, of American institutions in responding to their environmental demands for internationalization (American Council on Education, 2000; Hayward & Siaya, 2001). Second, the nature of each of the components of internationalization implies an exchange of inputs and outputs between higher education organizations and their environments. Study abroad, international students, faculty exchange, internationalizing the curriculum, research and service programs require direct contact and exchange with both local and international environments (other campuses, outside resources, foreign governments etc.) and with each other.

Inputs, Outputs, and Feedback

Understanding the specific types of exchanges that each program undergoes with its environment was one focus of this study. The environmental inputs that contribute to or constrain internationalization within the various programs are important factors in the overall internationalization occurring within the campus. Some of the potential inputs (from leadership, funding, mission mandates) have already been introduced (Brinkman & Morgan, 1997; Greenfield, 1990; National Association Of State Universities Land-Grant Colleges, 2000). However, the concept of “equifinality,” wherein a system can get to the same end from various routes (Littlejohn, 1983), suggests that each institution and each program, or subsystem, may have varying inputs affecting their internationalization efforts. Thus, identifying the more specific input factors and their overall impact was an anticipated outcome of the study.

Describing the outputs (e.g., the percentage of students from the institution enrolled in foreign language classes) was not a primary focus of this study. Each institution, having been identified as “highly internationalized,” had already met certain “outcome conditions” that support their designation as an institution successfully implanting international education. However, outcomes were examined for the impact they have on their environment and the feedback they generate. For example, successful outcomes of certain programs may increase their visibility within the community and lead to additional inputs such as grant awards and additional funding. In these instances, the outputs were considered as enabling factors in the process.

Transformation Process

A key feature of Systems Theory relates to the transformation processes that occur within the system itself based on the input it receives and the output it produces (Birnbaum, 1989). The primary focus of this study was to better understand the change process occurring within successful colleges and universities as they transform themselves into highly internationalized institutions. Each of the previously described “components” of international education is a complex subsystem within the institution’s international initiative. They may coordinate their efforts and overlap in their outcomes. For example, a highly diverse, multicultural faculty may produce a curriculum more global in nature. Birnbaum emphasized the interactive nature of subsystems by noting their interdependence (1989). This interaction is cyclical rather than linear. Changes in the instructional program may require changes in the administration, which may consequently impact the instructional program. This study investigated the interdependent nature of the various components of internationalization that yielded a richer understanding of the transformation process.

Finally, the conception that internationalizing a campus requires more than successfully implementing the various isolated components points to the non-summativ aspect of Systems Theory (Littlejohn, 1983). The process of internationalization is more than the sum of all its parts. Each component or subsystem within the institution is constantly interacting, receiving input, producing output, and responding to feedback. When the total energy exchange from one component is multiplied by that of all the other components it contributes to a systemic transformation of whole institution. The investigation of internationalization’s contributing and constraining factors aimed to

dissect and examine each of the various influences, while simultaneously viewing them as a group in light of their role as part of a systemic transformation.

Thus, based on a systemic analysis, a comprehensive model of influential factors in institutional internationalization was developed. Chapter Three describes in detail the methods that were used to gather and analyze the data used to develop this model.

CHAPTER 3

Methods

Chapter three focuses on the research methods that were used in this qualitative study. This overview begins with the rationale that the literature clearly supports the use of a qualitative approach for the study of leadership issues (Bogdan & Biklen, 1998; Patton, 2001; Spradley, 1979). Because qualitative research focuses on process (Bogdan & Biklen, 1992), and internationalization is an organizational process (Katz & Kahn, 1978) within higher education, a qualitative approach can most appropriately examine how and why the process of internationalization occurs within an institution. This chapter describes the research design, population and sample, data collection procedures, and data analysis that were used to investigate the factors that are influential in the internationalization of colleges and universities. The concluding section in this chapter briefly examines the validity and reliability of the methods used in this study.

Research Design

For the purpose of this study, a multi-site design was used. Multi-site studies, unlike multi-case studies, are not intent on supporting existing theory, but rather focused on developing theory (Corbin & Strauss, 1990; Strauss & Corbin, 1994). Thus, this study took a grounded theory approach (Bogdan & Biklen, 1998). The basic concept of grounded theory implies that a researcher does not begin with a set theory in mind, but rather constructs the theory based on data, systematically gathered and inductively analyzed through the research process (Strauss & Corbin, 1998). A grounded theory is more likely to reflect the “reality” of the phenomenon under study and “offer insight,

enhance understanding and provide a meaningful guide to action” (Strauss & Corbin, 1998, p. 12).

Using a modified version of analytic induction (Robinson, 1951), the first batch of data from the first institution was used to identify certain “types” (Bogdan & Biklen, 1998). In this case, the researcher attempted to identify types of factors that enable and/or constrain internationalization efforts within a college or university. Based on these data, an initial, tentative model of “factors influencing institutional internationalization” was developed. Next, more data were gathered (at the second and third institutions) and applied to the model to provide both clarification, or in the case of contradictions, further redefinition or reformulation (Robinson, 1951).

Population and Sample

The population of this study consisted of higher education institutions within the Southern Regional Education Board (SREB). This includes institutions from the following states: Kentucky, West Virginia, Tennessee, North Carolina, South Carolina, Georgia, Florida, Arkansas, and Louisiana. Using purposeful sampling (Bogdan & Biklen, 1998), three information rich cases (Patton, 1990) were selected from SREB institutions, as having successfully internationalized campuses. One strategy of systematic, nonrandomized selection is criterion-based (LeCompte & Preissle, 1993). The criteria used in this study were based on data collected from the Institute of International Education’s 2002 Open Doors surveys. Specifically, data in three Open Doors Survey categories were examined: number of foreign scholars, number of international students as compared to total student enrollment, and percentage of students who participated in study abroad. Initially, one institution was identified based on its qualifications as an

extreme or dichotomous case (LeCompte & Schensul, 1999). The first institution selected, Kellogg University, possesses highly internationalized characteristics that are central to the study's key questions. Among all SREB institutions, Kellogg was the only institution with data in the top tier of all three categories: percentage of students studying abroad (26.5 %), percentage of international students (13%), and number of international scholars (597), as reported in the 2002 Open Doors Survey. This institution represents the successful, or extreme, end of the continuum of internationalized SREB institutions.

After the data from Kellogg University were collected, two other institutions were identified through a combination of reputational case selection (LeCompte & Schensul, 1999) and maximum variation case selection (Patton, 2001) strategies. Reputational case selection is a criterion-based method of selecting sample units in which the study group is selected based on recommendations by experts. In this case, the expert recommendation involved first identifying those institutions that were ranked in the upper tier on at least two of the categories of Open Doors data. Second, suggestions were gathered during interviews at Kellogg. Third, a maximum variation approach was used to identify conditions that purposefully differentiated the second institution from the first, and likewise, the third from the first and second. For example, since the first institution is a mid-size, private Research I university with a student population of approximately 12,000 undergraduate and graduate students, I chose the second and third institutions from among those identified by the experts, specifically because of their different demographics. In this way, the sample was still focused on highly internationalized SREB institutions, but expanded to include cases that may not fit into the first formulation (Robinson, 1951).

Information regarding the factors that influenced the institution's internationalization was gathered at each site through interviews of institutional leaders, primary administrators of the international programs, and faculty representatives regarding the institution's internationalization. These three groups of people made up the sample (from each of the three institutions). "Gaining entrée" (Wolcott, 1995) to these groups was accomplished through a formal letter to the institutions' presidents explaining the study and inviting participation (Appendix A), after which an informational phone call was placed to ask for a referral to at least one person from each of the aforementioned groups who could speak to the institution's internationalization efforts. In addition, each interview included an invitation for additional referrals to other knowledgeable individuals within the institution, and thus "snowball sampling" added to the sample (Berg, 1998).

Each interview began with a pledge from the interviewer to protect the confidentiality of the individual and his or her institution and stressed the over-arching aim of the interview to "do no harm" (LeCompte & Schensul, 1999). Finally, each institution and every individual was assigned a pseudonym that was used during data analysis.

Data Collection: Ethnographic Interviews and Document Analysis

LeCompte and Schensul (1999) outlined seven characteristics of an ethnographic study:

1. The setting is natural (as opposed to a laboratory).
2. There is face-to-face interaction between the participants and the researcher.
3. The goal is to accurately reflect the participants' actions and points of view.

4. “Inductive, interactive, and recursive data collection and analytic strategies” (p. 9) are used to build theories of culture.
5. Multiple data sources are utilized.
6. The social context is a key consideration when examining actions and attitudes.
7. Culture is a lens through which data is interpreted.

In this study, the three institutions provided the natural setting for data to be collected through the use of semi-structured, open-ended interviews (Wolcott, 1995). Face-to-face interviewing is a useful qualitative tool that requires “active listening” (Wolcott, 1995). Grand tour questions (Spradley 1979) provided guidance to the interview, while simultaneously allowing flexibility for the interviewer to search for patterns in responses (i.e., themes commonly discussed or consistently avoided) and offer further probes.

The development of the interview questions underwent several stages including a pre-pilot testing (Glesne, 1999). With the collaboration of an advisor, the questions were examined with attention given to avoiding “leading questions” (Glesne, 1999) and choosing appropriate wording. “The way a question is worded is one of the most important elements determining how the interviewee will respond” (Patton, 1990, p. 295). Second, the questions were piloted using respondents at an institution from within the intended population sample (e.g., SREB institutions). Finally, the questions were revised again. Adjustments were made based on which questions resonated with the interviewee, were easily understood, and required further introduction or follow-up. The final list of questions was primarily used as a guide, and was subject to a change in ordering and the addition of questions as they became relevant.

In addition to interviewing, other sources of data were used to further inform the study (LeCompte & Schensul, 1999). Institutions were asked to provide any available written documents (such as mission statements, written policy, and committee agendas) that were pertinent to their efforts to internationalize. These, along with other information (such as demographic statistics, etc.), were analyzed for their contributions toward framing the social, political and historical context for each institution (Bogdan & Biklen, 1998). Also, the researcher took copious field notes before, during and after each interview to describe not only the people, places and events but also record ideas, reflections, and patterns that emerge from each interview (Bogdan & Biklen, 1998). Finally, in order to accurately portray the participants' perspectives, the data collection processes were employed empathetically in the "Verstehen" tradition (Meyers, 1981; Schwandt, 2000; Strike, 1972) with emphasis on achieving a meaningful understanding of the actual conditions as experienced by the participants.

Data Analysis

Strauss and Corbin (1998) summarized the purposes of the coding procedure for grounded theory. First, based on the previously stated premise, the intent was to build rather than test theory. In this way, the coding process provided the researcher with analytic tools for handling masses of raw data and helped in the consideration of alternative meanings during the analysis of phenomena. Also, coding ensures that data analysis is systematic and, at the same time, creative. Ultimately, it was the method by which the researcher identified, developed, and related the concepts that became the building blocks of theory (Strauss & Corbin, 1998).

As these purposes indicate, the codes were generated inductively, as they emerged during the data collection process (Appendix B). The data were then sorted according to the various codes. Based on the open coding results from the analysis, categories and subcategories were established within the data (Strauss, 1987). Specifically, using axial coding (Strauss and Corbin, 1998) the categories (influential factors), were related to the emerging subcategories. These subcategories answered questions about the phenomenon (internationalization, its components, properties and dimensions) such as why, how and with what consequences internationalization occurred. Thus, an explanatory power was developed into a grounded theory. Strauss (1987) described this process as:

1. Laying out the properties of a category (contributing and constraining factors) and their dimensions.
2. Identifying the variety of conditions, actions/interactions, and consequences associated with the phenomenon (Internationalization).
3. Relating a category to its subcategories through statements denoting how they are related to each other (theory development).
4. Looking for clues in the data that denote how major categories might related to each other (which of the influential factors and/or components of internationalization interact amongst themselves).

Finally, after the tentative model was established, the theory was refined. This process involved the following steps (Strauss & Corbin, 1998). First, the model was reviewed to ensure internal consistency and logic. Each category was re-examined and poorly developed categories were provided further substantiation or eliminated. In this way, the theoretical scheme was validated. Using this process, the developed theory

became more concisely focused, with large concepts consistently applicable and poorly developed categories trimmed away. Finally, intervening variables that explain variability were identified and built into the model. In this study this entire process was repeated at each of the three institutions, with the end result being a working model of factors that contribute to and/or constrain internationalization that is firmly grounded in data.

Validity and Reliability

Validity and reliability are often addressed in qualitative research as issues of credibility and accuracy (Apgar, 1986), credibility, dependability and transferability (Guba & Lincoln, 1981), or trustworthiness and authenticity (Patton, 2001). Some researchers contend that because the purposes and paradigms of qualitative research differ from those of the quantitative, the nomenclature should reflect the different conceptualization. However, Merriam (1995) highlighted the need for rigor in all kinds of research and summarizes the issue, not in terms of alternative terminology, but in examining how well the study does what it is designed to do. The following strategies were utilized in this study, to address internal validity, external validity, and reliability.

Internal validity ensures that the study's findings are congruent with reality. In order to strengthen the internal validity of this study, the data collection process included triangulation (Berg, 1998; Patton, 2001). By employing data from a variety of sources within the institution (administrators, program staff, and faculty), and a myriad of methods (interviews, field notes, document analysis), the perceived "reality" was refined, confirmed, or strengthened, in other words "triangulated" (Denzin, 1978; Goetz & LeCompte, 1984). The data analysis addressed validity through member checks and

peer/colleague exams (Merriam, 1995). As tentative interpretations emerged, the interviewees (members) from the various institutions were asked to review the tentative interpretations for accuracy. In addition, the researchers' colleagues also examined the data and provided input on emerging findings.

External validity is concerned with generalizability, or to what degree the study's findings are applicable in other situations. Conducting a sample randomly is a prerequisite for making generalizations to the larger population. Since this study used the standard qualitative protocol of purposeful sampling, generalizability, in the traditional sense, is not applicable. However, several aspects of the study contributed to strengthening its external validity. First, its purpose was not to develop conclusions but rather a grounded theory. In this sense, the study supports Cronbach's (1975) emphasis of a "working hypothesis" that reflects the specific situation and context of a particular context. This working hypothesis can still be used as a guide to practice (Patton, 1991) and a basis for future study. Second, the study used a multi-site design, with a maximum variation approach to purposefully provide deviation among the sites. This expanded the range of situations to which the results may be applied (Merriam, 1995).

Reliability makes certain that if study were to be replicated, the findings would be the same. Since "human behavior is never static" (Merriam, p. 55), it is problematic to consider complete replicability in social science studies. However, Guba and Lincoln (1981) suggested an "audit trail" strategy for ensuring greater consistency in qualitative studies.

In this study, the researcher described "in detail how data were collected, how categories were derived, and how decisions were made throughout the inquiry" (Merriam,

1988, p. 172). This documentation, along with the narrative nature of the interview data, resulted in extensive descriptions for each of the three institutions and their impact on the three stages of the model's development. Each stage is documented in a separate chapter. Thus, Chapters Four, Five and Six describe in consecutive order the data from the three institutions. Each chapter culminates with a graphic illustration of the model's structure in its various forms of development.

CHAPTER 4

Kellogg University

Kellogg University is a private, world-renown, research university in the Southern Regional Education Board (SREB). It currently serves approximately 12,000 students in undergraduate and graduate programs. Founded in the early 1900's, Kellogg University has risen quickly to earn an international reputation for its work in the fields of medicine, education, and science. Average tuition rates for one year at Kellogg University are approximately \$35,000. However, the university has a need-blind admission policy and meets 100 percent of students' demonstrated financial need for four years. Four of 10 undergraduates receive financial aid. The institution most recently completed the largest fund-raising campaign ever conducted in the south, raising over \$2 billion dollars in contributions. Kellogg University was identified as being "highly internationalized" among SREB institutions because it was the only institution with data in the top tier of all three categories: percentage of students studying abroad (26.5 %), percentage of international students (13%), and number of international scholars (597), as reported in the 2002 Open Doors Report.

I visited Kellogg University in the winter of 2004 to conduct pre-arranged interviews with faculty and administrators on campus. I had some general preconceived ideas based on my review of the data that identified Kellogg University to be highly international. My initial impressions upon entering the campus supported my images of internationalization. The very first student I encountered while driving onto Kellogg University was someone of Asian background. Whether the student was indeed from an international background, or simply someone from Asian-American descent, I do not

know. However, this encounter drew my attention to the diversity of the student population; I took notice that almost one in every four students was from a non-Caucasian background. The campus itself, as I experienced it walking from building to building, was enormous, spread out over nearly 10,000 acres. At certain points, it seemed to melt into “city” rather than “campus.” But at its center, it was dominated by historic looking older buildings, with large green lawns and a traditional “southern university” atmosphere. The students on campus were courteous (opening and holding doors open for one another) and yet very focused, often chatting on their cell phones or reading books as they walked to and from class. In most of the administrative buildings I visited, there were photographs show-casing the various department programs. All of the pictures included a broad range of diverse students, many of whom represented the institution’s international population. Even the campus cafeteria seemed to reflect the international tastes of students with one of the six booths catering “Indian” food and another booth devoted entirely to “sushi.”

In addition to the “international flavor” of the general campus atmosphere, there were also several pockets within Kellogg University where entire offices and programs focused solely on internationalism. The International House promotes programming for international students. The International Center handles visa paperwork and immigration issues. The Office of Study Abroad assists the nearly 1,000 students who study abroad annually at Kellogg University. While on campus, I received a tour of the Center for International Programs. Housed in a 30,000 square foot building, the Center acts as an incubator for fledgling programs such as the newly created Center for Muslim Networks. The facility offers the latest technology for international video-conferencing, a broad

range of offices devoted to international education programs, as well as an art gallery where various forms of diverse art are on exhibit.

Data Collection

Data were collected at Kellogg University through the use of semi-structured, open-ended interviews. Open-ended descriptive questions guided the interviews, and the interviewee's responses triggered follow-up questions. In addition to interviewing, other sources of data were collected to further inform the study, including documents supplied by Kellogg University, its website and the interviewees (such as mission statements, written policy, committee agendas etc.). Also, all interviews (with the Vice Provost for International Affairs and the Executive Director of the Center for International Programs) and telephone interviews (with the Assistant Dean in charge of Study Abroad) were transcribed along with the copious field notes taken before, during and after each interview. Finally, in order to accurately portray the participants' perspectives, the data collection processes were employed in the "Verstehen" tradition with emphasis on achieving a meaningful understanding of the actual conditions as experienced by the participants.

Data Analysis and Model Development

After reviewing the transcribed interviews, each influence that emerged as contributing to the institution's internationalization was highlighted as a potential factor. The factors were reviewed and coded according to their area of influence. When analyzing the comprehensive list of factors that were coded as enabling Kellogg University to become highly internationalized, most of the factors seemed to cluster

around three main themes, each of which provide a “layer” of influence promoting internationalization.

The first layer is titled Historic Leadership. This refers to the set of decisions made by the university’s original leaders who spearheaded the efforts to internationalize. These factors were examined through an historical lens, and, in the case of Kellogg University, they occurred nearly 20 years ago. However, for institutions preparing to embark on a plan to internationalization, they are still vitally relevant. They provide a snapshot of the leadership decisions and conditions that proved effective in launching a successful international initiative.

The second layer, Strategic Infrastructure, refers to the factors that currently exist within Kellogg University, and account for the logistical, day-to-day activities that operationalize internationalization. In most cases, the Strategic Infrastructure factors were also set into motion under the Historical Leadership. Some structures have evolved far beyond their initial design. However, these factors, currently in existence, help explain how Kellogg University took the initial efforts to internationalize beyond the realm of a grand goal and implemented them to develop its current highly effective initiative. For institutions that have already committed themselves to internationalization, examining the Strategic Infrastructure of Kellogg University may provide useful insights for taking their own initiative to the next level.

Finally, in researching Kellogg University, there appeared to be a set of factors that clearly supported the internationalization of the institution, but that could not be directly attributed to leadership decisions or outcomes. These factors are related directly to the Culture of the Institution. For those institutions considering internationalization,

but not yet committed to it as a major mission, this cluster provides an analysis of the Institutional Cultural factors that augment a mandate to internationalize.

The three layers and their various components are described in the following narrative and illustrated in a graphic at the end of the summary of Kellogg University. Together, they make up the initial model, tentatively drafted to describe the contributing factors of internationalization at highly international institutions in the SREB.

Historic Leadership

The most obvious and most frequently mentioned factor that permeated every discussion of internationalization at Kellogg University was leadership. The individuals who participated in the interviews were all themselves leaders (Vice Provost, Academic Dean, and Executive Director). Some of them had long histories with Kellogg University, while others had only arrived within the last five years. However, in all of the discussions about internationalization, there was a clear recognition of the historical leaders of the past who were responsible for launching Kellogg University's mandate for internationalization. All of them alluded to the historical leadership's vision, often citing key players by name, as the initial reason why Kellogg University commenced its efforts to internationalize. The Vice Provost spoke highly of the efforts of a former president who was instrumental in launching the internationalization initiative.

The person who was most responsible for making this component of [Kellogg University] was [Tim Smith] who was a long-time president, former governor, and former senator... He was president ... in the late 70s through most of the 80s. He did two things that were very important. He had a vision of [Kellogg] as being a national university, not a regional university, and he changed the

composition of the board of trustees over time, so it became much more of a national board and not a local board.

There were two specific areas in which Kellogg University's historic leadership acted to advance its internationalization. First, the leaders incorporated the strategic advantage of internationalization into the institution's overall strategic plan and mission. Second, the successful internationalization was attributed specifically to the strong buy-in of key players such as the trustees, president, and provosts.

Linkage to Mission. In the early 1980's, Kellogg University was a leading institution in the Southeast, but had not yet reached its current level of competition among the upper tier of Ivy League Universities. However during the mid-1980's, then-President Smith established a goal of raising Kellogg University to international prominence.

And, along with [President Smith's] vision of [Kellogg University's] being an internationally oriented institution, there was the notion that part of that was to have international visibility and international contact. So the change [began] under [Tim Smith]. And, under [Tim Smith], there were a number of innovations ...more money was put in study abroad, more money was put into international student services, and the number of foreign students began to rise, and the number of foreign faculty began to rise, and so the process began.

Supported by the vision of several key faculty members, Smith recognized internationalization efforts to increase the number of students studying abroad, the number of international students and faculty as initiatives that would provide more "international visibility" for the university, thereby giving it a strategic advantage. By

capitalizing on the positive outcomes of internationalization, the leadership at Kellogg University was able to promote it as more than a goal in and of itself, but as a process that would assist the institution in achieving its other major missions. They emphasized that increasing international education would advance their university's efforts to become more prominent on the national and international level. This created a seamless approach for connecting internationalization with the institution's core mission.

Key Players. The second focus of the historical leadership was the active “buy-in” of other key players.

One factor is strong leadership from the top administration. You need to have strong support at the top to be successful internationally. If it's not there, you can't do it... I mean the Trustees, I mean the President and I mean the Provost. You need to have those three levels on board for internationalization. (Vice Provost)

Beginning with the trustees, the historic leadership fostered a vision for internationalization at all levels. President [Smith], the first president to initiate internationalization efforts, sought and gained trustees' support for the new initiative, effectively creating a “shared vision.”

And then ... as the Board of Trustees became more cosmopolitan, some of the people who were appointed to the board, turned up as very strong international interests. For example, one of the board members, the Vice President of the Pepsi Cola Corporation, who was an American citizen, but was born in Germany, ... has been a major donor in support of international activities at [Kellogg University]. But, there were many other trustees ...who saw that [Kellogg

University] should be like Harvard or Yale, and should have an international reputation, being internationally involved. So, the support at that level was very strong. A number of our trustees who are influentially cultured people, understand how important the rest of the world is to the United States, and vice versa; and so they were anxious to for this to be reflected in the [Kellogg] education. (Vice Provost)

The trustees' involvement progressed rapidly and by the late 1990s, the newer trustees themselves tended to come from a more international, "cosmopolitan" background, thus broadening the international focus of the board.

Among the faculty members there were other key players who were involved in leadership roles from the very start. When I interviewed the Executive Director of the Center for International Programs, he noted that the task force assigned to develop the initial plan for internationalizing the institution immediately met with senior faculty to gather their visions for internationalization within their own departments. Thus, their input became the central feature of the plan that would eventually be carried out across the campus. Other evidence of key players' involvement includes the legacy of those initial players. All of the interviewees were familiar with the history of their university's international initiative. They could name certain individuals who were instrumental in leading the international campaign. The historic leadership recognized that "buy in" would be necessary to institute change; they involved key stakeholders to gather input and to create ownership of the effort to internationalize. The current president also continued this process and contributed greatly to the framework for the current success.

So you had several key players in the top administration who were very committed to this, and then [current] President [O'Riley was appointed], and [internationalization] was one of her major focuses, and so under her, everything all came together. ... It's under her that the real jump has taken place. But all of those other pieces were building blocks being put in place. (Vice Provost)

Strategic Infrastructure

In examining the factors attributed to Historic Leadership, the historic nature of the data prevented direct observation. Thus I gathered information primarily from oral interviews and the investigation of university documents. However, the next layer called Strategic Infrastructure factors, although they too emerged from common themes in the interviews, were all easily verified through both observation and other sources such as university documents and the school website. These factors address the internal infrastructure that operationalizes internationalization at Kellogg University.

As the title implies, these factors did not occur randomly, but were developed through planning as part of a strategic focus to internationalize. They are: mission, funding, positional power, and critical mass. The first two factors, mission and funding, are important because they substantiate the plethora of research that indicates the vital role of mission and funding in internationalizing higher education institutions.

Mission. At Kellogg University, the university's Strategic Five Year Plan has nine goals. Two of the nine goals relate specifically to internationalization (# 5 is "Promote Diversity in all aspects of university life"; #8 is "Extend our global reach and influence'). The role of internationalization is clearly a central focus of the institution's mission. This importance filtered down directly to the individual program missions, which were also

clear and concise in their mandates for internationalization. The Academic Dean in charge of the Office of Study Abroad illustrated how her office's mission "to enhance the internationalization of the undergraduate experience" permeated every decision, including the choice to decline projects that fail to enhance their mission.

I think [our mission] drives what we do on a day-to-day basis. I mean we are doing what we are doing because that's what our mission is... [It is] an integral part of what we do on a day-to-day basis. ... We are [frequently] presented with ... propositions and proposals, and suggestions ... from others on campus and off to do a variety of things. And we will refer back to our mission and say, "Does that really support what we're supposed to be doing or not?" And if it doesn't then we say, "That's probably not something we want to get involved with" because at this point, we feel our mission is pretty well defined and we have a pretty good understanding of what it is we're supposed to be doing. ... We're fully engaged in accomplishing that mission ... and don't want to be diverted by extraneous tasks or things that are not going to help us move that mission forward (Director of Study Abroad).

Another important role of mission is the guidance it provides for initiatives to fulfill not only the programmatic mission, but also the mission of the institution to internationalize. Such clarity in institutional mission can help overcome programmatic barriers to collaboration for the greater good of the institution.

Well, International House for example, they're right across the street from [our study abroad office] and we decided to work together to have an international photo contest. I mean there [are] two totally separate offices but we decided to

collaborate on something. ... Rather than do it individually, we said let's work together on this. So we have pooled our resources and for the last two years had a very successful international photo contest. And it's helped draw attention to international students that are studying here in the United States because they have to submit pictures of their U.S. experiences, as well as the wonderful photos of the students who have studied abroad. (Director of Study Abroad)

Other interviewees also indicated their offices were mission-driven and provided illustrations of several current initiatives that connected back to the over-arching mission of the institution.

Funding. In the case of Kellogg University, providing appropriate resources to support the implementation of institutional and programmatic missions was not an afterthought. When Kellogg University underwent its most recent strategic plan review in 2002, it also reviewed its budget. In order to implement Goal # 4, programs promoting internationalization received appropriate allocations. The Vice Provost was very clear about the role of funding in supporting international education.

There are two or three ... factors to be decided. ... Let me mention the second thing, as it goes along with support at the top or leadership. The second thing is resources. You can't do it without money, and [our Institution] is fortunate to have both leadership, and because it has the leadership, it has the resources.

The Vice Provost gave the analysis of enriching the curriculum internationally and creating international linkages within each department. In this scenario, the institution recognized that if positions for faculty with international expertise were added, funding would need to increase. The Vice Provost also alluded to the important role of

his own official budget to help support new international projects and initiatives within Kellogg University. The Director of the Center for International Studies attributed part of his program's success to external funding, much of which came from U.S. Department of Education grants and millions of dollars in private grant funding.

Certainly the role of a clear, well-defined mission to internationalize and adequate, appropriate funding to support that mission cannot be over-emphasized at Kellogg University. These first two contributing factors were evident throughout each interview and are probably central to the success of the strategic infrastructure. However, there were two additional factors that are not well defined in the literature to date, but showed surprising yields in internationalization within Kellogg University- positional power and critical mass.

Positional Power. The third factor, positional power, clearly shaped the successful internationalization of this university. Positional power refers to the influence that can only be leveraged by having the support of key individuals at all levels of authority (including the higher administrative levels). The three individuals I interviewed all illustrated the authority by virtue of their position to promote internationalization, but it was the creation of the Vice Provost for International Affairs position that was credited as truly solidifying the institution's efforts to internationalize.

And that [creating the Vice Provost position] was a very important step forward. You know, it means that we have that position. We sit at the table. We become part of overall academic planning. You have respect. You are more likely to have resources, and you can become the advocate for the directors of the functional operations of Study Abroad etc. It makes a huge difference. So

[earlier] we mentioned [the importance of] money and leadership, ... we also then have a key in this position. You have to put... somebody in the central administration who is given the portfolio. You need a portfolio or an office. I think you put those three things together, and you're really going to move fast [toward internationalization]. The [other nearby state university], when I first came to the position, came to talk to me about how [Kellogg University] had become so international. They came over to see me... [and] said, "How did you guys do it? ... I said, "It was easy. First we created a central position, and the support, and second you give that position serious resources." (Vice Provost)

The Vice Provost facilitated coordination and collaboration among different departments and programs. The International Affairs Committee is one example of his university-wide coordination. The committee, chaired by the Vice Provost, is made up of representatives from every department, office, and program with an international focus. Its members meet monthly to share information and collaborate on new international initiatives. When a recent update of the university's website threatened to have the link for "international" removed from the homepage and given a backseat on a second or third level page, the committee rallied to keep the link in its dominate place on the home page. However, it was the Committee Chair, the Vice Provost, who was able to take the committee's petition to the appropriate authorities and persuade the university to keep the international link in its dominant place on the home page. Other examples of positional power include the role of the Assistant Dean in promoting Study Abroad among the faculty and students within various departments and programs across the institution. A lower level position would probably lack access to and credibility with other college

deans, and thus have more difficulty in program promotion and coordination. The interviewees themselves often acknowledged that resources, respect, advocacy, and credibility of internationalization at Kellogg University are all influenced by the support of various levels of leadership throughout the university.

Critical Mass. Fourthly, part of the strategic infrastructure affecting internationalization at Kellogg University was the impact of the “critical mass” the institution itself experienced by combining its historic support for internationalization with the breadth and depth of international programs currently offered. The Vice Provost alluded to the breadth of internationalism within Kellogg University.

If you look at the four traditional areas of international activity that most universities do, we are in all of them. We have study abroad, we have foreign students, we have foreign language in our studies, and we do overseas development. The other areas...now we have foreign students in our professional schools ... We have a whole bunch of new agreements in exchange with foreign universities, which is also important. And, we are continuing within the curriculum which was to integrate [internationalism].

There were several statements in the interviews that substantiate the concept of Critical Mass. In an interview with the Assistant Dean in charge of Study Abroad, she indicated that the parents and incoming freshman students come to initial Study Abroad orientation meetings aware of the institution’s program, some even indicating that the Study Abroad program was influential in their decision to attend Kellogg University.

I think it’s the overall attitude that [Kellogg] has toward study abroad. They encourage it from the top down. So from the moment a student steps on campus,

when they have a campus tour they learn that study abroad is something that is encouraged at Kellogg University... They are aware that this is a big deal at [our institution].

This established reputation of internationalism at Kellogg University was one of the reasons that recruiting students to study abroad was not as difficult as it is in many other institutions. In this sense, the current successes of internationalization efforts produce a status for the university that breeds further future success.

Another way Critical Mass influences internationalization at Kellogg University is through credibility and support. Because of the large number of international programs and initiatives currently in existence within the university, it is easier to bring new international programs on line and provide them with “built-in” credibility and support through the inertia of other international initiatives. The Director of the Center for International Studies described how his program acts as an “incubator” for newly created international programs. The Center provides new programs, such as the Center for Muslim Networks, with physical space to locate, technical support for networking, and leadership guidance for growing their program. New programs can also readily join existing support systems such the Committee for International Affairs. In the example mentioned in the preceding paragraph about the threat to remove the international link from the university homepage, the Committee provided a network for the many stakeholders to learn about the threat to remove the link, and a forum for expressing their concerns with a unified and well-represented position. The broad-based support of committee members from across departments and programs provided the necessary leverage for the leadership to support keeping the link. This type of sophisticated

networking is one outcome of the large number of international initiatives within Kellogg University and offers support for the role of Critical Mass in producing a snowball effect to further internationalization.

Institutional Culture

If the first two layers of influences, those of Historic Leadership and Strategic Infrastructure, were outcomes of deliberate institutional initiatives to internationalize, then the third and final group, titled Institutional Culture, refers to those factors that have successfully promoted internationalization within Kellogg University, but were somewhat innate or pre-existing within the university's organizational culture itself. These factors have much more impact within Kellogg University than simply advancing internationalization. They, no doubt, influence all of the university goals. Their presence has the positive, if indirect, effect of further augmenting the internationalization of Kellogg University. These organizational cultural factors include a decentralized management style and a data-driven evaluative process. Both cultural factors will be discussed as to their relevance in promoting internationalization.

Decentralized. According to the interview information, Kellogg University maintains a relatively decentralized management style. Relative to its size, the administrative layer is "somewhat thin" (based on the number of administrative positions per faculty positions). One interviewee expressed the opinion that administrators are by nature concerned more about budget and less about collaboration. Since the culture at Kellogg University supports a decentralized approach, one outcome is the faculty tends to be more collaborative. All of the interviewees mentioned that the collaborative spirit among the faculty had a positive impact on efforts to internationalize. They cited many

examples of this phenomenon. The director of Study Abroad explained how her office works with many of the various administrative offices across campus.

Admissions is the first place students run into [study abroad] here at [Kellogg], but we also work with Student Affairs; they're the people responsible for planning freshman orientation, so when first year students come to class they have a week of activities before they begin classes that indoctrinates them to life at [Kellogg], and we have a presentation during that period of time where we share the word about study abroad to incoming first year students. The Residence Life staff knows that we are available to do presentations in student halls and they work with us and we work with our returning students and do numerous presentations in student halls throughout the year. ... We work with Career Services; they provide information to us to put into our brochures about internships, opportunities and follow up experiences students can have when they return from study abroad, so that's incorporated in our [Kellogg] Study Abroad Handbook ... We work closely with Student Life ... we obviously work closely with Academic Affairs in that I'm an Academic Dean and I sit on the dean's staff, so I'm regularly representing the office in academic issues. ... Each department has a director of undergraduate studies, and we basically look at them as assistance for our office, because they're the ones that approve the credit that students get when they go overseas. If a student goes abroad and takes a History course, they have to work with a director of undergraduate studies in History to get that course approved, and so you know we work very closely with folks in the academic

realm in terms of making sure the students get full academic credit for the work they do.

Another area critical to Kellogg University's success is the collaboration that occurs among the dean's staff to provide the necessary coordination for offering academic credit for study abroad. The Vice Provost credited Kellogg University with developing this more integrated approach to internationalization. He described a more isolated approach used at other institutions that has not been as successful for implementing internationalization.

The second model is what I call "premature institutionalization." That is the model found some places, and the best example is the University of [Jefferson]. ... They set up a holding tank, or a school, or an institute, and they put all the international activities in that one administrative unit. ... It has all the area centers, it has all the development...everything is there. It's all separate from the rest of the university, so it's ... not very well integrated. So, you have one dean there competing with other deans. Now, what's happened in the meantime ... the major universities, one by one, have been converting to what I call the [Kellogg University integrated] model. Really, we were the first to do it, but we won't be the last, and maybe probably weren't even the first. (Vice Provost)

Another aspect of the decentralized management approach within Kellogg University is a climate that promotes innovation. As faculty are freed from bureaucracy, and encouraged to collaborate, new ideas often are created. One of the roles of the Center for International Studies is to listen to faculty and collaborate with them to create innovative responses to their needs. Such was the case at Kellogg University when

faculty from a variety of departments began expressing interest in global health issues. The Center responded by bring faculty together from across the institution to create a highly successful speaker series on global health issues. This example shows one opportunity for increasing internationalization in the coursework and curriculum, that was a bottom-up initiative, driven by faculty not linked directly with internationalization.

Data-based Evaluation. The second dominant component within Kellogg University's culture is a systemic approach to data-based evaluation and improvement. This was initially evident in the discussions about the institution's history of internationalization. During the 1990s, Kellogg University engaged in a series of strategic planning initiatives. First, a task force established goals for university. Next a Strategic Plan was developed, followed by an implementation plan. Part of the planning process specifically addressed the goal of internationalization and included benchmarks for specific area. Every year the university produces an annual report evaluating its progress on implementing the plan. In 2001, the entire plan was revisited and updated. The benefits of this type of strategic planning for institutional improvement and success have been well documented in the literature. Moreover, in the case of Kellogg University, this underlying framework for setting specific goals and evaluating them using data had a direct impact on their move to become "highly internationalized." In 1992, the institution established the goal of having a study abroad participation rate of 25%. By 2000, they had reached 45%. In 1992 they set out to have 4.5% of their student population be international students, and in 2000 it was 6%. In 1992, there were no foreign language requirements, but by 2000 all students were required to have four semesters of a foreign language. These accomplishments, important in and of itself, have

the added benefit of driving future decision making towards greater internationalization. The Vice Provost highlighted the importance of benchmarking the efforts to internationalize.

When I came on board here in 2001, I went back to the original plan, and I prepared a report for the trustees saying, “How did we do in ... the goals from ten years ago, from 1992 to 2002?” Every single goal was met, and all but one of them was surpassed. For example, the goal for study abroad rates in `92 was about 25%, and the [average] was 35%... I gave them the report in the meeting in October of 2002. They loved it... Then, the message came back that they wanted me now to present another report on where we go from here. So, I spent all of the last academic year... working on a new set of targets. I did that in cooperation...[with] the Provosts’ International Advisory Committee. ... I worked with the people in this committee over a year, and I worked with the administrators... and we redeveloped a comprehensive new report on the next stage.

Another example of how Kellogg University uses the data-based evaluation process to further internationalization is through student surveys. Each year, the Cooperative Institutional Research Program (CIRP) Freshman Survey is distributed across the United States to develop an annual profile of the freshman class. Institutions have the option of adding questions, unique to their institution, to gather more specific data. At Kellogg University, the question “how many students plan on studying abroad as part of their undergraduate experience?” was added to the survey. The results showed 41%. This high number is a positive reflection on the value of the institution’s Study

Abroad program and the university has emphasized it as a recruitment tool for meeting incoming students' expectations.

Model Summary

To summarize, the emerging model of factors that contribute to highly internationalized SREB institutions, based on the data analysis at Kellogg University, is a model that clusters the various influences within three layers. The first layer of influential factors describes the critical choices made by the Historic Leadership of Kellogg University when it originally instituted its internationalization. These choices include linking internationalization to the institution's primary mission and involving key players in the planning and launching of the initiative. The second layer of factors is those systems within Kellogg University's Strategic Infrastructure that currently operationalize the goal to internationalize. A clear, concise mission to internationalize, both at the institutional and programmatic levels, and adequate, appropriate funding are two vital support systems for executing internationalization. Positional power, meaning the assignment of upper-level management positions with responsibility to internationalize, and Critical Mass, meaning the combined effect of multiple international initiatives together, are two influences that were uniquely evident within Kellogg University's infrastructure. The third layer, Institutional Culture, refers to those innate cultural attributes of Kellogg University, its decentralized management and data-driven evaluative processes that inadvertently had the effect of promoting internationalization within Kellogg University.

Emerging Model of Influential Factors at Highly Internationalized Institutions

(First Draft)



CHAPTER 5

Winfrey College

Winfrey College is a small, private women's college in the Southern Regional Education Board (SREB). A liberal arts institution founded in the late 1800s, Winfrey College has a long history of international education, enrolling its first international Chinese student in 1907. One of its earlier alumnae, Pearl S. Buck, arrived at the college in 1910 from China. The history of these students impacted the college's early development by introducing perspectives, questions, and issues from an international perspective. Currently, approximately 700 undergraduate students are enrolled in Winfrey College, with approximately 13% of them from countries other than the United States. Winfrey College has a highly selective admissions process and annual tuition and fees averages approximately \$30,000 annually. The National Association for Foreign Student Affairs (NAFSA) recently ranked the college as one of only 16 institutions nation-wide to be honored for the internationalization of its campus. For the purpose of this study, Winfrey College was identified as "highly international" based on its consistently high scores: percentage of students studying abroad (45%) and percentage of international students (12%) as reported in the 2002 Open Doors Report. The Open Doors report did not indicate the number of international scholars for Winfrey College. However, this particular group of data (reporting total number rather than percentage of international faculty) disproportionately reflects the efforts of larger institutions, which have larger numbers of faculty in general.

I visited Winfrey College in the Spring of 2004 to conduct pre-arranged interviews with faculty and administrators on campus. Unlike the Kellogg University

campus, Winfrey College is located in the heart of a small southern city and the campus itself fits harmoniously with the architecture of its historical southern surroundings. The students however, as I encountered them, were markedly more diverse than their local environment, both in their ethnicity and language background. Winfrey College, although home to less than 1,000 students, seemed to represent a microcosm of the world where international students representing over 44 countries make up approximately 12% of the total student body. However, the single most notable aspect of this college was the fact that it is devoted entirely to educating women. Although there are some male faculty members, including the dean of the college, the vast majority of the people I encountered, including all of the interviewees, were women.

Data Collection

Data were collected at Winfrey College through the use of semi-structured, open-ended interviews similar to those at Kellogg University. However, some additional questions were specifically developed around themes in the data from Kellogg University, in an effort to triangulate the model of factors that was developed from previous data. For example, I added questions about the faculty members' and trustees' involvement in the strategic planning process, the leadership's role in coordinating various programs, the critical mass of programs, and cultural aspects of the institution. All of the various interviews (with the College President, the Coordinator of International Student Services, the Director of Study Abroad, the Chair of the International Studies Program) were transcribed along with the copious field notes taken before, during and after each interview.

In addition to formal interviews, two other forms of data were included in the collection process at Winfrey College. First, the president and other interviewees provided a plethora of literature, some in prepared packets, that highlighted the college's efforts to internationalize. These included the current president's inaugural address, the "Alumnae Bulletin," brochures targeting international students, and notes from a recent NAFSA conference presentation titled "Internationalizing a Small Liberal Arts College." Winfrey College's website also offered valuable resources regarding internationalization (such as mission statements, written policies, committee agendas). In addition, the International Studies Chair arranged an impromptu and informal discussion and observation session with a group of her students in a political studies class.

Data Analysis and Model Refinement

The analysis of Winfrey College's data was initiated within the model framework that was already developed from Kellogg University. First, I reviewed all interview data and coded it according to the "influential factor" that it described as well as the interviewee to whom it was attributed. Secondly, I organized all of the coded factors from all interviews into consistent groupings around the three major themes from the original model and looked for consistencies as well as aberrations. Finally, I revised the Kellogg University model by documenting the substantial amount of data from Winfrey College that supported the original model, editing out any factors that were not evident at Winfrey College (isolated issues unique to Kellogg University), and adding additional factors that appeared in the Winfrey College data and were consistent with Kellogg University data.

Historic Leadership

As was the case at Kellogg University, the impact of leadership, specifically that of President [Owens], Winfrey College's current college president, was the factor most frequently credited by the interviewees as shaping the college's high level of internationalism. The following quote from the Director of Study Abroad exemplifies the role of leadership at Winfrey. "A huge factor is the fact that we do have [leadership] support for study abroad. ... That's a huge aspect of it and I've talked to colleges and a variety of institutions and having ... top-level support is huge. [Leadership support] is a really, an important aspect." The chair of the International Studies Program described feeling like "the sky's the limit" with internationalization.

I was just at the international studies conference in Montreal, which is the big academic conference. And in talking with other places, especially from colleges of our size, we really do seem to have something special going on here – that's very impressionistic ... I feel it myself, like I had a lot of confidence that what's going on here is top notched. But also that people look at me as already, you know, as kind of a representative of internationalization. [The reason for this is] the president, the leadership around us, the strategic plan.

Unlike Kellogg University, who had first initiated efforts to internationalize over 20 years ago, this college launched its current campaign just ten years ago when President [Owens] was inaugurated. Since she was among the group I interviewed, I was able to speak directly with one of the catalysts for the initiative and directly test my previous hypothesis regarding the choices made by Historic Leadership and its impact on internationalization.

President Owens made one point consistently clear when she discussed Winfrey College's development into a highly internationalized college. This task was not accomplished simply by "a president arriving with presidential visions." She articulated the necessity for stakeholder involvement and provided an overview of how the process was developed under her tenure:

I came to the presidency from the University of [Oneida] where I had been Vice Provost for International Affairs and one of the things that interested me about this place was the possibility of really creating a really global community and building on some of the historic strength of the college. [Winfrey College] never had been self consciously international in its history but it always had internationalization in it. So, as an outsider when I read that history and saw the tradition of really international perspectives though they had never been highlighted, I thought that this is part of a culture here and this could really be put up as a strength and built upon.

Linkage to Mission. As an incoming president, President Owens first familiarized herself with the institution's history and mission. She then recognized and articulated those strands of history that were tied to the global community. For example, in her Inaugural Address "Crossing Borders, Opening Doors..." President [Owens] clearly spelled out the college's tradition of "Border-Crossing" by highlighting some of the international accomplishments of the alumna and faculty.

The College transcended cultural and political boundaries as well, grasping the importance of global understanding. From the first year of the College's existence, it taught not only Latin and Greek, but French and German as well.

Spanish was added by the turn of the century... the daughters of Methodist missionaries in Asia were frequently sent by their parents to [our college], bringing new perspectives to class discussions and the curriculum...As early as 1920, [Winfrey College's] students were traveling to Russia and North Africa...For [our college], study abroad has not been viewed as a luxury for the upper class- a kind of grand tour. No – our students go where there are problems to be solved, work to be done, issues to be discussed between themselves and their counterparts abroad.

By highlighting the international aspects of the college's history and roots during her inaugural address, President Owens set the stage for expanding on that tradition through a renewed emphasis on internationalization. This connection back to the college's mission, certainly helped strengthen the future efforts to internationalize. In addition, it expanded many global aspects of the college that, although not superficial, had been somewhat hidden strengths up to this point. The president also articulated how one of Winfrey College's more famous alumnae was instrumental in leading the college toward internationalization.

Pearl Buck...was an alumna of the college and she came here in 1910 from China. ... I think that her presence surely made a difference to a tiny college to have a Caucasian woman, an American, having spent most of her life in China. I think she introduced [international] perspectives and questions and issues and other ways of looking at things –. And, so, when you have someone of that stature who went on to fairly quickly to become a major interpreter of Asia to the west, that has [impacted our college].

Key Players. In the inaugural address, the president also alluded to the process by which the institution would eventually develop its Strategic Plan. “The College is currently engaged in a consensus-building process.” It was through this planning process that the second factor, “involving key players,” was carried out at Winfrey College.

In August of 1994, [Winfrey College] embarked on a yearlong strategic planning process designed to anticipate and meet the challenges of the twenty-first century.

The College community recognized that today’s students inhabit a world characterized by globalization of virtually every aspect of human endeavor.

(Alumnae Bulletin, Winter 1996).

The president asked every faculty member to be involved in articulating their core beliefs about the institution and identifying those aspects that could make the college distinctive. During this period, the faculty, staff, students, and administration brainstormed, analyzed and deliberated in order to identify broad strategic elements that would help them reach their goals. Next, “working groups” were formed to involve key players at every level (faculty, staff and students). The working groups analyzed the various elements generated during the brainstorming, and developed recommendations for action. Finally, before the plan was drafted, the college sponsored community discussions and gathered input on the strategies.

Subsequently, the trustees held a retreat during which they met with the working groups to discuss issues and provide feedback. The Alumnae Association was also involved in the process and collaborated in supporting the plan. Ten major goals were established. Internationalization became Goal III:

Promote the College's identity as an international and multicultural liberal arts college by diversifying the student body, faculty, and staff, expanding opportunities for international and cross-cultural experiences for students and faculty, and increasing the global dimensions of the curriculum. (The Strategic Plan: Seven years later, A report of outcomes, January 2003)

Integrated Approach. The last factor of Historic Leadership was the Integrated Approach for implementing the internationalization process. The president had articulated the relevancy of internationalism to the college mission. Key players, from the classroom to the boardroom, were involved in establishing goals and activities to internationalize. As a result, every department and college program was directly and indirectly connected to the goal of internationalization as it related to the college's overall mission. An important outcome of this connection was the way "internationalization" took on an integrated approach, touching all aspects of the college. Winfrey College's Study Abroad Director described the institution-wide support for study abroad in a manner similar to that described at Kellogg, saying that study abroad is "supported in all stages [of Winfrey College]."

This study abroad issue ... is always available for students in [their] college years. The [recruiting] counselors [distribute study abroad] information for them on the road. I usually have an annual meeting with the entire admissions staff to talk about what new programs are coming up, and what we currently have in place and what they can share with reflective duties. I always do an open house session for each of our open house programs geared towards the [new] students and their families. So again there's a lot of leverage in there on our campus. And I think

that definitely plays a role in how to succeed ... the fact that students know it's here. (Director of Study Abroad)

The Chair of the International Studies program described how internationalization was integrated in the curriculum and course work outside of international studies programs. These courses feed into the major. For example, the communication department offers a course on global communication, the philosophy department teaches environmental philosophy with a global perspective etc.

So, I think [internationalism] is probably [embedded in the curriculum]. And our admissions counselors ... go out into the world and they're all over the place. I mean sometimes I laugh at how it was that "Kikinya," the [student] from Kenya, how she actually knew about us. And I think it says everything about the global reach of our admissions network and scholarship opportunities to international students. So, [internationalism] must filter down to practically all areas of college operations to actually make that work. (Chair of International Studies)

President Owens described the necessity for this approach. "You can't leave it to the International Faculty, it must involve every discipline." In fact, she coined a phrase "It [internationalism] is in the drinking water here" that was often repeated by various faculty and staff during interviews at Winfrey College. The implication of this phrase, and the outcome of this approach is that internationalization did not occur as an isolated event, but was implemented throughout the college and by various programs and stakeholders. It is a pervasive characteristic of Winfrey College.

Strategic Infrastructure

Immediately following the development of the strategic plan that resulted in launching the internationalization initiative, Winfrey College began implementing the day-to-day activities that would flesh out the plan. The strategic infrastructure that was put into place showed hallmarks such as appropriate funding, positional power, critical mass, and an evaluative process, similar to those at work in Kellogg University.

Funding. The first person I interviewed at Winfrey College, the Faculty Chair of the International Studies program, gave some indication of the level of fiscal support provided for international programs when responding to my question about why Winfrey College had become highly internationalized.

I guess the best way to say it is that whenever I look to enhance the [International Studies] program, whether it be through the simulation of the United Nations and the model European Union in the fall... or [when] I want to take the students out somewhere on a trip, or I myself [want] to go to two conferences on internationalism... I've never been told "no." And in fact, I feel that that's a very important reason that I teach here at the college is that college really seems to put its money where its mouth is on the issues of internationalization and internationalism. Program enhancement has always been an open door for me and I feel as though the college has been very encouraging and supportive. (Chair of International Studies)

The college president was also quick to point out that, after planning, funding became a top priority for operationalizing the goal of internationalization. Part of the funding came from a donation to the school.

Once the priorities of the plan were established, I had the good fortune of receiving an unrestricted bequest... and this was a matter of months after the plan was completed. What I decided to do with that money was actually two things. One was to create an endowed visiting international professorship called “Quillian Professorship” named after a former president...and then there’s a piece of that bequest that also covers faculty student seminars abroad. (President)

Through the college’s Quillian Visiting International Professorship, scholars from India, Croatia, Nigeria, China, Guyana and Egypt have taught courses in their area of expertise during yearlong residencies at Winfrey College. The scholars lead faculty development colloquia, give college and community presentations, as well as develop personal relationships with students and other faculty. In addition to the Quillian program, other programs’ successes were also linked to their budgets, including over two million dollars in endowment moneys for study abroad.

We have raised funding and have... right now almost two million dollars in endowed funding. The interest supports students’ study abroad so that anybody can study abroad regardless of her financial circumstances. And she needs to put forward the proposal for her particular study abroad experience and how that fits within her entire academic program and a faculty panel reviews those proposals. Financial Aid office does an analysis of need and that’s how those decisions are made. (President)

There are additional dollars to support annual funding for faculty and student seminars abroad, and external funding (from sources such as the Freeman Foundation) to

increase the number of international faculty. The college also has a full-time grants officer who assists faculty in finding funding for their international initiatives.

The fact that we have a grant person, ... full-time to help the college and professors get grants – not just international, but anything else. But the fact that she's there and helping people to get [funding]... helps them get grants to go to Guatemala and study economics there or whatever [contributes to internationalization]. (Coordinator of International Student Services)

Positional Power. Winfrey College also provides an exemplary and somewhat unique glimpse of the impact of Positional Power on internationalization. In this case, the highest-level administrator with vision and responsibility for internationalization is the president of the college. With her positional power, President Owens can be made aware of programmatic needs, such as staffing, and can address those needs appropriately.

[After] President Owens came ... we [hired] an international program's advisor, someone put into place [who] could handle study abroad... So we had a huge growth spurt in terms of a number of affiliated programs. And that's also directly related to President Owens's interest in the internationalization of the organization. (Director of Study Abroad)

The president's previous experience as Vice Provost of International Affairs at [Oneida] University, and as a Fulbright scholar, brought her extensive preparation and expertise in international education. This expertise directly impacts her decision-making and is credited as an enormous asset to internationalization by the faculty.

When I go to conferences I learn that this support [from the president] is not there in many schools. You almost take it for granted here but it's not until I come back here that you can really appreciate it ... The fact that she, herself, was a Fulbright scholar in Korea and Japan and her job in Oneida certainly set the stage for that. But living [abroad], there's nothing like living in a foreign culture. She wasn't a tourist as many of our professors have been. (Coordinator of International Student Services)

Although international programs and initiatives are overseen directly by the various programmatic directors, the presidential position offers a unique vantage for guiding the process throughout the institution.

[Internationalization] is relatively loosely [coordinated] and I kind of keep an eye on the whole thing. I'm sitting in a place where I can do that. Everybody else has a slightly different angle on it and so I keep track of the international students and where they're from, how many students are sent abroad and where they're going. [I'm aware of] what the departments are doing and how many are sponsoring programs. It's my job to kind of see that that happens. And quite a lot of it is happening. (President).

Indeed, the influence of having the institutional leader's vision and support for internationalization was often cited by other interviewees as one of the primary influences on their individual program success.

I think we're pretty successful because of the support from President Owens.

Without her support, it's very clear that it [would not work]. The support has to come from the [president's] office and that's been the truth. It's not just financial

but, for example, having [someone to do full-time] international recruiting... that won't happen without the president's support. The scholarships for our international students that are out there came through her support. And pushing this idea for the study abroad... that allows our international students to study abroad in the summer... There's funding that allows that and now they've developed a new leadership program that has a global component. Again, I really strongly think that it's from President Owens because she's pushed this through the development for fund raising. (Coordinator of International Student Services)

Critical Mass. In addition to funding and positional power, Winfrey College mirrors Kellogg University's approach to developing a wide variety of initiatives that create a critical mass, which drives internationalization institution-wide. Within the basic criteria of Open Doors data used to identify "highly internationalized" for this study, Winfrey College excelled at having a high percentage of international students (13%), and a high percentage of students studying abroad (45%). Beyond that, it offers a wide variety of programs designed to enhance internationalization. The president provided a brief summary of the many programs and their united impact on the campus.

On campus we have a number of programs. One of them, it's called Pan World, is an organization for both American [and] international students. ... They do what they call Pan World coffee houses. ... We have a program called Mix. That stands for Multicultural, Intercultural Exchange and it does what many institutions do but goes a little further. It pairs American roommates with international roommates. But in addition to just doing that ... we structure a series of seminars all year long on cross-cultural communication and we'll bring

[guest speakers to discuss] nonverbal communication and various topics across cultural areas. What else? ... We have very active participation in the model United Nations and in model European Union, and send delegations... We have a very strong American culture program here ... and we do a pretty good job of placing that in a global context... We're looking at the diversity of America and ... at immigration of America, but you're also looking at America's role as a super power and what those responsibilities are and what those complexities are. So, we try to put every discipline in some sort of global perspective. (President).

Although the idea "critical mass" was implemented into the model based on data from Kellogg University, the Chair of the International Studies program was the first person to use the phrase "critical mass" verbatim. She alluded to the support that the various programs provide for each other as a "critical mass."

I think there are enough people on campus whose orientation is already [internationalization] and then our work carries it out. You can't force this sort of thing – either you are committed to it or you're not. You're passionate about it or you're not. And I really think that there's enough of us here – [international program coordinators], faculty members, students sort of like a critical mass.

(Chair of International Studies)

Another benefit for the institution provided through the wide variety of such programs, is the constant positive public relations provided for the institution and visibility for its internationalization efforts. The Winfrey Alumnae Bulletin recently reported on the successful Pan World coffee house and the performances by students of various cultural and ethnic backgrounds writing that the performances "spoke the

international language of music and movement. The most striking element was not the differences, but rather the similarities, between the way the women expressed themselves” (*Alumnae Bulletin*, Fall/Winter 2003). As news of Winfrey College’s various international programs infiltrates publications, award ceremonies, and conference presentations, the momentum generated impacts not only the initiative that was recognized, but also other institutional international programs and the college’s reputation as a whole. “Now, [internationalization] is pretty obvious. I no longer have to make the case for it. And so that has certainly helped...” (President). Thus, the “critical mass” approach generates a snowball effect of enhancing internationalization.

Evaluative Process. The last layer of Strategic Infrastructure, imbedded in the internationalization process at Winfrey College is the evaluative aspect of measuring internationalization objectives. Most of this data was derived, not from interviews, but from the document “The Strategic Plan: Seven Years Later, A Report of Outcomes.” In this report, the college outlines its achievements in relationship to several goals impacting internationalization. Like Kellogg University, two of the goals listed in Winfrey’s strategic plan specifically address international education; Goal II speaks to diversity and community and Goal III internationalization. Also like Kellogg, the great strides made toward reaching these goals have been documented using specific benchmarks and activities.

In 1994-95, the percentage of U.S. minority students was 11%; today that number is 13%, exceeding the strategic indicator goal. Over the same time period, our international student population has grown from 5% to 13%, with a record 47 countries, 27 foreign languages, and five major world religions currently

represented... Strategies to meet our diversity goal included full-time international and minority student recruiters in admissions, increased use of the College web-site, and marketing materials that accurately convey the diversity of the College and our desire to maintain a highly diverse and international community. ... In 1994-95, there were no full-time minority faculty at Winfrey College, and two international faculty. Today there are five full-time minority faculty and a full-time endowed visiting minority professorship. There are also three full-time international faculty and a full-time endowed visiting international position. (The Strategic Plan: Seven Years Later, A Report of Outcomes)

With respect to the college's third goal, internationalization, the report on the strategic plan notes the following accomplishments: visiting scholars from India, Croatia, Nigeria, China, Guyana, and Egypt taught various classes enrolled with more than 400 students; the college received a Freeman Foundation grant to host international scholars from India and China; more than 40% of Winfrey College students studied abroad.

Individual program representatives also evaluate and report on their successes in internationalization. The criteria for the evaluation come directly from the college mission statement. When asked about the evaluation process of the International Studies program, the chair gave this explanation:

I clipped here from the mission statement of the college. "Graduates will be able to work collaboratively on problem solving exercises within International Studies." And I looked at the my senior seminar and the students' ability to conceptualize and write in that format on UN Security Counsel resolutions... I was looking at the extent to which they were able to know the background of, and

understand the politics of, and then represent each of them one particular country that was in real life sitting on the security counsel.

Assessing fiscal allocations for internationalization is another part of Winfrey College's evaluative efforts. Currently, the trustees are involved in a strategic planning process for reviewing how gifts, net student fee revenue, as well as investments, are used to support college goals. Coordinators of international programs such as study abroad are being asked to evaluate their programs' fiscal needs. "One of the things that I've been working on is the financial analysis of current programs and then looking at pros and cons in working with the third party [study abroad] provider to give us more options..." (Director of Study Abroad)

Institutional Culture

Several unique aspects of Winfrey College were cited as cultural phenomena that accelerated its efforts to internationalize. The president and staff credited the collaborative spirit of the school with enhancing the opportunities for the leaders of various international initiatives to interact.

Collaboration. "The other nice part of my [study abroad] job is that we have faculty coordinators and so there's faculty involvement and that's extremely important in terms of the study abroad program" (Director of Study Abroad). Although a collaborative culture may not be an entirely unique trait, Winfrey College's collaboration was strengthened by its small size. For example, at Winfrey College almost the entire student body lives in the college's residential halls. This high residential rate (98%), means students have more time to interact among themselves in the dining halls and residential also, and thus, are also afforded more time to communicate and interact with

the many international students. The opportunities to collaborate go beyond the classroom and potentially impact the entire environment of Winfrey College.

Academic Rigor. A second factor that emerged throughout the interviews at Winfrey College was the potential connection between internationalization and the culture of academic rigor. The president proposed the connection when asked about the culture of the institution. “Part of [the culture] is the academic emphasis. ... It’s a very demanding place ... so there’s a social context in which respect for other people is really important. I think that environment was essential to [internationalization]” (President).

The students themselves also credited the college’s culture of academic rigor with promoting, or at least raising receptivity towards internationalism at the college. Specifically, students indicated the culture of the student body was “full of high-achievers... and highly intellectual.” The highly selective admissions process, as well as the academic rigor required by Winfrey College, may result in a student body that is both more experienced with differing cultures and opinions, and accustomed to thinking “outside of the box.” Winfrey College students suggested that this could be indicative of why students were more willing to participate in unique international initiatives such as study abroad.

Before this factor could be tentatively added to the model, I had to check for its applicability at the first institution. Kellogg University, although comparatively a much larger university than Winfrey, fits the same general demographic type of a small, private SREB institution, and has similarly high academic standards and a highly selective admissions process. In this way, academic rigor could be viewed as consistent within both institutions and a potential cultural factor to be added to the model.

Model Summary

The model of Factors Influencing Highly International SREB Institutions was initially drafted based on data from Kellogg University. Subsequently, data from Winfrey College was used to refine the model and introduced the following changes. The basic design of the original model did not change. The factors consistently evolved around three themes (Historic Leadership, Strategic Infrastructure, and Institutional Culture), each of which consisted of multiple factors, creating “layers” of influence. However, there were substantial revisions within each of the three categories.

Within Historic Leadership, new data substantiated the previous factors (linking internationalism to institutional mission and involving key players). In addition, the choice made by the administration at Winfrey College to avoid isolating the mandate for internationalism to only certain “international” departments or offices, highlighted another aspect of historic leadership, the integrated approach. This method, upon review, was also the approach used at Kellogg University. Thus, a third factor, an integrated approach for encouraging internationalism within all institutional aspects, was added to the model’s Historic Leadership layer.

The Strategic Infrastructure of Winfrey College, the ways in which institutions operationalize internationalization, was also very similar to the original model, with a few exceptions. First, upon review of the original model, it was clear that “Mission” (which was originally included in the Historic Leadership layer and the Strategic Infrastructure layer) was not truly a structural component. It was therefore removed from Strategic Infrastructure. The next three factors within Strategic Infrastructure were substantiated. Providing adequate and stable funding allocations was a key aspect of

internationalization at both Kellogg and Winfrey. Winfrey College also epitomized the importance of Positional Power, and the impact it can have on internationalization, through the leadership and validation that the institution's president provided to the process. Critical Mass was supported by data from Winfrey College, which included multiple international programs and initiatives. At this college, the sum of the critical mass of campus internationalization had significant bearing on the institution's reputation and the momentum to internationalize.

Additionally, a new factor, data-driven evaluation, was added to the Strategic Infrastructure layer. A review of interviews from both institutions supported the strategic emphasis placed on the evaluative process for assessing internationalization.

Interviewees at both institutions consistently reported their progress using concrete measurable objectives that had been benchmarked throughout their initiative.

The third layer, Institutional Culture, refers to the interaction between the college's innate culture and the process of internationalization. In this case, faculty and staff at Winfrey College substantiated the importance of a collaborative institutional culture in promoting internationalization. In addition, another factor was proposed that may be central to the culture issue. Both the president and the students at Winfrey College suggested that the academic rigor of the college and its highly selective admissions process promoted a student body that was both informed and open-minded and therein more open to international initiatives. Since the culture at Kellogg was also academically rigorous and seemed to support the hypothesis, this aspect was added to the model as a potential cultural element.

Finally, some faculty suggested that the institution's size, in this case small, had a direct impact on both its ability to collaborate and to mobilize under new initiatives. The demographics of both Kellogg University and Winfrey, are somewhat similar, particularly the small size. Thus, the third institution will be deliberately selected as an institution with different demographics.

Emerging Model of Influential Factors at Highly Internationalized Institutions

(Second Draft)



CHAPTER 6

Southern State University

Southern State University is a large, public institution in the Southern Regional Education Board (SREB). Chartered in 1789, the university can trace its roots to the same year that George Washington became president of the new nation. Within that historical context, the university expanded to its current level, and now serves approximately 27,000 students each semester. The site of nearly 250 permanent buildings, and workplace of more than 2,200 full-time faculty members, the Alumni Association has counted more than 200,000 living alumni. The university has been recognized for the quality of its graduate programs, a superb library system that contains more than four million volumes, and five health schools. Its academic offerings span more than one hundred fields in liberal arts, basic sciences, and high-tech academic programs.

I visited Southern State University late in the Spring of 2004 to conduct pre-arranged interviews with faculty and administrators on campus. Unlike either of the first two institutions, the vastness of Southern State University's campus made it basically indistinguishable from the surrounding city. The resulting impressions were more those of a southern city than a campus. The administrative and classroom buildings were divided by city blocks, and linked by busy roads and crowded parking meters. The timing of the visit, one week after the end of the spring semester, also resulted in another difference in the general appearance and atmosphere of the campus. Most of the people on campus appeared to be adults and there was a striking absence of young "typical" college students.

Southern State University was identified for this study primarily because of its high ranking in the Open Door 2002 Survey data. Southern State University had over 1,000 foreign scholars, the second highest number in the SREB, and 21% of its student body participated in study abroad reported in 2002. However, unlike Kellogg and Winfrey, Southern State University did not achieve a high rating in the third category “percentage of international students,” reporting only 5% of its student body as international. Possible reasons for this discrepancy will be discussed later in the chapter.

In addition to meeting the demographic criteria, Southern State University was identified based on its dissimilarity to the first two institutions. The parameters of grounded theory, which suggest that each institution be chosen and analyzed for its differing characteristics, were particularly important in the identification of the third institution. In reviewing the first two institutions, they were markedly similar in two areas of their demographic makeup. Both institutions are relatively small (Kellogg University serves about 7,000 undergraduates; Winfrey College about 700) and both are private. In an attempt to minimize the impact of these two demographical factors on the model, and provide a true case study for triangulation, it was clear that these criteria should also be addressed in the identification process. The third institution should preferably be both large (Research I or higher) and public. Southern State University is a public, Research I, land-grant university serving approximately 27,000 students, and thus provided an information rich setting with dissimilar demographic properties to collect data and refine the model.

Data Collection

Data were collected at Southern State University through semi-structured, open-ended interviews similar to those conducted at Kellogg and Winfrey. Additional questions were specifically developed to expand on themes that emerged from Winfrey College. All of the various interviews (with the Vice Provost, the Executive Director of the Center for International Studies, and the Director of the International Development program) were transcribed along with the copious field notes taken before, during and after each interview. Other data sources included literature, some in prepared packets, that highlighted the college's efforts to internationalize. These included a copy of the university's Academic Plan, several volumes of the Center for International Studies' quarterly magazine "Global View," brochures from the K-12 International Outreach Program, the Study Abroad Guide, a document outlining the institution's history, and a chart that illustrates the institution's diverse demographic make up.

Data Analysis and Model Refinement

The analysis of Southern State University's data followed the pattern established at the first two institutions with some additional steps added to finalize the model. All interview data were reviewed and coded according to the "influential factor" that it described as well as the interviewee to whom it was attributed. The coded factors were organized into consistent groupings around the three major themes from the original model and compared for consistencies as well as aberrations. The model was refined and strengthened through documenting the data from Southern State University that supported both the original framework of three layers of influence and most of the various factors within them.

In the final revision, several aspects of the model must be acknowledged as tentative. First, the influence of similar institutional size (small) and governance (private versus public) of the first two institutions, were variables that could not be controlled for in a study of this size. Second, some factors, although seemingly consistent within data from Winfrey and Kellogg, were not determined to have an unequivocal influence when viewed through the lens of the Southern State University. Finally, Southern State University has only relatively recently initiated the push to become highly internationalized, and, as previously noted, has not reached the same degree of internationalization as the first two institutions. Therefore, the following review of influential factors describes how certain factors were present within Southern State University, but to a lesser degree than previously seen in the first two institutions, while other factors were only starting to emerge as influential within this particular university.

Historic Leadership

In looking at the role of leadership in the internationalization of Southern State University, it was clear that history was, in this case, still in the making. Unlike Kellogg and Winfrey, where certain historical leaders could be identified as initiating or impacting the process ten or twenty years ago, this university had only recently launched an Academic Plan that committed to institution-wide internationalization. The Vice Provost of Internationalization (appointed less than one year ago) provided the following background on the state's history as it affects this public institution.

I think [our state] traditionally has not been a real international place. It had been little affected by the so-called new immigration at the turn of the century. Unlike WV, for example, which got a lot of Italians and Slavs ... working in coalmines,

... [this state] did not have a large foreign-born population. ... In fact, I think it was the lowest in the country as of 1970. And we didn't have a lot of foreign direct investment nor was there much in the way of international presence until, I'd say, the creation of research triangle park in the late 50's and early 60's. When it started to grow, and then increasingly I think with the globalization movements of the last 20 years, economically we've begun to see [internationalization] for the first time. In terms of many of our bell-weather industries, they began to really collapse as a result of international competition. Textiles, furniture industries, which had been two of our leading industries, are really in decline because of international competition. And then we've had this very pronounced and large influx of Hispanic migrants over the last 20 years.

The 1999 report, "USIC and the Internationalization of [Southern State University]," provides a brief synopsis of Southern State University's prior efforts at internationalization. The report credits the 1990 Ford Foundation's International Pre-dissertation Fellowship Program and Southern State University's ineligibility to meet application requirements as a "wake-up call to the administration" that the institution needed to focus on its efforts to internationalize. In 1993, the University Center for International Studies was established "to provide leadership and a unified presence to the international activities and efforts at Southern State University" (USIC and the Internationalization of [Southern State University], 1999). From 1993 to 1998, the USIC garnered over \$4 million dollars in outside funding and was recognized as one of 12 National Resource Centers in the United States. However, the 1999 report, which proposes several internationalization initiatives as priorities for the pending capital

campaign, also concedes that internationalization at Southern State University had not yet reached adequate levels. “Despite some advances in individual fields, Southern State University is behind many of its peers in conceiving and pursuing a cohesive, unified vision of its international mission” (USIC and the Internationalization of [Southern State University], 1999).

The executive summary of the report declared the university was, in 1999, at a “pivotal point in its development as an institution,” and if it intended to “maintain and improve its ranking as a leading public research university, [Southern State University] needs to implement a strategic, coordinated internationalization program” (USIC and the Internationalization of [Southern State University], 1999). In retrospect, 1999 was the starting point in this university’s efforts to become “highly international.”

In the rather brief period from 1999 to 2004, Southern State University underwent some remarkable changes. Notably, in July 2003, the university released its Academic Plan, “which serves as an initial five-year roadmap to guide and shape future decision-making for the entire university, as well as the school, college, center, institute, and individual unit levels.” The plan lists six priorities. Internationalization (the goal to “extend global presence, research, and teaching”) was one of the six. Thus, although Historic Leadership within Southern State University was, at the time of these interviews, still somewhat in the early developmental phase, the key factors prevalent among the leadership at the first two institutions were already beginning to be implemented here.

Link to Mission. Perhaps the strongest consistency found among leadership decision-making in all three institutions was the choice to link internationalization to the over-arching aims and mission of the institution. This connection was most clearly

articulated in the sixth goal of the 2003 Academic Plan. The Vice Provost explained the rationale behind the university's decision to internationalize. "It was a goal of this university to ... become the leading public research university. ... I think we realized that in order to do so, we would really have to internationalize to a greater degree" (Vice Provost).

The relationship between greater internationalization and a higher profile for the university was a link that all three schools in this study were very cognizant of. However, the director of development for international studies at Southern State most clearly articulated this association.

I think from the administration point of view, [internationalization] is also seen as what's going to distinguish the great universities in the future. And if you want to be a great university you have to be international. One of the quotes that our former director talked about was Thomas Jefferson and the discussion of the UVA, that in order to be a great regional university, you had to be a national university. And we've extrapolated from that, and we aspire to be, and we are a great national university. Increasingly, that means that you are also an international university and that you can't sit on the sidelines with that particular effort and still aspire to be in the top rank of higher education.

One result of the institution's recent emphasis on internationalization in its academic plan was the guidance it provided to individual program activities. For example, the director of the Center for International Studies described, how after the plan was implemented, the center became more focused in its initiatives. "For [past] projects ... we embraced every opportunity until we had a real array of things going on... But as

you progress, you become more institutionalized ... so, we're picking our grants a little bit more selectively" (Director of Center for International Programs). In this way, as the institution uses internationalization to help define its mission, the individual programs use it to help define their day-to-day operations.

In addition to raising the school's international profile and providing clearer parameters for international programs, Southern State University (and the other institutions) also made the connection between internationalization and its existing service mission. The institution recognized the need within its mission to respond to the globalization occurring in society at large. The responses include making international applications within various programs and departments and articulating some system-wide initiatives. One specific example cited by the Vice Provost was the "Hispanicization" of the state. He proposed that a Southern State initiative called "Globalization in America" may be useful to coordinate an approach to some of the various needs and related issues.

We have lots of expertise in a variety of areas that might help both to adjust and accommodate this. ... For example, a Title VI center that's very good in Latin American studies. We have a terrific public health med school component that is working on Hispanic health issues and we study migrant health issues. The law school, particularly our poverty law and legal clinic, is very much involved in Hispanic labor issues. We have a great deal of resources and expertise on this kind of Hispanic and Latin American culture all over this campus. ... Our education school has lots of people involved in ... bilingual education, education of migrants, these kinds of issues. ... Under our "Globalization in the American" initiative, if I could bring all these people to the table, all of them are doing

individual programs, and say “Let’s mount a full scale initiative in improving the material lives of these immigrants and trying to help the state take advantage of this new immigration pool rather than see it as just a problem.” I think this is something that we could be putting all these things together and have a really global kind of an approach to the Hispanicization of [our state] that can be of some value to the state. So this would be like one pan-university kind of effort.

Key Players. As was the case at Kellogg and Winfrey, Southern State University initiated its effort to internationalize through a planning process. In this case, it was an Academic plan (rather than a Strategic Plan) but the development process followed a similar pattern of involving key players, both faculty and student, to flesh out the plan and develop measures for implementation.

Internationalization was put in as one of our six themes in the [Academic] Plan. Also, at the same time ... we put into place our first new general education curriculum since the early eighties. And the faculty and student working groups that put this together, about 155 people involved in this initiative, recommended a much enhanced role for international content in the curriculum all the way through and across the curriculum – enhanced language requirements, a big push on experiential education and study abroad activities, much more international content in the general education requirements, and ... requirements for cross cultural analysis... (Vice Provost)

Although key players were involved in the process of revising the curriculum to enhance internationalization, there were also other individuals involved in the process of bringing the institution to its current level. It is here that Southern State University

differs from the previous two smaller institutions. References to the role of many “median-level” players were made during several interviews. “There is at Southern State University ... a level of staff and administrators that are passionate about international education ... sort of a “median level” of administrators ... we can push a lot of things forward (Director of Development for International Studies). The Vice Provost also acknowledged the individuals that have been instrumental in slowly creating the impetus for internationalization throughout Southern State University.

There are key individuals ... not a lot of them, but there are some of these kind of zealous people who are so committed to international work that they are willing to, at considerable personal sacrifice, ... push and promote these programs anyway. ... I’ve met some people who ... are willing to do the heavy lifting that it will take to ramp up our international posture and that’s been a positive undertaking – trying to work with some of them.

Students and alumni were also credited with helping to drive the “bottom-up” internationalization of Southern State University.

Well, to give you an example our International Studies major grew out of an interdisciplinary major that was basically petitioned by a committee to do a whole range of different things as long as it was interdisciplinary ... And so ... over the years ... this curriculum and international studies major sort of rapidly grew because of student interest. It wasn’t a department. It didn’t have faculty lines associated with it... Actually the numbers have grown. It’s now the 8th largest major, [with] over 450 majors in it. So it continues to be a highly popular major but for many many years, it was all driven by student interest. It wasn’t that

someone in ... our administrative building said here's a real opportunity to do something. It was only after it became, you know, a 300-pound guerilla that the attention was really focused on it. ...Another thing ... that has been important is that alumni have gotten very actively involved. One person in particular ... ended up pledging a 10 million dollar gift to the university for international programs specifically focused on Asia. So what I have observed at [our institution] is that it's been more of the sort of these outside pressures forcing in. (Director of Development for International Studies)

In a large university, the entire structure, including the administrative organization, is much more complex. By comparison, Winfrey College, with a student body of 700 undergraduates, requires fewer layers of administrators, and thus, the university president plays a strong role in the internationalization of Winfrey College. At Southern State University, on the other hand, the upper level "key players" are much less directly involved on any one particular university initiative. The director of the university's international center alluded to this as a possible reason for the "mid-level" players involvement at Southern State University. "We would like to hear more from [the Trustees]. ... But they have a lot on their minds. Their awareness of the international ... has come from ... the foot soldiers, the faculty, administrators, ... and department chairs." (Director of Center for International Programs)

Institutional size notwithstanding, the leadership at Southern State University, having only recently begun the push to internationalize, acknowledged the need for more "upper-level" key player involvement. The vice provost indicated that there is an

ongoing effort to accomplish this, specifically in order to create a truly institution-wide approach to internationalization.

I spent the first couple of months in this position meeting with each of the deans trying to see how I can help facilitate their work, tried to convince them that while we are trying to create better information flows and coordination among facilities and rationalize what we're doing internationally... That I wasn't in here to break their programs or to reallocate money away from them to... There's kind of a confidence-building period and I think we succeeded to a considerable extent, created some boards consisting of people recommended by them from their units to try to develop policies along with me. But the history of the institution had been, ... lot of ad hoc individual level international program building but also a series of silos or whatever you want to call them on campus in which everyone was doing his or her own thing.

Integrated Approach. The third and final factor of Historic Leadership refers to the manner in which internationalism is employed throughout the institution. Kellogg and Winfrey, both of which followed a more direct "top-down" leadership approach to internationalism, rather than isolating the initiative within one particular department or center, chose to disperse responsibility for implementation throughout the institution. Internationalism within Southern State University, as was previously noted, appeared to be developing from the "bottom-up," with individual pockets of internationalism bubbling up and (until the Vice Provost appointment) the absence of any single coordinating person, unit or agency. The Vice Provost described this process.

[Internationalization] occurred largely in a kind of ad hoc individual way by entrepreneurial faculty members as a natural outgrowth of some departmental research or teaching initiatives. But it wasn't in any way a strategic priority where the central administration said that we were going to create incentives for this or disincentives if you don't get involved. So then, what we found when we went around the campus is that we have a huge number of study abroad programs, of international linkages and partnerships, of lots of contract work abroad of many types of faculty agreements and alliances of other universities, lots of people doing international development work. But it was done on an individual faculty member to individual faculty member basis, department-to-department or maybe at most school-to-school, but not the entire university level.

Beyond the programs with specific international focus that had developed on their own, some individual departments, and entire schools, had already also recognized the relevancy of internationalization. This was particularly evident within the Health Affairs programs of Southern State University.

The interesting thing I found, however, ... that once we began looking, we found that we had already internationalized to a considerable degree especially in Health Affairs. It's very interesting – you've got this great public health school and a tremendous med school that's involved in all kinds of global health issues, lots of HIV intervention programs in Africa, South Asia, East Asia – lots of work on tuberculosis, malaria, sleeping sickness ... and it's all over campus but no one had a good idea of what's been going on. (Vice Provost)

In this way, internationalism within Southern State University, had, on its own, developed in the very dispersed manner that the first two institutions had sought to create purposefully. However, it had historically lacked the coordination necessary for a truly institution-wide “Integrated Approach”. This united purposefulness, more recognizable in the top-down approach, was one of the primary goals of the new Vice Provost. “What we’re hoping to do is lay out some attractive scenarios for broad university interests and see if we can get some large scale programs going that have international portions to them” (Vice Provost).

In a large university, such as Southern State University, the leadership indicated it was difficult to integrate internationalism throughout the many layers, and pre-existing programs. However, coordinated integration was recognized as an important factor for minimizing the “silo” aspect and creating an institutional approach for internationalization.

One of the things that I’ve been doing is try to establish strategic partnerships with a number of key institutions abroad, one of which was the National University in Singapore where we had developed some programs within individual colleges. Our School of Dentistry and the College of Arts and Sciences have both had strong relationships there and I went to [meet with] the provost there in February... I’ve done a lot of work in Singapore and know these people pretty well. But he said what we should really do is develop a linkage between our two business schools. I came back here and we already had an institutional linkage between the two business schools but the provost at the National University of Singapore didn’t know about it and I didn’t know about it here

either. I read the proposal and never read that. And that's kind of, I think, at most complex and large institutions there are these kinds of problems. (Vice Provost)

Strategic Infrastructure

Although the three-layered “model” and various factors for internationalization were developed based on data from Kellogg and Winfrey, the interviewees at Southern State also used some of the exact terminology from the model, such as “infrastructure” and “critical mass”, independent of any prompts from the researcher. Within the second layer of the model, “Strategic Infrastructure,” most of the factors previously described as necessary for operationalizing internationalization were strongly consistent at Southern State.

Funding. Interviewees at Southern State University repeated the assertion of previous institutions, that appropriate funding was a primary factor in developing adequate infrastructure to support international initiatives. One strategy, particularly effective at Southern State, was the hiring of a development officer to focus on raising funds specifically for internationalization.

What we've seen at [Southern State University] is a development for the first time of a true infrastructure to handle [internationalization]. Where you have real professionals, full-time people that are dedicated to this effort. It's not sort of an after thought – it's become a priority. And, parcel to that, of course, is getting resources for all of this. And that's sort of where I came in. So having a full-time development officer who does nothing but think about international, you know, raising resources for international programs is central to that. And when I started, we were about ready to begin the planning for a very big capital campaign to raise

now 1.8 billion dollars for the university. Both the college and [the Center for International Programs] wanted international programs to become a priority in that. The way that you do that in a large institution like this is that you hire your own development officer who can help navigate the internal bureaucracy as far as university advancement and also be the person who's out on the road trying to find supporters for the programs. (Director of Development for International Studies)

In addition to outside funding sources, institutional funding has been recently focused to target internationalization. Following the 2003 development of the institution-wide Academic Plan, all departmental budget requests are required to address goals of the plan, including how the request speaks to the prioritization of internationalization. "We just did ... budget hearings in the provost's office [where] people talked about their needs. ... Every unit on campus was instructed to ... describe how [it is] contributing to the academic priorities; one of which is internationalization" (Vice Provost). At Southern State all budgetary decisions are impacted by the unit's complicity with the goal of internationalization. Units must demonstrate that they are trying explicitly and self consciously to internationalize.

Positional Power. Another striking similarity in the infrastructure within Kellogg, Winfrey, and Southern State, was the existence of a high-level administrative position dedicated to internationalization. At Southern State University, the Vice Provost for International Affairs position was created in 2003 with a goal to coordinate an institution-wide approach, and improve and increase the current initiatives.

My mandate in this position is ... to create a pan-university strategy for internationalization and to ... establish other mechanisms of control and [coordination] of the vast number of international activities that have been going on here in a ...decentralized way for many years. (Vice Provost)

The director of the Center for International Programs indicated his support for the creation of the vice provost position. “We felt that we needed... someone close to the corridors of power in the provost office. So we lobbied for quite a few years for something like an associate [or vice] provost.” The director of development described how important the position was to the long-term planning for internationalization.

The vice provost [position] ... was very much done through people on my level identifying what the need was and benchmarking with other institutions and saying, “Our peers have this person who’s at a very senior post we need to have something like that too.” Because we’re a large university, there’s a lot of coordination that needs to be done that’s not being done. No one’s looking at the big picture, the strategic vision, [saying] “Where do we want to be in five years? Where do we want to be in ten years?” And I can sit here and think about it all day in the basement of this building but the point is, I don’t have the authority or responsibility to make it happen and neither do a lot of my colleagues.

The Vice Provost indicated several advantages that the position provides to the internationalization efforts. These include having direct access to upper-level administrators, “I’m right next door to the provost’s office” (Vice Provost), as well as deans and other key players “You know, I can go to any of the deans now and talk and offer something” (Vice Provost). The opportunity to collaborate with deans was

particularly important at Southern State University in helping to minimize some of “center silo approach” that had developed. Most of the international initiatives, as alluded to previously, had developed from a bottom-up approach. The Vice Provost position was able to bridge departmental boundaries and offer a university-wide perspective that was welcomed by other international groups. “They [academic deans] ... tend to see things in silos. They may well be supportive of things that are international that are going on within their silo but have very little interest in the other silos” (Director of Center for International Programs).

In addition to access to key players, persuasive power was also listed as an advantage for providing a more institutional approach. The development of a system-wide database for cataloging the various international initiatives within Southern State University was cited as an example.

We have for about five years ... tried to create a couple of databases online [to catalog] ... a lot of faculty international expertise. ... We would send [faculty] these questionnaires. [Faculty] would fill them out and then they're searchable. They're online so if [someone wants to know] if anyone at Southern State University has an interest in education in Nigeria, you could punch it in, and all the people that have those particular interests [would be listed]. ... We did have very good coverage [distributing the survey] and people tried— but the response rate wasn't very high. We did it again last fall and I wrote it with [the Provost], saying, “The Vice Provost for International Affairs is asking you to fill out...” and oddly, we got a much greater response... and now it's much more useful because it's closer to global coverage on this thing rather than having five people

on the category, you might have 35, because people are responding. ... Basically whenever we're using provost's stationery ... [it] helps across the board, getting people to not only take you seriously but to understand that there are consequences if they don't respond. (Vice Provost)

Critical Mass. The third factor of Strategic Infrastructure found at all three institutions, in addition to funding and positional power, was a broad menu of international initiatives, with enough people and supports to create a critical mass of internationalization throughout the institution. In the case of Southern State University, which historically lacked a centrally coordinated effort, the various programmatic initiatives developed independently eventually driving the system to higher levels of internationalization. The vice provost alluded to a few of the programmatic successes occurring throughout the university including sending the more students abroad (nearly one-third of undergraduates) than many public research universities, sending a lot of students as Rhodes Scholars and to work in the Peace Corps, and the second highest number of foreign scholars in the SREB.

A wide array of programs also provides more positive public relations opportunities for the internationalization initiative. Southern State University, like Kellogg and Winfrey, has begun to capitalize on these individual public relations opportunities to the benefit of the overall institution.

It was good that this reporter came in because it ... made [people] sit and ... articulate what we're going to do... So, I very much see the strategic value of some of these things. I mean they bring recognition and that's great but it can

also help... bring about institutional change. And large institutions ... don't change very easily. (Director of Development for International Studies)

Since Southern State University is a large campus, it is plausible that the critical mass of various international programs can be explained by the nature of the institution's size. However, there were certain areas within Southern State University that had not yet developed the expected level of critical mass. For example, the three categories of Open Doors data used to identify "highly internationalized" for this study identified a weakness. Comments by the Vice Provost highlight Southern State University's high level of internationalization in two of the categories (21% study abroad participation and over 1000 foreign scholars), but, as previously noted, the university lacked a strong showing in percentage of international students (approximately 5%). On the other hand, the low percentage of international students can be partially explained by a state policy that sets strict limits on the number of out-of-state (including international) students it may enroll.

The agreement [with the legislature] is that we will focus to a much greater extent than many of our peers on the state's residents alone. And this means, for example, that by university policy and the Board of Governor's in the whole state system... 82% of our incoming freshmen have to be from in-state, which means that only 18% can be out of state, or international. So they have impeded our intake of international undergraduates pretty dramatically and that's hurt our campus's cosmopolitan international look. (Vice Provost)

In addition to legislative restraints, representatives of Southern State University acknowledged the need to increase the school's support for certain programmatic

initiatives in order to leverage better university-wide internationalization. He specifically noted some infrastructure problems, (such as low numbers of international students) and the lack of dedicated housing for international students.

Data-driven Evaluation. The use of specific data-driven objectives to evaluate international initiatives was the least evident aspect of Strategic Infrastructure within Southern State University. None of the interviewees cited specific increases in areas, such as percentage of students studying abroad, or number of international faculty, as was common at previous institutions. When questioned, the relatively short history of the initiative at Southern State University (the Vice Provost was appointed less than one year ago) was reported as a factor for its lack of evaluative data. Currently, the leadership is attempting to collect baseline data in various areas, so that benchmarks (and future evaluations of them) can be established.

[Evaluating internationalization] is one of the things that we are hoping to create. We have some ... dedicated positions ... trying to develop baseline information to benchmark our progress over time. One of the things that we did this spring was ... a series of surveys, for various constituencies regarding international needs and what we might call international realities right now on campus. We polled graduating seniors, graduate and professional students, and faculty ... and we're now analyzing the results. We're doing another one ... in the fall with next year seniors and entering freshmen and then we will trace them over four years. ... Hopefully, [we can] see what's going on with our international posture. What are their needs? What are their goals? What level of internationalization, cosmopolitan views they have coming in and then maybe going out? So that will

give us some information. We're also developing a set of metrics on to evaluate our international presence and ... our internationalization efforts in general. ... We have a bunch of metrics that we are kind of gathering the information on, so that we will be able to both look at our peers and look at ourselves internally over time. (Vice Provost)

Culture

In reviewing the data of Kellogg and Winfrey institutions, there was a clear a set of factors that could not be directly attributed to leadership decisions or structures that were implemented, but that clearly supported the internationalization of the institutions. In both of the first two institutions, there was a culture of collaboration and of academic rigor. The demographics of Southern State University, a large, Research II, state institution, offered a different perspective on the model's cultural layer. First, as previously noted, there were many references in the various interview data to a "silo" approach, or isolationism within Southern State University, the exact opposite of a collaborative culture. Second, Southern State University, by its very nature as a public university, is structured by the legislature to provide access to as much of the state's population as possible. Academic rigor, although emphasized within Southern State University, did not have a dominant role in the institutional culture, as was present at the first two private institutions.

Collaboration. What then, if any, are the cultural factors that enhance and enable internationalization efforts within Southern State University? Here again, the bottom-up approach of internationalization at this university provides a different perspective. Although interviewees indicated the overall institutional culture had been somewhat

territorial, there were many references to the collaboration that occurred among “mid-level” key players. When asked about the key factors that had influenced internationalization at the university, the director of the Center for International Programs had the following response.

The passion and the interest of faculty and their willingness to work together [contributed to internationalization]. I think that internationally oriented research is always going to go on. The question is can the institution harness that institutionally so that the research is more than just that individual person writing that individual article in that journal. In fact, that research, in collaboration with that faculty member and this unit, just might spawn a program or center that might spawn a curriculum and development and [result in] more courses being taught.

The collaboration between the Latin American Studies, European Studies and Slavic Studies programs, which are all within the College of Arts and Sciences, and the university’s Center for International Studies was cited as an example of the collaborative spirit. “We write grants together; we meet regularly to share information, to do open houses, and joint award programs. We realize that collaboration is productive” (Director of Center for International Programs). The sharing of resources, amongst the international staff in particular, was also credited as impacting development efforts.

[My] colleague ... who is executive director of the [Business] Institute, I can call her up and say, “I need you to do so and so.” And she will say, “Yes.”... All I have to do is ask. And so, for instance, the Chinese ambassador is planning on coming here in the fall. And I want to put together a program that would involve

not only the academic community but also the business community and government leaders. It would be difficult, if not impossible, for me to plan every event for that. And so what I need is a collaborator over at the business school ...we could all be interested in that. She said, sure, we'll do it, which means that they'll pay for it. And so on that level, there is an amazing amount of cooperation. (Director of Development for International Studies)

Model Summary

In conclusion, the model for internationalization was revised a third time, based on the data from Southern State University. All three institutions showed various degrees of consistency in the three “layers” of influence on the initiative to internationalize. The Historic Leadership at all three institutions made similar decisions as they launched their internationalization efforts; to link the international initiative to the mission of the institution and to involve key players in the “roll-out.” However, at Southern State, the initiative’s integration across the campus was not a specific leadership decision, but rather an outgrowth of the school’s prior lack of central coordination. Thus, the “Integrated Approach” factor is noted in the final model as having not received full theoretical saturation (+/-).

All three schools used a similar Strategic Infrastructure to operationalize the initiative by providing appropriate funding, an upper-level administrative post, and a shotgun approach of supporting a multitude of programs that provide a “critical mass” to enable the internationalization of the institution. Southern State did not yet employ a data-driven evaluative system for measuring internationalization, so this factor was also delineated as not having achieved theoretical saturation (+/-).

Finally, interviewees from all three institutions cited a Culture of Collaboration, specifically among the faculty working to internationalize, as a crucial element of the college or university that most contributed to their high level of success. Although academic rigor was cited previously as a cultural element that promoted Kellogg and Winfrey's efforts to internationalize, data at Southern State University did not support the relationship consistently. It is possible that this element may have a positive effect on internationalization, but further research is required in this area. Therefore, it was removed from the Cultural layer.

There were also some important differences among the three institutions that are reflected in the model as "Demographic" variables. The Demographic arrow was added to the model to describe some potential variables that may influence the three layers. Among these variables is the impact of time. The first two institutions had a longer historical timeframe from which their initiatives evolved. Although certain individual international programs within Southern State University have long, rich histories, it had only recently prioritized internationalization as an institution.

The approach to internationalization is another variable. At Kellogg and Winfrey there was strong upper-level leadership support, providing a top-down approach for internationalization. Whereas at Southern State, faculty, students, alumni, and "mid-level" players had created a "bottom-up" drive for internationalizing.

Finally, institutional size and governance are included as potentially impacting the leadership, infrastructure, and even cultural factors of the model. Within the schools included in the study, Kellogg and Winfrey are both small (fewer than 8,000 students) and private. Southern State University is a large public institution, serving nearly 27,000

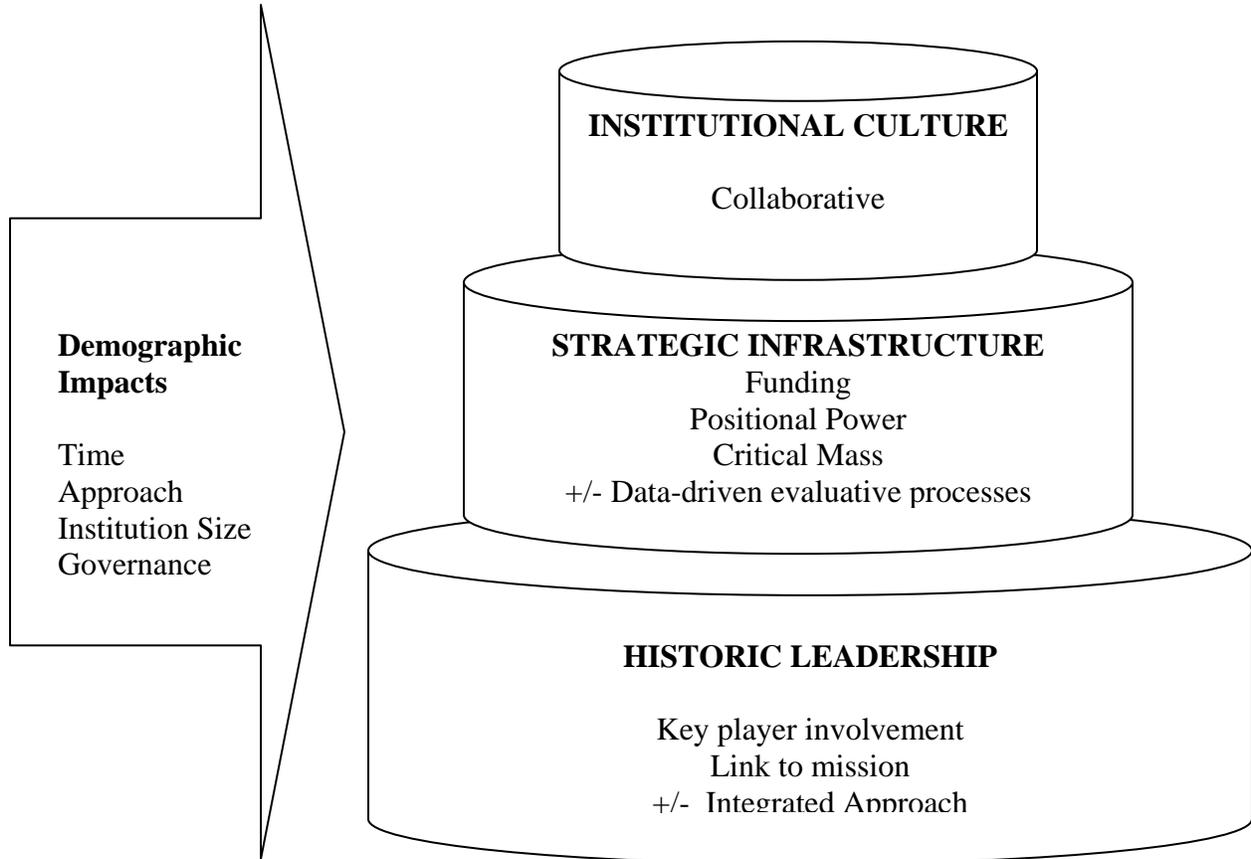
students, of whom at least 87% are in-state residents. The director of development at Southern State University described how the size and governance of his school provided an important perspective for the emerging model.

[Internationalization developed at Southern State] from the ground up and I do think it's a very different path and that's why what [Southern State University] is going to do is important. Because when you look at institutions that are really on the cutting edge and are doing international work, they tend to be private. They tend to be well endowed. There are not really many good examples of the large public research university out there. I've always felt like there's a place for a [Southern State University] at that table and I think there's a real hunger for leadership in that area. (Director of Development for International Studies)

The triangulation that occurred through the analysis of Southern State's data substantiated many of the previously developed elements of the model. It showed how the factors were, or were not, impacted by varying demographic variables of the institution. The third draft of the model, although still an emerging model, is supported by data from three entirely different institutions and historical perspectives of achieving high levels of institutional internationalization.

Emerging Model of Influential Factors at Highly Internationalized Institutions

(Third Draft)



Chapter 7

Theoretical Analysis of the Model

This study examined the factors that contributed to internationalization within three highly internationalized colleges and universities in the Southern Regional Education Board (SREB). The resulting model suggests three layers of enabling factors at the institutional level that are vital to the success of international education programs. This chapter examines the relationship between the model's potential enablers and the research base on internationalization and Systems Theory. It concludes with a summary of the model's strengths and limitations, and provides an overview of the study's implications for higher education.

The Model and International Education

A review of the literature in chapter two demonstrates that there is very little, if any, literature that describes a process or "model" for systemically internationalizing an institution. However, some individual aspects of the model proposed in this study are well-substantiated in the literature. Specifically, the literature highlights the importance of leadership, mission, and funding. Leadership is one of the main components of the model. For example, the model indicates that Historic Leadership is an important factor in internationalization. This supports earlier studies that assert the need for institutional leadership to be interested, involved, and committed to internationalization (Adams, 1979; Arum, 1987b, Lambert, 1989; Pickert & Turlington, 1992). The effect of Positional Power (in this study that of the Vice Provost or President) reinforces other studies' claims that the creation of an upper-level position responsible for

internationalization gives a clear indication of the prominence of internationalization among leadership's goals (Groennings, 1983).

Other factors of the model that are consistent with previous research include the critical outcomes of leadership support such as procedures, statements, and goals that address internationalization (Barker, 1995; Kelleher, 1991) and the involvement of faculty and staff in implementation (Klasek, 1992; Smuckler & Sommers, 1988). The model describes these phenomena as Linkage to Mission and Key Player Involvement. The International Association of Universities highly recommends that institutional leaders “develop clear institutional internationalization policies and programs” (International Association of Universities, 2000, p.2). In this study all three institutions had clearly delineated their desired internationalization in Strategic or Academic Plans. These policies provided a directive for institution-wide implementation and a mandate for establishing committees to involve key individuals. This substantiates Klasek's (1992) assertion that pervasive faculty and staff involvement in the design and planning of the incremental changes of internationalization is critical to the success of the change process.

Finally, there has been much research to support the key role of funding for implementing international education initiatives (Cooper, 1988; Marden & Engerman, 1992; Pickert & Turlington, 1992; Smuckler & Sommers, 1988). The model also reflects the importance of funding as one of the primary means for providing a Strategic Infrastructure for internationalization. In this study, interviewees at all three institutions cited their school's adequate and appropriate funding as one of the factors that led to their

high levels of success in internationalization. Chapters four through six describe in detail the various ways in which the three institutions funded their international programs.

It is noteworthy that some factors described in the model have received very little attention in prior research. Specifically, there appears to be a dearth of literature concerning issues of Critical Mass and Collaborative Culture. Perhaps this is because both Critical Mass and Collaborative Culture may be somewhat difficult to measure in quantitative terms. Therefore, a future qualitative study may be appropriate to further study these areas. In addition, future studies may choose to examine other highly international institutions with different demographic variables and provide further triangulation for the emerging model.

The Model as a System

In order to conduct a thorough theoretical analysis, the model must also be analyzed in relation to its role in the organizational process. Specifically, the model is examined here from the perspective of the main tenets of Systems Theory (Littlejohn, 1983). The following discussion highlights the alignment of the main tenets (italicized) with the various components of the model (in parentheses).

Interchange with the environment (Link to Mission, Key Players)

The concept of interchange implies that a system does not exist in isolation, but interacts with its surrounding environment. Katz and Kahn (1978) noted “social organizations [education institutions] are flagrantly open systems in that the input of energies and the conversion output into further energetic input consist of transactions between the organization and its environment” (p.20). One of the means by which an institution interacts with its environment is by evaluating and reacting to societal needs.

In this study, the leadership within all three institutions responded to the globalization of their (external) communities' environments through efforts to internationalize their institutions. Specifically, they recognized and articulated purposeful linkages between the institution's mission and its international initiatives. The interchange continued within the (internal) environment of each institution, as leadership sought to involve key players such as faculty, trustees, etc., garnering their buy-in and responding to their input during the development of the international initiative.

Interdependent (Integrated Approach, Collaboration)

Interdependence infers that the components of the system are all interrelated to one another. The model highlights the Integrated Approach for internationalizing that was utilized at all three institutions to ensure that it was a comprehensive, university-wide process. Data from this study indicate that the efforts to internationalize one area (e.g., the study abroad program) interacted with other areas (e.g., the international students). Interviewees specifically cited the Collaborative culture and interdependent nature of the various initiatives as a factor that contributed to the overall success of internationalization.

Balance (Funding)

Balance has been described as the process by which systems “engage in regulation and control as well as the management of its position in the supra system” (Littlejohn, 1983). Any institution must regulate and stabilize both itself and its internal initiatives. Providing adequate and appropriate funding that supports the mandate to internationalize was an important aspect of the balance that all three highly international institutions maintained. The model illustrates that successful institutions balance the

competing fiscal needs of the various components of internationalization while maintaining other functions of the institution's mission. Often this required creatively seeking funding sources (such as grants, endowments etc.). The successful systems were attentive to fiscal needs and requirements. They were responsive with appropriated funding. As a result, they achieved balanced, stable, institution-wide growth.

Hierarchy (Positional Power)

Hierarchy illustrates the impact on a system caused by its interaction with higher order systems and sub-systems. Just as any complex system is a sub-system of a higher system, the individual institution is influenced by its higher order systems as well as its sub-systems. The model describes how successful institutions used Positional Power to promote internationalization. Individuals in the vice provost or president position can have influence on both higher order systems (e.g., the board) as well as sub-systems (e.g., the deans, the faculty). The successful systems utilized their institution's hierarchical structures to positively impact their efforts to internationalize.

Non-summative (Critical Mass)

Non-summative implies that the system is more than the sum of its individual components combined. The conception that internationalizing a campus requires more than successfully implementing the various isolated components points to the non-summative aspect of Systems Theory (Littlejohn, 1983). The model portrays the non-summative effect that highly international institutions achieved by developing a Critical Mass of international initiatives. When viewed as a whole, these programs generated more positive public relations, were effective in collective bargaining, and produced an

overall added-value to the systems' internationalization that had greater influence than each individual initiative in isolation.

Self-regulation and control (Data-based Evaluation)

Self-regulation is the process by which each component or subsystem within the system is constantly interacting, receiving input, producing output, and responding to feedback in order to maintain control. Higher education systems are generally goal oriented and respond to feedback to meet their goals. Within the model, the process whereby institutions benchmarked and evaluated their efforts to internationalize highlights the ability of these systems to engage in self-regulation. Institutions with longer histories in internationalization were able to report specific starting points, intermediate goals, an evaluation period, and the establishment of new goals for all of the areas in which they successfully internationalized. In this way, they monitored, controlled, and self-regulated the internationalization process.

Change and Adaptability (Collaborative Culture)

Change and adaptability refer to the flexibility of the system to grow and evolve. Internationalization is obviously a process of change for institutional systems. Successful institutions transitioned to accommodate this new goal. The model cites the Collaborative Culture as a factor that contributes to an institution's ability to adapt to internationalization. Interviewees reported high levels of collaboration among the various stake-holders, specifically the faculty and staff coordinating the various international programs.

Equifinality (Demographic Factors)

Equifinality is the principle that asserts there are many different ways, or processes by which systems can achieve the same goal (Littlejohn, 1983). The model was developed based on data from three very different institutions that provided similar themes and factors of influence. However, external to those three layers, the model also suggests that various demographic variables impact the process in different ways. The length of time in which the international initiative had evolved within the three institutions varied from more than twenty years to less than five. The approach used by the institution also differed across the three, in some cases deliberately top-down, in others more loosely and from the bottom-up. The size of the institution played an important role in its process, with smaller institutions maintaining certain advantages, while the larger university enjoyed others. Finally, the governance of the institution, whether private or public, had a strong influence on the process, impacting everything from the number of international students the Southern State University could enroll to the financial endowment of its programs. In this way, the demographic variables articulate the equifinality of the process of internationalization.

By articulating the correspondence of the model's components with the main tenets of Systems Theory, this study provides an analysis of internationalization at highly successful institutions within the Systems framework. The resulting "micro-level" theory describes the manner in which various factors contribute to internationalization. The broader "macro-level" theory, specifically Systems Theory, expands the analysis to examine internationalization as an organizational process. Systems Theory views an organization as a "complex set of interdependent parts that interact to adapt to the

constantly changing environment to achieve its goal” (Kreps, 1990). In the case of the three schools included in this study, each institution coordinated its interdependent parts and adapted to its environment and thereby developed a successful system for achieving the goal of internationalization.

The Model’s Limitations and Strengths

This study is constrained by the stricture of its grounded theory design. Only three institutions within the Southern Regional Education Board (SREB) were selected as participants. Thus, the ability to generalize the results of the study will be limited. First, the implications may be limited only to those institutions with similar demographic characteristics such as location and size. Second, although the parameters of grounded theory suggest that each institution be purposefully chosen and analyzed for its differing characteristics, all three institutions differ greatly from each other and are not therefore representative of a “type” of SREB institution. Although the model’s “Demographic Impact” component attempts to illustrate the influence that various demographic characteristics, such as institution size and governance, may have on internationalization, the degree and outcome of the demographic influence is not described in the study, and is impossible to generalize.

Furthermore, as noted in the last chapter, the three institutions, although carefully identified for maximum variation case selection, were not adequate for full theoretical saturation in every aspect of the model. The literature outlining grounded theory allows for limiting sampling to two or three participants (Robinson, 1951). However, in order for theoretical saturation to occur, the data gathered from the second and third institutions’ interviews should have provided sufficient clarification, redefinition, and

reformulation of the model so as to eliminate all other possible factors (Corbin & Strauss, 1990). In this case, some factors had a high degree of consistency in all three schools and were thus recognized as having theoretical saturation. However, other factors described in the model were evident, but not as highly consistent, at the third and final institution. For example, Southern State University had not yet implemented an “Integrated Approach” for internationalizing the entire campus, or “Data-driven Evaluative Processes” to measure internationalization in the same degree or depth that they had been used at Kellogg and Winfrey.

Some interviewees, with limited institutional history, may have been limited in their knowledge of the full spectrum of factors that are and have been influential in their institution’s internationalization. In addition, not every administrator or faculty/staff member with insight into the process of internationalization was available for interviews due to conflicting schedules, time restraints or the on-going responsibilities of their regular job duties. Finally, the process of interviewing alone may have failed to identify some legitimate influential factors. The interview questions, although piloted in trial interviews, possibly neglected to uncover certain information and were limited by the time constraints of the actual interviews.

Having acknowledged the study’s limitations because of the small number of cases, it is important to note that the study’s strengths lie in the depth of information gathered at each of the institutions. These data include lengthy narratives from multiple sources, numerous historic pamphlets and written documents, and personal observations and descriptions that illustrate the internationalization process at each of the three institutions. By employing data from a variety of sources within the institution

(administrators, program staff, and faculty), and a myriad of methods (interviews, field notes, document analysis), the perceived “reality” was strengthened and triangulated (Denzin, 1978; Goetz & LeCompte, 1984).

It is also important to recognize the congruence of data within these three schools. Many aspects of the model are strikingly consistent at all three schools. Some of the terminology used in the model such as “critical mass,” although lacking a strong research base, was cited verbatim by interviewees at different institutions as contributing to their internationalization. Thus each layer and influential factor described in the model is established or “grounded” in specific citations or examples from each school that demonstrate its impact. The spiraling effect of the data on the model’s development provides a rich description of the process similarities at three very different institutions.

Although several aspects of the model did not achieve theoretical saturation, these areas did emerge as potential areas of study for future research. In addition, the processes for the entire study and the development of the emerging model were meticulously documented in Chapters Four, Five, and Six. These chapters describe in detail the strategies that were employed to ensure consistency between the results of the study and the data collected (Merriam, 1995). They also provide a thorough “audit trail” (Guba & Lincoln, 1981) for ensuring the study could be easily replicated in further studies and expanded to additional sites.

Implications for Higher Education

As articulated in Chapter One, the need for colleges and universities to internationalize is a basic premise of this study. The most obvious implications of this study hold true for institutions that recognize this necessity and are committed to

becoming highly international. However, not every institution may choose to attain the same level of internationalization. By examining the rationale cited by the three schools, other institutions may also discover implications. For example, this study has relevance for small or mid-level colleges, such as Winfrey College, looking for a niche market to distinguish themselves and their graduates. Or, as both Kellogg and Southern State officials recognized, larger universities that are aiming to go from regional prominence to international recognition, must develop their campuses internationally and they will find the model applicable to them in that process.

The study is relevant not only to different types of institutions, but also for institutions at varying degrees in the internationalization process. How to initiate or launch internationalization is addressed in the “Historic Leadership” layer of the model. For institutions just preparing to embark on a plan to internationalize, the enablers described in the model are vitally relevant. They provide a snapshot of the leadership decisions and conditions that proved effective in launching a successful international initiative at three different institutions. The processes or organizational structures that are useful for operationalizing the initiative are described in the second layer of the model, “Strategic Infrastructure.” For institutions that are committed to internationalization, but have not yet fully implemented their goals, examining the model’s Strategic Infrastructure may provide useful insights for taking their own initiative to the next level. The Strategic Infrastructure factors describe some of the logistical, day-to-day activities that operationalize internationalization and help explain how Kellogg, Winfrey, and Southern State took the initial efforts to internationalize beyond the realm of a grand goal and implemented them to develop their current highly effective initiative. Finally, in

researching the three schools, there appeared to be a set of factors that clearly supported the internationalization of the institution, but that could not be directly attributed to leadership decisions or outcomes. These factors are related directly to the Culture of the Institution. For those institutions considering internationalization, but not yet committed to it as a major mission, this cluster provides an analysis of one area of institutional culture that is suggested by the model to enhance an effort to internationalize.

The study outlines the process (decisions made by Historic Leadership), the structures for operationalization (Strategic Infrastructure), and the approach (Collaborative Culture) that was effective at three different highly international institutions. It also suggests some demographic factors that may influence the internationalization initiative. All of these factors may have particular relevance for leaders in various positions in higher education.

Presidents and trustees, the leaders most often responsible for formalizing internationalization initiatives, may want to consider the Historic Leadership factors such as Linkage to Mission and Key Player Involvement. The positive impact of both of these concepts is consistent with prior studies (Barker, 1995; Kelleher, 1991; Klasek, 1992; Smuckler & Sommers, 1988). Presidents may want to make the connection between internationalization efforts and their school's mission. Specifically, they can articulate how efforts to increase the number of students studying abroad, and the number of international students and faculty will provide more international visibility for the university, and thereby give it a strategic advantage. By capitalizing on the positive outcomes of internationalization, leaders can promote it as more than a goal in and of itself, but as a process that would assist the institution in achieving its other major

missions and thereby create a seamless approach for internationalization with the institution's core mission.

Beyond articulating the rationale, presidents and trustees often have access to key individuals outside the institution, such as government and business leaders, as well as within, such as other trustees or key faculty and staff. By facilitating their involvement in the process, presidents can help the initiative garner valuable input and stakeholder support, particularly crucial in its early development stage.

Associate (or vice) provosts responsible for internationalization should consider the factors described in the Strategic Infrastructure component of the model. First, they may want to evaluate how and if they are using their own Positional Power to advance goals for institution-wide internationalization (Groennings, 1983). Are they facilitating opportunities for collaboration, such as committee work, among the various international program leaders? Are they building connections between isolated initiatives to create a unified, systemic approach? Are they collecting data for benchmarking programmatic successes? And are they regularly reporting those successes to institutional leaders and the public to showcase the institution's successes? Second, vice provosts may evaluate the funding for internationalization to ensure that the initiative is receiving adequate and appropriate funding streams. They may also consider the number and types of initiatives currently functioning in their school to determine if the system has a balanced approach in all areas (i.e., international students and faculty, study abroad, and an internationalized curriculum) and is utilizing a critical mass approach for internationalization.

International program leaders (such as study abroad directors or faculty leaders in international studies) may benefit from employing three factors described in the model.

First, by employing data-driven evaluative processes within their individual programs, these leaders can inform the school's internationalization process of its current strengths, weaknesses (Davies, 1992), and assist in the benchmarking process for future goals (Schechter, 1993). These data can also be used to impact the funding process and assure that international mandates are supported with adequate resources and produce meaningful, measurable outcomes that correlate with the institution's goals for internationalization.

Second, by joining forces with other international programs and program leaders, the initiatives can develop a critical mass approach to addressing system-wide internationalization. Such a cohort can provide political muscle when advocating for internationalization and provide a higher degree of visibility for international efforts across the campus.

Finally, by cultivating collaboration and increased faculty participation, program leaders may discover an effective tool for increasing program success (Arpan, Folks, Kwok, 1993; Council on International Educational Exchange, 1988; Goodwin & Nacht, 1988; Sarathy, 1990). By fostering a truly collaborative approach to internationalizing their campus, individual faculty and directors may find they are able to enhance their efficiency and effectiveness both programmatically and as a system. Collaboration among programs can reduce internal redundancy, provide necessary support to new or fledgling initiatives, and enhance existing ones through activities such as co-sponsoring joint initiatives. This study suggests that such efforts often result in increased support for international programs and positively impact the overall success of institutional internationalization.

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Appendix A

Sample Letter Requesting Interviews

Dear _____:

My name is Amelia Davis Courts and I am currently enrolled in the Leadership Studies Ed.D. program at West Virginia University. I am conducting research for my dissertation on International Education among Southern Regional Education Board (SREB) institutions. For my study, I reviewed data collected through the Open Doors program of the Institute for International Education and have identified your institution, _____, to be among the highest internationalized institutions in the SREB.

In order to more fully examine the factors that both contribute to, and constrain, internationalization among SREB institutions, I would like to conduct interviews among the faculty and staff at _____. I would greatly appreciate your assistance in referring me to at least three people to interview. Preferably, I could speak with individuals that meet the following criteria:

- ◆ Institutional history – at least one person who can speak to the historical process of _____ efforts in international education
- ◆ Direct involvement with international education programs - at least one person who is directly involved with a program such as: study abroad, international students, internationalizing the curriculum etc.
- ◆ Leadership position – at least one person who can speak about the role of international education in the university's mission

I want to assure you that the privacy of the interviewees will be protected and that real names of individuals and institutions will not be used in any oral or written presentation of the research. The interviews will be audiotaped and the tapes will be destroyed upon completion of the study. Participation is voluntary. Interviewees do not have to answer every question and may freely withdraw from the study at anytime.

I would greatly appreciate if you could provide me (via email xxxxx or phone call xxxxxxxx) the names and contact information of the individuals within your institution whom could best speak to the above issues. Also, I would like to review any institutional brochures/literature that you feel are relevant to my topic. Thank you in advance for your cooperation.

Sincerely,

Amelia Davis Courts

Appendix B

Initial Coding of Influential Factors from Interviews from Kellogg University		
<p>1. Director of Study Abroad</p> <p>Access to Authority (Positional Power) Data-based evaluation Mission Defined Limited Driving activities Programmatic Mission related to Institutional Mission Clarity Access to Authority (Positional Power) Collaboration Interoffice Meaningful Application of IE Leadership Institutional Mission Success breeds Success Data-based evaluation Access to Authority Collaboration Credibility Infrastructure Collaboration Data-based evaluation Flexibility within Institution Collaboration within IE Information sharing Strategic planning Access to Authority Positional Power Institution Mission Collaboration</p>	<p>2. Vice Provost</p> <p>Vision Strong Leadership Trustees, President, Provost Resources Private may have more resources Motivation- serving the institution Leadership Strategic Planning Trustee Support Data-based evaluation Accountability Infrastructure Funding Institutional Culture Flexibility Collaborative Culture Funding Access to Authority- Positional Power</p>	<p>3. Director of International Center</p> <p>Funding – self supporting (grants etc.) Collaborative faculty Culture of Innovation Private has more resources/flexibility Funding Access to Authority (Positional Power) Flexibility Mission Driven</p>

AMELIA DAVIS COURTS

PO Box 445
Culloden, WV 25510
aadavis@access.k12.wv.us

PROFILE

Internationally and locally experienced, dedicated professional. Organized and committed to achieving educational excellence with innovative and creative initiative. Consistently demonstrates the competence needed to accomplish new and challenging tasks.

EXPERIENCE

ESL/INTERNATIONAL SCHOOL EXECUTIVE DIRECTOR 1997 -PRESENT
West Virginia Department of Education Charleston, WV
Guided restructuring of state-wide international education programs, including the implementation of professional development for Title III, ESL, and multicultural education

ESL INSTRUCTOR/ACADEMIC COORDINATOR 1996-1997
Marshall University Huntington, WV
Provided ESL instruction in multi-level academic preparatory classes. Coordinated evening program for adults. Planned class schedules, text selection and advertisement.

ENGLISH PROFESSOR 1993-1995
Gansu Education College Gansu, CHINA
Taught English studies curriculum for teacher preparatory classes. Developed and implemented educational materials in on-site lectures to rural schools throughout the province.

ENGLISH TEACHER, PROGRAM COORDINATOR 1989-1992
TEAM English School Takamatsu, JAPAN
Instructed multi-level students in oral communication classes. Supervised all curriculum development, teacher training, class scheduling, and student placement for several schools.

EDUCATION

DOCTORATE OF EDUCATION 2004
West Virginia University Morgantown, WV

MASTER OF ARTS IN EDUCATION 1993
Regent University Virginia Beach, VA

BACHELOR OF SCIENCE IN ANTHROPOLOGY 1988
Liberty University Lynchburg, VA

SKILLS

FLUENT IN JAPANESE AND CHINESE LANGUAGES.