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Internationalization Plans for American Higher Education Institutions:

The Development and Monitoring of Written Commitments to Internationalization

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Abstract

Numerous studies have been conducted on the internationalization of higher education institutions. Yet, little is known about the prevalence and types of institutional plans for internationalization. Even less is known about how higher education institutions develop and monitor internationalization plans. This paper presents the results of a study conducted with the American Council on Education's Center for International Initiatives on the types, prevalence, development, implementation, and monitoring of internationalization plans at 31 Association of International Education Administrator (AIEA) institutions. Internationalization plans were found in existence at 71% of the institutions. Based on analysis of these internationalization plans, an internationalization plan typology was developed that can be used by internationalization administrators and scholars in designing and assessing internationalization plans that address specific institutional needs. The findings also revealed numerous enabling and hindering factors in the development, implementation, and monitoring of internationalization plans. Finally, the study identified five major benefits and functions of internationalization plans: An internationalization plan serves as a (a) roadmap for internationalization, (b) tool to develop buy-in, (c) tool for explanation of the meaning and goals of internationalization, (d) tool for interdisciplinary collaboration, and (e) tool for fundraising.

Planning for the Internationalization of U.S. Higher Education Institutions:

The Development and Monitoring of Written Commitments to Internationalization

During the past several decades, internationalization has emerged as a frequently heralded goal of American higher education. In response to a myriad of studies (American Council on Education, 1997, 2000; Council on International Educational Exchange, 1988; Lambert, 1989, 1990; Siaya & Hayward, 2001) that found American students tended to lack global awareness, second language fluency, and international knowledge of their major disciplines, higher education leaders have called for the internationalization of their campuses. Internationalization, as defined by a leading scholar in the field Jane Knight (1994), is a “process of integrating an international/intercultural dimension into the teaching, research, and service functions of their institutions” (p. 21). Despite institutional leaders’ rhetoric in support of internationalization, many of their articulated goals have not been operationalized (Ellingboe, 1999; Knight, 1994; Schoorman, 1997, 1999; Wood, 1990). According to Knight’s (1994) internationalization cycle, institutions must develop plans for internationalization before operationalization can occur. The purpose of this study was to understand the types, prevalence, development, and monitoring of internationalization plans at 31 institutions.

Context

Though internationalization is a prevalent goal of contemporary higher education institutions, significant barriers to its institutionalization exist. In particular, as internationalization is a process of institutional transformation, it requires a paradigm shift in order to alter institutional stakeholders’ assumptions, values, and practices from a myopic, inward focus to a broader international perspective (Ellingboe, 1999; Knight, 1994; Schoorman, 1997; Wood, 1990). Yet, a significant obstacle to internationalization is the “normal structure of

the university itself, which neither lends itself to sweeping reform nor centralized coordination” (Aigner, Nelson, & Stimpfl, 1992, p. 9). As higher education institutions are comprised of organizational structures with diverse academic and co-curricular units operating individually under a large institutional umbrella, developing consensus for internationalization is challenging. Moreover, as a process of institutional transformation, internationalization requires leaders not only to “access all levels up and down the institutional hierarchy but also up and down the vertical silos in which many units are located” (Mestenhauser & Ellingboe, 2005, p. 43). Consequently, the complexities embedded in the management of institutional transformation serve as substantial barriers to internationalization.

In order to address these barriers to internationalization, an institution’s development of an internationalization plan is one of several critical “points of leverage” (Scott, 1992, p. 7). Internationalization plans are higher education institutions’ written commitments to internationalization, including goals, mission statements, implementation plans, allocated resources, and/or timelines (Moats-Gallagher, 2004; Paige, 2005; Scott, 1992; Urquiola-Audas, 1989). Concrete, comprehensive internationalization plans are important, as they “stimulate and inform” (Knight, 1994, p. 8) institutional stakeholders’ responses. An internationalization plan “provides direction, expresses institutional commitment, and may define the particular goals of internationalization for an institution” (Knight, 1994, p. 8). In so doing, internationalization plans take account of the complexity of internationalization by focusing institutional energies on overcoming endogenous barriers to institutional change. Further, internationalization plans help to mobilize the support and involvement of faculty throughout the institution, which is a key factor in implementation (Aigner et al., 1992; Audas, 1990; Harari, 1989; Knight, 1994). Thus, internationalization plans advance institutional goals for internationalization by expressing

institutional commitment, defining institutional goals, informing stakeholders' participation, and stimulating implementation activities.

Despite the importance of written commitments in under girding a process of institutional transformation, little is known about the prevalence and types of written internationalization plans in existence in higher education institutions. There is an even greater lack of knowledge about how universities and colleges develop and monitor internationalization plans. This research is particularly important because the scholarly and practitioner literature to date indicate that internationalization plans provide a valuable foundation from which to develop institutional support for internationalization (Aigner et al, 1992; Audas, 1990; Harari, 1989; Knight, 1994; Moats-Gallagher, 2004; Paige, 2005; Scott, 1992; Urquiola-Audas, 1989).

Theoretical Framework

From a theoretical perspective, Knight's (1994) internationalization cycle grounded this study. This cycle indicates that institutions proceed through six phases of developing and implementing an internationalization strategy. These phases include (a) awareness, (b) commitment, (c) planning, (d) operationalization, (e) review, and (f) reinforcement (Knight, 1994). The literature to date emphasizes the importance of Knight's third and fourth phases—planning for and operationalization of internationalization. Yet, there is a lack of research on how institutions proceed from the planning phase to the operationalization phase. This study addressed this gap in the literature by using Knight's (1994) internationalization cycle as a theoretical framework to understand how and why institutions develop, implement, and monitor internationalization plans in order to transition from the planning to operationalization phases of internationalization.

Methodology

In conjunction with the American Council on Education's Center for International Initiatives (ACE CII)¹, the researcher conducted a qualitative, multiple case study (Merriam, 1998; Stake, 2006; Yin, 1994, 2003) for this investigation. This section explains and justifies the methodology used for this study including the research design, unit of analysis, population, sampling procedures, data collection, and data analysis.

This multiple case study research design enabled the investigator to understand the complexities of each case and identify components that can be compared and contrasted across cases (Stake, 2006). Specifically, this research design allowed the investigator to “address the same research question in a number of settings using similar data collection and analysis procedures in each setting [and] consciously seek . . . cross-site comparison without necessarily sacrificing within-site understanding” (Herriott & Firestone, 1983, p. 14). As the researcher sought to understand the prevalence, development, and monitoring of internationalization plans at not only one higher education institution but to compare processes across institutions, the multiple case study research design was appropriate.

Internationalization plans served as the unit of analysis for this study. The multiple case study research design enabled the researcher to describe and assess this unit of analysis in depth (Merriam, 2002; Stake, 1995). This unit of analysis remained constant among all institutions examined in the study, set the parameters for the study, and guided the researcher on where to search for information, as is critical in multiple case study methodology (Pettigrew, 1990; Stoeker, 1991; Yin, 1994).

¹ ACE CII supports “senior leaders and institution-wide teams in enhancing internationalization on campuses” (American Council on Education, 2006a, p. 2)

Criterion-based, expert-driven sampling was used in order to select institutions for investigation in this study. In consultation with internationalization experts Madeleine Green, ACE CII's vice president/director, and Christa Olson, ACE CII's associate director, the Association of International Education Administrators (AIEA)² was selected as the population for investigation, given these institutions' demonstrated commitment to internationalization through their AIEA membership. In addition, the AIEA member list was available with up-to-date e-mail and phone contact information, which thereby promoted the researcher's accessibility to data (Miles & Huberman, 1994; Patton, 1990).

All 194 AIEA institutional members (Association of International Education Administrators, 2006a) comprised the sampling frame. In the sample selection process, the researcher consulted with Green to select a small group for investigation. A small sample size was important, given the researcher's interest in obtaining thick, rich descriptions (Geertz, 1973). Thus, the sample was designed in order to select "information-rich cases . . . from which one can learn a great deal about the issues of central importance to the purpose of the research" (Patton, 2002, p. 46). Accordingly, Green identified 32 out of 194 AIEA members as likely to respond based on their participation in ACE CII internationalization programs. The researcher subsequently made a concerted outreach effort to the 32 identified institutions through targeted e-mails and phone calls. Although a courtesy e-mail was sent by Olson to all 194 AIEA institutional members, none, other than 31 of the 32 identified institutions, responded to a series of questions by e-mail or phone interview. Thus, the response rate of those 32 institutions was 97%. Accordingly, of the 31 respondents, 19 institutions (61%) were doctoral-granting universities, 10 institutions (32%) were master's colleges or universities, and 2 institutions (6%)

² AIEA is a membership organization "composed of institutional leaders engaged in advancing the international dimensions of higher education" (Association of International Education Administrators, 2006c, para. 1)

were baccalaureate colleges.³ Twenty-two institutions (71%) were public and 9 institutions (29%) were private.

As with any research project, a number of delimitations and limitations existed for this study. By acknowledging and examining these delimitations and limitations, it was possible to maximize the validity of this study (Creswell, 1998, 2003). First, self-selected delimitations narrow the scope of this study. These delimitations are particularly important, as one research project cannot address every aspect of a particular issue (Creswell, 1998, 2003). As the AIEA population and sample used for this study was largely comprised of research universities and liberal arts colleges, applicability of the findings to other types of institutions, such as community colleges, must be cautious.

Second, there are also limitations—boundaries that are beyond the researcher’s control—which restrict the generalizability of the study (Creswell, 1998). For instance, it was possible that participant responses were subject to issues of social and political desirability that were beyond the control of the researcher. In addition, only each institution’s AIEA member was interviewed for this study. Though it was likely that institutions’ AIEA representatives were among the senior internationalization leaders at each institution, given AIEA membership requirements⁴, this study only examined the perspectives of these stakeholders. Moreover, since the data collected for this study were snapshots and not longitudinal in nature, conclusions about the long-term effectiveness of any internationalization plan types cannot be drawn. However, with awareness of these delimitations and limitations, thematic findings may be useful to

³ The institutional types are based on the 2005 Carnegie classifications (Carnegie Foundation for the Advancement of Teaching, 2005).

⁴ AIEA institutional membership is restricted to individuals designated as institutions’ principal international education administrator (Association of International Education Administrators, 2006b, para. 8)

internationalization scholars and practitioners in assessing the development, implementation, and monitoring of internationalization plans.

Data collection methods included document analysis and interviews—traditional qualitative research methods (Glesne, 2006; Merriam, 2002). Specifically, document analysis for this study included institutions' internationalization plans and related documents such as internationally focused mission statements, strategic plans, annual reports, etc.

Internationalization plan documents were initially coded under three categories—institutional strategic plan (ISP), distinct document (DD), and unit plan (UP). These categories were developed in consultation with internationalization experts, Green and Olson, as likely types of internationalization plans. Plans that were part of an institution's major strategic plan were coded as ISP. Plans that were distinct documents devoted to internationalization were coded as DD. Plans that were connected with particular institutional units, schools, or departments were coded as UP. Subsequent to this first grouping of data under these three categories, data were clustered into subcategories (Miles & Huberman, 1994), which eventually became the internationalization plan typology (see Figure 1). A total of nine subcategories emerged. Details about the internationalization plan typology are presented in the findings section.

Through triangulation (Denzin, 1989; Jick, 1979), the researcher cross-validated the data that emerged from the semi-structured interviews and document analysis, in order to verify each institution's categorization in the typology. The semi-structured interviews with institutions' AIEA representatives enabled deep, rich data collection, by providing structure for the researcher to focus the conversation and flexibility for the respondent to offer additional information. In general, the interviews focused on (a) if and why participants' institutions developed internationalization plans, (b) the process through which the plans were developed, and (c) the

process through which the plans were monitored. By developing a matrix to capture this information, as well as the information obtained through document analysis, the researcher utilized a “systematic process of selecting, categorizing, comparing, synthesizing, and interpreting to provide explanations of the single phenomenon of interest” (McMillan & Schumacher, 1997, p. 502).⁵ Thus, this between methods type of triangulation (Denzin, 1989; Jick, 1979) enabled the researcher to cross validate the findings, as two data collection methods were found to be congruent and yielded similar findings.

Findings

This study revealed several major findings that illuminate the types, prevalence, development, implementation, and monitoring of internationalization plans at the 31 AIEA institutions examined. These findings will be discussed in turn in this section.

Types of Internationalization Plans

Based on the internationalization plans examined, an internationalization plan typology was developed in order to categorize and understand the similarities and differences among the documents. Three general types of plans emerged, including institutional strategic plans (ISPs), distinct documents (DDs), and unit plans (UPs). Through assessment of the data, nine subcategories were created.

For ISPs, there were four clusters or themes: (a) infused, (b) bullet, (c) section, and (d) under development. First, ISPs that were infused with international references throughout the document, without a distinct section devoted to internationalization or international/global education were categorized as ISP-infused. Second, ISPs that had one or two bullets devoted to internationalization or international/global education, without a distinct section of the document devoted to internationalization or international/global education were placed under the category

⁵ The matrix and interview protocol are available on request.

of ISP-bullet. Third, ISPs that had a distinct section devoted to internationalization or international/global education were categorized as ISP-section. Fourth, ISPs that included a focus on internationalization but were in the process of being developed were placed under the category of ISP-under development.

For DDs, three categories emerged: (a) general, (b) specific, (c) under development. DDs devoted to internationalization with general goals and/or mission statements were categorized as DD-general. DDs devoted to internationalization that included goal statements, as well as detailed implementation plans, resources allocated, and/or timelines were placed under the category of DD-specific. DDs that were in the process of being developed were placed under the category of DD-under development.

Finally, under UPs, two types emerged: (a) academic affairs and (b) international education. UPs for the Office of Academic Affairs and Office of International Education that included a focus on internationalization or international/global education were categorized as UP-academic affairs and UP-international education, respectively.⁶

Interestingly, at institutions with more than one internationalization plan type, the DDs appeared to be most influential in integrating international initiatives into multiple units on campus and into the ethos of the institution. This could be so, as ISPs tended to be overly general without a roadmap for implementation and UPs tended to be limited to integrating international initiatives into one unit, in particular. Moreover, at institutions examined in this study with DDs, internationalization was frequently found to be the purview of a campus-wide taskforce. Conversely, at institutions with UPs, internationalization was often the responsibility of an

⁶ The two UP types of internationalization plans that emerged from this study were academic affairs and international education departments. However, it is possible that the UP type may apply to other institutional units.

institutional unit, such as the Office of Academic Affairs or Office of International Education.

These issues are addressed in the section on further research.

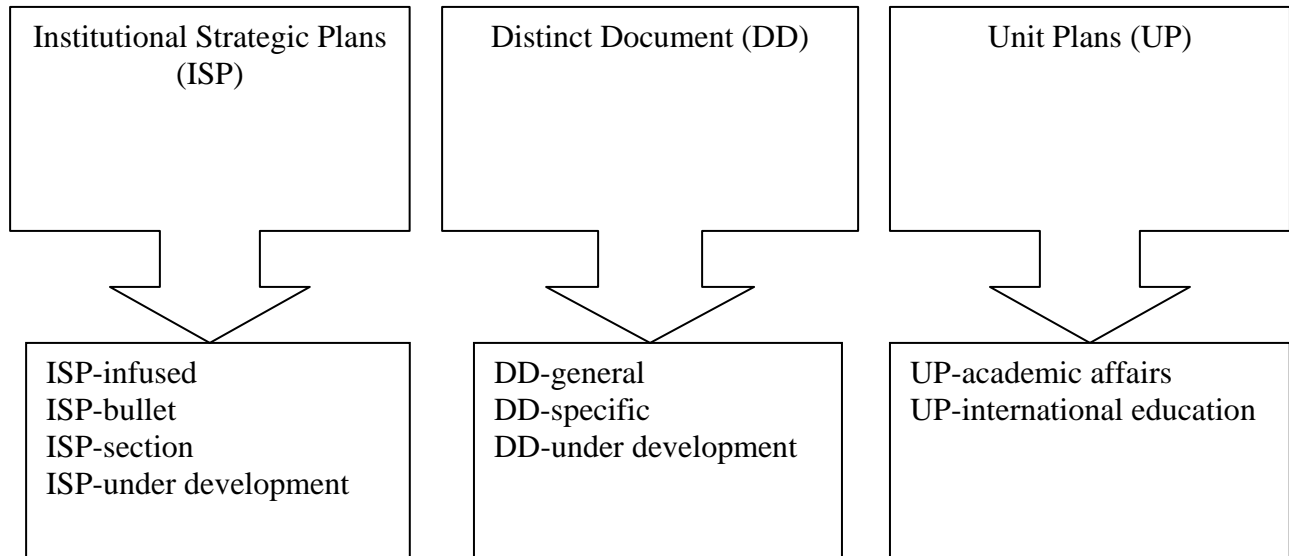


Figure 1. Internationalization plan typology.

Prevalence of Internationalization Plans

This study discovered the prevalence of internationalization plans at 31 AIEA institutions. First, internationalization plans were found in existence at 22 institutions (71%) and not in existence at 9 institutions (29%) in total. As more than two-thirds indicated the presence of an internationalization plan at their institutions, it suggests that many institutional leaders think that a written articulation of internationalization plans and goals is important. Conversely, nearly 30% of the institutions studied were not responding to that call through written plans. Their circumstances are discussed in the section on hindering factors in the development of internationalization plans. Second, based on analysis of these internationalization plans, an internationalization plan typology was developed that can be used in designing internationalization plans that address specific institutional needs. Third, emergent from the

interviews and document analysis is evidence that institutions' leadership, organizational structure, funding, and priorities affected decisions to develop internationalization plans and types of plans developed. These findings will be explored in subsequent sections on the development, implementation, and monitoring of internationalization plans.

The internationalization plans in existence at 71% of the AIEA member institutions examined are divided into three categories in the internationalization plan typology. In decreasing order of prevalence these plans are ISPs (19 institutions, 61%), DDs (10 institutions, 32%), and UPs (6 institutions, 19%)⁷. Specifically, these internationalization plans can be further clustered into nine different types, including ISP-section (9 institutions, 29%), ISP-bullet (5 institutions, 16%), ISP-infused (1 institution, 3%), ISP-under development (5 institutions, 16%), DD-general (4 institutions, 13%), DD-specific (4 institutions, 13%), DD-under development (3 institutions, 10%), UP-academic affairs (3 institutions, 10%), and UP-international education (2 institutions, 6%) (see Table 1). Within ISPs, internationalization is found to be part of a university-wide planning process. Therefore, through analysis of interview and document data, a pattern emerges that institutions with ISPs appear to be more centralized in their internationalization efforts.

Looking at the categories across institutional type, ISPs were found at 14 doctoral-granting universities (41%), five master's colleges/universities (16%), one baccalaureate college (3%)⁸. DDs were found at six doctoral-granting universities (19%), three master's colleges/universities (10%), and two baccalaureate colleges (6%). UPs were found at three doctoral-granting universities (10%), one master's college/university (3%), and one baccalaureate college (3%). Despite a slight preference in baccalaureate colleges for DDs (6%)

⁷ These percentages do not equal 100%, as some institutions had more than one type of internationalization plan.

⁸ Percentages represent percent of total institutions with internationalization plans.

over ISPs (3%) in this study, there was no other connection found between internationalization plan type institutional type by Carnegie classification (Carnegie Foundation for the Advancement of Teaching, 2005). Likewise, public and private institutions demonstrated similar preferences for internationalization plan types (see Table 1). Evidently, factors other than institutional type were at work in institutions' development of internationalization plans.

Table 1

Relationship between Institutional Type and Internationalization Plan Type

	Doctoral-granting university	Masters college/ University	Baccalaureate College	Public	Private
ISP					
ISP-Infused	0 (0%)	1 (3%)	0 (0%)	1 (3%)	0 (0%)
ISP-Bullet	4 (13%)	0 (0%)	1 (3%)	4 (13%)	1 (3%)
ISP-Section	6 (19%)	3 (10%)	0 (0%)	5 (16%)	4 (19%)
ISP-Under Development	4 (13%)	1 (3%)	0 (0%)	4 (13%)	1 (3%)
ISP Total	14 (41%)	5 (16%)	1 (3%)	14 (41%)	6 (19%)
DD					
DD-General	2 (6%)	1 (3%)	2 (6%)	4 (13%)	1 (3%)
DD-Specific	3 (10%)	1 (3%)	0 (0%)	2 (6%)	2 (6%)
DD-Under Development	1 (3%)	1 (3%)	0 (0%)	1 (3%)	1 (3%)
DD Total	6 (19%)	3 (10%)	2 (6%)	7 (23%)	4 (13%)
UP					
UP-Academic Affairs	3 (10%)	0 (0%)	0 (0%)	2 (6%)	1 (3%)
UP-International Education	0 (0%)	1 (3%)	1 (3%)	1 (3%)	1 (3%)
UP-Total	3 (10%)	1 (3%)	1 (3%)	4 (13%)	1 (3%)

Note: ISP = Institutional Strategic Plan. DD = Distinct Document. UP = Unit Plan. The institutional types are based on the 2005 Carnegie classifications (Carnegie Foundation for the Advancement of Teaching, 2005).

Development of Internationalization Plans

Through a vigorous discussion of the development of internationalization plans in the interviews conducted for this study, multiple factors emerged, which enabled and hindered this development.

Enabling factors in the development of internationalization plans. This study revealed numerous enabling factors that led to the development of internationalization plans at participants' institutions. The most prevalent enabling factor, which was cited by 48% of total participants, was the support from top institutional leaders, such as the president, chancellor, provost or board of trustees. For example, participants made the following comments, which indicate the importance of institutional leader support in the development of internationalization plans:

We are lucky to have a university administration that believes in internationalization . . .

By and large, we are supported by the president, provost, and university administration.

(Public, master's college/university)

Our trustees even formed an ad-hoc committee on international education. And, one trustee just committed to heading up the fundraising efforts for international education.

(Private, baccalaureate college)

[Internationalization] started with the provost, who felt that the university was falling behind other comparable institutions. (Public, doctoral-granting university)

Our vice provost . . . has a son [at a college where] everyone is studying abroad So a top administrator [with] a personal connection to international education is definitely helpful. (Public, masters college/university)

We have a new provost who is driving the process. He came to us because he recognizes that internationalization is the driving force of higher education in the future and that is at

the core of our mission. He is putting together a cross-departmental steering committee to stir up ideas and reconnect departments. (Private, masters college/university)

For these institutions, with the support of top institutional leaders came (a) fundraising support for the implementation of an internationalization plan and (b) credibility to implement curricular components of an internationalization plan. Moreover, when a senior leader had a personal investment in internationalization, that leader was more likely to support the development of an internationalization plan at his or her personal institution.

At 39% of institutions examined, the development of a campus-wide internationalization taskforce was highly influential in the development of an internationalization plan. At these institutions, a taskforce comprised of faculty and administrators from throughout the institution was charged with the development and implementation of a written plan for internationalization.

Illustrative comments emerging from the data included:

The process for this [internationalization] plan is that there was a taskforce representing all student, faculty, and staff constituencies, and the Board of Trustees. It was charged and authorized by the provost to whom the dean of international education reports. That worked for a couple of years [to produce this] plan for internationalization. (Private, masters college/university)

[Our provost] put together the International Activities Council, which is a faculty and administrator committee that put together the internationalization component of the university strategic plan. (Public, doctoral-granting university)

As these data and illustrative quotations support, an internationalization taskforce convened by a top institutional leader and comprised of faculty and administrator representatives from

throughout the institution provided an important organizational structure to enable the development of an internationalization plan at these institutions.

In addition, as a result of an international education self-study or external review at 13% of institutions, the need and support for an internationalization plan emerged. Specifically, by examining their own internationalization through participation in one or more of ACE CII's programs (such as the Internationalization Collaborative⁹, Internationalization Laboratory¹⁰, and Promising Practices¹¹ (Engberg & Green, 2002) 16% of institutions reported that they were provided the support necessary to develop an internationalization plan. Finally, 13% of institutions reported an upcoming institutional accreditation served as an impetus to request all institutional departments to write their goals and contributions to internationalization, so that these departmental goals could be synthesized into an institution-wide internationalization plan.

Hindering factors in the development of internationalization plans. Though enabling factors are useful to consider, it is also important to recognize the hindering factors in the development of internationalization plans. First, the most prevalent hindering factor, which was cited by 23% of institutions, was a decentralized organizational structure. To illustrate this point, respondents reflected:

We have our international goals and measurement in several different places. (Public, doctoral-granting university)

⁹ The Internationalization Collaborative is “a learning community of 75 institutions [sponsored by ACE CII, which] provides a forum for faculty and administrators to share ideas and help each other in furthering their international agendas” (American Council on Education, 2006b, para. 1).

¹⁰ “An outgrowth of the Internationalization Collaborative, the [Internationalization] Laboratory consists of a small cluster of institutions working closely with ACE over a 12 to 16 month period to advance collective knowledge about the issues surrounding assessment and comprehensive internationalization” (American Council on Education, 2006c, para. 1).

¹¹ Promising Practices (Engberg & Green, 2002) was a case study conducted by ACE CII of eight U.S. colleges and universities' internationalization goals, programs, activities, challenges, and future plans.

We have a white paper for international education, and international undergraduate curriculum, initiative, and a global competence initiative operating separately, not under a centralized, synthesized plan. There is not a coherent campus document typing all international initiatives and goals together. (Public, doctoral-granting university)

Significantly, these institutions cited the necessity of promoting the “grassroots management” of internationalization within individual schools and departments, as the decentralized nature of the institution precluded the development of an institution-wide internationalization plan.

Furthermore, lack of time or the slow movement of institutional decision making was cited by 19% of institutions as impeding the development of internationalization plans. For example, respondents recounted: “The biggest challenge to planning is time constraints” (Private, baccalaureate college). “The process has taken much longer [than anticipated for] getting internationalization changes made to the university strategic planning document (Public, doctoral-granting university). “We move like a glacier here. We need to do consensus building, [form] ad-hoc committees, [and] take people to lunch [in order to create institutional change]” (Private, doctoral-granting university). “It takes time to get a document approved. The university is slow” (Public, masters college/university). Overall, these participants’ responses suggest that the extended time period required to receive the multiple levels of approval necessary for an institutional document to become official may impede the development of internationalization plans.

Interestingly, the findings indicate that institutions advanced in internationalization may not continue to find plans useful. In illustration, 10% of respondents noted that their institution’s advanced stage of internationalization precluded the need for an internationalization plan. For example some respondents reflected: “Internationalization plans are for institutions that are just

starting to internationalize. We are so much more than knee-deep in internationalization” (Public, doctoral-granting university). “We used to have an internationalization plan We [no longer] have a plan because the old statement has been internalized” (Private, master’s college/university). “We are too international to do a comprehensive plan for internationalization” (Private, doctoral-granting university). Thus, some respondents expressed that internationalization plans were most appropriate for institutions that are (a) in the initial phases of internationalization and (b) do not yet have faculty “on board” with internationalization. As such, internationalization plans were explained as irrelevant for some advanced institutions in which internationalization has become part of the fabric of the institution.

Moreover, just as senior institutional leaders’ support was found as an enabling factor in the development of internationalization plans, lack of presidential support for internationalization hindered the development of an internationalization plan, as reported by 10% of respondents. At these institutions, participants noted that their current and former presidents did not view internationalization as a top institutional priority. A common theme among these respondents was that a lack of vertical support for internationalization deters departments from prioritizing internationalization; for, without internationalization as an institutional priority, departments are unlikely to receive financial support for international initiatives. In such a case, a participant from a private, doctoral-granting university reflected that “leadership from the middle [and] leadership from the periphery” is essential. However, the findings suggest that without the support of senior institutional leaders, peripheral or mid-level leadership may lack long-term, sustainable impact.

Surprisingly, not only was lack of presidential support for internationalization an obstacle to internationalization plans, but lack of presidential support for detailed planning initiatives was,

likewise, an obstacle. In particular, some participants noted that their presidents' disregarded detailed plans, as they felt such written commitments do not allow for flexibility in institutional decision making. One respondent from a public, doctoral-granting university expressed that his president "[does not] want bold visions with high prices tags and initiatives we can't meet." Another participant from a public, doctoral-granting institution indicated that his president would say, "You have my support. Why do you need a written document?" Yet another participant from a private, doctoral-granting university reported her president as having said, "We don't need to publish this. We just need to do it." Finally, one participant from a public, doctoral-granting university summed up the default approach active at institutions without top level support for internationalization: "It is all by touch and feel, not by a blueprint."

In addition, a vacant, key position hindered the development of an internationalization plan at 6% of institutions. At these institutions, the hiring process for a provost or vice president for international affairs was underway. As these positions bear great influence on the implementation of internationalization plans, respondents expressed the importance of waiting until the new administrator was brought on board and could contribute to the development of the internationalization plan, since his or her approval would be critical to its implementation.

Finally, financial constraints impeded the development of an internationalization plan at 6% of institutions. Without necessary financial resources to implement internationalization initiatives, respondents expressed that the articulation of a written commitment to these goals was antithetical to the institution's best interest. One respondent captured this financial constraint with the following illustrative comment:

If you can supply a substantial amount of resources that are needed to implement internationalization, then a detailed plan makes sense. If you can't do that, then a specific

internationalization plan is not necessarily beneficial, and might, in fact, fence in the institution, in that it won't necessarily let you take advantage of opportunities that come along the way that might fall outside the wording of the specific internationalization plan. If you have the internal resources to dig a tunnel through a mountain, build the tunnel. If not, then you will have to do a hairpin turn to climb over the mountain. We need to be careful of that as we develop our written document. There is a balance point of not being too prescriptive in the plan, in order to allow the university to internationalize in unanticipated ways. (Public, doctoral-granting university)

Thus, these findings suggest that the presence of a decentralized organizational structure and lack of other factors, such as time, senior leaders' support, finances, key positions filled impede the development of internationalization plans. Notwithstanding these hindering factors, certain individuals at some institutions served as key participants in overcoming these barriers and developing internationalization plans.

Key participants in the development of internationalization plans. Respondents indicated that the most influential participants in the development of internationalization plans were (a) campus-wide internationalization taskforces (at 52% of institutions), (b) chief international education administrators (at 44% of institutions), and (c) presidents and chancellors (at 39% of institutions).

Implementation of Internationalization Plans

Emerging from the interviews was a robust discussion of the implementation of internationalization plans. From this discussion, the researcher uncovered numerous factors that enabled and hindered the implementation of internationalization plans.

Enabling factors in the implementation of internationalization plans. Assessment of the interview data and internationalization plan supporting documents indicated that the mobilization of faculty support was an overarching enabling factor in implementation. First, 19% of respondents indicated the importance of campus-wide faculty forums and conferences to develop faculty support for implementation. For example, one respondent recounted the internationalization theme of the chancellor's annual conference as a key contributor to the development of faculty buy in for the need for their participation in the implementation of their institution's internationalization. Another respondent from a private masters college/university reflected, "Forums serve as an opportunity to develop campus-wide support for internationalization." Second, 16% of respondents expressed that the support of the academic senate was critical to the implementation of internationalization plans. One respondent from a public, doctoral-granting university noted, "In universities with strong faculty governance . . . the academic senate has complete authority over academic programs. We need their approval to implement any curricular initiatives [including internationalization]." Finally, 3% of respondents indicated that by working with faculty members individually, the implementation of an internationalization plan became a reality. To illustrate this point, one respondent from a private, masters college/university expressed, "It has been through working with faculty one-on-one to help them establish useful international connections that we have been able to get faculty on board [and implement our internationalization plan]." Considering the positive effect of campus-wide faculty forums, development of support from the academic senate, and working one on one with faculty, intentional efforts to develop faculty support are critical to the implementation of internationalization plans.

Hindering factors in the implementation of internationalization plans. Five hindering factors in the implementation of internationalization plans emerged. First, 10% of institutions cited limited funding as an obstacle to the implementation of internationalization plans. These respondents expressed that they lacked the financial resources necessary to implement their internationalization goals. Second, 6% of respondents indicated that a lack of campus-wide understanding of international education prevented them from implementing an internationalization plan. These respondents expressed that many of their campus constituents (faculty, administrators, and students) did not understand what international education or internationalization means, so consequently it was difficult to implement an internationalization plan.

Third, at 3% of institutions, respondents recounted that faculty desire for autonomy served as a barrier to the implementation of internationalization plans. As faculty do not like to be told what to do (Baldrige, Curtis, Ecker, & Riley, 1977; Clark, 1963; Miller, 2001), emerging from the data was a picture of this desire to operate autonomously impeding the implementation of an institution-wide internationalization plan. Accordingly, this faculty preference towards working independently served as an obstacle to their participation in an institution-wide initiative that they may not have perceived as directly furthering their own professional or personal agendas. Fourth, at 3% of institutions, a lack of top-level support for internationalization other than through rhetoric prevented the implementation of internationalization plans. Respondents indicated that while their senior, institutional leaders may state the importance of internationalization in their rhetoric, they do not provide financial support and other resources necessary for the implementation of an institutional plan. Finally, at 3% of institutions, unforeseen crises were indicated as obstacles to the implementation of

internationalization plans. Specifically, the crisis of September 11, 2001, forced some institutions to divert resources to the immediate response needs to September 11, which were originally intended to carry out internationalization plans. Thus, while the factors that impede the implementation of internationalization plans vary, a common thread is the importance of commitment from senior institutional leaders and an organizational infrastructure to support internationalization. With such support and infrastructure, internationalization will become integrated into the institution's activities and ethos, such that its implementation will not be impeded even by an unforeseen crisis.

Monitoring of Internationalization Plans

While data analysis revealed that numerous respondents had spent less time focusing on the monitoring of internationalization plans than on their development and implementation, the interviews provided respondents' perspectives on the factors that enabled and hindered the monitoring process.

Enabling factors in the monitoring of internationalization plans. Support from the office of institutional research was cited by 10% of respondents as an enabling factor in the monitoring of internationalization plans. To illustrate this point, one participant from a public, doctoral-granting university recounted: "Our institutional research staff volunteered to work with me on tracking our successes in internationalization. We're looking for 30 to 40 different variables to keep track of on an annual basis to help us set goals, gauge how well we're meeting them, and rally support for improvement." On a similar note, another participant from a private, master's college/university expressed, "We have a director of institutional research who will be spending a lot of her time on this process [of monitoring our internationalization plan] in terms of internal evaluation and expectations." As institutional research administrators have training and expertise

in the evaluation of institutional programs, these findings suggest that their expertise can advance the monitoring of internationalization plans.

Interestingly, assigning the monitoring responsibility to individual departments, as opposed to central institutional groups, was cited by 10% of institutions as an enabling factor in monitoring internationalization plans. For example, one respondent from a private, masters college/university stated, “Each of the units will be asked to develop annual goals to help move the institution in the direction of the [institution’s internationalization] plan.” These institutional representatives expressed not only their recognition of the importance of monitoring the implementation of plans, but the importance of placing the responsibility for monitoring at the individual departmental levels. Surprisingly, 3% of respondents indicated budgetary concerns as facilitators of the monitoring process. In particular, these respondents expressed that their budget for implementing the internationalization plan is directly linked to their demonstration of accomplishing their stated goals. Thus, in order to receive their annual budgets, some departments were required to demonstrate evidence that they were monitoring and implementing their stated goals. Overall, the findings suggest that support from the office of institutional research, responsibility for monitoring placed at the departmental levels, and budgetary policies that require the monitoring of stated plans all enable the monitoring of internationalization plans.

Hindering factor in the monitoring of internationalization plans. From this study there emerged only one hindering factor in the monitoring of internationalization plans. At 13% of institutions, lack of clarity on the monitoring process and monitoring expectations was cited as an impediment to monitoring. One participant from a public, doctoral-granting university noted, “Monitoring? It’s still a mystery to me.” Perhaps, since only 23% of respondents expressed

recognition of the importance of monitoring in implementing internationalization plans, few may have considered what is impeding this process from taking place at their institutions.

Key participants in the monitoring of internationalization plans. At those institutions with a monitoring process in place for their internationalization plans, respondents indicated that key participants in the development and management of the monitoring were (a) chief international education administrators (at 48% of institutions), (b) campus-wide internationalization taskforces (at 23% of institutions), and (c) office of international education staff (at 23% of institutions). Thus, while the evaluation expertise provided by the office of institutional assessment is useful, the impetus for and follow through of monitoring often comes from those stakeholders who are tasked with an international agenda.

Implications

Emerging from the analysis of the internationalization plan documents and interviews are several benefits that can help institutions transition from the planning to operationalization phases of Knight's (1994) internationalization cycle. As Knight's (1994) model suggests, colleges and universities which incorporate the importance of international education into their institutions' mission statements and strategic plans create a strong foundation for translating this commitment and intent into operationalization.

There are several findings from this study which support Knight's (1994) theory that written plans are part of the supportive culture needed to springboard institutions into the operationalization phase of internationalization. First, an internationalization plan can serve as a roadmap for internationalization. Considering the diversity of internal and external stakeholders in internationalization, an internationalization plan can help to provide a coherent direction for

institutional priorities, which may be placed on an institution's website and distributed to institutional stakeholders for their reference.

Second, an internationalization plan can serve as a tool to develop buy-in. In order to mobilize support from faculty, administrators, students, alumni, and other external constituents (including foundations and governments to seek funding support), the presence of a written document that articulates an institution's goals for internationalization can serve to demonstrate institutional commitment to internationalization. Knight (1994) is instructive here, as she explained that by delineating practical steps, institutional stakeholders are able to understand *how* they can participate. Thus, through this understanding fostered through written documents, the mobilization of stakeholder buy-in is initiated.

Third, an internationalization plan can be used as a tool for explaining and clarifying the meaning and goals of internationalization. As lack of understanding of internationalization was indicated in this study as a hindering factor in the implementation of internationalization plans, in order to develop support for internationalization, it is critical that key internal and external constituents understand what is meant by internationalization. Fourth, an internationalization plan can be used as a tool for developing interdisciplinary collaboration. In order to allow the cross-fertilization of ideas and programs among institutional departments, having clearly articulated internationalization goals for all departments to reference can enable subunits with the groundwork for collaboration.

Fifth, an internationalization plan can be used as a tool for fundraising. In order to demonstrate to internal and external funding sources, including alumni, foundations, government agencies, international not for profit agencies, that a higher education institution or subunit is seriousness about internationalization, it is useful to have its general commitment, as well as

specific goals and objectives delineated in a written document. These points are well articulated in one respondent's statement:

A few years ago, I might have just said that a detailed written document might be of value to us as a working document for myself [vice provost for international affairs] and the director of international education as a roadmap. But now, I can see that by having a more detailed statement of how we will integrate study abroad into majors, we will be in a position to convince others that we know what we're doing, and that we are pursuing a well designed plan that is designed to meet a specific university strategic plan item. A detailed plan [gives] us more support for receiving new monies for our internationalization initiatives. (Public, doctoral-granting university)

As illustrated by this participant in particular and in this study overall, through understanding these benefits of internationalization plans, internationalization leaders may find a useful mechanism through which to build support from internal and external stakeholders. In so doing, they may help their institutions to transition from the planning to operationalization phases of Knight's (1994) internationalization cycle.

Further Research

Given the findings of this study, five major recommendations for research emerge. First, it is important to examine how college and university leaders can be encouraged to support internationalization plans. As indicated by this study and the literature to date (Aigner et al., 1992; Audas, 1990; Harari, 1989; Knight, 1994; Moats-Gallagher, 2004; Paige, 2005; Scott, 1992; Urquiola-Audas, 1989), internationalization plans are important. A prevalent impediment to the development, implementation, and monitoring of these plans is institutional leaders' lack

of focus or prioritization on internationalization or detailing planning documents in order to promote internationalization goals¹².

Second, this study indicated that a common feature of institutions' development of internationalization plans is the presence and activity of a campus-wide internationalization task force. Yet, little is known about what activities and processes these taskforces are undertaking in order to achieve their institutions' internationalization plan goals. Therefore, it is important to investigate internationalization taskforce activities in order to shed light on how these processes can be improved.

Third, the importance of campus-wide faculty forums, the support of the academic senate, and the chief international administrator working one on one with faculty illustrate that a common thread in the development, implementation, and monitoring of internationalization plans is the critical nature of the mobilization of faculty support. Therefore, it is important for future research to address in depth how faculty support is mobilized and how that support can be maximized in order to achieve institutions' internationalization goals.

Fourth, as this study focused on institutional members of AIEA, which largely represent doctoral-granting universities and masters colleges and universities (Carnegie Foundation for the Advancement of Teaching, 2005), it would be useful for this study to be replicated with a larger sampling of these institutional types. Also, replication with classifications of institutions not well represented or not represented at all in this study, such as baccalaureate and associate's colleges (Carnegie Foundation for the Advancement of Teaching, 2005) would advance understanding of internationalization plans in those institutions and lead to further understanding of any differences in internationalization plans that may exist by institutional type.

¹² Support from top institutional leaders was recognized as an enabling factor of internationalization plans' development at 48% of institutions.

Fifth, as this study evinced a typology of internationalization plans (ISPs, DDs, and UPs), it is important for future research to examine how the mobilization of institutional support differs based upon the type of internationalization plan an institution develops. Does the type of internationalization plan an institution develops impact the processes a campus-wide taskforce undertakes in order to develop, implement, and monitor the plan? The examination of these five issues in future research would lead to greater understanding of how to operationalize internationalization plans in higher education institutions.

Conclusion

Numerous national organizations and scholars of American higher education advocate for the use of written plans in order to internationalize U.S. colleges and universities. Drawing from a sample of 31 AIEA member institutions, this study examined the types, prevalence, development, and monitoring of internationalization plans. Knight's (1994) internationalization cycle provided the theoretical framework for investigating how institutions transition from the planning phase into the operationalization phase for internationalization. The results of this study indicated that internationalization plans were in existence at 71% of participants' institutions.

Through assessment of these internationalization plans, an internationalization plan typology was developed to provide a foundation for understanding internationalization plan focuses. This typology includes three major types, including institutional strategic plans (ISPs), distinct documents (DDs), and unit plans (UPs), as well as nine specific types, which include ISP-section, ISP-bullet, ISP-infused, ISP-under development, DD-general, DD-specific, DD-under development, UP-academic affairs, and UP-international education, as indicated in Figure 1. Numerous enabling and hindering factors for the development, implementation, and monitoring of internationalization plans emerged from this study. Based on these results, the

development of (a) support from top institutional leaders for internationalization plans and (b) an organizational mechanism through which to communicate the internationalization plan goals to individual departments and faculty, such as through a campus-wide taskforce is critical. Future research should examine the relationship between the development of internationalization plans and the communication of these plans to key institutional stakeholders in order to enable these plans to move from their presence on institutional shelves and Web sites into their integration in classrooms and throughout the campus.

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